POSTDOCTORAL SCHOLARS

Available at: https://ap.ucsb.edu/training.and.workshops/staff.training.materials/

November 20, 2019
AGENDA

- Web Resources & Campus Contacts
- Overview
- Policies
- Salary
- Benefits
- Appointment Process
- Additional Considerations
WEB RESOURCES

Academic Personnel
- Academic Personnel Manual (APM 390) - UC-wide academic personnel policies and procedures
- Red Binder (III-17) – Campus policies and procedures
- Benefits Information
- Forms: Appointments, Annual Evaluation, UAW Membership Election
- Notice of Appointment Letter

Graduate Division
- Career and Professional Development
- Campus Events/Workshops
- Mentoring

Human Resources - Labor Relations
- UC Postdoc MOU
- Grievances and Layoffs - Contact AP First

Business & Financial Services
- Accounting for Extramural Funds
- I-9 Compliance
- Glacier for Nonresident Aliens
- Imputed Income – Fellows/Paid-Directs

Office of Research – Sponsored Projects
- Research Proposals
- Award Administration

Office of International Students & Scholars
- Visas/Work Authorization
- Campus Events

Garnett-Powers & Associates
- Insurance Plans and Rates
- Documents Library
- COBRA continuing coverage
CAMPUS CONTACTS

**Academic Personnel**

Billy Ko – Postdoctoral Scholar Employment Coordinator, billy.ko@ucsb.edu, x4441

For UCPath questions - email: AP-PATH@ucsb.edu

**Labor Relations**

Lauren Joyce – Employee & Labor Relations Specialist, lauren.joyce@hr.ucsb.edu, x4663
CAMPUS CONTACTS

Office of International Students & Scholars

Kayleen McDonald - Employment-based visas, longtermvisa@sa.ucsb.edu, x2929
Jason Hopkins and Mavel Marina – J-1 Scholar Advisors, j1scholar@sa.ucsb.edu, x2211

Business and Financial Services

Lan Nguyen – Manager, lan.nguyen@bfs.ucsb.edu, x3259
Shannon Jackson – I-9 Admin/Payroll Supervisor, shannon.jackson@bfs.ucsb.edu, x3085
OVERVIEW

- Employed in a full-time training program of advanced academic preparation and research training under the mentorship of a faculty member

- Postdoctoral work provides essential training in many disciplines for individuals pursuing academic careers and may include opportunities to enhance teaching and other professional skills

- Temporary appointments with fixed end dates – normally for one year

- Requires a Ph.D. (or equivalent) at the time of appointment
  - Proof of program completion or degree conferral

Approval Authority - ALL ACTIONS require approval from the Associate Vice Chancellor for Academic Personnel
A POSTDOC OR NOT?

Is a Postdoc

- A program of mentorship and training with supervision
- Ph.D. completed
- Five years or less since Ph.D.
- Initial appointment of at least one year
- Appointment is 100% time*

Not A Postdoc

- Support position on research team
- Has not completed Ph.D. by the start of appointment
- Independent researcher
- Short-term visitor
- Appointment is part-time

Postdoctoral Scholar Classification flowchart: AP Website/Resources for Department Analysts/Postdoctoral Scholar Appointments/Scholar Positions Chart

*See Exception to Policy
POSTDOCS ARE UNIONIZED

- The International Union, United Automobile, Aerospace and Agricultural Implement Workers of America (UAW) represents all postdocs on collective bargaining issues pertaining to wages, hours, and terms & conditions of employment regardless of “membership” status.

- However, it is within the University’s sole discretion to appoint, reappoint or not reappoint and to determine the duration of such appointments.

**UPDATE:** Postdocs may choose to accept or decline membership

- Membership status includes voting rights and eligibility to run for leadership positions.
- Membership requires monthly dues to UAW – deducted from paycheck.
- Janus Supreme Court Decision - No more agency fees for non-active members.
- Must provide UAW Membership Election Form to postdoc at the initial time of hire.
### Overview

#### TITLES AND JOB CODES

<table>
<thead>
<tr>
<th>Role</th>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>EMPLOYEE</td>
<td>3252</td>
<td>Receives a full salary from UCSB. Pay issued via the payroll system (UCPath).</td>
</tr>
<tr>
<td>FELLOW</td>
<td>3253</td>
<td>A postdoc is awarded a fellowship/traineeship award that will be administered through a University account. Can be paid as salary or stipend, depending on terms of the award. <a href="#">Contact BFS-Extramural Funds for assistance.</a></td>
</tr>
<tr>
<td>PAID-DIRECT</td>
<td>3254</td>
<td>A postdoc is awarded a fellowship/traineeship that is <strong>paid directly to the postdoc</strong> by the extramural granting agency. No salary is paid via UCPath.</td>
</tr>
<tr>
<td>EMPLOYEE NEX (Non-Exempt)</td>
<td>3255</td>
<td>For a postdoc appointment less than full-time <strong>and</strong> the falls below the FLSA salary level test. <strong>AP will determine exempt/non-exempt status at the time of the appointment request.</strong></td>
</tr>
<tr>
<td>INTERIM</td>
<td>3256</td>
<td>For recent <strong>UCSB Ph.D. graduates</strong> requiring a short-term appointment to complete an existing project started during their graduate program. Total duration is for less than one year.</td>
</tr>
</tbody>
</table>
STANDARD APPOINTMENT

DURATION
- Initial appointment shall be for one year minimum
- Interim (3256) must be for three months min.
- First reappointment to the Employee (3252) title shall be for two years
- Subsequent reappointments for one year
- Fellows and Paid-Directs shall be appointed based on the duration of the award
- The total duration of postdoc appointment at UC may not exceed five years. This includes prior postdoctoral service at other institutions.
- 6th year may be granted by exception

TIME & EFFORT
- Expected to engage full-time in scholarly pursuits; 100% FTE or 40 hours/week.
- Appointments are exempt status
- Less than full-time may be granted by exception:
  - Becomes non-exempt (3255) if pro-rated salary per week does not meet the FLSA salary level
  - Bi-weekly pay schedule and hourly rate
  - Time Card Reporting
  - Becomes eligible for comp time if working more than 40 hours/week
## STANDARD POSTDOCTORAL SCHOLAR HIRE

<table>
<thead>
<tr>
<th>Appointment Type</th>
<th>Duration</th>
<th>Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial (One Year)</td>
<td>October 1, 2019 – September 30, 2020</td>
<td>At Exp. Lv. 0</td>
</tr>
<tr>
<td>Reappointment (Two Years)</td>
<td>October 1, 2020 – September 30, 2022</td>
<td>Exp. Lv. 1</td>
</tr>
<tr>
<td>Anniversary Date Salary Increase</td>
<td>October 1, 2021 – September 30, 2022</td>
<td>Exp. Lv. 2</td>
</tr>
<tr>
<td>Reappointment (One Year)</td>
<td>October 1, 2022 – September 30, 2023</td>
<td>Exp. Lv. 3</td>
</tr>
<tr>
<td>Reappointed for a final 5th year</td>
<td>October 1, 2023 – September 30, 2024</td>
<td>Exp. Lv. 4</td>
</tr>
</tbody>
</table>
Example of Postdoc-Interim Hire

Recent UCSB Graduate Student (Ph.D. conferred) needs additional time to complete their doctoral research project:

- Appoint using title code Interim (3256)
- A minimum of three months – for postdoc benefits eligibility

What if the postdoc stay beyond 3 months?

a) Reappoint as 3256 if appointment(s) totals one year or less OR

b) Appoint as Employee (3252) for one year minimum. Postdoc retains the anniversary date set by the initial date of hire and receives a salary increase after 9 months
## EXCEPTIONS

Exception to policy are used for reduced effort and not for reducing pay

<table>
<thead>
<tr>
<th>First Reappointment As Employee (3252) For Less than Two Years</th>
<th>Subsequent Reappointments For Less Than One Year</th>
<th>Beyond Five Years</th>
<th>Less Than Full-time</th>
</tr>
</thead>
<tbody>
<tr>
<td>▶ Less than two years of funding</td>
<td>▶ Less than one year of funding</td>
<td>▶ Under unusual circumstances such as but not limited to:</td>
<td>▶ Personal health reasons</td>
</tr>
<tr>
<td>▶ Less than two years of programmatic work</td>
<td>▶ Less than one year of programmatic work</td>
<td>▶ More than five years since Ph.D. was conferred</td>
<td>▶ Family responsibilities</td>
</tr>
<tr>
<td>▶ Work authorization limitations</td>
<td>▶ Work authorization limitations</td>
<td>▶ Additional time necessary to complete project</td>
<td>▶ Employment external to the University</td>
</tr>
<tr>
<td>▶ Approaching the five year limit</td>
<td>▶ Approaching the five year limit</td>
<td>▶ Late change in field of study/research focus</td>
<td>▶ Concurrent employment in another University position or part-time teaching (Lecturer). Combined appointments must equal 100% time.</td>
</tr>
<tr>
<td>▶ Change in PI/Supervisor</td>
<td></td>
<td>▶ Not to exceed a sixth year</td>
<td>▶ Requires written agreement: Postdoc request with PI/Supervisor approval</td>
</tr>
</tbody>
</table>

## SPECIAL APPOINTMENT PROVISIONS

- Postdoc may request for a bridge appointment for a short duration to carry over to another anticipated appointment or training grant
- The University is only obligated to provide one two-year appointment; either for the initial request or reappointment.
In addition to pursuing advanced preparation in research, Postdoctoral Scholars may be approved to engage in other activities to enhance teaching and other professional skills.

- If formal teaching duties are assigned, a Postdoctoral Scholar must hold both a Postdoctoral Scholar title and an appropriate teaching title;
- Under this circumstance, the full-time Postdoctoral Scholar appointment will be reduced accordingly.

Postdoc must apply for teaching position via open recruitment, unless:

a) Teaching is a requirement per the terms of the extramural award/fellowship;

b) Occasional teaching activity is directly related to/part of the individual’s research

- **Search exemption** (NOT search waiver) request – **contact AP Analyst to discuss**
Based on the NIH-NRSA National rates – subject to change

- Postdocs must be paid **at or above** their experience level minimum
  - Based on the collective months of prior postdoc employment
  - Includes time with other institutions, both foreign and domestic

- Mandatory salary increase on the postdoc’s anniversary date
  - Normally occurs every 12 months from the original start date
  - **Postdocs transferring from another UC keeps their original anniversary date**
  - Increases to the next experience level minimum
  - Or a 2% minimum if current salary is above the Exp. Lv. Minimum

- Mid-appointment salary increases are allowed but does not negate the mandatory salary increase on the postdoc’s anniversary date

- Salary scales on AP website/Compensation and Benefits
<table>
<thead>
<tr>
<th>Experience Level</th>
<th>Table 23 Annual Minimum</th>
<th>Table 23N Hourly Minimum (For NEX -3255)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lv. 0 ( 0 -11 Months)</td>
<td>50,760</td>
<td>24.32</td>
</tr>
<tr>
<td>Lv. 1 ( 12 -23 Months)</td>
<td>52,896</td>
<td>25.34</td>
</tr>
<tr>
<td>Lv. 2 ( 24 -35 Months)</td>
<td>54,756</td>
<td>26.23</td>
</tr>
<tr>
<td>Lv. 3 ( 36 -47 Months)</td>
<td>56,880</td>
<td>27.25</td>
</tr>
<tr>
<td>Lv. 4 ( 48 -59 Months)</td>
<td>59,100</td>
<td>28.31</td>
</tr>
<tr>
<td>Lv. 5 ( 60 -71 Months)</td>
<td>61,308</td>
<td>29.37</td>
</tr>
</tbody>
</table>
SALARY REQUIREMENTS FOR FELLOWS/PAID-DIRECTS

- Exchange rate is calculated at the time of the initial appointment and reappointment request
  - Only factoring the cost of living/stipend amount
  - Not including benefits, project costs, travel, family, and incidental expenses

PI/Supervisor must provide supplemental funding if the extramural award falls below the established salary minimum

- May require prior approval from the Extramural Funding Agency for anniversary date salary increase, funding supplementation.
- Always ask for complete funding award letter and guidelines

**NOTE: DO NOT HIRE** if the extramural award falls below the salary minimum and the PI/Supervisor is unable to provide additional financial support
**INTRA/INTER UC CAMPUS TRANSFER**

**Pre 5/3/19 Arbitration**
- Intra-campus (dept. to dept.) and Inter-campus transfer considered as a new appointment if:
  - New PI/Supervisor
  - New research project
  - New funding (fellowships)
- New one-year appointment with new hiring department
- Salary minimum can be reset
- New anniversary date

**Post Decision**
- Arbitrator ruled in favor of UAW’s argument that UC is a single employer; postdocs who move to a new campus are continuing UC employees.
- Campuses are a collective of the UC as a whole
- Not a “new” appointment but continuation of initial appointment:
  a) Postdocs stay at their current salary or higher
  b) Retains their initial anniversary date
- Includes change from/to Fellow and Paid-Direct

**NOTE:** This section applies only when a postdoc is transferring between depts. or UC campuses with no break in service.
BENEFITS

As a condition of appointment, Postdocs must have adequate health insurance coverage for the duration of their appointment

- All postdoc titles are eligible to enroll in Postdoctoral Scholars Benefit Plan (PSBP)
  - Plan costs shared between the PI/Supervisor and the Postdoc
  - Unless total costs is covered by the extramural award (Fellow or Paid-Direct)
- University is not responsible to pay contribution if Postdoc opts out of the University plan
- Rates can be viewed on Garnett-Powers & Associate website / Dept. is assessed Postdoc CBR %
- Postdocs enroll directly in UCPATH via the Employee Self-Service
  - Contact UCPATH for questions regarding PSBP enrollment and billing
  - Contact Garnett-Powers & Associates for plans and service

NOTE: DO NOT HIRE if the extramural award does not include support for benefits cost and the PI/Supervisor is unable to pay the Employer contribution rate
PERSONAL TIME OFF AND SICK LEAVE

- 24 days of **Personal Time Off** for every 12 month appointment
  
  **EX:** For 2 Year Appointment
  - 24 days for Year 1
  - New set of 24 days for Year 2
  
- All 24 days provided up-front
- Unused PTO does not carry over to subsequent reappointment. “Use it or lose it”

- 12 days of **Sick leave** for every 12 month appointment
  
- All 12 days provided up-front
- Can be carried over to subsequent UC appointment, including non-postdoc title

Accruals are pro-rated for appointments less than 12 months (2 PTO & 1 Sick Leave per month)

- Tracked by hours instead of days (8hrs = 1 day)
- Must be taken in 1-day increments. A “day” means a workday. Includes postdocs on a reduced schedule (less than full-time). Must be absent for their entire “work day”

Accruals are issued based off of the Anniversary Date field in UCPath – see Job Data/ UC Job Data
LEAVES

- Postdocs are entitled to leaves of absence that may be with or without pay and for medical and/or non-medical purposes:
  - Family medical leave (FML):
    - Personal Health
    - Family Care
    - Parental Leave
    - Pregnancy Disability Leave
    - Qualifying Exigency Leave
  - Personal Leave of Absence
    - Personal Health
    - Family Care
    - Baby Bonding

- Approved leaves shall not continue beyond the appointment end date
- Postdocs are provided 4 workweeks of paid parental benefit per birth/placement
- Subject to the approval of the University (Dept. and AP Approval)
- Leave Requests initiated by the Hiring Department via the APFolio Leave Processing Module
APPOINTMENT PROCESS

Department/PI has preliminary conversations with the Postdoc

Optional: Dept. performs an open recruitment for the open position via UC Recruit and determines proposed candidate for hire

Department submits appointment request to Academic Personnel

AVC for Academic Personnel reviews and approves appointment request. Department is notified by email.

AP creates Position Number (or modify existing #) and issues to the Hiring Department

Department issues the Notice of Appointment Letter to the proposed candidate who signs and returns to Department as proof of acceptance. A copy is sent to Academic Personnel.

Department funds the position and initiates Hire Template transaction in UCPath

Postdoc is issued UCPath Access
Completes New Hire Paperwork
Arrives to UCSB to start employment
Completes Step 2 of I-9 Process in-Person with BFS

Conclude open recruitment in UC Recruit once candidate has been hired and entered into payroll

Notify Academic Personnel of any changes post-appointment approval, e.g. appt. dates, salary, funding source, etc.
APPT. PROCESS

APPOINTMENT LETTER

- UC and UAW agree to the sample letter in Appendix G of MOU located on the AP Website: Resources for Department Analysts/ Postdoctoral Scholars/ Employment Toolkit, and include:
  - Appendix A – Health and Welfare Postdoctoral Scholar benefits Plan
  - Appendix B – Notice of Imputed Income/Tax Implications for Fellows/Paid-Directs – ONLY

- Letter should be issued to the postdoc immediately prior to the start of appointment/reappointment. **DO NOT** wait until the postdoc arrives to campus to issue the letter.

- **DO NOT CREATE OWN DEPT. LETTER**

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In informal communications between UC faculty and prospective postdoc do not constitute a formal appointment offer.
# REAPPOINTMENTS AND MODIFICATIONS

## Reappointment

- Renewal of existing appointment
- Include annual evaluation (every 12 months)
- **Fellows and Paid-Directs** – include updated award letter
- Specify exception reason and provide brief explanation
- Notice of Appointment Letter issued 30 days prior to reappointment

## Modification

Changes to appointment during the current approval period, such as:

- Hiring Department
- Percent time (FTE)
- Job duties
- Work location
- Mid-Appt. or Anniversary Date Salary Increase

**Postdoc/Lecturer concurrent appointments** requires:

a) Copy of the lecturer appointment letter
b) Written request from postdoc to PI/Supervisor asking for reduce appt.
Resignation prior to the approved appointment end date requires written notice from the Postdoc to the PI/Supervisor and PI/Supervisor’s approval.

Terminations in UCPath:

a) Voluntary Termination used for resignation of employment

b) Involuntary Termination for:
   - Layoffs – due to insufficient funding for the continuation of appointment (contact HR-Labor Relations)
   - Visa/Work Permit Expired – prior to appointment end date
   - Appointment Expired – end of appointment with a fixed end date
APPT. PROCESS

REVIEWS & MENTORING

- **Progress Assessments**
  - Evaluation of the Postdocs progress and accomplishment in research & professional development

- **Annual Review/Evaluation**
  - Completed after every 12 months
  - Included with reappointment request, if applicable
  - Two year reappointments mean that the PI should closely monitor employee performance during the first year “pseudo probation”

- **Individual Development Plan** (Optional)
  - Includes Postdoc's general individual research goals, professional development and career objectives, developed by Postdoc and discussed with PI
  - Allows for multiple mentors
  - Supervisor shall pay for professional development activities approved in the IDP
ADDITIONAL CONSIDERATIONS

→ When an employee changes From/To Postdoctoral Scholar:
  ▶ Union Code – moving from/to another represented position
  ▶ Postdoc manually signs up for PSBP during 31-day PIE

→ Keep track of:
  ▶ Anniversary Date Salary Increases for multi-year appointments
  ▶ Job End Dates:
    a) Terminate prior to payroll deadline
    b) Check End Job Automatically box, if applicable

→ Open Recruitment status for position:

→ Check FTEs for split appointments – cannot exceed 100%
  EXs: Fellow/Paid-Direct w/Employee Supplement, Postdoc/Lecturer