Agenda

- Resources
  - Who and where
- Research Titles Overview
  - Specialist
  - Project Scientist
  - Professional Research
  - Visiting appointments
- Recruitment
  - Search requirements and process
  - Visa Issues
- Appointments/Reappointments
- Advancements
- Postdoctoral Scholars
Academic Personnel Contacts

Joanna Kettmann  x5048  joanna.kettmann@ucsb.edu
Research Titles (other than Junior and Assistant Specialists), UCPath

Billy Ko  x4441  billy.ko@ucsb.edu
Postdoctoral Scholars, Graduate Student Employees, Junior and Assistant Specialists

Andrea Dittman  x3445  andrea.dittman@ucsb.edu
Without Salary Visitors, Additional Compensation, PPS questions
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/)
Temporary Appointments

Fiscal Year Basis

No Teaching Component

Majority of the time funded on contracts and grants

Salary Scales - UCSB minimum hire rate 7/1/17

DOL ruling – FLSA – exempt vs. non-exempt
**Fair Labor Standards Act (FLSA); Exempt vs. Non-Exempt**

- UC currently observing a threshold of $47,476
  - Pro-rated pay if part-time; not the full-time annual salary rate
  - Not applicable to: teaching titles, students
  - Based on the no longer in play DOL ruling of December 1, 2016
- Have to pay actual hours worked; must match the actual time reported on the timecard
- Overtime possible, if the individual works over 40 hrs./week
- Discussions underway at system-wide level regarding use of the $47,476 threshold.
Specialist Series
(RB III-16)

- Used for academic appointees who engage in specialized research, professional activity, and University and/or public service, and who do not have any teaching responsibilities.
- Appointees are expected to use their professional expertise to make scientific and 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 equivalent degree) or have equivalent research experience
  - Enables research as part of a team.

- **Assistant Specialist**
  - Master’s degree (or equiv. 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

- **Associate Specialist**
  - Master’s degree (or equiv. degree) or have 5-10 yrs. of experience
  - Considerable independent input into the planning & execution of the research, have a record of academic accomplishments, including contributions to published research in the field, & a demonstrated record of Univ. and/or public service

- **Specialist**
  - Terminal degree (or equiv. degree) or have 10 or more yrs. of experience
  - Considerable independent input into the planning & execution of the research, have a significant record of academic accomplishments, including contributions to published research in the field, & a demonstrated record of Univ. and/or public service
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**Effective 11/20/16, all Junior Specialists are paid on the non-exempt Specialist salary scale – Table 24N.**
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*Annualized Jr. Specialist rates for case processing:

|                      | I    | 37,548           | 38,127             | 39,400             |
|                      | II   | 40,044           | 40,674             | 42,011             |

Comp Group A42
**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)
### TABLE 37
#### PROJECT (E.G., SCIENTIST) SERIES

**FISCAL YEAR**

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<th>Monthly</th>
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Comp Group A96
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 and creative activity of high quality and significance
- Review requirements the same as the Professor series (i.e. mandatory review, 8 year limit)
- Ph.D. required
- Separate salary scales: general campus (Table 13 & 13N) & Business/Economics/Engineering (Table 14 & 14N)
<table>
<thead>
<tr>
<th>Rank</th>
<th>Step</th>
<th>Step</th>
<th>Annual</th>
<th>Monthly</th>
<th>Annual</th>
<th>Monthly</th>
<th>Annual</th>
<th>Monthly</th>
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<tr>
<td>Assistant</td>
<td>II</td>
<td>2</td>
<td>73,000</td>
<td>6,083.33</td>
<td>74,300</td>
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<td>76,600</td>
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<tr>
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<td>(3220, 3228-Vst)</td>
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<td>6,791.67</td>
<td>82,800</td>
<td>6,900.00</td>
<td>85,400</td>
<td>7,116.67</td>
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<tr>
<td>Associate</td>
<td>I</td>
<td>2</td>
<td>85,500</td>
<td>7,125.00</td>
<td>87,100</td>
<td>7,258.33</td>
<td>89,700</td>
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<tr>
<td>Research</td>
<td>II</td>
<td>2</td>
<td>89,700</td>
<td>7,475.00</td>
<td>91,700</td>
<td>7,641.67</td>
<td>94,100</td>
<td>7,841.67</td>
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<tr>
<td>(3210, 3218-Vst)</td>
<td>III</td>
<td>2</td>
<td>94,600</td>
<td>7,883.33</td>
<td>96,400</td>
<td>8,033.33</td>
<td>99,200</td>
<td>8,266.67</td>
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<tr>
<td>Research</td>
<td>I</td>
<td>3</td>
<td>100,600</td>
<td>8,383.33</td>
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<td>(3200, 3208-Vst)</td>
<td>II</td>
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<td>108,500</td>
<td>9,041.67</td>
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<td>3</td>
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<td>9,691.67</td>
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<td>10,608.33</td>
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<tr>
<td>V</td>
<td>3</td>
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<td>11,133.33</td>
<td>136,700</td>
<td>11,391.67</td>
<td>140,200</td>
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<td>3</td>
<td>144,700</td>
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<td>147,400</td>
<td>12,283.33</td>
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<td>VII</td>
<td>3</td>
<td>156,600</td>
<td>13,050.00</td>
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<td>13,250.00</td>
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<tr>
<td>VIII</td>
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<td>169,600</td>
<td>14,133.33</td>
<td>172,200</td>
<td>14,350.00</td>
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<tr>
<td>IX</td>
<td>4</td>
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<td>183,700</td>
<td>15,308.33</td>
<td>186,600</td>
<td>15,550.00</td>
<td>192,700</td>
<td>16,058.33</td>
</tr>
</tbody>
</table>

Comp Group A91
An example: annual salary rate of $84,300/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 = $74,300, to determine the off-scale supplement.
- Total salary is $84,300; inclusive of off-scale amount of $10,000.
- Upload screen will ask for these two salary fields:
  - Total Salary = $84,300
  - Off-scale supplement = $10,000
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 (7/1/17) for the rank
Without Salary Visitors
(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: Title Code 3299
  Visitor (Graduate Student): Title Code 3730
  Visitor (Undergraduate): Title Code 3731
- Up to one year, reappointments rare
- Not employees, no compensation via payroll
Approval Authority

All Titles, All Actions      AVC for Academic Personnel,
Alison Butler

Without Salary Visitors Chair/Director; AP Post-Audit
Recruitment: Search Requirements & Process (RB VII-1 & VII-5)

- Open Recruitment Policy:
  - Required for all academic positions.
  - Minimum requirement of 2 weeks (open) for the temporary research series.

- Enter the recruitment in UC Recruit (Search Plan) – [https://recruit.ap.ucsb.edu](https://recruit.ap.ucsb.edu)

- Publish the recruitment in UC Recruit after the Search Plan is fully approved.

- Process applications and interview
  - Screen applicants and select finalists to be brought to campus for interviews

- Complete the Search Report for a proposed candidate.
**Exemptions**
**(RB VII-1)**

- Recall appointments
- Visiting appointments in the Researcher or Project Scientist series. The individual must be a “true visitor” (i.e. on leave from or retired from an equivalent position at another academic institution).
- Postdoctoral Scholars
- Without salary appointments
- Change of current position to a different temporary research series (i.e. Project Scientist to Researcher or the reverse) – (1) search already conducted, (2) an approved waiver, or (3) is exempt from search due to without salary status.
Search Waivers: Non-Senate Titles
(RB VII-1)

- Emergency Hire
- Spousal or Domestic Partner Hire
- Continuation of Training
- PI/Co-PI/Leadership Status
- Research Team
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.
Resources for Department Analysts - UC Recruit & Recruitment questions

https://ap.ucsb.edu/resources.for.department.analysts/recruit/

UC Recruit technical help
Academic Affairs IT
help@aa.it.ucsb.edu

UC Recruit non-technical help & recruitment questions
Joanna Kettmann and Billy Ko
Academic Personnel
joanna.kettmann@ucsb.edu and billy.ko@ucsb.edu

Lia Cabello
Affirmative Action/Diversity questions
Office of Equal Opportunity & Discrimination Prevention
lia.cabello@ucsb.edu
Non-senate Grandfathered Exceptions (EORs) & Exemptions

Individuals appointed under an EOR or exemption category prior to November 1, 2015, continue to be subject to the policies in place at the time of initial appointment.

Grandfathered Exemptions

- PI/Co-PI/named in grant for a specific task
- Total appointment less than 50% time
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
Sona Baboolal x 3259  Sona.Baboolal@bfs.ucsb.edu
(Tax questions)
Appointments and Reappointments/Modifications

- 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 only for “Visiting” Researchers/Project Scientists

- Reappointment and Modification
  - Extension of existing appointment (reappointment) or “Modifying” an existing appointment (modification)
  - Renewal of funding
  - Online for Researchers, Project Scientists, & Specialists via AP Folio “Reappointment/Modification” module
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
Appointment Case Summary/Upload screen

- Enter present status and 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
  - No set format for CV
  - UCSB Biography Form can be found under our Forms section on AP Folio

- Search Documentation
  - Approved search (JPF # from UC Recruit) or approved search waiver (SWR # from UC Recruit), must be included if required by policy
Reappointment/Modification

- Plan ahead!
- AP Folio via the “Reappointment/Modification” 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
- Search requirements – if search already done for the position, nothing additional to do
- Without Salary appointments (exempt from search)
- Changes that need a search
- Grandfathered exemptions
- Gentle reminder… must be approved, before making a change in PPS
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, and Specialists populations
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 7/1/17 min rate is the way our campus has chosen to implement.
- Market
- Merit
- All combined into a single figure
Eligibility Listing

* Eligibility lists for Researchers, Project Scientists, and Specialists were released on September 1, 2017

* AP Folio via “Eligibility Listing”
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 one year)
  - 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 2** 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
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 (1-27) 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

- 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
Leaves of Absence
(RB VI-1, D)

- Recent Red Binder change (this past 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 Associate Vice Chancellor for Academic Personnel for approval.
  - Any questions, please contact AP.
  - Upcoming Academic Leaves class – February 13, 2018.
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

Graduate Division - http://www.graddiv.ucsb.edu/profdev/postdoc
- Mentoring Resources
- Campus Resources

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

Academic Personnel:
Billy Ko – Postdoctoral Scholar Coordinator
billy.ko@ucsb.edu x4441

Labor Relations:
Jennifer Smith – Employee & Labor Relations Analyst/Trainer
jennifer.smith@hr.ucsb.edu x4663

Benefits:
Tami Schmittgen – Postdoctoral Scholar Benefits Coordinator
tami.schmittgen@hr.ucsb.edu x4263

Office of International Students & Scholars:
Kayleen McDonald – Employment-based Visas
kayleen.mcdonald@sa.ucsb.edu x2097

Jason Hopkins and Mavel Marina – J-1 Scholar Advisors
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*

*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)
- Postdocs pay either a monthly due for voting rights or agency fees for non-active status
  - Provide UAW Membership Election Form to Postdoc on first day of work
  - Deducted monthly from paycheck
  - Shadow Appointment for Fellows (Stipend) and Paid-Directs
- Represents Postdoc on collective bargaining issues pertaining to wages, hours, and terms & conditions of employment;
- Memorandum of Understanding (MOU) valid through September 20, 2020
- 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
Title 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)** - Based on the appointment percentage, the pro-rated salary per week does not meet the FLSA salary level test of $913/wk. **Postdoc becomes non-exempt; Bi-weekly schedule, Hourly Pay.**

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

**NOTE:** Postdocs may have more than one title code
### Appointments

<table>
<thead>
<tr>
<th>Duration</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial appointment shall be for a minimum of one year, with exception to Interim (3256)</td>
<td>Expected to engage full-time scholarly pursuits; 100% or 40 hours/week.</td>
</tr>
<tr>
<td>First reappointment to the Employee (3252) title shall be for a minimum of two (2) years</td>
<td>Appointments are exempt status, with exception to Employee-NEX (3255)</td>
</tr>
<tr>
<td>Subsequent reappointments for 1 year</td>
<td>Less than full-time may be granted by exception</td>
</tr>
<tr>
<td><strong>Ex: (1+2+1+1) or (2+1+1+1)</strong></td>
<td></td>
</tr>
<tr>
<td>Fellows (3253) and Paid-Directs (3254) shall be appointed based on the duration of the funding award</td>
<td>Becomes non-exempt if pro-rated salary per week does not meet the FLSA salary level test of $913/wk.</td>
</tr>
<tr>
<td>The total duration of an individual’s postdoctoral service may not exceed five years, including postdoctoral service at other institutions</td>
<td>Bi-weekly pay schedule and hourly rate</td>
</tr>
<tr>
<td>6th year exception may be granted for unusual circumstances</td>
<td>Time Card Reporting</td>
</tr>
<tr>
<td></td>
<td>Becomes eligible for comp time if working more than 40 hours/week</td>
</tr>
</tbody>
</table>
# Standard Postdoc Employee Hire

<table>
<thead>
<tr>
<th>Appointment Type</th>
<th>Duration</th>
<th>Salary</th>
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</thead>
<tbody>
<tr>
<td>Initial</td>
<td>October 1, 2017 – September 30, 2018</td>
<td>At Exp. Lv. 0</td>
</tr>
<tr>
<td>Reappointment</td>
<td>October 1, 2018 – September 30, 2019</td>
<td>Exp. Lv. 1</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exp. Lv. 2</td>
</tr>
<tr>
<td>Anniversary Date</td>
<td><strong>October 1, 2019 – September 30, 2019</strong></td>
<td></td>
</tr>
<tr>
<td>Reappointment</td>
<td>October 1, 2019 – September 30, 2020</td>
<td>Exp. Lv. 3</td>
</tr>
<tr>
<td>Reappointed for a final 5th year</td>
<td>October 1, 2010 – September 30, 2011</td>
<td>Exp. Lv. 4</td>
</tr>
</tbody>
</table>
Use of Postdoc Interim (3256)

- 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

## 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
- Funding 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 section or attach memo. Do Not Leave Blank.
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 12 months from the original start date
  - Increase to the next experience level minimum
  - Or a 2% minimum if current salary is above the Exp. Lv. Minimum
  - Whichever is the higher of the two
  - Mid-appointment salary increased does not negate salary increase on the anniversary date
- Salary scales on Academic Personnel website/Compensation and Benefits
<table>
<thead>
<tr>
<th>Experience Level</th>
<th>Annual Minimum</th>
<th>Annual Minimum</th>
<th>Monthly Minimum</th>
<th>Monthly Minimum</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 0 ( 0 - 11 months)</td>
<td>43,692</td>
<td>3,641.00</td>
<td>48,216</td>
<td>4,018.00</td>
</tr>
<tr>
<td>Level 1 (12 - 23 months)</td>
<td>45,444</td>
<td>3,787.00</td>
<td>50,316</td>
<td>4,193.00</td>
</tr>
<tr>
<td>Level 2 (24 - 35 months)</td>
<td>47,268</td>
<td>3,939.00</td>
<td>52,140</td>
<td>4,345.00</td>
</tr>
<tr>
<td>Level 3 (36 - 47 months)</td>
<td>49,152</td>
<td>4,096.00</td>
<td>54,228</td>
<td>4,519.00</td>
</tr>
<tr>
<td>Level 4 (48 - 59 months)</td>
<td>51,120</td>
<td>4,260.00</td>
<td>56,400</td>
<td>4,700.00</td>
</tr>
<tr>
<td>Level 5 (60 - 71 months)</td>
<td>53,160</td>
<td>4,430.00</td>
<td>58,560</td>
<td>4,880.00</td>
</tr>
</tbody>
</table>
## Table 23N

Non-Exempt Postdoctoral Scholar - Employee Experience-Based Hourly Rate Minimum

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<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>Level 0 (0 - 11 months)</td>
<td>11/20/16 20.93 12/4/16 23.10</td>
</tr>
<tr>
<td></td>
<td>Level 1 (12 - 23 months)</td>
<td>11/20/16 21.77 12/4/16 24.10</td>
</tr>
<tr>
<td></td>
<td>Level 2 (24 - 35 months)</td>
<td>11/20/16 22.64 12/4/16 24.98</td>
</tr>
<tr>
<td></td>
<td>Level 3 (36 - 47 months)</td>
<td>11/20/16 23.55 12/4/16 25.98</td>
</tr>
<tr>
<td></td>
<td>Level 4 (48 - 59 months)</td>
<td>11/20/16 24.49 12/4/16 27.02</td>
</tr>
<tr>
<td></td>
<td>Level 5 (60 - 71 months)</td>
<td>11/20/16 25.46 12/4/16 28.05</td>
</tr>
</tbody>
</table>

(3255- Postdoctoral Scholar-Employee, non-exempt)
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
  - EX: Project costs, travel costs, family costs, incidental expenses are not considered 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
  - Postdoc Fellow and Paid-Direct Funding Responsibility Form
- Do not hire Postdoc if the extramural award falls below the salary minimum and the PI/Supervisor is unable to provide additional financial support
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 (Fellow or Paid-Direct).
  - Use the Postdoc Paid-Direct Funding Responsibility Form to follow-up with funding agency if the award letter is not clear.
- 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.
- Contact HR-Benefits for questions regarding postdoc insurance.
- Do not hire Postdoc if the extramural award does not cover Benefits cost and the PO/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. Hiring Department and HR Benefits are notified of approval by email.
- Department issues the [Notice of Appointment Letter](#) to the proposed candidate
- Postdoc returns the **signed** letter to the Hiring Department
- Send copy to Academic Personnel
- Postdoc completes hiring paperwork and Hiring Department enters employee into PPS

**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
  - Funding Award for Fellow/Paid-Direct reappointment

- Modification - changes to appointment during the current approval period, such as:
  - Salary/Source
  - Title code - based on source of funding
  - Job duties
  - Hiring Department/ Supervisor
  - Appointment Percentage
  - Approval required before dept. can make changes to the 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 (other titles)

- Track PTO/Sick Leave eligibility with a time card
- PTO and Sick Leave are pro-rated for less than 12 month appointments
- PTO and Sick Leave are taken in one-day increments. A “day” means a workday.
- Postdocs on reduced schedule are charged a full day of PTO/Sick Leave when absent for their entire reduced time “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

<table>
<thead>
<tr>
<th>Family medical leave (FML):</th>
<th>Personal Leave of Absence (unpaid)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personal Health</td>
<td>Personal health</td>
</tr>
<tr>
<td>Family Care</td>
<td>Family care</td>
</tr>
<tr>
<td>Parental Leave</td>
<td>Baby bonding</td>
</tr>
<tr>
<td>Pregnancy Disability Leave</td>
<td></td>
</tr>
<tr>
<td>Qualifying Exigency Leave</td>
<td></td>
</tr>
</tbody>
</table>

- Additional leave types found in Article 12 - Leaves of Absence of the MOU
- Postdocs are provided 4 workweeks of paid parental benefit per birth/placement
- Contact AP and HR-Benefits for questions and procedure for leave requests
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:
  - Update ERC Code
  - BELJ Eligibility Indicator and Level
  - Student Status Code
- Keep track of Anniversary Date Salary Increases
- Indicate if Open Recruitment was performed for position

Enter UC Recruit Number

- Update percentages for split-funding appointments
  - Fellows/Paid-Directs with Employee Supplements
- Notify AP of:
  - Late start of appointment
  - Resignations – requires written notice from Postdoc to PI/Supervisor
  - Potential Discipline/Dismissal and Layoff Issues
Any questions?
Thank you for coming.