

**Exhibit B: Personnel Actions for Departments Employing Postdoctoral
Fellows/Trainees**

at the University of Colorado Denver
vs dated November 2008

Unless specifically noted as optional, all steps are required. 'Unit' refers to the department, school, college or other unit in which the position is located or rostered. 'HRMS' refers to the university human resources system. 'PDO' refers to the campus Postdoctoral Office. OGC refers to the Office of Grants and Contracts. ISSS refers to the International Student and Scholar Services.

After a Postdoctoral Fellow/Trainee position has been filled, the hiring (employing) unit is responsible for the following employment maintenance procedures:

- 1) Performance evaluations
 - a. Persons in postdoctoral positions must be evaluated annually prior to their anniversary hire date.
 - b. These written, signed and dated, evaluations shall be kept in department personnel files and retained in accordance with University policy on retention of personnel records.
 - c. The original "public record" rating sheet for evaluations shall be forwarded to the PDO for review and approval of the expected salary increase.
 - d. Annual evaluations must be completed in time to meet the deadline for the Chancellor's Actions report process for the requested effective date. (See next section on "Salary increase process" 2b-d, and see posted deadlines issued by PDO).
- 2) Salary increase process
 - a. Salary increases shall be considered annually prior to the anniversary hire date, and be based on performance evaluation ratings. Fellows supported by NIH training grants and NIH Fellowships must be awarded increases in accord with current NIH standards and timelines. Other sponsors' requirements may apply.
 - b. Three scenarios:
 - i. Under normal circumstances, an annual salary increase is to be expected and is generated by the rating information and approving signatures contained on the evaluation "public record" rating sheet that is to be submitted annually to the PDO. (See prior section 1 "Performance evaluations").
 - ii. Should there be an exception to this annual routine process, or should there be significant additional changes to the position, an "addendum" letter to the original offer letter, outlining those changes, will be completed and sent to the PDO for final approval signature by the Dean of the Graduate School. The addendum letter template issued by the PDO will be used and will be accompanied by the "public record" sheet of evaluation with rating.
 - iii. Should there be an exception to awarding an anniversary salary increase, for reasons other than an unsatisfactory evaluation rating, written justification must be submitted to the PDO for a decision by the Dean of the Graduate School.
 - c. Funding agency forms might also be required. (see example at 9d)
 - d. Usual on-line and off-line processes proceed
 - i. Hiring unit enters salary and funding changes in HRMS, and sends notification to PDO.
 - ii. *PDO places all salary changes on the Chancellor's Personnel Actions report, approves in HRMS, notifies unit.*
- 3) Changes in percent time/FTE or length of appointment
 - a. Minor changes in FTE may be made in HRMS with an accompanying comment to explain the reason for the change. (These will normally NOT involve funding lines tied to an NIH training grant or Fellowship.)
 - b. Significant changes in the appointment, whether due to lack of funding or other reasons, shall require an "addendum" letter to the original (or most current addendum) letter. An "addendum" letter to the original offer letter will be completed and sent to the PDO, for final approval signature by the Dean of the Graduate School. For example, an addendum is needed for an FTE change that will affect benefits, that changes the percentage of appointment to above or below 50%.

- c. The unit is responsible for providing any additional documentation to comply with funding agency requirements. In cases requiring prior approval by the funding agency, any accompanying documentation or emails should be forwarded to the PDO. (see example at 9c)
 - d. For foreign nationals, the unit is responsible for contacting ISSS to determine if any changes need to be made in visa status to reflect change in percentage of time.
 - e. Usual on-line and off-line processes follow, i.e., hiring unit will obtain employee signature and return original addendum letter to the PDO, if applicable, then enter FTE/percent time change in HRMS with effective date, updated compensation and funding rows and comments, using the “notify” tool to alert the PDO to the need for approval; *PDO will approve in HRMS.*
- 4) Departmental transfers
- a. Postdoctoral employees who stay within the University but transfer from one department to another, staying in the 1438 job code, shall have a new offer letter created by the new hiring unit.
 - b. All other steps listed for new hires in “Process for Departments Hiring Postdoctoral Fellows/Trainees at University of Colorado Denver” shall apply, including contacting ISSS concerning relevant paperwork before the transfer occurs.
 - c. Any unused leave accrued may be transferred with the employee per agreement between transferring units.
 - d. Transfers from unit to unit do not increase, but fall within, the six-year term limits for postdoctoral employment. The University of Colorado Denver is considered one employer.
- 5) Leave records
- a. The employing unit is responsible for keeping records on leave usage and accrual and making them available to the postdoc, to the supervisor, and to the PDO as requested.
 - b. Copied here from the “*Policy for Research Postdoctoral Fellows/Trainees at University of Colorado Denver*”, Section H “Uniform Benefits”, are specifics of keeping leave allowances on postdoctoral appointments.
 - i. Vacation and sick leave policy for all postdoctoral fellows, regardless of the source of funds used to support them, shall be 12 working days of vacation and 12 working days of sick leave per fiscal year for a total of 24 working days (or 192 hours) for full-time positions per fiscal year.
 - ii. Accrued (unused) leave shall be carried forward year to year during the term of employment, but with no payout at termination.
 - iii. Maximum accrual is capped at 44 working days (or 352 hours) of combined sick and vacation leave.
 - iv. Accrual and usage shall follow the prevailing University practices used for other employee classifications. Hours shall be accrued each month at the rate of one day (or 8 hours) each for sick leave and vacation leave, and available for use at the beginning of the next month. Prorated leave shall be accrued for partial month hires and for less than 100% appointments.
 - v. Postdoctoral Fellows are eligible for Family Medical Leave per the standard criteria used for other campus faculty positions.
 - vi. Postdoctoral Fellows are afforded leave in accord with University policy for all employees for holidays, military duty, bereavement, and jury duty.
 - c. No leave usage will be entered in HRMS.
- 6) Funding distribution
- a. The employing unit is responsible for setting funding distribution within HRMS.
 - b. Only funding involved with an initial hire, or changes due to transfers or an increase in pay, need to be included in the documentation sent to and approved by the PDO.
 - c. Units must comply with the policies of the funding agency supporting the position. (see section 9 for examples)
- 7) Termination of Appointment
- a. Terminations from the University shall be processed in the normal way as for any University employee, EXCEPT no leave payout is processed; unused leave shall be forfeited.
 - i. Employing unit forwards to PDO at least one of the following termination documents:
 - 1. Copy of resignation letter from employee that includes reason for leaving, final work date, and forwarding information (email accepted), OR
 - 2. Copy of termination letter from employing unit to employee stating reason for termination and final work date,** OR

- 3. Copy of "Departure" document sent to ISSS regarding termination of visa period.
 - 4. Copy of sponsor's termination notice documentation sent to OGC may also suffice.
 - ii. Employing unit enters termination row on HRMS.
 - iii. ****Postdocs terminated for cause must have termination approval pass through Chancellor's Personnel Actions process and be approved on HRMS by the PDO.**
- b. Certificates of Completion
- i. All research Postdoctoral Fellows/Trainees, who are eligible per criteria approved through the PDO, will receive a "Certificate of Completion" at the end of their appointment with the University.
 - ii. The employing unit will forward a "Notice of Completion" to the PDO to generate creation of the Certificate.
 - iii. The Certificate will be signed by the laboratory director or other supervising authority, Department Chair (or Division Head or Dean, as appropriate), and Dean of the Graduate School.
- c. Exit interviews will be conducted, or exit information otherwise collected, by the PDO for database.
- 8) Database information
- a. *The Graduate School's Postdoctoral Office will contribute to the development and management of a database, or a portion of a campus-wide database, containing the appointment, termination, and training completion information on all postdocs.*
 - b. The hiring/employing unit is responsible for entering the data regarding professional information on all postdocs. This includes information not already stored in HRMS, or SIS, such as: pre-doc thesis, pre-doc and post-doc experience, institutions, mentors, publications, etc.
 - c. Departments should be able to pull reports from this database to facilitate grant proposal submission.
- 9) **Specific alerts regarding NIH training grant and fellowship funding**
- a. Funding on NIH training grants is limited to three years for any one individual, unless written approval is obtained from the funder to continue longer.
 - b. Persons newly supported (first year) by an NIH training grant may be required to provide a statement as part of the documentation providing proof that prior support for this individual has not occurred.
 - c. Appointing or changing the percent time/FTE to less than full-time, or making the length of appointment less than nine to twelve months must have prior written approval from NIH.
 - d. Annual salary increases are part of the expected progression for Postdocs funded by NIH training grants. Salary increases are effective **ONLY** at the beginning of each twelve-month appointment and must comply with sponsor guidelines. A copy of the SOA should accompany the annual evaluation rating sheet sent to the PDO. *If so received, the PDO will forward to OGC.*
 - e. Postdocs supported by NIH training grants should not have funding distribution changes, unless the change is for a sponsor-approved annual salary increase, or a pre-approved change in percent time/FTE or length of appointment.
 - f. NIH leave policies, including parental leave, are applied to a given budget period. Departments need to comply with sponsor requirements in charging associated leave expenses. Ex: On training grants, only 15 CALENDAR days of sick leave may be booked in any given budget period.
 - g. At termination, the unit must determine if the Fellow has a payback liability. If so, documentation describing this liability must be attached to the "Termination Notice". If it is not attached, it will be assumed by OGC that the Fellow has no payback obligation.