

## Recommendation for Postdoctoral Appointment Form

Please review the instructions on page 2 of this form before completing.

**Name** \_\_\_\_\_  
(Last) (First)

**Citizenship** \_\_\_\_\_

**School/Center** \_\_\_\_\_

**Department** \_\_\_\_\_

**Appointment start date** \_\_\_\_\_

**Appointment end date** \_\_\_\_\_

**Email** \_\_\_\_\_  
(Current email address, if available)

**Doctoral degree award date** \_\_\_\_\_ (mm/yyyy)

**Doctoral degree(s)** \_\_\_\_\_

**Employee ID#** \_\_\_\_\_  
(Or SES # if any, do **NOT** enter SS#)

**Faculty Mentor:** \_\_\_\_\_

### Action Requested:

- New Appointment (*minimum 1 year appointment term*)
- Salary Adjustment
- Reappointment (*only within same job code*)
- Transfer to Grant/Fellowship including NRSA

- Change of Dates
- Transfer from Department/Center
- Graduate Student continuing as Postdoctoral Trainee (*if term is less than 1 yr*)
- Other (*please specify*)

### Job Title (Job Code):

- Postdoctoral Scholar (100006)
- NRSA Postdoctoral Fellow (100091)
- Postdoctoral Fellow - Dept of Education (105565)
- WCAS Research and Teaching Postdoctoral Fellow (100118 *formally Mellon Postdoctoral Fellow*)
- Postdoctoral Fellow, Direct Fellowship (107021) *please fill out sponsoring entity below*
- Visiting Postdoctoral Fellow (103073) *must have documentation of appointment to a home institution outside Northwestern where they will return*

### Time:

- Full Time
- Copy of CV attach** (*Required for new appointments and reappointments*)

### Pay:

Total New Salary for this appointment: (*all sources*) \_\_\_\_\_

Previous NU Salary (*if any*): \_\_\_\_\_

### Source of Funds

 (all funding must add up to at least the University minimum of \$47,476):

University Funds: \$ \_\_\_\_\_ Chart String \_\_\_\_\_

\$ \_\_\_\_\_ Chart String \_\_\_\_\_

External Support (*support not administered by NU*): \$ \_\_\_\_\_

**Affiliate organization** (*i.e., NMH, RIC*) \_\_\_\_\_

**Sponsoring Entity** (*must have verification*) \_\_\_\_\_

### Insurance and University Policies

- Faculty members and administrators must review with the postdoctoral candidate enrollment information for University health insurance, proof of health insurance, or information and approval of coverage by the Office of Risk Management covering the full appointment term. (Refer to pg. 2)
- Postdoctoral trainees must adhere to [University policies on Conflict of Interest, Research Integrity, and Intellectual Property and Patents](#). The candidate has been informed of these and will be provided with a copy of relevant policies and the staff handbook. (Refer to pg. 2)

### Authorization

I authorize this appointment and certify that the proposed position is in accord with University policies. The Department/Center takes full responsibility for the appointee, **including provision of facilities/equipment and any involved obligation of salary, benefits and health insurance claims.**

**Principal Investigator** \_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Signature) (Date)

**Dept. Chair/Center Director** \_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Signature) (Date)

**Dean** \_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Signature) (Date)

**Prepared by** \_\_\_\_\_

\_\_\_\_\_  
(Signature) (Date)

Phone \_\_\_\_\_ E-mail \_\_\_\_\_

### **A. Instructions for the Principle Investigator and Department/Center**

1. The Principal Investigator (PI) or a designated department/center administrator may complete this form.

- It is the initiating PI's responsibility to ensure that the applicant has an advanced degree, such as PhD, MD, or similar, prior to being appointed as a postdoctoral trainee. Degree award date must be filled in; a letter from the degree-awarding institution (e.g. graduate PI) stating successful completion of all doctoral degree requirements and conferral of doctoral degree **MUST** be obtained prior to the appointment start date. This documentation is to be made available to the School Dean's office.
- For all new appointments and reappointments, a copy of the applicant's CV is to be submitted with this form.
- Postdoctoral trainee appointment categories can be viewed in detail on [the OPA appointments definitions webpage](#). If you have a question about the appointment category to choose, please refer to the [myHR Manual](#) and contact the OPA before submitting this form.
- New appointments must be for a **minimum term of one year** and sufficient funds must be available for the hire. Exceptions to this are recent NU graduates who upon completing degree requirements need additional time for completion of specific research projects initiated as graduate students. The Department/Center and the OPA must approve any other exceptions. Start and end dates must not extend past the corresponding dates of funding sources or the end date of documentation permitting employment in the US. Any shortfall of funds shall become the responsibility of the Department/Center.
- It is recommended that Departments/Centers maintain a postdoctoral compensation policy that is comparable to those of the funding agencies relevant to the appointing School, Department or Center (e.g., NIH NRSA stipend levels). Please contact the [OPA](#) for current NIH NRSA stipend levels, Fair Labor Standard Act (FLSA) minimums or for other guidance.
- Non-employee postdoctoral fellows (NRSA or Visiting Postdoctoral Fellow) are eligible for coverage through the Northwestern University Non-Employee Postdoctoral Scholar Benefit Program (sponsored by the Office of Human Resources and administered by Garnett-Powers & Associates) or the [Office of Risk Management](#). Faculty members, administrators and new postdoctoral fellows should discuss the postdoctoral fellow's responsibility for medical/hospitalization and outpatient expenses of any kind when incurred and the release and discharge of Northwestern University, its employees and agents from any obligations that the postdoctoral fellow may incur as a result of an illness or injury.

2. Completed forms are to be submitted to the school Dean's office for approval. After approval, the College, School or Research Center will send the official letter of appointment to the appointee. In the case of international scholars, notification of appointment can be done after visa-processing paperwork has been submitted to the International Office.

3. Depending on individual School or Center procedures, the Dean, Center, or Department, initiates an [Appointment and Position Data form](#) to be sent to the Payroll office at the Office of Human Resources (HR). HR forms may be found at the [HR website](#). In all instances, the approved postdoctoral appointment form must accompany the HR forms submitted to Payroll.

### **B. Responsibilities of the school Dean's office**

- Please ensure the applicant's eligibility to be hired as a postdoctoral fellow, based on University policy (outlined above).
- A PDF of the approved appointment form should be e-mailed to the OPA using the format: *first name-last name-EmpID#*. For new hires with no employee ID#, please name the file as *first name-last name-NH*.
- Nominated signatories who can approve an appointment are the **ONLY** ones accepted by Payroll on this form. Any changes that occur to this information must be relayed immediately to [Payroll](#).
- The Dean's office signatory must have FASIS access and be able to reconcile data in FASIS against forms submitted through their office to Payroll. It is recommended that data be reconciled monthly.

### **C. Responsibilities of the PI/Advisor towards Postdoctoral Fellows**

- Please encourage postdocs to visit the OPA and view resources on the "[Welcome to Northwestern](#)" page.
- PI/advisors are required to provide and discuss with the fellow the [Patent and Invention Policy, Conflict of Interest, Research Integrity and other relevant University policies](#).
- It is recommended that PI/Advisors review guidelines issued by HR, refer postdoctoral fellows to the [Staff Handbook](#) and discuss mutual expectations for the training period.
- Many funding agencies require mentors to develop and follow [Individual Development Plans](#) with fellows. The OPA strongly encourages ALL postdoctoral fellows to have an IDP, and for the mentor to review and discuss it every six months.

### **D. Full links listed in this form**

Office of Postdoctoral Affairs: <http://www.tgs.northwestern.edu/resources-for/postdocs/index.html>

OPA Welcome to Northwestern: <http://www.tgs.northwestern.edu/resources-for/postdocs/welcome.html>

Appointment Definitions: <http://www.tgs.northwestern.edu/resources-for/postdocs/appointments/definitions.html>

Individual Development Plans: <http://myidp.sciencecareers.org/>

Office of Human Resources: <http://www.northwestern.edu/hr/>

Human Resources Payroll: <http://www.northwestern.edu/hr/payroll/index.html>

Appointment and Position Data Form: <http://www.northwestern.edu/hr/managers-administrators/payroll-administration/index.html>

Staff Handbook: <http://www.northwestern.edu/hr/policies-forms/policies-procedures/staffhandbook.html>

Links to Policies: <http://www.tgs.northwestern.edu/resources-for/postdocs/appointments/policies.html>

Office of Risk Management: <http://www.northwestern.edu/risk/>

International Office: <http://www.northwestern.edu/international/>