

# Postdoctoral Scholars

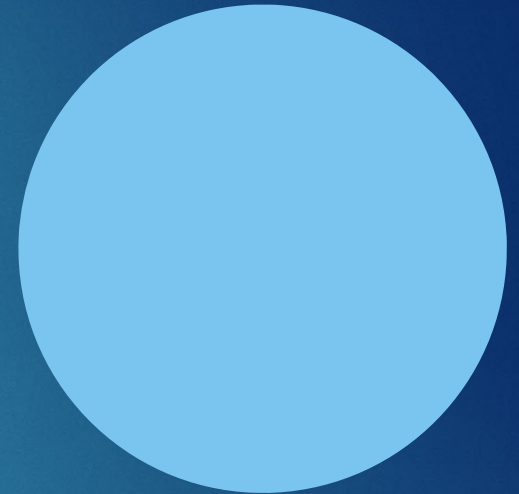
November 6, 2024



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

# AGENDA

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





# Campus Contacts



## Academic Personnel

Billy Ko – Postdoctoral Scholar Employment Coordinator,  
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For UCPATH questions - email: [ap-path@ucsb.edu](mailto:ap-path@ucsb.edu)

## Labor Relations

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# Campus Contacts



## Office of International Students & Scholars

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Mavel Marina and Felipe Recinos – J-1 Scholar Advisors  
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## Business and Financial Services

Lan Nguyen – Manager  
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Veronika Reidel – Payroll Supervisor  
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# 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, Childcare Reimbursement Program Factsheet

Forms: Appointment Requests, Annual Evaluation, Notice of Appointment Letter

UCPath Job Aids

New Employee Orientations

## 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

Childcare Reimbursement Program

– Cost Recovery

## Office of Research – Sponsored Projects

Research Proposals

Award Administration

## Office of International Students & Scholars

Visas/ Work Authorization

Campus Events

## Gallagher Benefits Services

Insurance Plans and Rates

Documents Library – Disability Insurance

COBRA continuing coverage



# Overview

APM  
390

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

RB-III-17  
and  
Article 2  
of MOU

Red  
Binder  
III-17

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 two years
- ✓ Appointment is 100% time



## 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



# Postdocs are Unionized

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

- ▶ Memorandum of Understanding (MOU) is valid through September, 2027
- ▶ 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
- ▶ UAW is provided 30 minutes as part of the New Employee Orientation (NEO)
  - ▶ Attendance is mandatory for first-time postdocs
  - ▶ NEO information provided on offer letter and reminder notification sent by AP



# Titles and Job Codes

EMPLOYEE	3252	Full-time, exempt status. Receives a full salary from UCSB via payroll (UCPath).
FELLOW	3253	A postdoc is awarded a fellowship/traineeship award to be administered through a University account in UCPath. Can be paid as salary or stipend, depending on terms of the award. <b>Contact BFS-Extramural Funds for assistance.</b>
PAID-DIRECT	3254	A postdoc is awarded a fellowship/traineeship that is <b>paid directly to the postdoc</b> by the extramural granting agency. Requires a position in UCPath but does not pay salary.
EMPLOYEE Non-Exempt	3255	Appointment less than full-time <b>and</b> salary falls below the <u>FLSA salary level test</u> . Paid for hours reported. On Bi-weekly pay schedule and eligible for overtime.
INTERIM	3256	For recent <b>UCSB Ph.D. graduates -only</b> requiring a short-term appointment to complete an existing project started during their graduate program. A minimum of three months to one year maximum.

# POLICIES

## Duration

- Initial appointment for two years minimum\*
- Subsequent reappointments for one year
- Fellows and Paid-Directs shall be appointed based on the duration of their award
- Total duration of postdoc appointment at UC may not exceed five years (Includes prior postdoc service at other institutions)
- FINAL 6<sup>th</sup> 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

**NOTE: Article 2 – Appointments, Section C.2 - The University is only obligated to one (1) two-year appointment unless the circumstances listed in Section B.2.b. (Interim) apply.**



## POLICIES

# Exceptions

Exception to policy are used to reduced effort and not to reduce pay

Reappointments For Less Than One Year	Beyond Five Years	Less Than Full-time
<ul style="list-style-type: none"><li>■ Less than one year of programmatic work</li><li>■ Visa/Work authorization limitations</li><li>■ Approaching the five year limit</li><li>■ 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</li></ul>	<ul style="list-style-type: none"><li>■ Under unusual circumstances such as but not limited to:<ul style="list-style-type: none"><li>■ More than five years since Ph.D. was conferred</li><li>■ Additional time necessary to complete project</li><li>■ Late change in field of study/research focus</li></ul></li><li>■ <b>Not to exceed a final sixth year</b></li></ul>	<ul style="list-style-type: none"><li>■ Personal health reasons</li><li>■ Family responsibilities</li><li>■ Employment external to the University</li><li>■ Concurrent employment in another University position. Combined appointments must equal 100% time.</li></ul>

# Occasional Teaching

APM  
390-4



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

## Article 4 Compensation A.3

- Based on rates established by UC – **subject to change (on 10/1)**
- Initially paid at or above the experience level minimum
    - Exp. Lv. is based on the total months of prior postdoc employment, including prior time with other institutions, foreign and domestic
  - Mandatory experience level salary increase issued on:
    - April 1 – for initial start dates between April 2 – September 30, or
    - October 1 – between October 1 – April 1
      - Moves to the next experience level minimum or
      - If paid above the experience level minimum - 3% minimum, if higher
      - **Postdocs transferring from another UC (without a break in service) shall retain their initial start date ( i.e. anniversary date) of hire for salary increase eligibility**
    - Salary Increases will be processed centrally by the UCPath Center
  - Mid-appointment salary increases does not negate the mandatory experience level salary increase

SALARY

# Salary Scale

(Last Updated 10/1/24)

Experience Level (prior months of postdoc service)		Table 23 Annual Minimum	Table 23N Hourly Minimum (For NEX -3255)
Lv. 0	(0 -11)	\$66,737	\$31.97
Lv. 1	(12 -23)	\$69,209	\$33.15
Lv. 2	(24 -35)	\$71,769	\$34.38
Lv. 3	(36 -47)	\$74,425	\$35.65
Lv. 4	(48 -59)	\$77,179	\$36.97
Lv. 5	(60 -71)	\$80,034	\$38.34



## SALARY

# Salary Requirements for Fellows and Paid-Directs

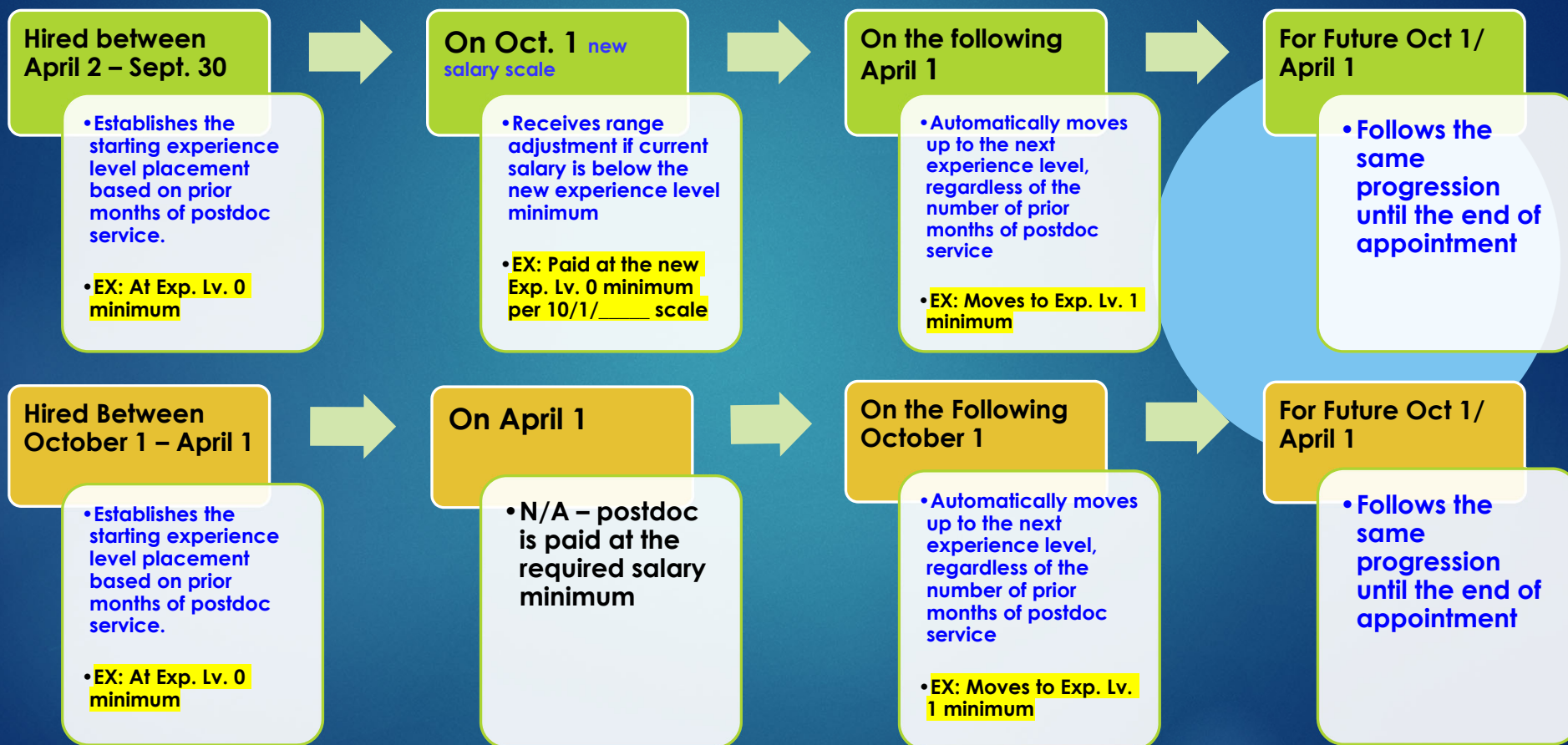
- Only factoring the cost of living/stipend amount
  - Not including benefits, project costs, travel, family, and incidental expenses, etc.
- For Awards issued in the foreign currency - exchange rate is calculated at the time of the initial appointment request
- Always ask for the award letter and complete guidelines
  - **Required at time of appt. request.**

**Article 4**  
Compensation  
A.4.

**PI/Supervisor must supplemental the extramural award if the salary/stipend falls below the established salary point minimum**

- May require approval from the Extramural Funding Agency to supplement the fellowship
- Refer to the award guidelines
- **DO NOT HIRE** if the extramural award falls short of the salary minimum and the PI/Supervisor is unable to provide additional financial support

# Standard Salary Increase Cycles





# Benefits

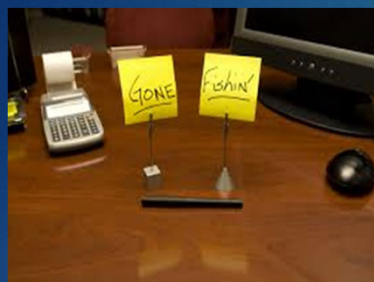
Article  
3  
Benefits  
A.4.

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
  - Must enroll within 31 days from the appointment start date
  - Contact UCPATH for questions regarding PSBP enrollment and billing
  - Contact Gallagher Benefits Services for plans and service
- University is not responsible to pay for the Postdoc's health insurance if they choose to opt- out of the University plan

## BENEFITS

# 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



## BENEFITS

# Leaves

- Postdocs are entitled to leaves of absence that may be with or without pay and for medical and/or non-medical purposes:

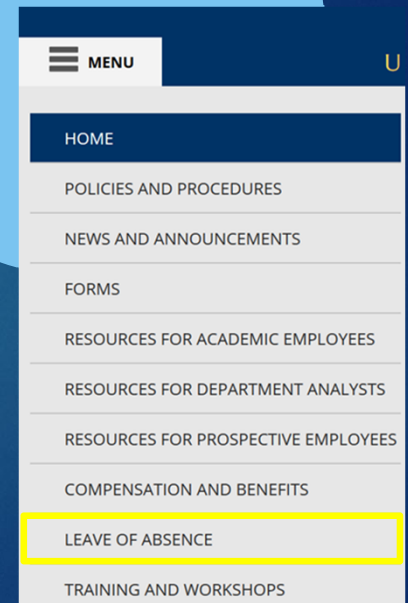
### Family medical leave (FML):

- 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
- 8 workweeks of Postdoctoral Paid Family Leave (PPFL) benefit
- Subject to the approval of the University (Dept. and AP Approval)
- Leave requests submitted via the APFolio Leave Processing Module
- Visit the Leave of Absence Section on AP Website



## BENEFITS

# Childcare Reimbursement and Dependent Care Programs

Postdocs in all titles are eligible to receive childcare reimbursement for up to maximum amount per calendar year (January 1 through December 31)

- October 1, 2024: \$2600
- October 1, 2025: \$2700
- October 1, 2026: \$2800
- Includes childcare expenses incurred during professional travel - reimbursement maximum applies to both programs.
- For **Fellows and Paid Directs** – any childcare reimbursement provided by the external agency shall be deducted from the maximum amount. When the extramural agency establishes provides for childcare reimbursement that is greater than maximum amount, the Postdoc will not be eligible for the UC childcare reimbursement program.
- Unused funds do not carry over towards the subsequent year



## BENEFITS

# Childcare Reimbursement and Dependent Care Programs

Request Process – must be processed within **thirty (30) calendar days** from when the Postdoc submits the request:

1. Postdoc shall submit request form and receipts to the Hiring Department no later than the submission deadline.
2. The Hiring Department reviews the request and submits the one-time payment request to AP via the APFolio UCPATH Certification and Input Requests for Non-Student Academic Employees module.
3. AP submits the OTP transaction to UCPATH for processing.
4. BFS performs a cost recovery transaction to refund the Department's account from funds in the CBR pool. – *outside of the 30 day period.*

### Reimbursement Schedule

Dates expenses incurred	Submission deadline – by postdoc
October 1 – December 31	By January 31
Jan. 1 – Mar. 31	By April 30
April 1 – June 30	By July 31
July 1 – September 30	By October 31

**Factsheet and Request form (UBEN 255) is available on the AP website at:**  
**<https://ap.ucsb.edu/resources.for.department.analysts/postdoctoral.scholar.appointments/>** under Benefits

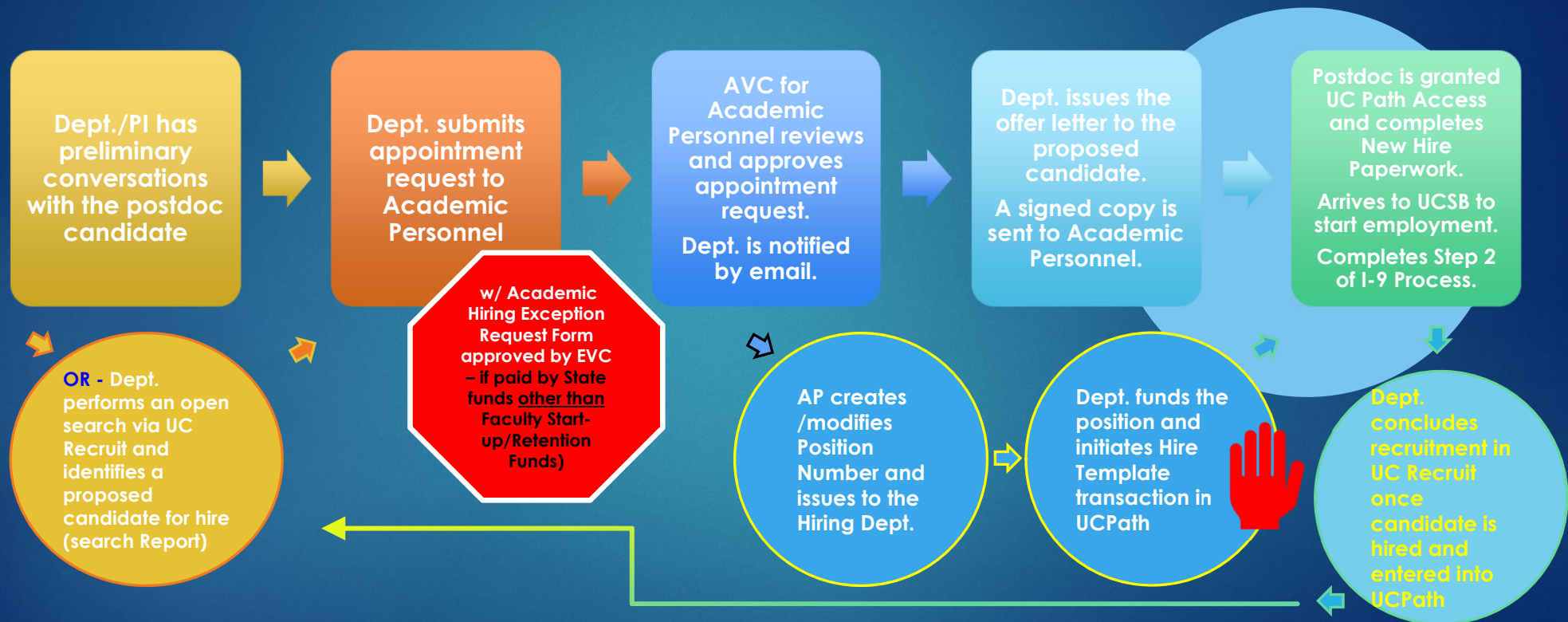
## BENEFITS

# Childcare Reimbursement and Dependent Care Programs

- Effective 1/1/2023, Postdoc Employees (3252, 3255, 3256) employed at 50% are eligible to participate in the UC Dependent Care (DepCare) Flexible Spending Account Program:  
<https://ucnet.universityofcalifornia.edu/forms/pdf/depcore-fsa.pdf>
- Postdocs may contribute up to \$5,000 per year in pre-tax deductions
- Unused dollars are forfeited
- May not be used in combination with the Childcare Reimbursement Program, including professional travel



# Appointment Process



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

APPT. PROCESS

# Appointment Letter

(Revised on October 2024)

- UC and UAW agree to the sample letter in Appendix G of MOU including:
  - Appendix A – Health and Welfare Postdoctoral Scholar Benefits Plan
  - Appendix B – Notice of Imputed Income/Tax Implications – For Fellows/Paid-Directs
- 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**

Article 33  
Work  
Authorization  
C.3

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



# Reappointments and Modifications

Reappointment	Modification
<ul style="list-style-type: none"><li>➤ Renewal of the existing appointment</li><li>➤ Requires an annual evaluation (every 12 months from initial start date)</li><li>➤ <b>Fellows and Paid-Directs – include updated award letter</b></li><li>➤ Reappointments requiring an exception to policy:<ol style="list-style-type: none"><li>1) Specify exception reason and</li><li>2) Provide brief explanation, i.e. – funding end date of grant, visa/work authorization end date</li></ol></li></ul>	<p>Changes to appointment <b>during the current approval period</b>, such as:</p> <ul style="list-style-type: none"><li>➤ PI/Hiring Department</li><li>➤ Percent time (FTE)</li><li>➤ Job duties</li><li>➤ Work location</li></ul> <p>Modifications require:</p> <ul style="list-style-type: none"><li>▪ Written request by the postdoc to PI/Supervisor asking for a temporary reduce appt.</li><li>▪ Copy of the employment offer letter – for concurrent employment</li></ul>

# 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”
    - **In relations with the use of the early release clause**
- Individual Development Plan
  - 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
  - Normally optional by may be required by a grant, fellowship, or program



# Resignation and Terminations

- ▶ Resignation prior to the assigned end date requires written notice by the Postdoc and the PI/Supervisor's approval
- ▶ Terminations templates 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**
    - ▶ When one of the concurrent positions is no longer required:
      - ▶ Extramural funding ends (3253/3254) and Postdoc becomes 100% as Employee-3252
      - ▶ Employee Supplement is no longer necessary
- ▶ Hiring Department initiates the termination template in UCPath
  - ▶ **Submit prior to payroll deadline to avoid overpayment**

## Early Release from Appointment

- Early release from appointment provision for Postdocs during the initial appointment period, with minimum 30 days' notice to the Postdoc.
- The release cannot be effective **before** the one year mark
  - The last day to issue the notice is one year following the date of hire
  - Notice provided less than 30 days before the one year mark extends the appointment by a proportional amount
- Release is at the University's sole discretion and can be for any reason, except an unlawful reason. **Consult with AP and HR-Labor Relations.**
- However, the release should not be a substitute for a layoff; if funding has run out, the University should follow Article 11 – Layoff.
- A released Postdoc may obtain future UC employment.



# 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:
  - Job End Dates:
    - Submit the reappointment request in a timely manner or
    - Terminate prior to payroll deadline
  - AB-119 – Physical Work Location →
  - Reports to Position #:
  - **NEW** HR Worksite ID – for I-9 process

Reports To Position #:	<input type="text" value="12345678"/>
Worksite ID:	<input type="text" value="Choose One"/>

III. UCPATH Position Information	
<input type="radio"/>	Create New Position
Location:	<input type="text" value="ABCD####"/>

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

## ADT. CONSIDERATIONS

# UC Recruit Items

- Position:
  - Job Location: UCSB or Santa Barbara, CA means on-campus employment  
see [EVC Memo to Campus \(2/2/2022\)](#)
  - Salary Range: May only offer up to the highest salary rate as advertised ([SB-1162](#))
  - **Anticipated Start Date:** Is tied to **Additional Qualifications requirement**
- Qualifications:
  - Basic Qualifications: should be non-comparative, objective, relevant to the position, and verifiable through application materials alone (Highest Degree field, C.V., Cover Letter). They are the minimum threshold for consideration as an applicant, and should be met at the **time of application.**

If the dept. wants to consider applicants who are ABD, it may set Basic Qualifications as " At a minimum, applicants are expected to have completed all requirements for a Ph.D. (or equivalent) in \_\_\_\_\_, except the dissertation (or equivalent) at the time of application."
  - **Additional Qualifications are required** by the appointment date, i.e. **Anticipated Start Date.**
  - **To allow for an expanded search, include "or later" following the earliest anticipated start date which will allow additional time to obtain the degree and/or allow for a later start date due to other delays.**



END

► Questions/Comments?

