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 ___________________________

Action requested
☐ New Appointment (minimum 1 year appointment term)
☐ Salary adjustment
☐ Reappointment (only within same job code)

Job Title (Job Code)
☐ Postdoctoral Fellow (100006)
☐ NRSA Postdoctoral Fellow (100091)
☐ Visiting Postdoctoral Fellow (103073)

Additional Information Requested:
☐ Copy of CV attached (Required for new appointments, reappointment
☐ Copy of Individual Development Plan attached (recommended)

Salary paid via NU $_________________________/year

(Previous NU salary, if any): $_________________________(Required)

Source of Funds
University funds:
Chart string: ___________________________

Sponsored funds:
Chart string: ___________________________

External support not administered via NU: $_________________________/year

Sponsoring entity (Dean’s office must have verification) ___________________________

Affiliate organization (i.e., NMH, RIC) ___________________________

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 Fellows 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 ___________________________ (Print Name)

(Signature) ___________________________ (Date)

Phone ___________________________ E-mail ___________________________

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(Updated July 2017; replaces previous forms)
Below are instructions for the postdoctoral appointment process at Northwestern University. Questions can be addressed to the OPA.

A. Instructions for the Principle Investigator and Department/Center
1. The Principle 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 fellow. 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.
   - The OPA strongly encourages the use of an Individual Development Plan and recommends that a copy of the applicant’s should be submitted with this form.
   - Postdoctoral fellow appointment categories can be viewed in detail on the OPA appointments definitions page. If you have a question about the appointment category to choose, please refer to the HR Systems 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-EmplID#. 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/

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