



Administrator Checklists for Postdoc Appointments: Offers, Onboarding, and Appointments

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Onboarding a New Postdoc

1. Obtain e-mail [approval from SMD Finance for hiring](#)
 - a. If the department is using the streamlined method, simply CC GEPA_PAF@urmc.rochester.edu when submitting to the SMD Finance team.
2. Obtain [J-1 Scholar Job Code approval](#) (if applicable)
 - a. Email GEPA_PAF@urmc.rochester.edu with:
 - i. J-1 Scholar Job Code Approval form
 - ii. CV
 - iii. Copies of all degrees earned
 - iv. External funding letters (if applicable)
 - v. Hiring approval from SMD Finance
 - b. Once J-1 Scholar Job Code Approval is granted, complete and process the J-1 application forms by working with the [International Services Office](#).
3. Have the [offer letter](#) (use GEPA template) signed by GEPA (prior to the postdoc signing)
 - a. Email GEPA_PAF@urmc.rochester.edu with:
 - i. Offer letter draft
 - ii. CV
 - iii. Hiring approval from SMD Finance
4. Before the postdoc start date (no more than 2 weeks before), submit the 520 form.
 - a. To submit the 520 form, email GEPA_PAF@urmc.rochester.edu with:
 - i. 520 form
 - For all 094 postdocs, include an FAO in the Health Insurance section which can be billed for the departmental portion of their health insurance, should they elect to sign up for coverage. If they waive this insurance through proof of comparable coverage elsewhere, this FAO will not be billed.
 - ii. Fully signed offer letter
 - iii. Notice and Acknowledgement of Pay Rate and Payday
 - Required for all 093 postdocs (including dual appointments with 093 as one component)
 - Based on the postdoc's primary language, provide the correct notification document for their review and signature.
 - Please refer to the [DOL website](#) for documents.
 - Full-time appointments: See *Exempt Employee* section (form LS 59)
 - Part-time, hourly, appointments: See *Hourly Rate Employees* section (form LS 54)
 - Please do not save these locally to guarantee most up to date version of paperwork is used for each hire.
 - If the postdoc's primary language is something other one of the listed options on the DOL website, then they need to be provided the English language version.



- Before providing to the new hire, please fill out sections 1 through 6, (7 if hourly), and the last line of section 8. The employee will complete the remainder of section 8.
 - Use the New York paragraph of the offer letter to fill in the requested information.
 - When filling in a form in a language other than English, use the English version as a guide.
- iv. CV
- v. Proof of Doctoral Degree Completion: Copy of doctoral degree, letter from Registrar, or confirmed degree verification letter stating that all degree requirements are complete
- vi. [Postdoc Information Form](#)
 - Register for an ORCID iD at <https://orcid.org/>
 - If an arriving postdoc does not yet have a US mailing address, their lab's mailing address should be temporarily used for this purpose. The department should instruct the postdoc to update their address in HRMS as soon as they have secured a local residence.
- vii. Hiring approval from SMD Finance
- 5. At least one week before the postdoc start date:
 - a. [Complete the I-9](#)
 - i. The department administrator works with the [Office of Human Resources](#) to provide the postdoc with the necessary links to complete section 1 online and to schedule an appointment to complete section 2 in person.
- 6. Onboarding/maintenance checklist
 - a. At start
 - i. Request URMC email address
 - ii. Follow the directions at <https://orcid.lib.rochester.edu/> to link ORCID iD to the University of Rochester.
 - iii. Help postdoc obtain UR ID badge, [spouse](#) if applicable
 - iv. For foreign national postdocs
 - Assist with Glacier, directing questions for using the application to glacier@hr.rochester.edu
 - Advise re: bank accounts/direct deposit
 - For J-1 visa holders: ensure postdoc checks in with ISO and attends a [J-1 Scholar Check-in and Orientation](#)
 - If applicable: help postdoc obtain a social security number **after** J-1 Check-in/Orientation to ensure paycheck continues
 - b. Within 2 weeks of start date

Note: All documentation for this purpose must be managed and maintained at the department level.

 - i. Collect signed [Intellectual Property Agreement](#).
 - ii. Document [HIPAA Privacy and Security](#) compliance (via [MyPath](#)).
 - iii. If applicable:
 - Ensure Mandatory In-Service training is completed (via [MyPath](#)).
 - Ensure lab safety/animal resource training is completed.



- c. Within 30 days of start date
 - i. Help GEPA and [Gallagher](#) ensure that the postdoc either enrolls in or successfully waives (by showing Gallagher proof of comparable coverage) the Gallagher health insurance plan.
- d. Within the first year
 - i. Help GEPA ensure that [Responsible Conduct of Research training](#) occurs. Registration for the fall course is during late August.
- e. At 5 months
 - i. Remind the postdoc that an [Individual Development Plan](#) must be created within 6 months of the start date.
- f. At 11 months
 - i. Remind the postdoc and the faculty advisor that an [Annual Evaluation](#) is due each year.



Reappointment of a Current Postdoc

Standard Reappointment

1. **At least** 60 days prior to current appointment end date
 - a. Provide the postdoc with a [reappointment letter](#) (use GEPA template) at least 60 days prior to the end of the current appointment.
 - b. If reappointing a current 094 postdoc, note that the total time spent in the 094 Visiting Postdoctoral Fellow job code may not exceed 12 months as per University policy (found on the [University of Rochester Postdoctoral Appointees](#) page).
 - i. If reappointing into a new job code, please see the [Postdoc Classification Change for a Current Postdoc \(between 093, 094, 095\)](#) section instead.
 - c. Remind the postdoc and the faculty advisor that a completed [Annual Evaluation](#) will be due with the reappointment paperwork if a year has passed since their initial appointment or most recent reappointment.
2. Before the reappointment start date, submit the 520 form
 - a. Email GEPA_PAF@urmc.rochester.edu with:
 - i. 520 form
 - For all 094 postdocs, include an FAO in the Health Insurance section which can be billed for the departmental portion of their health insurance, should they elect to sign up for coverage. If they waive this insurance through proof of comparable coverage elsewhere, this FAO will not be billed.
 - ii. Fully signed reappointment letter
 - iii. Completed [Annual Evaluation](#)
3. Remind the postdoc that the [Individual Development Plan](#) must be updated annually.
4. If applicable:
 - a. Ensure Mandatory In-Service training is completed (via [MyPath](#)).
 - b. Ensure lab safety/animal resource training is completed.



Reappointment with Changes in Job Duties and/or Decrease in Salary/Stipend

1. ASAP
 - a. Talk with GEPA re: proposed changes
2. If the changes will result in a change in job code/classification, please see the [Postdoc Classification Change for a Current Postdoc \(between 093, 094, 095\)](#) section instead.
3. **At least** 60 days prior to current appointment end date
 - a. Provide the postdoc with a [reappointment letter](#) (use GEPA template) at least 60 days prior to the end of the current appointment.
 - b. Remind the postdoc and the faculty advisor that a completed [Annual Evaluation](#) will be due with the reappointment paperwork.
4. Before the reappointment start date, submit the 520 form
 - a. Email GEPA_PAF@urmc.rochester.edu with:
 - i. 520 form
 - For all 094 postdocs, include an FAO in the Health Insurance section which can be billed for the departmental portion of their health insurance, should they elect to sign up for coverage. If they waive this insurance through proof of comparable coverage elsewhere, this FAO will not be billed.
 - ii. Fully signed reappointment letter
 - iii. GEPA approval of changes (most likely an email from GEPA_PAF@urmc.rochester.edu)
 - iv. Completed [Annual Evaluation](#)
5. Remind the postdoc that the [Individual Development Plan](#) must be updated annually.
6. If applicable:
 - a. Ensure Mandatory In-Service training is completed (via [MyPath](#)).
 - b. Ensure lab safety/animal resource training is completed.



Postdoc Classification Change (between 093, 094, 095) for a Current Postdoc

1. Obtain e-mail [approval from SMD Finance for hiring](#)
 - a. If the department is using the streamlined method, simply CC GEPA_PAF@urmc.rochester.edu when submitting to the SMD Finance team.
2. Obtain [J-1 Scholar Job Code approval](#) (if required, applicable)
 - a. Email GEPA_PAF@urmc.rochester.edu with:
 - i. J-1 Scholar Job Code Approval form
 - ii. CV
 - iii. Copies of all degrees earned
 - iv. External funding letters (if applicable)
 - v. Hiring approval from SMD Finance
3. Have a [new offer letter](#) (use GEPA template) signed by GEPA (prior to the postdoc signing)
 - a. Email GEPA_PAF@urmc.rochester.edu with:
 - i. Offer letter draft
 - ii. CV
 - iii. Hiring approval from SMD Finance
4. Submit the 520 form
 - a. Email GEPA_PAF@urmc.rochester.edu with:
 - i. 520 form
 - For all 094 postdocs, include an FAO in the Health Insurance section which can be billed for the departmental portion of their health insurance, should they elect to sign up for coverage. If they waive this insurance through proof of comparable coverage elsewhere, this FAO will not be billed.
 - ii. Fully signed offer letter
 - iii. Notice and Acknowledgement of Pay Rate and Payday
 - Required for all 093 postdocs (including dual appointments with 093 as one component)
 - Based on the postdoc's primary language, provide the correct notification document for their review and signature.
 - Please refer to the [DOL website](#) for documents.
 - Full-time appointments: See *Exempt Employee* section (form LS 59)
 - Part-time, hourly, appointments: See *Hourly Rate Employees* section (form LS 54)
 - Please do not save these locally to guarantee most up to date version of paperwork is used for each hire.
 - If the postdoc's primary language is something other one of the listed options on the DOL website, then they need to be provided the English language version.
 - Before providing to the new hire, please fill out sections 1 through 6, (7 if hourly), and the last line of section 8. The employee will complete the remainder of section 8.
 - Use the New York paragraph of the offer letter to fill in the requested information.
 - When filling in a form in a language other than English, use the English version as a guide.



- iv. Completed [Annual Evaluation](#) (if a year has passed since their last evaluation)
- v. Hiring approval from SMD Finance
- 5. Remind the postdoc that the [Individual Development Plan](#) must be updated annually.
- 6. If applicable:
 - a. Ensure Mandatory In-Service training is completed (via [MyPath](#)).
 - b. Ensure lab safety/animal resource training is completed.



Postdoc Department/Advisor Change for a Current Postdoc

1. Obtain e-mail [approval from SMD Finance for hiring](#)
 - a. If the department is using the streamlined method, simply CC GEPA_PAF@urmc.rochester.edu when submitting to the SMD Finance team.
2. If the postdoc is resigning from their current position, the postdoc is required to give their current PI a minimum of one month's notice.
3. Obtain [J-1 Scholar Job Code approval](#) (if required, applicable)
 - a. Email GEPA_PAF@urmc.rochester.edu with:
 - i. J-1 Scholar Job Code Approval form
 - ii. CV
 - iii. Copies of all degrees earned
 - iv. External funding letters (if applicable)
 - v. Hiring approval from SMD Finance
4. Have a [new offer letter](#) (use GEPA template) signed by GEPA (prior to the postdoc signing)
 - a. Email GEPA_PAF@urmc.rochester.edu with:
 - i. Offer letter draft
 - ii. CV
 - iii. Hiring approval from SMD Finance
5. Submit the 520 form
 - a. The postdoc's current department generates the 520 change form and passes it to the new department to fill in the changes in the "proposed" area and obtain the new signatures.
 - b. Email GEPA_PAF@urmc.rochester.edu with:
 - i. 520 form
 - For all 094 postdocs, include an FAO in the Health Insurance section which can be billed for the departmental portion of their health insurance, should they elect to sign up for coverage. If they waive this insurance through proof of comparable coverage elsewhere, this FAO will not be billed.
 - ii. Fully signed offer letter
 - iii. Notice and Acknowledgement of Pay Rate and Payday
 - In these cases, only required if there is also a change in job code/classification
 - Required for all 093 postdocs (including dual appointments with 093 as one component)
 - Based on the postdoc's primary language, provide the correct notification document for their review and signature.
 - Please refer to the [DOL website](#) for documents.
 - Full-time appointments: See *Exempt Employee* section (form LS 59)
 - Part-time, hourly, appointments: See *Hourly Rate Employees* section (form LS 54)
 - Please do not save these locally to guarantee most up to date version of paperwork is used for each hire.



- If the postdoc's primary language is something other one of the listed options on the DOL website, then they need to be provided the English language version.
 - Before providing to the new hire, please fill out sections 1 through 6, (7 if hourly), and the last line of section 8. The employee will complete the remainder of section 8.
 - Use the New York paragraph of the offer letter to fill in the requested information.
 - When filling in a form in a language other than English, use the English version as a guide.
 - iv. Postdoc's letter or e-mail of resignation from their current department
 - v. Hiring approval from SMD Finance
6. Remind the postdoc that the [Individual Development Plan](#) must be updated annually.
7. If applicable:
- a. Ensure Mandatory In-Service training is completed (via [MyPath](#)).
 - b. Ensure lab safety/animal resource training is completed.



Termination of a Current Postdoc

If the postdoc requests an employment verification letter, direct them to use the [Work Number](#). If you need further assistance, contact Valerie Johnston in the HR Service Center.

Non-Reappointment

1. **At least** 60 days prior to current appointment end date
 - a. Provide the postdoc with a [non-reappointment letter](#) (use GEPA template) at least 60 days prior to the end of the current appointment
2. At or before the current appointment end date, submit the 520 form
 - a. Email GEPA_PAF@urmc.rochester.edu with
 - i. 520 form
 - ii. Fully signed non-reappointment letter
 - iii. Updated CV
 - iv. [Postdoc departure form](#)

Early Termination (prior to expected appointment end date)

If a J-1 visa holder terminates early for any reason, immediately contact the ISO Scholar Services at scholars@iso.rochester.edu to update their immigration documentation.

Due to Postdoc Resignation

1. At or before the current appointment end date, submit the 520 form
 - a. Email GEPA_PAF@urmc.rochester.edu with
 - i. 520 form
 - ii. Resignation email or letter from postdoc
 - iii. Updated CV
 - iv. [Postdoc departure form](#)

Due to Loss of Funding

1. **At least** 60 days prior to the expected early termination date
 - a. Provide the postdoc with an [Early Termination for Lack of Funding letter](#) (use GEPA template) at least 60 days prior to the expected early termination date.
2. At or before the early termination date, submit the 520 form
 - a. Email GEPA_PAF@urmc.rochester.edu with
 - i. 520 form
 - ii. Signed early termination letter
 - iii. Updated CV
 - iv. [Postdoc departure form](#)

Due to Unsatisfactory Performance

1. Consult with GEPA prior to taking action.



Appendix: SMD Finance Approval Process for Hiring

[adapted for postdocs from e-mail sent by Stacie Chan on 09/29/2021]

For positions funded 100% by Grants (Sponsored Awards):

To facilitate a more streamlined approval process, please provide the following information in the body of an email (attachments are not necessary):

1. Job Title
2. Grant FAO (GRXXXXXX) that will be funding the position
3. IDC rate for each grant

Forward this information to Gerard, Stacie, Jeff and Jameson, and simultaneously send the [520] form and related information to [GEPA_PAF] as the funding portion is automatically approved.

Departments can proceed to hire unless they hear from SMD Finance regarding any concerns with the financial viability of the grant(s) that will fund the position. This means that departments don't need to wait for a follow up email from Stacie confirming approval from Dr. Taubman and Adam before making an offer and hiring.

If you have any questions or concerns regarding this update, please contact Stacie Chan. Thank you.

For replacement positions funded less than 100% by Grants:

To facilitate a more streamlined approval process, please provide the following information in the body of an email (attachments are not necessary):

1. Job Title
2. Date position vacated
3. Funding source

Forward this information to Gerard, Stacie, Jeff and Jameson, and simultaneously send the [520] form and related information to [GEPA_PAF] as the funding portion is automatically approved.

Departments can proceed to hire unless they hear from SMD Finance regarding any concerns with the financial viability of the FAOs that will fund the position. This means that departments don't need to wait for a follow up email from Stacie confirming approval from Dr. Taubman and Adam before making an offer and hiring.

If you have any questions or concerns regarding this update, please contact Stacie Chan. Thank you.



For incremental positions funded less than 100% by Grants:

To help with the approval process, please provide the following in addition to the 5 questions below:

Job Title:

Brief Job Description:

Summary of why position is so critical to fill now including vacancies since 4/1/2020 relevant to work this person will do and comparative data if funded from an OP account if available: please respond to the following questions (within the questions below - attachments are not necessary):

- 1) Endorsement from chair **and** most senior administrator of the department indicating this is necessary even in our current difficult financial circumstances, (please list and include then in the email).
- 2) If funding source is from outside of the department and not a grant, endorsement by chair and most senior administrator of that department.
- 3) Funding source. Please provide the:
 - a. FAO number for all accounts supporting this request,
 - b. the % from each FAO (list the FAOs and %s)
 - c. if grant funded,
 - i. indicate IDC rate,
 - ii. grant FAO numbers,
 - iii. grant or contract numbers,
 - iv. award period of funding for each
 - v. name of the PI of each award.
- 4) Document efforts made to use current available staff who are not fully occupied or who have been laid off due to loss of funding.
- 5) Document that research is currently active, the funding is not in deficit, and that the person will be fully occupied on their start date.

Please note – it is advisable, if the position is grant funded, to have the position end included on the [520] form matching the end date of the last grant FAO funding this position. If funding does continue, a new [520] form should be submitted to update the end date.

These positions are still following the current procedures of needing approval from Dr. Taubman and Adam.

If you have any questions or concerns, please contact Stacie Chan.