Postdoctoral Scholars

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

November 17, 2022
AGENDA

- Campus Contacts and Web Resources
- Overview
- Policies
- Salary
- Benefits
- Appointment Process
- Additional Considerations
Campus Contacts

**Academic Personnel**

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

For UCPath questions - email: AP-PATH@ucsb.edu
  - Including Position Number Requests

**Labor Relations**

Carly Bobek – Employee & Labor Relations Specialist, carly.Bobek@hr.ucsb.edu, x7302
Campus Contacts

Office of International Students & Scholars

Kayleen McDonald and Erik Williams - Employment-based Visas
longtermvisa@sa.ucsb.edu, x2929

Mavel Marina– J-1 Scholar Advisor
j1scholar@sa.ucsb.edu, x2211

Business and Financial Services

Lan Nguyen – Manager
lan.nguyen@bfs.ucsb.edu, x3259

Veronika Reidel – Payroll Supervisor
veronika.reidel@bfs.ucsb.edu, x2552
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
Memorandum of Understanding
Grievances and Layoffs - Contact AP First

Business & Financial Services
Accounting for Extramural Funds
I-9 Compliance
Glacier for Nonresident Aliens

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

Office of Research – Sponsored Projects
Research Proposals
Award Administration

Gallagher Benefits Services
Insurance Plans and Rates
Documents Library – Disability Insurance
COBRA continuing coverage
Overview

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 - University has sole discretion to appoint, reappoint or not reappoint and to determine the duration of such appointments.

- Requires a Ph.D. (or equivalent) at the time of appointment

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 by start of appointment
✓ Five years or less since Ph.D.
✓ Initial appointment of at least one year
✓ Appointment is 100% time*

*See Exception to Policy

Not a Postdoc

≠ Support position on research team
≠ Has not completed Ph.D. by start of appointment
≠ Has completed 5 years of postdoc service
≠ 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
Postdocs are Unionized

- UAW* represents all postdocs on collective bargaining issues pertaining to wages, hours, and terms & conditions of employment regardless of “membership” status

- 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
  - No fees for non-active members
  - **Membership Election Form (MEF) must be provided at the time of initial hire**

*The International Union, United Automobile, Aerospace and Agricultural Implement Workers of America*
## Titles and Job Codes

<table>
<thead>
<tr>
<th>Title</th>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>EMPLOYEE</td>
<td>3252</td>
<td>Full-time, exempt status. Receives a full salary from UCSB via payroll (UCPath).</td>
</tr>
<tr>
<td>FELLOW</td>
<td>3253</td>
<td>A postdoc is awarded a fellowship/traineeship award to be administered through a University account. Can be paid as salary or stipend, depending on terms of the award. Contact BFS-Extramural Funds for assistance.</td>
</tr>
<tr>
<td>PAID-DIRECT</td>
<td>3254</td>
<td>A postdoc is awarded a fellowship/traineeship that is paid directly to the postdoc by the extramural granting agency. No salary paid via UCPath.</td>
</tr>
<tr>
<td>EMPLOYEE Non-Exempt</td>
<td>3255</td>
<td>Appointment less than full-time and salary falls below the FLSA salary level test. Paid for hours reported. On Bi-weekly pay schedule and eligible for overtime.</td>
</tr>
<tr>
<td>INTERIM</td>
<td>3256</td>
<td>For recent UCSB Ph.D. graduates -only 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>
POLICIES

Duration
- Initial appointment for one year minimum*
- First reappointment as Employee (3252) for two years
- Subsequent reappointments for one year
- Fellows and Paid-Directs shall be appointed based on the duration of the award
- Total duration of postdoc appointment at UC may not exceed five years (Includes prior postdoc service at other institutions)
- FINAL 6th year may be granted by exception

* Except for Interim (3256)

Time & Effort
- Engage full-time in scholarly pursuits (100% FTE)
- Exempt status
- Less than full-time may be granted by exception:
  - Becomes Non-Exempt (3255) if pro-rated salary per week falls below the FLSA salary standard
  - Bi-weekly pay schedule at hourly rate
  - Requires time reporting in Kronos
  - Eligible for comp time if approved to work more than 40 hours/week
## Standard Hiring Cycle

<table>
<thead>
<tr>
<th>Appointment Type</th>
<th>Duration</th>
<th>Experience (In Months)</th>
<th>Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial – 1 Year</td>
<td>November 17, 2022 – November 16, 2023</td>
<td>0</td>
<td>At Exp. Lv. 0</td>
</tr>
<tr>
<td>2 Year Reappointment</td>
<td>November 17, 2023– November 16, 2025</td>
<td>12</td>
<td>Exp. Lv. 1</td>
</tr>
<tr>
<td></td>
<td><em>Anniversary Date Salary Increase on:</em></td>
<td></td>
<td>Exp. Lv. 2</td>
</tr>
<tr>
<td></td>
<td>November 17, 2024</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>24</td>
<td></td>
</tr>
<tr>
<td>Reappointment for 1 Year</td>
<td>November 17, 2025 – November 16, 2026</td>
<td>36</td>
<td>Exp. Lv. 3</td>
</tr>
<tr>
<td>Final 5th Year</td>
<td>November 17, 2026– November 16, 2027</td>
<td>48</td>
<td>Exp. Lv. 4</td>
</tr>
</tbody>
</table>
Example of Postdoc-Interim Hire

- Recent UCSB Graduate Student (Ph.D. conferred) needs one month 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 to reduced effort and not to reduce pay

First Reappointment As Employee (3252) For Less than Two Years and Subsequent Reappointments For Less Than One Year

- Less than two years of funding
- Less than two years of programmatic work
- Work authorization limitations
- Approaching the five year limit
- Change in PI/Supervisor – first reappt. as 3252 only

SPECIAL APPOINTMENT PROVISIONS

Postdoc may request for a bridge appointment for a short duration to carry over to another appointment or training grant or another position outside the University

Beyond Five Years

- Under unusual circumstances such as but not limited to:
- More than five years since Ph.D. was conferred
- Additional time necessary to complete project
- Late change in field of study/research focus
- Not to exceed a final sixth year

Less Than Full-time

- Personal health reasons
- Family responsibilities
- Employment external to the University
- Concurrent employment in another University position. Combined appointments must equal 100% time.
Occasional Teaching

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.

a) If formal teaching duties are assigned, a Postdoctoral Scholar must hold both a postdoc and an appropriate teaching title;

b) Under this circumstance, the postdoc appointment will be reduced accordingly. Combined appts. must total 100% FTE.

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

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

b) Occasional teaching activity is directly related to/part of the individual’s research, which may qualify for a search exemption (NOT search waiver) – contact AP to discuss
Salary

Based on the NIH-NRSA National rates – subject to change

- Paid at or above their experience level minimum
  - Based on the collective months of prior postdoc employment
  - Includes prior time with other institutions, foreign and domestic
- Mandatory salary increase on the postdoc’s anniversary date
  - Normally occurs every 12 months from the original start date
  - Increases to the next experience level minimum or 2% minimum, whichever is high
- Postdocs transferring from another UC (without break in service) keeps their original anniversary date
- Mid-appointment salary increases does not negate the mandatory anniversary date salary increase
## Salary Scale
*(Last Updated 5/1/22)*

<table>
<thead>
<tr>
<th>Experience Level (prior months of postdoc service)</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)</td>
<td>$55,632</td>
<td>$26.65</td>
</tr>
<tr>
<td>Lv. 1 (12 -23)</td>
<td>$57,852</td>
<td>$27.71</td>
</tr>
<tr>
<td>Lv. 2 (24 -35)</td>
<td>$59,784</td>
<td>$28.64</td>
</tr>
<tr>
<td>Lv. 3 (36 -47)</td>
<td>$61,992</td>
<td>$29.69</td>
</tr>
<tr>
<td>Lv. 4 (48 -59)</td>
<td>$64,296</td>
<td>$30.80</td>
</tr>
<tr>
<td>Lv. 5 (60 -71)</td>
<td>$66,600</td>
<td>$31.90</td>
</tr>
</tbody>
</table>
Salary Requirements for Fellows and 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 approval from the Extramural Funding Agency to supplement fellowship
- Always ask for the award letter and complete guidelines – **Required at time of appt. request.**

**NOTE:** **DO NOT HIRE** if the extramural award falls short of the salary minimum and the PI/Supervisor is unable to provide additional financial support
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.

Postdoc who is hired at their initial salary rate shall retain their initial anniversary date and will receive a mandatory increase every 12 months from their initial date of hire at UC. Includes change from/to Fellow and Paid-Direct.

Applies only to postdocs transfers between UC campuses or academic departments with no break in service

Change in Anniversary Date may occur if the new proposed salary is higher than the current rate at the time of appointment AND at the initial anniversary date
Benefits

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

- All postdoc titles are eligible for Postdoctoral Scholars Benefit Plan (PSBP)
  - Plan costs shared between the PI/Supervisor and the Postdoc – Appendix A
  - Dept. is assessed CBR %*, Postdocs accessed monthly fee
- Postdocs enroll directly in UCPath via the Employee Self-Service
  - Contact UCPath for questions regarding PSBP enrollment and billing
  - Contact Gallagher Benefits Services for plans and service
- University is not responsible to pay contribution if Postdoc chooses to opts out of the University plan
  - Except in the case of Paid-Directs. Benefits are paid out of the campus CBR pool. Postdoc Paid-Direct will still be billed their monthly premium by UCPath.
PTO and Sick Leave

- **24 days of Personal Time Off**
  - Unused PTO does not carry over to subsequent reappointment.
  - “Use it or lose it”

- **12 days of Sick leave**
  - Can be carried over to subsequent UC appointment, including non-postdoc title

- PTO and Sick Leave days are provided up front at the of appointment
- Pro-rated for less than 12 months (2 PTO & 1 Sick Leave per month)
- Tracked in UCPath 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 the entire “work day.”
- Accruals issued based off of the Next Anniversary Date field in UCPath (See Job Data/UC Job Data tab)
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 appt. end date
- 4 workweeks of paid parental benefit per birth/placement
- Subject to the approval of the University (Dept. and AP Approval)
- Leave requests submitted via the APFolio Leave Processing Module
- Leave of Absence Section on AP Website
Appointment Process

Dept./PI has preliminary conversations with the postdoc candidate

OR - Dept. performs an open search via UC Recruit and identifies a proposed candidate for hire (search Report)

Dept. submits appointment request to Academic Personnel

Dept. submits preliminary conversations with the postdoc candidate

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

AP creates/modified Position Number and issues to the Hiring Dept.

Dept. issues the offer letter to the proposed candidate. A signed copy is sent to Academic Personnel.

Dept. issues the offer letter to the proposed candidate. A signed copy is sent to Academic Personnel.

Dept. funds the position and initiates Hire Template transaction in UCPath

Postdoc is granted UC Path Access and completes New Hire Paperwork. Arrives to UCSB to start employment. Completes Step 2 of I-9 Process in-Person with BFS.

Dept. concludes recruitment in UC Recruit once candidate is hired and entered into UCPath

Notify Academic Personnel of any changes prior to taking any UCPath-related actions

Digital signature
Appointment Letter

- UC and UAW agree to the sample letter in Appendix G of MOU and to include:
  - Appendix A – Health and Welfare Postdoctoral Scholar benefits Plan
  - Appendix B – Notice of Imputed Income/Tax Implications – For Fellows/Paid-Directs
- Must include COVID-Vaccination Policy Language – see April 2022 edition
- Letter should be issued to the postdoc prior to the start of appointment, but no later than:
  - Seven (7) calendar days following the start of initial appointment
  - Thirty (30) calendar days prior to the start of a reappointment
- DO NOT CREATE OWN DEPT. LETTER

Informal communications between UC faculty and prospective postdoc do not constitute a formal appointment offer.
# Reappointments and Modifications

<table>
<thead>
<tr>
<th>Reappointment</th>
<th>Modification</th>
</tr>
</thead>
<tbody>
<tr>
<td>‣ Renewal of existing appointment</td>
<td>Changes to appointment <strong>during the current approval period</strong>, such as:</td>
</tr>
<tr>
<td>‣ Include annual evaluation (every 12 months)</td>
<td>‣ PI/Hiring Department</td>
</tr>
<tr>
<td>‣ <strong>Fellows and Paid-Directs</strong> – include updated award letter</td>
<td>‣ Percent time (FTE)</td>
</tr>
<tr>
<td>‣ Reappointments requiring an exception to policy:</td>
<td>‣ Job duties</td>
</tr>
<tr>
<td>‣ 1) Specify exception reason and</td>
<td>‣ Work location</td>
</tr>
<tr>
<td>‣ 2) Provide brief explanation, i.e. – funding end date of grant, visa/work authorization end date</td>
<td>‣ Modifications require:</td>
</tr>
<tr>
<td></td>
<td>‣ Written request by the postdoc to PI/Supervisor asking for a temporary reduce appt.</td>
</tr>
<tr>
<td></td>
<td>‣ Copy of the employment offer letter – for concurrent employment</td>
</tr>
</tbody>
</table>
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
Resignation and Terminations

- Resignation prior to the appointment end date requires written notice by the Postdoc and the PI/Supervisor’s approval.

- Terminations in UCPath:
  a) Voluntary Termination for resignation of employment
  b) Involuntary Termination for:
     - Layoffs – due to insufficient funding for the continuation of appointment
     - Visa/Work Permit Expiration
     - End of Appointment – as scheduled

- Hiring Department initiates the termination template in UCPath
  - Submit prior to payroll deadline to avoid overpayment
Additional Considerations

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

→ Manage:
  - Anniversary Date Salary Increases (see Job Data tab)
  - Job End Dates:
    - Terminate prior to payroll deadline
    - Check End Job Automatically box, when applicable

→ AB-119 – Physical Work Location

→ Reports to Position #: 
  
  Name of PI/Supervisor: 
  Reports To Position #: 12345678

III. UCPath Position Information

- Create New Position

Eff. 11/1/21, cubicle/office field submitted via Smart HR Templates.
END

- Questions/Comments?
- Postdoc Contract Implementation – soon?