
Postdoctoral Scholars: Key Policies and Procedures

Monday, July 25, 2011

Alistair Murray

Agenda

- Part I. Appointment Actions
 - Definition of a Postdoctoral Scholar
 - How to Appoint a Postdoc
 - Reappointments
 - Terminations
 - Certificates, Verifications

- Part II. Visa Processing
- Part III. Salary/Stipend Policy & Procedures
- Part IV. ReportMart 1

- Resources

What is a Postdoctoral Scholar?

- Researcher at Stanford who has received a doctoral degree: PhD, MD, DVM, PsycD, JD...
- Is not in a graduate student status by another institution.
- Postdoc Administrators must be clear on the eligibility for postdoctoral status at Stanford before starting a postdoctoral appointment process for a faculty member.

Is this a Postdoc? Visiting Scholar? Visiting Student Researcher? Staff?

- Refer to Research Policy Handbook Chapter 9: Non-Faculty Research Appointments: <http://rph.stanford.edu>
 - Academic Staff- Research (9.1)
 - Postdoctoral Scholars (9.4)
 - Consultants (9.5)
 - Visiting Scholars (9.6)
 - Visiting Student Researchers (VSR) (9.7)
- Information on VSRs is also found in the Graduate Academic Policy: <http://gap.stanford.edu>

Definition of a Postdoctoral Scholar

- A trainee at Stanford pursuing **full time** advanced studies **AFTER** the doctoral degree under the sponsorship of a Stanford faculty member in preparation for an independent career.
- Must be within 3 years of the PhD or 6 years of the MD.
- Appointed for a limited period of time, up to 5 years.
- Must be funded at a minimum level.
- May be funded from research grants at Stanford or by external awards or fellowships.
- Treated as advanced, non-matriculating graduate student at Stanford (\$125/quarter registration fee).

If Candidate Doesn't Fit the Postdoc Criteria?

- Is s/he too advanced? Consider a Visiting Scholar, Research Associate or Consultant arrangements.
 - Contact Your Faculty Affairs Officer for Visiting Scholar
 - Contact Your Human Resources Officer for Research Associate or Consultant arrangement

- Does s/he not *yet* hold a PhD degree? Appoint as a Visiting Student Researcher then convert to Postdoc
 - Contact the Office of Graduate Admissions at the Office of the University Registrar for the process
 - VSRs do not have a minimum funding requirement at Stanford. J1 rules apply
 - Registration fee is assessed monthly
 - Conversion to postdoc status can happen immediately upon showing proof of doctoral degree. Funding minimums then apply. No disruption in J1 visa for foreign citizens.

How to Start a Postdoc Appointment?

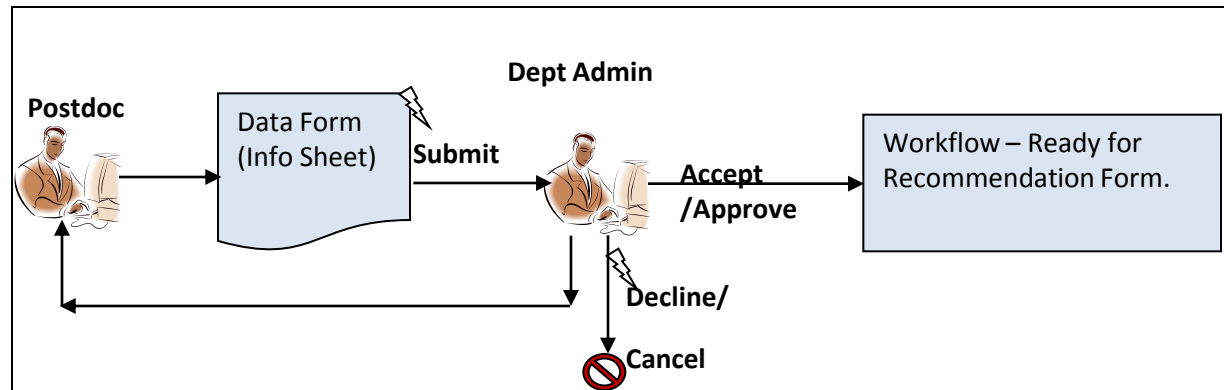
1. Collect information from the sponsoring faculty:
 - Email address of the postdoc to initiate the appointment
 - Appointment start and end dates, funding amounts and sources and any other special terms and conditions of appointment for submission
 2. Postdoc Admin must be authorized to appoint postdoctoral scholars for your department by the Office of Postdoctoral Affairs.
 - Authorization obtained upon completion of training.
 - List of department postdoctoral administrators can be found online <http://postdocs.stanford.edu/admin/>
 3. Transaction processing, all supporting documents, review and approval are done online via PeopleSoft Postdoc Web Forms.
 4. Training requirements in order to use PeopleSoft <https://www.stanford.edu/dept/as/sandhr/learnps/0908prereqs.html>
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New Appointment Transaction Workflow

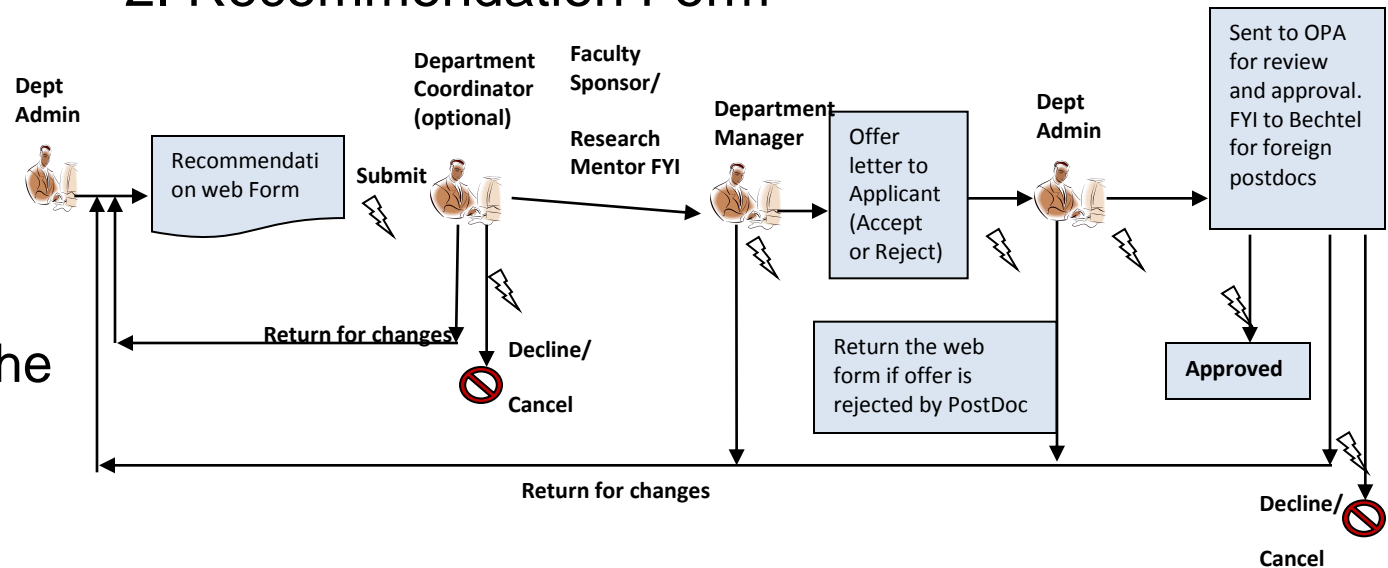
Postdoc Invite panel in PeopleSoft:
 Campus Community > STF Postdoc > STF Postdoc Invite

- Enter the email address of the postdoc. Must be unique value.
- Enter the faculty sponsor and faculty mentor information.
- If Faculty are not in the look up table, submit a HelpSU to the Office of the Registrar to add them to the Advisor Table before you can proceed.

1. Postdoc Data Form (aka Information Sheet)



2. Recommendation Form



⚡ Indicates email notification

⊘ Indicates Transaction stopped

Appointment Submission: Content

Postdoc Admin starts by completing Postdoc Invite in PeopleSoft ...

1. Postdoctoral Scholar Data Sheet (online form completed by the postdoc including the upload of:
 - Curriculum Vitae
 - Any funding letters from outside sources
 - Diploma or Institutional Letter of Completion, in original language. Official English translation is required for all diplomas written in languages other than EnglishPLUS
 - For Foreign Citizens:
 - Passport pages and copies of DS-2019 and other US visa documents or pages, for postdoc and for any accompanying dependents
 - Copy of the Employment Authorization Card (EAD) or application, if students in US
 - For Clinical Trainees: Copy of California Medical License.
 - For MD holders who will be performing continuity clinics (in clinical or research postdoc appointments): Signed Agreement for Services Outside of the Fellowship. Uploaded by the Postdoc Admin. Form available at http://postdocs.stanford.edu/admin/pdf-forms/MD_AgreementBilling.pdf
2. Recommendation Sheet (online form completed by the Postdoc Admin)
3. Accepted Offer Letter – Acceptance done online by the postdoc
4. DS-2019 form for foreign citizens – Postdoc Admin to Submit Online
5. For Clinical Trainees: Print forms and all documents along with OPA's approval email and send to the Graduate Medical Education Office.

The Offer Letter

- Contract between Stanford University and postdoctoral scholar.
- Postdoc Admin Must Add to Recommendation Form online:
 - 1-2 sentence description of responsibilities and expectations
 - Description of the sources of funding and the amounts
 - Description of ANY and ALL work locations and duration off Stanford campus, including out of state appointments (Admin must also consult payroll for out of state payroll forms)
- Copied by email to the Faculty Sponsor and Research Mentor prior to final submission to OPA

When Information in the Offer (Recommendation Form) Changes After Submission

- If OPA has not yet approved the appointment, contact the current approver and ask for the transaction to be returned to you. Correct and resubmit.

 - If OPA has approved the appointment:
 - Submit a Change Form in PeopleSoft Postdoc Web Forms if:
 - the Start Date is moving to an earlier or later date
 - funding total amounts change
 - adding or changing faculty sponsors or mentors

 - Submit a Termination Form in PeopleSoft Postdoc Web Forms if the postdoc is not coming. Use the comments field in the form to explain the circumstances and describe the supporting documents you have for the termination.

 - *Significant* changes in responsibilities or expectations may require a new Recommendation Form submission— for example, move to an off site location. Contact your OPA manager for advice.
-

OPA's Review— what goes into it?

- Reviews DS-2019 submission with a new appointment of a foreign postdoc
- Grants Full Approval, Conditional Approval or a Provisional Approval (next slide)
- Approves DS-2019 where application > Bechtel
- Uploads submission to PeopleSoft > EmplID created.

Conditional and Provisional Approvals

Conditional Approval

Postdoc is expected, with supporting documentation, to have the final degree letter or conferral **prior to the appointment start date.**

OPA grants conditional approval in order to facilitate visa processing for foreign scholars.

If condition is not met by the start date of appointment:

1. the postdoctoral appointment may NOT start.
2. The candidate must be switched to a Visiting Student Researcher, or another status, until proof of degree is provided.

Provisional Approval

Used in very limited cases for foreign postdocs from certain countries (eg. Germany) where a degree completion letter **is provided BUT degree conferral is deferred** until an external review, referee, or publication of the dissertation. Case-by-case review.

OPA grants provisional approval on the basis of an institutional letter providing an estimated target date for the formal conferral, typically for 3 months. Postdoc appointment may start.

Evaluation by the Assistant Dean for Postdoctoral Affairs may result in a switch to another more appropriate status if final degree is not conferred within a reasonable period of time.

Proof of Degree Acceptable Documents

- Acceptable Proof of Degree Documents:
 - A copy of the scholar's **diploma** (English translation and original).
 - If the scholar has more than one doctoral degree (i.e., M.D. and Ph.D.), the diploma pertinent to research study is necessary for admission as a scholar; copies of both are preferred.

- **Letters of Completion** from an **Institutional Office**: Graduate Dean, Chancellor, Registrar. Sample letters are online:
 - [Sample Thesis Acceptance \(Letter 1\)](#)
 - [Sample Degree Conferral \(Letter 2\)](#)

Letters should state date the scholar completed ALL the requirements, including submissions and acceptances of thesis, and the date the degree is to be conferred. Stanford still need to receive a copy of the diploma when it is available.

- Printout of **transcript** noting dissertation submission date or degree completion date (unofficial transcript OK)

- Graduates of Stanford University also must submit a diploma.

Proof of Degree Unacceptable Documents

- Letter from the *advisor* stating completion of all degree requirements cannot be used.
 - Letter from the institution stating that the candidate completed all degree courses without a statement describing completion of *all requirements for the degree (i.e., dissertation submission)*.
 - Institutional letters noting upcoming defense or conferral dates may warrant a review for a conditional or provisional appointments. Letters must indicate an anticipate date of conferral.
-

Pop Quiz: Is this an Acceptable Proof of Degree? What Should be Done?

UF UNIVERSITY of
FLORIDA

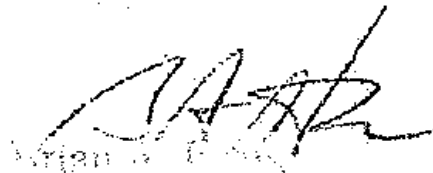
*Department of Psychology
Brian A. Iwata, Professor*

*114 Psychology Building
P.O. Box 112250
Gainesville, FL 32611-2250
Phone: (352) 372-2176
Fax: (352) 392-7985
Email: iwata@ufl.edu*

May 15, 2009

Stanford University
Office of Postdoctoral Affairs

This letter confirms that _____ is a full-time doctoral student in Psychology. She will defend her dissertation on June 23, 2009, at which time she will complete all requirements for the PhD degree in Psychology.



Professor, Psychology & Psychiatry
Behavior Analysis Program Director

Previous Example – Not Acceptable

■ Issues:

- ❑ Written by Advisor and anticipates a defense date.
- ❑ We don't know the outcome of the defense
- ❑ Does not state how long after that will a degree be completed.

It can take graduate students up to several months, even years, to submit dissertations after the defense.

■ How to Proceed?

- ❑ Postdoc Admin should find out an expected date of completion, then depending on the answer:
 - ❑ Consider VSR OR Hold off on submission until after defense or after dissertation submission and obtain an institutional letter
-

Pop Quiz #2: Is this an Acceptable Proof of Degree? What Should be Done?

UF UNIVERSITY of
FLORIDA

Department of Psychology
Brian W. Iwata, Professor

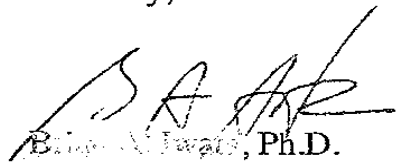
114 Psychology Building
P.O. Box 112250
Gainesville, FL 32611-2250
Phone: (352) 372-2176
Fax: (352) 392-7985
Email: iwata@ufl.edu

June 29, 2009

Office of Postdoctoral Affairs
Stanford University School of Medicine
1215 Welch Road, Modular A
Stanford, CA 94305-5402

This letter certifies that Jennifer Hammond has completed all requirements for the Ph.D. degree in Psychology, including all necessary coursework, exams, and defense of her dissertation, effective June 29, 2009. Updating of Dr. Hammond's official records in the registrar's office will be delayed until receipt of the dissertation document is transmitted from the graduate school to the registrar but will reflect this date as her official date of completion, with degree to be conferred at the next regularly scheduled university commencement (Summer term).

Sincerely,



Brian W. Iwata, Ph.D.
Professor, Psychology & Psychiatry
Director, Behavior Analysis Program
(Chair, Hammond dissertation committee)

Previous Example – Acceptable. Conditional Approval of Appointment

■ Because

- it states an expected conferral date.
- Letter provided by the Office of the Registrar

■ Why Conditional?

- Dissertation is not formally accepted by Registrar

■ How to Proceed?

- Go ahead with the Appointment. Obtain final letter as soon as it is available.
 - Because the individual is considered a graduate student at UF, VSR is the alternative if final letter is not available by the Start Date.
-

Pop Quiz #3: Is this an Acceptable Proof of Degree? What Should be Done?

THE GRADUATE SCHOOL - UNIVERSITY OF FLORIDA REPORT ON THESIS OR DISSERTATION AND/OR FINAL EXAMINATION

To the Dean of the Graduate School:

Date: 6/12/2009 8:20:50 AM

~~XXXXXXXXXX~~

UFID: ~~XXXXXXXXXX~~

has submitted, in partial fulfillment of the requirements for the degree of

Doctor of Philosophy in the College of Liberal Arts and Sciences

a dissertation Entitled:

~~XXXXXXXXXX~~

of significant magnitude and quality.

This has been examined by all members of the candidate's supervisory committee and has been

Approved:

Rejected:

Not Applicable:

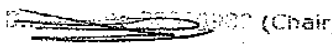
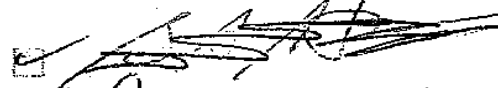

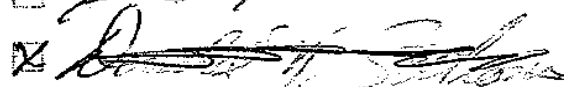

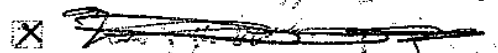
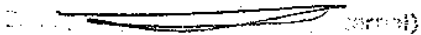

Examples of degree-related letters and documents: 3. Acceptable-part b

The committee has examined the candidate on 06/29/2009 (date) in accordance with the regulations governing the Final Examination and has adjudged his/her performance

Satisfactory:

Unsatisfactory:

Exceptions or qualifications are noted as follows: No exceptions or qualifications noted

| Name | Department | Required Approvals |
|---|-------------------|---|
|  (Chair) | Psychology | <input checked="" type="checkbox"/>  |
|  | Psychology | <input checked="" type="checkbox"/>  |
|  | Psychology | <input checked="" type="checkbox"/>  |
|  (Special) | Special Education | <input checked="" type="checkbox"/>  |

***. All members of the Supervisory Committee, including the external member, must be members of the Graduate Faculty and must be present for the final doctoral or master's examination and sign this form. The original, printed version of this form with all signatures must be retained at the Department level. Data from the completed form must be submitted electronically via GIMS to the UF Graduate School.**

Previous Example – Acceptable. Conditional Approval of Appointment

■ Because

- Defended successfully

■ Why Conditional?

- Dissertation is not formally accepted by the Institution

■ How to Proceed?

- Go ahead with the Appointment. Obtain final letter as soon as it is available.
 - Because the individual is considered a graduate student at UF, VSR is the alternative if final letter is not available by the Start Date.
-

Standard Exceptions to Appointments

- For appointments that fall under any of the following categories:
 - Term is more than three years
 - Term is less than 9 months for a Stanford PhD who is bridging time to a new position
 - Term extends into a fifth year
 - Appointment is joint with a Clinical Instructor appointment (90/10 or 80/20 split)
 - PhD conferred more than 3 years ago AND no postdoctoral research since PhD.

- Postdoc Admin should:
 1. indicate in the Recommendation Form Comments field that this is an exception and its description
 2. upload the appropriate PI rationale for the exception, to the Recommendation form before submission

Non-Standard Exceptions to Appointments

- Require case-by-case review and pre-approval by the OPA.
- Cases such as:
 - Appointment that is joint with another institution.
 - Appointment where responsibilities (some or all) are carried out outside of Stanford.
 - Appointment of less than 9 months for non-Stanford graduating students.
 - PhD conferred more than 3 years ago AND candidate was doing research after the PhD.
 - MD was conferred more than 6 years ago
 - Appointments for individuals who have 5 years of postdoctoral research
- Cases may be decided upon by the Assistant Dean or by the Vice Provost for Graduate Education.

Determining Required Minimum Funding Level

- Online Recommendation Form and the Change Form will calculate the appropriate minimum funding required for a postdoc at the time of appointment or renewal, based on the prior research experience.
- If you need to find out what the amount might be before starting the online process, use the Postdoc Salary Calculator on the OPA website:
<http://postdocs.stanford.edu/handbook/salary.html>

Reappointments

Reappointment Guidelines

- During its term, appointment is contingent upon satisfactory performance, programmatic need and existence of funding
- Postdoctoral Scholars are appointed at Stanford for fixed terms
- Either a Reappointment or Termination is required when the appointment term comes. Postdocs may not be here without a current affiliation approved by OPA.
- OPA reviews and approves online.

Reappointment Processing

- Postdoc Admin must initiate the form in PeopleSoft via Change Form:
 - Include New Fund/Include New End Date
 - Salary (annualized) with its effective start date
- Email Notification to Postdoc and Faculty Member are sent by the system.
- Visa Extensions can only be made if submitted to OPA in conjunction with a Reappointment Letter
- DS-2019 program end date MUST agree with appointment end date on Reappointment Letter – NO exceptions
- No separate reappointment letter is required by OPA.

Ending Appointments Successfully

Transfers, Change of Status and Terminations

Outline

- Early Termination
- End-of-term Termination
- Transfers to Another Department as Postdoc
- Termination actions and PS, GFS and Tuition
- Termination of Postdocs who also hold other academic appointments at School of Medicine (ie, Instructors)
- Moving into Faculty Position at Stanford
- Moving into Academic Staff (such as Research Associate) Position at Stanford
- Final Q&A

Early Termination Guidelines

- Early Termination process applies when the action is initiated by the faculty to end the appointment before its current end date.
 - Typical early termination reasons:
 - Programmatic Changes OR Lack of Funding
 - Documented insufficient academic or research progress
 - Determination of misconduct by the postdoc following a formal investigation
 - Written notice of early termination should be give at least 30 to 60 days prior to the termination date.
 - Principal Investigators should contact the Assistant Dean for Postdoctoral Affairs if there is potential of an early termination action.
 - If the postdoc is on a visa, the department administrator must provide a written/e-mail notice of the early termination date to the Bechtel International Center after the Office of Postdoctoral Affairs has been notified.
-

Early Terminations Guidelines, cont.

- Terminations due to inadequate academic progress or performance should follow a process by which:
 1. progress discussions and written evaluation by the faculty PI are made.
 2. Clear articulation (preferably written) of the specific steps to be taken in order to remedy any deficiencies, including the possibility of early termination if those deficiencies remain by a specific date.
 3. Such process takes place several weeks/months in advance of taking this early termination action.

- The language in the Early Termination Notice must follow the standard template on the OPA web site:
http://postdocs.stanford.edu/admin/Sample_Notice_of_Early_Termination.htm

Early Termination of International Scholars

- Bechtel International Center is under regulatory requirement to provide early termination notice of Postdoc status to the State Department (more than 30 days before visa expiration)
- Department administrator must send email advising Bechtel of early termination of any foreign scholar to foreign.scholars@stanford.edu and include the following information:
 - Postdoc name
 - Termination date
 - SEVIS number
- Administrators must follow the specific additional requirements for H1B holders are online:
- http://icenter.stanford.edu/depts/h_early_termination.html

Terminations, other than Early!

- Termination form must be received by OPA no later than 2 weeks prior to the termination date; 30 days is preferred
- The form will end registration fees, tuition, and insurance benefits
- The form will NOT end a Postdoctoral Scholar's pay lines in GFS. When you end the pay lines, PLEASE remember to recalculate tuition for future terms, otherwise Unapplied Aid will be generated.
- Any insurance charges incurred for an untimely termination are the responsibility of the department in which the Postdoc is terminating

Termination of Postdoc:

‘If Concurrent Clinical Instructor or Instructor Appointment’

The department’s Faculty Affairs Administrator must notify the School of Medicine Office of Academic Affairs when Postdoc leaves Stanford and provide the reason for the Postdoc’s departure (e.g., resignation, appointment ending, involuntary termination.)

Terminations & Tuition

- Postdoctoral Scholar appointments ending on 3/31, 6/30, and 9/30 may overlap with the start of the following academic quarter and generate the \$125 tuition fee
- GFS pay is based on financial quarters and TAL is not generated for this final quarter
- To comply with Registrar & OPA policy, and to avoid considerable extra work, the academic record of postdoctoral scholars in PeopleSoft SA will reflect the quarters of an appointment, while the payroll record in PeopleSoft GFS will reflect days paid.
- Please note final quarter of GFS pay and tuition paid on termination form

Terminations & Tuition, example

- A postdoctoral scholar appointed from 7/1/09 to 6/30/10 is shown as paid for Summer, Autumn, Winter & Spring financial quarters in PeopleSoft GFS.
- The dates of the academic postdoctoral appointment are shown as 6/23/09 to 6/21/10 in PeopleSoft SA for Summer, Autumn, Winter & Spring academic quarters.
- Student was paid on his appointment for Summer quarter (6/22/10 to 6/30/10) but was not academically enrolled for Summer quarter.

Transfer of Postdoc to another Lab or Department as a Postdoc

- Steps:
 - Current Department must initiate a Termination Form
 - New Department must initiate a New Appointment Process
- Each Department must follow the applicable guidelines for each action.
- System updates cannot be completed until all forms have been received
- Orientation attendance is not required

Transfer of Postdoc to Faculty Position:

“If Appointed to a Subsequent Clinical Instructor or Instructor Appointment”

The Department must:

1. Submit appointment file to the Office of Academic Affairs (approval will supply PeopleSoft position number);
2. Submit financial documents to Faculty Compensation;
3. Complete workflow transaction;
4. Once the start date of the instructor position is determined, submit the Termination Form to OPA as noted earlier; and
5. Notify Bechtel of the change in the case of foreign scholars.

Transfer of Postdoc to Faculty Position:

“If Postdoc is the Finalist Candidate for a Professorial Vacancy”

The Department must:

1. Identify the PeopleSoft professorial billet from its commitments;
2. Comply with the Office of Academic Affairs' procedures regarding search (or waiver) and professorial appointment;
3. Submit financial documents to Faculty Compensation;
4. Complete workflow transaction;
5. Once the start date of the faculty position is determined, submit the Termination Form to OPA as noted earlier; and
6. Notify Bechtel of the change in the case of foreign scholars.

Transfer of Postdoc to Academic Staff - Research Position

- Academic Staff are regular staff positions
 - Entitled to the same benefits as regular staff but
 - Not subject to salary ranges like regular staff
- Hiring policy – Waiver of Search Requirement One of the following conditions should apply:
 - Candidate has completed postdoctoral program at Stanford
 - Uniquely qualified candidate
 - Identified by name on a PI's written research proposal submitted to an external funding agency.

Transfer of Postdoc to Academic Staff - Research Position

- Appointment Process
 - PI decides to appoint postdoc to an AS-R position
 - Department gets approval from the department chair
 - Department submits appointment packet to HRG for the School of Medicine, or the School's HRM for H&S; Engineering; Education, Earth Sciences...
 - HRG/HRM sends appointment packet to Dean of Research Office for approval
 - 10 – 15 business days turnaround.

Transfer of Postdoc to Academic Staff Research Position, cont.

- Department administrators are responsible for tracking upcoming end dates of postdoctoral scholars in their areas.
- Good business practices are in place when administrators advise faculty on the turnaround time for appointing into a research associate position.
- Timely processing of appointment paperwork requires at least 30 and up to more than 60 days in advance:
 - turnaround is 10-15 business days internally at Stanford
 - additional time, up to 60 days needed, to process visa changes, including new H1B petitions for foreign scholars on J-1 visas.

Certificates

- A Certificate of training experience may be requested on the Termination Form—indicate the highest degree completed
- Certificates are now produced on a quarterly basis
 - January 15th (for terminations between Oct-Dec)
 - April 15th (for terminations between Jan-Mar)
 - July 15th (for terminations between Apr-Jun)
 - October 15th (for terminations between Jul-Sept)
- Administrators are notified by email when the certificate is ready for pick-up or to have them sent via ID mail
- Administrators then acquire signatures from the appropriate faculty members and mail the certificate directly to the Postdoc

Certificate Documentation

- Certificates can only document the Department, and in some cases the Division
- Subspeciality fellowships can only be listed for the very few cases of “super-fellows” with ACGME accredited training (Advanced Training)
- Clinical fellow classifications must be confirmed with *Full Patient Care* initialed on the Patient Care Contact Sheet
- Postdoc certificates can only document the period of time for which a postdoc was directly appointed through OPA and not through GME

Verifications

- Requests for verification of a Postdoctoral training experience can be verified through our office only for the time that the Postdoc was appointed through OPA
- Verification of training through the hospital must be done by the GME office directly or by the department itself

Certificates & Verifications

■ Questions?

Part II. Visa Processing

- Types of Visa Statuses for Foreign Postdocs
- Submission of requests
- OPA approval
- DS-2019 application
- Transfers
- Requirements after Arrival
- Change of Status
- Reappointments
- H1B requests

Visa Types for Foreign Postdocs

- F-1 Optional Practical Training (available to foreign PhD students who are completing PhD degrees at US universities).
 - Must be followed by a foreign scholar visa (J1) or in exceptions (H1B)
- J-1 Scholar – up to a maximum of 5 years
- H1B (rare) – up to a maximum of 6 years

For J-1 and H1B visa requests, start and end dates of the visas must coincide with the start and end dates of the postdoctoral appointment.

Submission of J-1 Visa Requests

- J Scholar Visa Requests
- Administrator must complete J-1 SEVIS Visa Webform Request (DS-2019) in Axess: http://icenter.stanford.edu/depts/j_status.html
- Submit DS-2019 requests at least 8 weeks before expected arrival date, 3 months is preferred
- Support/funding is required to cover duration of visa and appointment

How to request the DS-2019

- The J Scholar Visa Request form is available via the Axxess portal at <http://axess.stanford.edu>
- Note: If you do *not* see the link to the 'J Scholar Visa Request form' in Axxess, please submit this form to request access: <http://www.stanford.edu/dept/icenter/j-scholar.fb>
- **Submit DS-2019 requests at least 8 weeks before expected arrival date, 3 months is preferred**
- ***Allow at least one week for issuance of the DS-2019 AFTER the completed and approved form is received by the I-Center.***

How to request the DS-2019

- Go to <http://axess.stanford.edu>
- Enter your **SUNet ID** and **password** and **click 'login'**
- The **J Scholar Visa Requests form** is available on the **Employee Information** tab. If you do not automatically find yourself on this tab, you will first need to click the tab to navigate here. *Note: If you do not see J Scholar Visa Requests, please contact the Bechtel International Center at internationalscholars@stanford.edu so that you can be granted access to the page.*
- Then click the **J Scholar Visa Request** link.
- The main page for J Scholar Visa Requests opens, displaying a menu of available options.
- Select the transaction you need and click **'Continue'**.

Non-US MD Trainees (Assumes Incidental or Full Patient Contact for the purpose of treatment)

- Bechtel only processes visa requests for postdoctoral scholars in Research Scholar category with No Patient Contact.
- If your postdoc will have incidental or full patient contact, you must contact Graduate Medical Education at the hospital.
- All visas and CA Med Board License exemption approved by ECFMG and processed through GME. None processed or reviewed by Bechtel or OPA.

MDs on Visas – J-1 Visa Status Issue

- ECFMG will allow maximum of 7 years of clinical scholar program
- Known issues with MDs conducting research prior to completion of residency requirement
- MDs cannot be appointed to a research appointment (without approval) prior to a clinical appointment as this is considered a change in program
- Completion of studies and 2 year return home requirement:
 - J-1 Research Scholar status
 - J-1 Clinical Scholar status

OPA Approval

- When submitted, DS-2019 Web Forms are routed to OPA for approval before processing by Bechtel.
- Bechtel does not see Request Forms until OPA approves them and forwards them to Bechtel.
- A complete appointment submission is required for OPA to approve J-1 visa requests. Follow instructions at http://postdocs.stanford.edu/admin/visas_j1.html
- DS-2019 requests are generally approved by OPA within two weeks of submission.

DS-2019 Application

- Important points to remember:

Biographic data

- Accuracy of biographic data is crucial
- Use copy of passport when completing on-line form
- Name should be noted as it appears in machine-readable strip at bottom of biographic page of passport
- Date of birth should be noted as month/day/year
- Read instructions at http://icenter.stanford.edu/depts/j_status.html before starting to enter data into the application form

Funding

- For initial and transfer requests, funding noted on web form request should be total funding from program start date (expected start of J status) to program end date.
- For extensions, funding should be from end date of current DS-2019 to end date you note on web form request.

Program Start Date

- Start Date of the Appointment MUST be the same as the Start Date of the DS-2019.
- Allow enough time for DS-2019 Request to be approved by OPA and processed by Bechtel (8 weeks minimum). Postdoc also needs time to apply for and be granted the visa and arrive. Arrival up to 30 days before program start date is permitted.
- After postdoc's arrival, Bechtel must validate record no later than 30 days after program start date. This is only possible if Bechtel receives arrival confirmation (with U.S. Residence address) by email from postdoc in time to do this. If postdoc can't arrive in time for this to be done, new amended DS-2019 showing later start date must be issued or the record will become invalid.
- Use a realistic start date in order to avoid having to re-issue DS-2019 with amended start date.

Requesting an Amended DS-2019

- The J Scholar Visa Request form is available via the Axess portal at <http://axess.stanford.edu>
- Enter your SUNet ID and password and click 'login'
- Then click the J Scholar Visa Request link.
- The main page for J Scholar Visa Requests opens, displaying a menu of available options.
- Select Amend Start/End Dates Before Arrival and click 'Continue'

Information on previous J status required

- You need to indicate whether or not the postdoc has held J status within the past 2 years.
- If yes, indicate in web form request the category and start/end dates of the J status. This information can be found on previously issued DS-2019s. Ask postdoc to provide you with copies of those previous documents.
- If EV is currently in the U.S. in a visa status other than J, note current visa status in web form request

J-1Transfers

- Record must be transferred by EV's current institution before current program end date. J1 category cannot change
- Obtain copy of EV's current DS-2019 to check program end date and J1 category (category must be Research Scholar)
- Note name and email address of foreign scholar advisor at current institution in web form section of DS-2019 request so that Bechtel can contact that advisor and request the transfer.
- Note EV's home country address as well as U.S. address.

How Postdoctoral Scholar Confirms Arrival to Bechtel International Center

- ❑ To confirm your arrival, please copy the following fields into an e-mail and send to jarrivalconfirmation@lists.stanford.edu, with the subject of
- ❑ “ARRIVAL CONFIRMATION”

- SEVIS ID NUMBER (SEVIS ID Number in upper right-hand corner of DS-2019, begins with “N”):
- LAST NAME:
- FIRST NAME:
- MIDDLE NAME:
- FULL U.S. RESIDENCE ADDRESS (not office or department): (Street, City, State, Zip)
Note: The SEVIS record can be validated with a temporary U.S. Residence address, and can be updated later. [See Address Changes.](#)
- PHONE NUMBER:
- E-MAIL ADDRESS:
- DATE ARRIVED IN THE U.S.:

- DO NOT CONTACT OPA!

Social Security Number Applications

- Postdocs on Stanford-sponsored J visas should send Arrival Confirmation information to jarrivalconfirmation@lists.stanford.edu as soon as possible after arrival
- Advice to Postdoctoral Scholars on Stanford-sponsored J visas:
 - Do not apply for SSN earlier than 2 weeks after your SEVIS record has been validated by the Bechtel. The record is validated after you report your U.S. residence address to the Bechtel. You will receive an email confirmation from the Bechtel staff when your SEVIS record is validated.
SSN officials cannot see validation of SEVIS record until up to 2 weeks after it has been done. If they can't see activation of record SSN request will be denied.

Social Security Number Applications

- **SSN officials cannot see SEVIS data directly:**
 - **they receive a separate data feed every two weeks. So, even if Bechtel validates a visitor's SEVIS record today, the SSN officials might not be able to see that the record has been made active until 2 weeks from today. If they cannot see that the record is active, they will deny the SSN request.**

Change of Status – Foreign Citizens

- Two options to change visa status
 - Recommended method – Departure and Re-entry
 - By mail

Change of Status

- Usually post-docs who have started program in F1 status under OPT and will continue program in J status
- Change of status by mail, without departing the U.S., currently takes about 3 months for USCIS to approve. If this option is used, program start date on DS-2019 Request should be day after end date on EAD card if EAD card is expiring in 3 months or less. Program start date should approximate the date when the change of status is expected to be approved. Postdoc should not mail application for change of status earlier than 3 months prior to program start date on DS-2019.
- Change of status by departure and re-entry is recommended. Start date on DS-2019 application should be the expected date of re-entry.
- Please note in Comments section of application if the EV will be changing status and how status change will occur.

How to Determine Eligibility for an H1B for a postdoc?

- Does any of the following apply to the postdoc:
 - ❑ Married to US Citizen
 - ❑ Exhausted 5 years in J-1 status
 - ❑ Pending Permanent Residence application
 - ❑ Holder of an H1B immediately prior to coming to Stanford.
 - ❑ Does the postdoc have a J-1 waiver of the two-year rule?
 - ❑ Is the postdoc currently at Stanford under F-1 OPT?

If yes,

Read carefully both pages of the H1B Request and Review form at <http://postdocs.stanford.edu/admin/pdf-forms/H-1B.pdf>

1. Administrator should attach this form and relevant supporting documentation with the appointment packet. Note in the paperwork your request to proceed with an H1B.
2. OPA will notify Bechtel of approval to proceed with H1B for the postdoc, cc to the administrator.

H1B Policy – cont.

- In some circumstances, extensive evaluation of the request is made by the H1B Review Board:
 - J-1 waiver is obtained
 - Department claims no other qualified candidates for position
 - Postdoc has comparable offer at another institution with a H1B commitment
- If scholar has any visa options other than H1 (i.e. can be on J-1), the H1B is treated as a personal-preference visa. \$900 processing fee applies
- Bechtel processes H1B requests.

Terms and Conditions for all H1Bs at Stanford

1. H1B Visa is for a specific job and can limit the career path of postdoc, defined as employment. No significant change in responsibilities may be possible without obtaining approval from USCIS.
2. The postdoc on an H1B must remain salaried on university grants during the postdoc appointments. That postdoc will be **ineligible to receive fellowships**, such as any externally-competitive national fellowships or others offered at Stanford. You must ensure that sufficient funds are available to support the postdoc during the appointment period.
3. The H1B is specialty occupation Visa and there must be demonstration that special educational preparation is required.
4. The H1B Visa requires that a prevailing wage (market rate) is paid to the postdoc.
5. In case of early termination of postdoc appointment by Stanford, the PI/Department is required to pay for a return airfare home.

Terms and Conditions for all H1Bs at Stanford – cont.

6. The petition fees for H1B applications should be paid by the PI/Department but may be paid by the beneficiary (the postdoc) provided that the salary the postdoc will earn, minus any fees incurred by the postdoc, remains within the required minimum wage for that postdoc.
7. The department chair, division head or Director of Finance and Administration/Administrative Services Manager should be informed and sign off on this commitment.
8. The department administrator must put together and maintain a public access file that contains the following documents, per US regulations:
 1. One certified Labor Condition Application with original signature
 2. One copy of the LCA Cover Pages
 3. Actual Wage Memo
 4. Prevailing Wage Information sheet
 5. Public Access Information sheet

H1B Requests

- H1B processing is done via online web forms. Contact Bechtel for information.
- The current process requiring Postdoc Affairs review and approval of all H1B requests and extensions.

Please read Bechtel's memo online at <http://postdocs.stanford.edu/admin/blog/> if you handle ANY H1B petitions. Contact OPA by submitting a HelpSU ticket if you have questions about the OPA process.

After OPA and Bechtel Approve Appointment...

Postdoc Admin Should:

- Send DS-2019 Document to Foreign Scholar, if applicable.
- Go to PeopleSoft and look-up the EmplID of the Postdoc
- Direct postdoc to pre-arrival orientation online:
http://postdocs.stanford.edu/incoming_scholars/
- Prepare an Arrival Orientation Packet for the Postdoc.
Orientation Toolkit for Administrators is online at
<http://postdocs.stanford.edu/admin/orientationtoolkit.html>.
- Register the Postdoc in the Benefits Session
- Aid-Year Activate in GFS and Enter the Aid (Funding) information

Postdoctoral Benefits Session

- Benefits session is mandatory for all new Postdoctoral Scholars and Clinical Fellows
- Orientation is held each Thursday between 10:00am and 11:30am in Bambi Modular on Santa Teresa Street.
- If enrollment is < 5 PDs, session may be cancelled & attendees asked to return the following week
- Postdoctoral Scholars should be registered by the department administrator for the first session directly following their arrival at Stanford
- Department Administrator registers scholars for session. Look for emails from Benefits Administrator each month with new links as new sessions are added. Each month has a different sign-up web page.
- Deadline for benefits session sign-up is Tuesday at 5:00pm for that Thursday's orientation

Part III. Stipend/Salary Policy and Procedures

Processing Support for Postdoc– Who does What?

■ OPA's responsibilities:

- ❑ Term Activation in PeopleSoft Student Administration
- ❑ Creating Student ID
- ❑ Setting up a record in ClearBenefits

■ Department responsibilities:

- ❑ ClearBenefits entry of PTAs to charge insurance premiums
- ❑ Aid-Year Activation in GFS; Item-Type Requests for New PTAs
- ❑ Entry of GFS Salary, Stipend and Information-Only lines
- ❑ Collection of I-9 documents and forwarding to Payroll (and follow-up with postdocs on missing I-9 documentation)

Paying Postdoctoral Scholars

- After Aid Year Activation, pay lines can be entered in GFS using Aid Entry
- Postdoctoral Scholars Funding
 - Either Salary or Stipend or a combination of both or external funding.
 - Must be supported either by Stanford grants and contracts, training grants, School or departmental fellowship funds, or external fellowships, or by a combination of these sources (administered in GFS).
- Assist Salary Tab
 - Use Assist Type RAF if 20 hours or more salary
 - Use Assist Type RAFC if less than 20 hours salary
 - Use Assist Type RAF on each PTA if PTAs are <20 hours but total hours salary ≥ 20 . So 10 PTAs each paying 4 hours salary would all be Assist Type RAF
- FLSHP Stipend Tab
 - use if paying stipend
 - use if paid on outside support (enter as an Information Only line)

KEY DISTINCTIONS

SALARY

- ❑ **ALLOWABLE** cost on research grants/ contracts
- ❑ Subject to rules about employment, tax withholding
- ❑ Fringe Benefits Rate (19.8% in FY11 for 50% FTE or more appointment)
- ❑ No direct charge of insurance to dept

STIPEND

- ❑ **NOT ALLOWED** on research grants/ contracts, except Training Grants, Fellowships
- ❑ Not employment
- ❑ Not permitted for postdocs on H-1 (employment) visas
- ❑ Insurance premiums charged at cost to department PTA or institutional allowance

Having to change from one to the other can be very painful.
Always try to get it right the first time.
See http://gfs.stanford.edu/pd_indicators.html

Fringe Benefits Rates Assessed on Salary

- Postdoc Fringe Benefit Rate (19.8%) is assessed on all salary on RAF lines (50% FTE or more)
 - e.g. two separate salary lines, each 30% FTE, will each be charged the full benefits rate
- Contingent Benefit Rate (8.3%) is assessed on Contingent lines, RAFC (less than 50% FTE)
 - e.g. one salary line for 30% FTE will be charged the contingent benefits rate

The Charge Priority - RAF or RAFC - controls the benefit rate.

If Postdoc Funding is External –Paid Directly to Postdoc

- Enter the Funding Information in the FLSP STIPEND Tab as INFO ONLY line:
 - ❑ postdoc is funded by an outside source, and
 - ❑ the money is NOT being processed through Stanford
 - ❑ Required in order to document the funding and comply with minimum support levels.

Paying Postdoctoral Tuition

- A Registration fee of \$125 is charged per term
- Postdoc Admin must Calc Tal and Route the TAL line in the Assist TAL Tab—use if paid salary
- Postdoc Admin must enter the \$125 and the PTA to pay it in the FLSHP Tuition Tab—use if paid stipend or by outside support
- Postdocs in degree programs must complete a Tuition Agreement form and submit it to the Office of the Registrar in order to be assessed the correct rates per quarter.

Tips for Tuition Allowance

- Always recalculate the TAL when changing a salary aid line
- Only use TAL Overrides when absolutely necessary
 - Recalculate instead of adjusting the amount
 - When you do override amount, be sure to tab twice, and visually check before clicking OK
- Finish all entries before completing TAL lines

Postdoctoral Scholars: Advances/Reimbursements

- If you are unsure whether the payment should be categorized as reimbursable university business or as student support:
 - Submit HelpSU ticket.
 - Select "Central Office Issues" and then "Customer Outreach for Disbursements."

Postdoctoral Scholars: Advances/Reimbursements

- Travel Expenses: conferences, field trips, research collaborations etc.
 - Advances or Reimbursements made through Travel & Reimbursement – not tax-reportable income. See Administrative Guide 36.7, Section 11 on "Student Travel and Tax Issues" at: http://adminguide.stanford.edu/36_7.pdf.
 - 57841 – new expenditure type in GFS to use for Postdoc/Non-Matric Supply/Travel Stipend (postdoc travel that does not meet the criteria for University travel and cannot be processed through Oracle iOU)
- Education-related Expenses
 - Processed in GFS as student support, tax-reportable. Paid as a one-time stipend, either in advance or as reimbursement. May be tax-deductible expenses.

GFS Help

- Submitting HelpSU Tickets
 - Request Category = Administrative Applications
 - Request Type = PeopleSoft GFS
 - Include the Emplid, Name, and Aid Sequence
- PeopleSoft Learning Center
 - <http://peoplesoft.stanford.edu/learningcenter>

GFS Help

- In-Person GFS Help - Friday Open Labs

Users who would like personalized help with their GFS questions, or who would like to go through the online training in a lab setting with a knowledgeable user on hand, are encouraged to attend a drop-in lab:

Days: Every Friday morning

Time: 9:00 - Noon

Where: Arguello Labs, 427 Arguello Way

ReportMart Reminders

- ReportMart1 GFS reports access
 - Access to reports is based on your PeopleSoft security access
 - If you have at least GFS Inquire role in PS, you have access to associated GFS reports in RM1

- Submitting HelpSU Tickets
 - Request Category = Administrative Applications
 - Request Type = ReportMart
 - Include Report Title and Report Number in ticket
 - Include Macintosh or PC user

Useful Postdoc ReportMart1

Reports

- **PS_GFS030 Monthly Postdoc Stipend Report**
 - Process this report by month end date (for the desired pay period) and emplid, plan, account, or dept/school. Displays amount issued, check number, account, etc. Only includes Active postdocs.

 - **PS_GFS013 Postdoc 50% Salary Report**
 - Processes all postdocs at once. Displays postdocs who have employment of 50% or greater by month.

 - **PS_GFS015 GFS Unapplied Aid Report**
 - The GFS Unapplied Aid Report provides information about students who have received financial support in GFS in excess of charges. The unapplied aid needs to be revised or removed.

 - **PS_GFS020 Postdoc Paylevels Report**
 - Process by plan or dept/school, student status, and aid year. Provides GFS aid information for postdocs, including INFO ONLY lines. All postdocs included regardless of aid status.
-

Questions

Salary Entry/Policy or Others?

PeopleSoft Postdoc Web Forms

Only means to perform any appointment-related actions for postdocs, effective August 2011

Departmental Approval of appointments by Department Manager, Division Manager or DFA

Project Web Page

http://postdocs.stanford.edu/admin/PeopleSoft_Project.html

For Help? Submit HelpSU Question to Postdoctoral Affairs: helpsu.stanford.edu > Student Services >

[Postdoctoral Affairs](#)

Postdoctoral Administrators Resources and Networks

You are the primary resources for policy implementation and advice to faculty and postdocs in your areas.

- OPA Web Page – All Procedural Information, plus
 - Administrator Updates Blog: for all important memos, searchable archive of historical policies and memos, including meeting slides.
- Postdoctoral Administrators Quarterly Meetings
 - Thursday, July 28, Clark S360, 10am – 11:30am
- Email Distribution Lists: supdssworkgroup@lists.stanford.edu