Postdoctoral Scholars

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

November 15, 2023
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

**Labor Relations**

Truc Yung – Employee & Labor Relations Specialist, truc.yung@hr.ucsb.edu, x2486

Michelle Lee – Employee & Labor Relations Specialist, michelle_j_lee@ucsb.edu, x5362
Campus Contacts

**Office of International Students & Scholars**

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

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

**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, **New 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
- **New 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

- 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 **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 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*

*See Exception to Policy
Postdocs are Unionized

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

- New Memorandum of Understanding (MOU) is valid from December 9, 2022 through September, 2027; see **Contract Implementation Training**

- 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

*The International Union, United Automobile, Aerospace and Agricultural Implement Workers of America
<table>
<thead>
<tr>
<th>Titles and Job Codes</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EMPLOYEE 3252</strong></td>
<td>Full-time, exempt status. Receives a full salary from UCSB via payroll (UCPath).</td>
</tr>
<tr>
<td><strong>FELLOW 3253</strong></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><strong>PAID-DIRECT 3254</strong></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><strong>EMPLOYEE Non-Exempt 3255</strong></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><strong>INTERIM 3256</strong></td>
<td>For recent UCSB Ph.D. graduates - only requiring a short-term appointment to complete an existing project started during their graduate program. A minimum of three months and less than one year total.</td>
</tr>
</tbody>
</table>
## POLICIES

### Duration

- Initial appointment for one **two years** 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 their 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

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.
<table>
<thead>
<tr>
<th>Appointment</th>
<th>Duration</th>
<th>Experience (In Months)</th>
<th>Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial – 2 Years</td>
<td>November 15, 2023 – November 14, 2025</td>
<td>0</td>
<td>Exp. Lv. 0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>12</td>
<td>Exp. Lv. 1</td>
</tr>
<tr>
<td>Reappointment for 1 Year</td>
<td>November 15, 2025– November 14, 2026</td>
<td>24</td>
<td>Exp. Lv. 2</td>
</tr>
<tr>
<td></td>
<td><strong>Anniversary Date Salary Increase on:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>November 17, 2024</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reappointment for 1 Year</td>
<td>November 15, 2026 – November 14, 2027</td>
<td>36</td>
<td>Exp. Lv. 3</td>
</tr>
<tr>
<td>Final 5th Year</td>
<td>November 15, 2027– November 14, 2028</td>
<td>48</td>
<td>Exp. Lv. 4</td>
</tr>
</tbody>
</table>
Recent UCSB Graduate Student (Ph.D. conferred) needs two months to complete their doctoral research project:

- Appoint using title code Interim (3256)
- For a minimum of three months at 100% – for postdoc benefits eligibility

What if the postdoc stays beyond 3 months?

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

b) Appoint as Employee (3252) beyond one year.
   • Postdoc retains the anniversary date set by the initial date of hire
   • For PTO/Sick leave accruals and Next Experience level Salary Increases
## Exceptions

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

### Reappointments For Less Than One Year
- Less than two years of funding
- Less than two years of programmatic work
- Visa/Work authorization limitations
- Approaching the five year limit
- Change in PI/Supervisor—first reappt. as 3252 only

### 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.

### 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.
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
15 Minute Break
Salary

Based on rates established by UC – subject to change

- Paid at or above the experience level minimum
  - Based on the collective months of prior postdoc employment, which includes prior time with other institutions, foreign and domestic

- Mandatory experience level salary increase on either:
  - April 1 – for initial start dates between April 2 – September 30, or
  - October 1 – between October 1 – April 1
  - Increases to the next experience level minimum or 3% minimum, whichever is high

- Postdocs transferring from another UC (without break in service) shall retain their initial start date of hire for salary increase eligibility

- Mid-appointment salary increases does not negate the mandatory anniversary date salary increase
## Salary Scale

*Last Updated 10/1/23*

<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)</td>
<td>$64,480</td>
<td>$30.89</td>
</tr>
<tr>
<td>Lv. 1 (12 -23)</td>
<td>$66,868</td>
<td>$32.03</td>
</tr>
<tr>
<td>Lv. 2 (24 -35)</td>
<td>$69,342</td>
<td>$33.21</td>
</tr>
<tr>
<td>Lv. 3 (36 -47)</td>
<td>$71,908</td>
<td>$34.44</td>
</tr>
<tr>
<td>Lv. 4 (48 -59)</td>
<td>$74,569</td>
<td>$35.72</td>
</tr>
<tr>
<td>Lv. 5 (60 -71)</td>
<td>$77,327</td>
<td>$37.04</td>
</tr>
</tbody>
</table>
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.
- 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
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.
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 = 1day)
- 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
- **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

**NEW** Childcare Reimbursement and Dependent Care Programs

- Effective 10/1/2023, Postdocs in all titles are eligible to receive childcare reimbursement for up to $2500 per calendar year (January 1 through December 31)
  - Will increase by $100 each of the next three years through 2016
  - October 1, 2024: $2600
  - October 1, 2025: $2700
  - October 1, 2026: $2800
- Childcare reimbursement program 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 childcare reimbursement funds do not carry over towards the subsequent year
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

<table>
<thead>
<tr>
<th>Dates expenses incurred</th>
<th>Submission deadline – by postdoc</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1 – December 31</td>
<td>By January 31</td>
</tr>
<tr>
<td>Jan. 1 – Mar. 31</td>
<td>By April 30</td>
</tr>
<tr>
<td>April 1 – June 30</td>
<td>By July 31</td>
</tr>
<tr>
<td>July 1 – September 30</td>
<td>By October 31</td>
</tr>
</tbody>
</table>

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
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/depcare-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

Dept./PI has preliminary conversations with the postdoc candidate

Dept. submits appointment request to Academic Personnel

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

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

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

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

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.

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

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 the existing appointment</td>
<td>Changes to appointment <strong>during the current approval period</strong>, such as:</td>
</tr>
<tr>
<td>Requires an annual evaluation (every 12 months)</td>
<td>- PI/Hiring Department</td>
</tr>
<tr>
<td>Fellows and Paid-Directs – 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></td>
</tr>
</tbody>
</table>

**Modifications require:**
- Written request by the postdoc to PI/Supervisor asking for a temporary reduce appt.
- Copy of the employment offer letter – for concurrent employment
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
NEW Early Release from Appointment

- New release provision for Postdocs on their initial appointment, 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

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

- Questions/Comments?