

# Northwestern University Office of Postdoctoral Affairs

## Postdoctoral Fellow Appointment Form

To be filled in & signed by the PI, signed by Department Chair/Center Director, and approved by the Dean. <sup>a</sup>

### Information about the candidate

email \_\_\_\_\_  
a current email address if available

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

Citizenship \_\_\_\_\_ Degree award date (mm/yyyy) \_\_\_\_\_

School/Center \_\_\_\_\_ Department \_\_\_\_\_

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

Appointment start date \_\_\_\_\_ Appointment end date \_\_\_\_\_

#### Title (Job code)

- Postdoctoral Fellow, 100006
- Postdoctoral Fellow (BIR), 103016
- NRSA Postdoctoral Fellow, 100091
- Visiting Postdoctoral fellow, 103073

#### Action requested

- New Appointment
- Salary adjustment
- Change of dates
- Transfer \_\_\_\_\_ (department)
- Reappointment

#### Time

- Part Time %=
- Full Time
- copy of CV attached** - Required for all new appointments and reappointments being made after three years or more after prior appointment

Salary paid by NU (Previous NU salary, if any) \$ \_\_\_\_\_

\$ \_\_\_\_\_ /month

\$ \_\_\_\_\_ /year

#### Support not administered through NU

\$ \_\_\_\_\_

#### Source of Funds

University funds: CUFS# \_\_\_\_\_

CUFS# \_\_\_\_\_

Sponsored funds: CUFS# \_\_\_\_\_

CUFS# \_\_\_\_\_

Sponsoring entity (Dean's office must have verification)

Affiliate organization (i.e., NMH, ENH)

#### Insurance requirements: research appointees are governed by the insurance requirements as outlined in the research staff and appointment policy

- Research staff appointees are bound to the University Patent and Conflict of Interest Policy. The applicant has been informed that he/she is bound by the University Patent and Conflict of Interest Policy and has been provided with a copy of the Research Staff Appointment Policy (found at <http://www.northwestern.edu/research/policies/resAppointments.html>)

#### Authorization

I authorize this appointment and certify that the proposed position is in accord with University policies. This appointment has received Department/Center approval, and the Department/Center takes full responsibility for the appointee. <sup>b</sup>

\_\_\_\_\_  
Sponsoring Principal Investigator Date

\_\_\_\_\_  
Dean Date

\_\_\_\_\_  
Department Chair or Center Director Date

\_\_\_\_\_  
Prepared by PRINT name Date  
Your phone # Your Fax #

<sup>a</sup> **Process:**

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## Instructions for the department

1. The form requires 3 signatures, the PI's, department chair/center director's and the dean's. The form is to be completed by the PI or the designated Department Administrator (phone and fax numbers must be included) following instructions on how to fill the form that are based on University guidelines given below. While 1 signature can be an administrator, the other signature needs to be a designated faculty member before submission to the dean's office.

- It is the initiating PI's responsibility to ensure that the applicant **has an advanced degree** such as Ph.D., M.D., J.D. or similar, prior to being appointed as a postdoctoral fellow. Degree award date must be filled-in; in the absence of which, a letter from the degree-awarding institution official (e.g. graduate PI) stating successful completion of all degree requirements **MUST** be obtained prior to starting as a postdoctoral fellow (This documentation is to be available in the Dean's Office).
- A copy of the applicants CV is to be included.
- The appointment must be for a **minimum term of a year** and sufficient funds must be available for this hire. Exceptions to this are visiting fellows (who can be hired for a maximum of 1 year), reappointments or an NU graduate who upon completing degree requirements needs additional time for completion of graduate research associated activities. Any other exceptions must be approved by the OPA. Start and end dates must not extend past the corresponding dates of the source of funds. Any additional funds shall be the responsibility of the department/center.
- It is highly recommended that departments maintain postdoctoral compensation policy that is comparable to the NIH, NRSA (years of research experience) stipend levels. The FLSA minimum pay for F/T (exempt) postdoctoral fellows is \$23,660.00 per annum and fellows paid less than this are considered non-exempt, bi-weekly employees who must complete time sheets and are eligible for overtime.

2. Completed forms are to be submitted to the Dean's office for approval. After approval the dean or center director sends the official letter of appointment to the appointee. In the case of international fellows, 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, the center director or the department, initiates an *Appointment and Position Data* form to be sent to the Payroll Office at the Department of Human Resources (HR). HR forms may be found at the [HR web site](#). In ALL instances, the *approved* postdoctoral appointment form *must* accompany the HR forms submitted to Payroll. HR forms not accompanied by an approved Postdoctoral Appointment form will *not* be processed by Payroll until the form is submitted.

## Responsibilities of the Dean's office

- To ensure the applicant's eligibility to be hired as a postdoctoral fellow based on NU policy (outlined above).
- A copy of the approved appointment form is to be sent in PDF via email to the Office of Postdoctoral Affairs (OPA) [postdocs@northwestern.edu?subject=PAF](mailto:postdocs@northwestern.edu?subject=PAF) using the employee id # as the file name *simultaneous* to submission of paperwork to Payroll (for new hires with no NU id # please name file as NH-xxxx, where xxxx is last name of appointee).
- Nominate a signatory who can approve an appointment whose signature will be the **ONLY** one accepted by Payroll on this form. Any changes that occur to this information must be relayed immediately to both the OPA [postdocs@northwestern.edu?subject=DeanSig](mailto:postdocs@northwestern.edu?subject=DeanSig) as well as Payroll [b-sexton@northwestern.edu](mailto:b-sexton@northwestern.edu). [?subject=DeanSig](mailto:postdocs@northwestern.edu?subject=DeanSig)
- The Dean's office signatory must have HRIS access and be able to reconcile data in HRIS against forms submitted through their office to Payroll. It is recommended that data be reconciled monthly to ensure quality assurance.

## Responsibilities of the PI towards the postdoctoral fellow

- PI's (and postdoctoral fellows) are encouraged to visit the website of the Office of Postdoctoral Affairs and view the Postdoc Handbook <http://www.tgs.northwestern.edu/postdocaffairs/handbook/>
- It is recommended that PI review guidelines issued by HR as well as refer postdoctoral fellows to the staff handbook at <http://www.northwestern.edu/hr/forms/oncampus/handbook.pdf>
- PI's might also find helpful documents available at <http://www.northwestern.edu/hr/forms/> such as the new employee on boarding checklist, as well as the performance excellence form to establish research expectations and goals with new employees. These and other forms available at this website may be tailored to the individual research requirement. Forms specific to postdoctoral training will soon be made available at the Office of Postdoctoral Affairs website.

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<sup>b</sup> **'Full responsibility' includes:**

Provision of facilities and equipment and may involve an obligation of salary, benefits and health insurance claims.