Research Titles
Appointments and Advancements

November 6, 2018
Agenda

Resources
- Who and where

Research Titles Overview
- Specialist
- Project Scientist
- Professional Research
- Visiting appointments

Appointments

Reappointments/Modifications

Advancements

UC Path – Short Work Break, End Date Monitoring, and Leaves

Postdoctoral Scholars
Academic Personnel Contacts

Joanna Kettmann  x5048  joanna.kettmann@ucsb.edu
Research Titles

Billy Ko  x4441  billy.ko@ucsb.edu
Postdoctoral Scholars, Graduate Student Employees

Andrea Dittman  x3445  andrea.dittman@ucsb.edu
Without Salary Visitors, Additional Compensation

* For UCPath questions, email AP-PATH@ucsb.edu *
Web Resources

**Red Binder** - UCSB Academic Personnel policies and procedures

**Academic Personnel Manual (APM)** - UC System-Wide Academic Personnel policies and procedures

**UCSB salary scales**

**Forms**

All online via AP Folio: [https://ap.ucsb.edu/](https://ap.ucsb.edu/)
Research Titles - Section III. of Red Binder

- Temporary Appointments
- Fiscal Year Basis
- No Teaching Component
- Majority of the time funded on contracts and grants
- Salary Scales - UCSB minimum hire rate 7/1/18
- DOL ruling - FLSA - exempt vs. non-exempt; $23,660 threshold
- AVC for Academic Personnel - the approval authority for all actions
Specialist Series (RB III-16)

- Used for academic appointees who engage in specialized research, professional activity, & University and/or public service, and who do not have any teaching responsibilities.

- Appointees are expected to use their professional expertise to make scientific & scholarly contributions to the research enterprise of the University and to achieve recognition in the professional and scientific community.

- Ph.D. not required

- 4 ranks (Junior through Full Specialist) - Specific education/experience requirements at each rank

- Single salary scale - Table 24 (Monthly) & 24N (Hourly)

- No Visiting titles
The following qualifications are general guidelines for each rank:

- **Junior Specialist**
  - Baccalaureate degree or have equivalent research experience.
  - Enables research as part of a team.

- **Assistant Specialist**
  - Master’s degree or have 5 yrs. of experience.
  - Enables research as part of a team & may provide some independent input into the planning & execution of the research.
Specialist ranks continued:

- **Associate Specialist**
  - Master’s degree or have 5-10 yrs. of experience.
  - Considerable independent input into planning & execution of the research, have a record of academic accomplishments, inc. contributions to published research in field.

- **Specialist**
  - Terminal degree (Ph.D.) or have 10 or more yrs. of experience.
  - Considerable independent input into planning & execution of the research, have a significant record of academic accomplishments, inc. contributions to published research in field, etc.
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Comp Group A88
Project Scientist Series
(RB III-14)

- Ph.D. required
- Those who make significant and creative contributions to a research or creative project
- Higher level of independence than in the Specialist series
- Fully independent research or research leadership are not required in this series
- Separate salary scales: general campus (Table 37 & 37N) & Business/Economics/Engineering (Table 38 & 38N)
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Professional Research Series
(RB III-12)

- Ph.D. required
- Those who engage in independent research equivalent to that required for the Professor series.
- Demonstrated continuous and effective engagement in independent/creative activity of high quality and significance.
- Review requirements the same as the Professor series (i.e. mandatory review, 8 year limit).
- Separate salary scales: general campus (Table 13 & 13N) & Business/Economics/Engineering (Table 14 & 14N)
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**TABLE 13**

**PROFESSIONAL RESEARCH SERIES**

**FISCAL YEAR**

**Salary Scale 7/1/2017**

**Salary Scale 7/1/2018**

**UCSB Minimum 7/1/2018**

<table>
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<th>Rank</th>
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</table>
An example: annual salary rate of $87,300/year for an Assistant Research II appt.

- First, see Table 13 (general campus); Assistant Research II - determine it’s above the UCSB min. rate column (right-most column).
- Next, look at middle column, the UCOP salary scale = $77,300, to determine the off-scale supplement.
- Total salary is $87,300; inclusive of off-scale amount of $10,000.
- Upload screen will ask for these two salary fields:
  - Total Salary = $87,300 (i.e. the GRAND TOTAL SALARY)
  - Off-scale supplement = $10,000 (inclusive of above figure)
Visiting Appointments

(RB III-23)

- Professional Research or Project Scientist series only
- Two year maximum; usually shorter - each appointment or reappointment shall not exceed one year
- Usually holds similar position somewhere else
- Salary may not be below the UCSB minimum rate (7/1/18) for the rank
Without Salary Visitors - Contingent Workers
(RB III-25)

- A person on temporary leave from a non-UC academic appointment, other employment, or student enrollment at a non-UC institution or entity.
- Participates in short-term educational, research, or other academic projects under the supervision of an academic appointee.
- Visiting Scholar: Job Code 3299
  Visitor (Graduate Student): Job Code 3730
  Visitor (Undergraduate): Job Code 3731
- Up to one year, reappointments rare
- Not employees, no compensation via payroll
- Chair/Director approval (AP does post-audit)
New: Research Associate & Research Fellow - Contingent Workers (RB III-20)

- Non-salaried (without salary) appointments for scholars of distinction/visiting fellows whose main affiliation is elsewhere but who maintain a recognizable research affiliation with UCSB. May serve as Co-PI by exception.

- Research Associate: Job Code 3298
  Research Fellow: Job Code 3296

- Must possess a Ph.D. or equivalent training in the field.

- Research Associate must have established record of independent research.

- Up to three years per appointment. No limit on total length.

- Chair/Director approval (AP does post-audit)
Appointments

- Initial appointment
  - New appointment (or after a break in service)
  - Transition into a new title in temporary research series
- Online for Researchers, Project Scientists, Specialists via AP Folio “Appointments”
- On paper for “Visiting” Researchers/Project Scientists
- Please note, once appt is approved, a position either is created or modified by APO in order for depts./units to hire into UCPath.
Visa issues

Four things to find out:

- Nationality
- Length of stay
- Current or past visa status
- Appointment details - job and job duties
  - Title
  - Percent time
  - Pay rate – does the salary meet certain visa requirements
Questions about Visa issues

Office of International Students & Scholars (OISS)
http://oiss.sa.ucsb.edu/contact-us

J-1 Scholar Advisors: Jason Hopkins & Mavel M. Marina
Jason.Hopkins@sa.ucsb.edu
Mavel.Marina@sa.ucsb.edu

Employment-Based Visa Specialist: Kayleen McDonald
Kayleen.McDonald@sa.ucsb.edu

Business & Financial Services
Lan Nguyen x 3259 Lan.Nguyen@bfs.ucsb.edu
(Tax questions)
Reappointments/Modifications

- Reappointments and Modifications
  - Extension of existing appointment = reappointment (i.e. renewal of funding)
  - Modifying an existing appointment = modification (i.e. a % time change)
  - Online for Researchers, Project Scientists, & Specialists via AP Folio “Reappointments/Modifications” module.
- APO will update UCPath – upon receipt of approval notification.
Contents of a case - Appointment (RB III-7)

- Departmental Letter
- External letters and other related items
- Publications
- UCSB Biography form and CV
- **Approved** Open Search/ approved Search Waiver/or Exemption
- Position Information – New!
Appointment Case Summary/Upload screen

- Enter present status & proposed status
- Statement of review procedure & comments
- Search Information
- Summarizes content of appointment case and recommendation
Departmental Letter
(RB III-7)

- Analytical and evaluative (Red Binder I-35)
- Must be in memo format
- From the Chair/Director – with their signature on letter, but may be written by PI, for example, not staff
- The review procedure should be explained (i.e. committee review, Chair/Director review, or PI review and Chair/Director concurs with the assessment)
- If external evaluators refer to by coded list only
External Letters

- Requirements vary by title:
  - Researcher, required at Associate, Full appointment
  - Project Scientist “normally required” at Associate, Full appointment – see RB III-14, VI. External Evaluation section
  - Sample letters (RB I-49) with wording modified as appropriate for research titles (RB III-12 & RB III-14)
  - Confidentiality requirements (RB I-49)
    - Statement
    - Redaction and access since not yet an employee
    - Identification in departmental letter (coded list: i.e. A, B, C)
  - List of evaluators, copy of sample letter (RB I-49)
Other items in appointment case

- **Publications**
  - Representative sampling for all temporary research series (one-of-a-kinds)

- **UCSB Biography Form and CV**
  - UCSB Bio Form can be found under *Forms* section on AP Folio
  - No set format for CV

- **Search Documentation**
  - Approved search (J PF # from UC Recruit) or approved search waiver (SWR # from UC Recruit), must be included if required by policy

- **Position Information**
  - Create New Position or Use Existing Vacant Position #
Reappointment/Modification

- **Plan ahead!**
- AP Folio via the “Reappointments/Modifications” module
- Can submit a Reappointment **AND** Modification at the same time (explain in the admin comments box what the “modification” specifics are)
- Shared employees/multi-unit funded – one lead (home) department – of the “position”
- Search requirements – if search already done for the position, nothing additional to do
- Changes that need a search?
- Once approved by AVC, the AP UCPath team makes updates to UCPath.
Extension of an existing Search Waiver

- An existing waiver with an end date may be extended if the appointment continues to meet the criteria under which the waiver was originally granted.

- The request to extend may be included with the reappointment request & must specify the new end date.
Eligibility for Advancement

- “Normal” eligibility - routine reviews
  - Based on the salary scales and policy
  - Six months or more, with or without salary, in fiscal year equals one year of service
- Tracking of eligibility - all of the temporary research series are being tracked centrally: Professional Researchers, Project Scientists, & Specialists populations. Eligibility lists were released on September 1, 2018 via AP Folio’s “Eligibility Listing” link.
Eligibility for Advancement cont.

- Off-scale salaries (RB I-8)
  - Maintained in routine cases and can be used as a form of acceleration

- Off-scale
  - Result of the way the salary increases have been designed by the Office of the President. UCSB 7/1/18 min rate is the way our campus has chosen to implement.

- Market

- Merit

- All combined into a single figure
Types of Advancement (RB III-8)

- Regular Merit (on time) – from one step to another within a rank
- Promotion – movement between ranks; change in title
- Accelerations
  - Justification
  - No set measures
  - Kinds of acceleration
    - In years
    - In salary
    - Mixed
- “No Change” Decisions
Promotion & Special Steps

- Promotion to Associate/Full level
  (RB III-8, Section III, IV)
  - Professional Research series
    - 8 year limit as Assistant
    - Time off the clock (up to two years, max.)
  - Project Scientist & Specialist

- Merit to Special Step
  (RB III-8, Section V)
  - Asst Researcher V, Assoc Researcher IV
  - Asst Project Scientist V, Assoc Project Scientist IV
Merit to or within Above Scale

- Merit to or within Above Scale
  (RB III-8, Section VI)
  - Career review
  - RB I-43 guidelines apply to Researcher above scale actions
Types of Advancement: Professional Research series only

- Terminal Appointments
  (RB III-8, Section VIII; RB I-39)
- Merit to Researcher VI
  (RB III-8, Section IX; RB III-12, Section VI)
- Career review
Advancement Deadlines

- All actions are effective **July 1**

- **Professional Researchers**
  - **March 1** to Office of Academic Personnel—ORUs
  - **March 1** to Dean’s office—Academic Departments
  - Hard deadline; exceptions rare
  - Need for internal deadlines for submission

- **Specialists & Project Scientists**
  - **April 1** to Office of Academic Personnel
  - Hard deadline; exceptions rare
Mandatory Reviews & Deferrals
(RB III-8, Section VII)

- Mandatory Reviews
  - Every 5 years
  - No deferral

- Assistant Researchers
  - Deferral is possible, although discouraged
  - No deferral of 8th year review

- Specialist series, Project Scientist series, Associate Researchers, & Researchers
  - Employee request or
  - Non-submission of material in other than mandatory reviews causes automatic deferral
Contents of a case - Advancement (RB III-9)

- All online cases; via “Merits & Promotions” in AP Folio
- Departmental Letter
- Bio-bib required
- External letters and other related items (anything sent to reviewers)
- Publications
- Safeguard Statement
Advancement Case
Summary/Upload screen

- Generated from eligibility list
- Shows present status
- Summarizes content of advancement case and recommendation
- Statement of review procedure & comments
Departmental letter

- Analytical evaluation of the case in all appropriate review areas
- Explain any accelerations or special circumstances (i.e. special steps, retentions)
- Identify external evaluators by code only
Bio-Bibliography and Publications

- Campus cut-off dates
  - Research series – December 31
  - Project Scientist/Specialist – January 31
- Bio-Bib must follow format in Red Binder (I-27) excluding Teaching section
- Research
  - Cumulative (others since last review)
  - Oldest = lowest number
  - Changes since last review
- Publications numbered to match bio-bib. If pubs being submitted via an electronic link, link must be listed at end of “Title & Author” info. & must go directly to the specific item.
- All, or representative sampling of publications depending on case type and series.
External letters

- Requirements vary by title:
  - Researcher and Project Scientist – required for promotion to Associate or Full
  - See External Evaluation section in RB III-12 & RB III-16

- Sample letters (RB I-46) with wording modified as appropriate for research title(s)

- Confidentiality requirements
  - Statement
  - Redaction and access for employees
  - Identification in departmental letter

- List of evaluators, copy of sample letter
Safeguard Statement for Temporary Academic Titles *(RB III-5)*

- Online; candidate signs onto AP Folio to submit
- Not used for initial appointment at University
- Assures candidate’s rights
- Follows steps outlined in “Departmental Checklist for Academic Advancement” *(RB I-22)*
- Must be signed *prior* to forwarding the case
New: Short Work Break
(RB VI-18)

- New UCPath concept – An employee may be put on SWB in specific situations where there is a break in paid service to the University. SWB should only be used when there is intent to return to paid service within a specified period of time.

- **Research appointments** – The employee may be put on SWB during periods of an approved appointment when a break in funding occurs and NO WORK is being performed.

- Research SWB is limited to four months.

- Can be requested on line, via AP Folio’s “UCPath Certification and Input Requests for Non-Student Academic Employees”

- Very rarely. Usually the PI. Consult with AP first.
End dates monitoring - expected job end dates in UCPath

- Departments monitor list of end dates, using Data Warehouse/AP Folio
  - Dept determines *in advance*
    - Extend end date: Submit the reappointment case, then once approved, AP UCPath team updates UCPath. OR
    - Appointment ending: Dept checks “appt ending” flag via Reappt/Mod; Ending Appts on AP Folio, terminates job & does final pay (in UCPath).
  - Can check “End Job Automatically” flag in UCPath if it is clear job will end.
Leaves of Absence
(RB VI-1, D)

- Somewhat recent Red Binder change (May 2017)
  - Leave requests for periods of more than 7 calendar days (other than vacation and sick leave for those in accruing titles) must be forwarded to (the Dean) or AVC for Academic Personnel for approval.
  - The approved Academic Leave(s) is entered into UCPath by AP UCPath team.
  - Any questions, please contact AP.
Postdoctoral Scholars
Web Resources

Academic Personnel
- Red Binder (III-17) - UCSB Academic Personnel policies and procedures
- Academic Personnel Manual (APM 390) - UC wide Academic Personnel policies and procedures
- Postdoc Resources - ap.ucsb.edu/Resources for Department Analysts/Postdoctoral Scholar Appointments
- Postdoctoral Scholar Benefits

Graduate Division - http://www.gradpost.ucsb.edu/postdocs
- Campus Resources
- Mentoring Resources

Human Resources - http://www.hr.ucsb.edu/labor-relations/welcome
- UC Postdoctoral Scholar MOU (labor contract)
- Grievances and Layoffs - contact AP first
Campus Contacts for Postdocs

**Academic Personnel:**

Billy Ko – Postdoctoral Scholar Coordinator  
[billy.ko@ucsb.edu](mailto:billy.ko@ucsb.edu)  x4441

**Labor Relations:**

Jessica Graham – Employee & Labor Relations Analyst/Trainer  
[jessica.graham@hr.ucsb.edu](mailto:jessica.graham@hr.ucsb.edu)  x7302

**Office of International Students & Scholars:**

Kayleen McDonald – Employment-based Visas  
[kayleen.mcdonald@sa.ucsb.edu](mailto:kayleen.mcdonald@sa.ucsb.edu)  x2097

Jason Hopkins and Mavel Marina – J-1 Scholar Advisors  
[jason.hopkins@sa.ucsb.edu](mailto:jason.hopkins@sa.ucsb.edu)  Mavel.Marina@sa.ucsb.edu  x2929
Overview

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

**APM-390:**
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

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

  - Proof of program **completion** or degree **conferral**

- All actions require prior 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 time of appointment request
- 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

*Unless appointment qualifies as Employee-NEX (3255)
Postdocs are Unionized

- Represented by the International Union, United Automobile, Aerospace, and Agricultural Implement Workers of America (UAW)
- Current Memorandum of Understanding (MOU) valid through September 20, 2020
- Represents Postdoc on collective bargaining issues pertaining to wages, hours, and terms & conditions of employment;
- However, It is within the University’s sole discretion to appoint, reappoint or not reappoint a Postdoctoral Scholar and to determine the duration of such appointments
- **UPDATE:** Postdocs may choose to accept or decline membership
  - Membership requires monthly dues to UAW – deducted from paycheck
  - **NEW:** Janus Decision - No more agency fees for non-active members
- **Provide UAW Membership Election Form to Postdoc on first day of work**
Titles and Job Codes

- **Employee (3252)** - Receives a full salary from UCSB. Payment will be made via the University payroll system.

- **Fellow (3253)** - A Postdoc is awarded a fellowship/traineeship award that will be paid through a University account. Can be paid as salary or without salary (stipend), depending on terms of the award.

- **Paid-Direct (3254)** - A Postdoc is awarded a fellowship/traineeship that is paid directly by the granting agency. Appointment is entered as without salary.

- **Employee NEX (3255)** - For a Postdoc appointment less than full-time and the falls below the FLSA salary level test of $455/wk or $23,600.

- **Interim Employee (3256)** - for recent UCSB Ph.D. graduates-only, requiring a short-term appointment to complete an existing project started during their graduate program.

**NOTE:** Postdocs may have more than one job code
Appointments

Duration

- Initial appointment shall be for a minimum of one year, with exception to Interim (3256)
- First reappointment to the Employee (3252) title shall be for a minimum of two (2) years
- Subsequent reappointments for 1 year
  **Ex: (1+2+1+1) or (2+1+1+1)**
- Fellows (3253) and Paid-Directs (3254) shall be appointed based on the duration of the funding award
- The total duration of an individual’s postdoctoral service may not exceed five years, including postdoctoral service at other institutions
- 6th year exception may be granted for unusual circumstances

Time

- Expected to engage full-time scholarly pursuits; 100% or 40 hours/week.
- Appointments are exempt status, with exception to Employee-NEX (3255)
- Less than full-time may be granted by exception
- Becomes non-exempt if pro-rated salary per week does not meet the FLSA salary level test of $455/wk.
- Bi-weekly pay schedule and hourly rate
- Time Card Reporting
- Becomes eligible for comp time if working more than 40 hours/week
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<tr>
<td>Reappointment (Two Years) w/ Anniversary Date Salary Increase</td>
<td>October 1, 2019 – September 30, 2021; October 1, 2020 – September 30, 2021</td>
<td>Exp. Lv. 1; Exp. Lv. 2</td>
</tr>
<tr>
<td>Reappointment</td>
<td>October 1, 2021 – September 30, 2022</td>
<td>Exp. Lv. 3</td>
</tr>
<tr>
<td>Reappointed for a final 5th year</td>
<td>October 1, 2022 – September 30, 2023</td>
<td>Exp. Lv. 4</td>
</tr>
</tbody>
</table>
Example of Postdoc-Interim Hire

- Example: Recent UCSB Graduate Student (Ph.D. conferred) needs 4 months to complete their doctoral research project
  - Appoint using title code Interim (3256)

- What if they stay beyond 4 months?
  - Reappoint as Interim (3256) if combined appointments totals one year or less
  - Otherwise it is a “New” appointment as Employee (3252) for one year minimum
  - Postdoc retains the same anniversary date set by the initial date of hire and receives a salary increase after 8 months
## Exceptions

**First Reappointment As Employee (3252) For Less than Two Years**
- Less than two (2) years of funding
- Less than two (2) years of programmatic work
- Work authorization limitations
- Approaching the five year limit
- Change in PI/Supervisor

**Subsequent Reappointments For Less Than One Year**
- Less than one (1) year of funding
- Less than one (1) year of programmatic work
- Work authorization limitations
- Approaching the five year limit

**Exceptions To The Five year Limit**
- 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 sixth year**

**Appointment For Less Than Full-time**
- Personal health reasons
- Family responsibilities
- Employment external to the University
- Concurrent employment in another University position or part-time teaching (Lecturer). 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 anticipated appointment or training grant
- The University is only obligated to one (1) two year appointment; either for the initial request or reappointment.

**Note:** Exceptions to appointment policies are used for reduced effort, not for reducing pay
Postdoctoral Scholar Appointment Request Form, Section III - Exceptions

III. Exceptions

A. APPOINTMENT IS LESS THAN FULL-TIME (100%) DUE TO:

☐ Personal health matters
☐ Family responsibility
☐ Employment external to the University - attach offer letter/proof of employment
☐ Concurrent employment at UCSB (combined appointments equals to full-time) - attach offer letter/proof of employment

B. APPOINTMENT IS LESS THAN 1 YEAR (OR 2 YEARS FOR 1ST REAPPOINTMENT AS EMPLOYEE-3252) DUE TO:

☐ Research end date / Programmatic work [Research End Date]
☐ Funding end date [Funding End Date]
☐ Visa / work authorization end date [Visa / Work Authorization End Date]

☐ Five-year eligibility as Postdoctoral Scholar
☐ Change in PI/Supervisor
☐ Appointee received an initial two-year appointment as Employee-3252

C. EXCEPTION FOR A 6TH YEAR APPOINTMENT DUE TO:

☐ More than five years have elapsed since the Ph.D. was granted
☐ Postdoctoral Scholar requires additional time beyond the five year limit to complete their project

If you are requesting for an exception, please provide further explanation below or an attachment:

Justification for Exception

Complete This Section or Attach Memo. DO NOT LEAVE IT EMPTY
Salary

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

- Postdocs must be paid **at or above** their experience level minimum
  - Based on their collective months of prior postdoc employment, including time with other institutions

- 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 a 2% minimum if current salary is above the Exp. Lv. Minimum
    - Unless next Ex. Lv. Minimum is more than 2%
    - May occur after salary scale update

- Salary scales on AP website/ Compensation and Benefits
Salary for Fellows/ Paid-Directs

- Exchange Rate is calculated at the time of initial appointment and subsequent reappointment(s)
- Only factoring cost of living amount
  - Project costs, travel, family, and incidental expenses should not count towards total stipend/salary
- PI/Supervisor must provide supplemental funding if the extramural award falls below the established salary minimum
  - **Ask for complete funding award letter and guidelines**
- May require Extramural Funding Agency’s prior approval for Anniv. Date Salary Increase – **Check award guidelines.**
- **DO NOT HIRE** if the extramural award falls below the salary minimum and the PI/Supervisor is unable to provide additional financial support
**TABLE 23**

Postdoctoral Scholar - Employee
Postdoctoral Scholar - Fellow
Postdoctoral Scholar - Paid Direct
Interim Postdoctoral Scholar - Employee

<table>
<thead>
<tr>
<th>Appointment Step for Postdoctoral Scholar Experience Level</th>
<th>Minimum Rates Paid for Experience Level</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>12/1/16</td>
</tr>
<tr>
<td></td>
<td>Annual</td>
</tr>
<tr>
<td>Level 0 ( 0 - 11 months)</td>
<td>48,216</td>
</tr>
<tr>
<td>Level 1 (12 - 23 months)</td>
<td>50,316</td>
</tr>
<tr>
<td>Level 2 (24 - 35 months)</td>
<td>52,140</td>
</tr>
<tr>
<td>Level 3 (36 - 47 months)</td>
<td>54,228</td>
</tr>
<tr>
<td>Level 4 (48 - 59 months)</td>
<td>56,400</td>
</tr>
<tr>
<td>Level 5 (60 - 71 months)*</td>
<td>58,560</td>
</tr>
</tbody>
</table>

Comp Group B69

* Appointment to Postdoctoral Scholar, Experience Level 5, is by exception.
### TABLE 23N

**Postdoctoral Scholar - Employee (Non-Exempt)**

**Postdoctoral Scholar Experience-Based Hourly-Rate Minimum**

**FISCAL YEAR**

<table>
<thead>
<tr>
<th>Appointment Step for Postdoctoral Scholar Experience Level</th>
<th>Minimum Hourly Rate Paid for Experience Level</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>12/4/16</td>
</tr>
<tr>
<td>Level 0 (0 - 11 months)</td>
<td>23.10</td>
</tr>
<tr>
<td>Level 1 (12 - 23 months)</td>
<td>24.10</td>
</tr>
<tr>
<td>Level 2 (24 - 35 months)</td>
<td>24.98</td>
</tr>
<tr>
<td>Level 3 (36 - 47 months)</td>
<td>25.98</td>
</tr>
<tr>
<td>Level 4 (48 - 59 months)</td>
<td>27.02</td>
</tr>
<tr>
<td>Level 5 (60 - 71 months)*</td>
<td>28.05</td>
</tr>
</tbody>
</table>

*Appointment to Postdoctoral Scholar, Experience Level 5, is by exception.*
Benefits

- As a condition of appointment, Postdocs must have adequate health insurance coverage for the duration of their appointment.
- Eligible for a Postdoctoral Scholars Benefit Plan (PSBP) provided by Garnett Powers & Associates.
- Plan costs shared between the PI/Supervisor and the Postdoc.
  - Unless total costs is covered by the extramural award \((\text{Fellow or Paid-Direct})\).
- PI/Supervisor is not responsible to pay contribution if Postdoc chooses to opt out of the University insurance plan.
- Rates can be viewed on Garnett Powers & Associates website.
- Postdocs enroll directly in UCPath via the Employee Self-Service.
  - Contact UCPath for questions regarding PSBP enrollment.
- **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.
Appointment Process

- All steps should take place **prior to the start date of employment**:
  - 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
  - Department submits appointment form request to Academic Personnel
  - AVC for Academic Personnel reviews and approves request. AP creates and issues the Position Number 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 New Hire Template transaction in UCPath
  - **Notify Academic Personnel of any changes post-appointment approval, e.g. appt. dates, salary, funding source, etc.**
Appointment Letter

- UC and UAW agree to the sample letter in Appendix G of MOU
- Use the UCSB Sample Appointment and Reappointment Letter on AP Website/Resources for Department Analysts/ Postdoctoral Scholars/ Employment Toolkit
- Make sure the following items are correctly listed:
  - Title Code
  - Appointment Duration (start/end date) and Percentage
  - Annual Salary or Hourly Rate
  - Funding Source - specify, if possible
  - Job Location and Name of Supervisor/PI
  - Description of Job Duties
- **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** - renewal of existing appointment
  - Include annual evaluation - *only for every 12 months*
  - Funding Award Letter - for Fellow/Paid-Direct

- **Modification** - changes to appointment during the current approval period, such as:
  - Hiring Department
  - Percent time (FTE)
  - Job duties
  - Work location

- Change in Title Code can be a New Appointment - External Funding (Fellow/Paid-Direct)

- Change in PI/Supervisor is considered a New Appointment

- For a reduced appointment request: Best practice to submit an appointment/reappointment request for full-time, followed by a modification request. Postdoc then returns to full-time status without a second modification request.

- For Postdoc/Lecturer concurrent appointments: Requires Lecturer offer letter from the College.
Personal Time Off and Sick Leave

- 24 days of **Personal Time Off** (PTO) 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 basis”

- 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

- PTO/ Sick Leave are pro-rated for appointments less than 12 months
  - 2 PTO and 1 Sick Leave per month

- Tracked by hours instead of days (8 hrs = 1 day)

- Must be taken in 1-day increments. A “day” means a workday.

- Postdocs on reduced schedule (less than full-time) are charged a full day of PTO/Sick Leave. Must be absent for their entire “work day”
Leaves

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

Subject to the approval of the University (Dept. and AP Approval).

Approved leaves shall not continue beyond the appointment end date.

- Family medical leave (FML):
  - Personal Health
  - Family Care
  - Parental Leave
  - Pregnancy Disability Leave
  - Qualifying Exigency Leave

- Personal Leave of Absence (unpaid)
  - Personal health
  - Family care
  - Baby bonding

Additional leave types found in Article 12 - Leaves of Absence.

Postdocs are provided 4 workweeks of paid parental benefit per birth/placement.

**NEW**: Leave Requests now submitted to and processed by AP - more to follow.
Reviews & Mentoring

- Progress Assessments
  - Evaluation of the Postdoc's 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
  - Benefits Program

- Keep track of:
  - Anniversary Date Salary Increases
  - Job End Dates - Check End Job Automatically box, if applicable

- Indicate if Open Recruitment was performed for position

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1. Type of Action

- Initial Appointment
  - UC Recruit Job Number: (If a search was conducted)

![Enter UC Recruit Number]

- Update FTEs for split-funded appointments - Fellow/Paid-Direct with Employee Supplement

- Notify AP of: Late start date of appointment, Resignations, and Potential Discipline/Dismissal and Layoff Issues
Any questions?

Thank you for coming.