



Postdoctoral Affairs

PROGRAM HANDBOOK



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MESSAGE FROM THE DEAN

The great research community at NYU Grossman School of Medicine (GSoM) has kept our institution on the cutting edge of scientific discovery and innovation that helps to advance medicine world-wide. Postdoctoral scholars are a valued segment of this research community and they come to us from all over the globe both to train with our skilled faculty and to contribute to our successes. We highly value the contributions of our Postdoctoral scholars, and constantly seek

to enhance their Postdoctoral experience during their training here.

The policies that are found in this document are indeed vital to achieving our research agenda. A community can only thrive when all of its members are fully supported. With the implementation of these policies, we hope to continue to attract world-class scientists to our institution and maintain our position as a leader in research and medicine.

NYU GROSSMAN SCHOOL OF MEDICINE OFFICE OF SCIENCE AND RESEARCH POSTDOCTORAL AFFAIRS PROGRAM

INTRODUCTION

The Postdoctoral Affairs program addresses the needs and professional development of Postdoctoral fellows training at the NYU Grossman School of Medicine. The program seeks to nurture all facets of Postdoctoral career development and research training and encourages interaction among Postdoctoral appointees on an academic, cultural and social level. The program also serves to officiate and represent the Postdoctoral community and their interests within the school.

The Postdoctoral program assists fellows in their training and career development by offering professional development, mentoring, and career opportunities. Through a series of innovative programs, we also hope to broaden the fellows' scientific backgrounds and extend their potential for performing high-quality research in a nurturing environment.

STATEMENT OF PURPOSE

Aware that the Postdoctoral years represent an important transitional period in the career of a young scientist, Postdoctoral Affairs provides postdoctoral scholars with institutional support and career development resources to ensure that postdoctoral fellows successfully make the transition to interdependent careers in science and other professions.

POSTDOCTORAL AFFAIRS HISTORY AND ORGANIZATIONAL STRUCTURE

The Dean's Office of the NYU Grossman School of Medicine (i.e., "the School") created the Postdoctoral Program in 1998 to specifically address the needs of Postdocs, in recognition of the increasingly important role Postdoctoral fellows play in the life of a major research institution.

The Office of Postdoctoral Affairs is led by Assistant Dean Keith Micoli, PhD, who reports directly to Dafna Bar-Sagi, PhD, Chief Scientific Officer, Executive Vice President and Vice Dean for Science.

The Postdoctoral Association, PDA, is the entire community of Postdocs here at NYU Grossman School of Medicine. The Postdoctoral Council represents the members of the PDA. This council consists of Postdocs from various departments throughout the School and meets regularly with Postdoctoral Affairs leadership to discuss issues affecting the Postdoc community and to organize events.

POSTDOCTORAL AFFAIRS CONTACTS

Website

med.nyu.edu/research/postdoctoral-training

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POLICY RELATING TO THE HIRING OF POSTDOCS

POSTDOC DEFINITION AND DURATION OF TRAINING PERIOD

In accordance with the NIH and NSF definition of a Postdoctoral scholar, the titles of **Postdoctoral Fellow, Postdoctoral Scholar, Postdoctoral Training Fellow, Postdoctoral NIH NRSA Training Fellow, Postdoctoral Fellow Partially Paid, or Postdoctoral Fellow Non-Compensated** (herein collectively referred to as "Postdoctoral Fellow" or "Postdoc") apply to **"an individual who has received a doctoral degree (or equivalent) and is engaged in a temporary and defined period of mentored advanced training to enhance the professional skills and research independence needed to pursue his or her chosen career path."**

Eligibility for a Postdoctoral title is contingent upon evidence of a doctoral degree, and the title is reserved for individuals who are generally within three years of receiving their qualifying degree. It is the obligation of the School, the department, and the supervising faculty member to provide training and mentoring. Postdocs are considered "academic support or trainees" and, as such, are not covered by some of the policies for other staff, students, and faculty.

The School views that Postdoctoral Fellows will:

- **"be trained" at NYU Grossman School of**

Medicine for the principal purpose of engaging in full-time academic research to further their career development. The position is meant to provide additional research and scholarly training in preparation for an independent position within academia or beyond

- primarily conduct research. Clinical care or other non-research duties may be performed as part of the training experience but may not be the primary focus of the appointment
- participate in advanced scientific training programs under the mentorship and supervision of a faculty member who is typically a Principal Investigator
- pursue testing of hypotheses by developing experimental designs, managing and processing data and interpreting and preparing the results

The position title can only be held for up to a maximum total of five years (including prior experience at other institutions and prior appointment at NYU Grossman School of Medicine). Appointments are renewable on a yearly basis, based on continued satisfactory performance and research progress as defined by the Principal investigator, unless otherwise specified. An extension of the Postdoctoral position for a sixth year is only possible upon approval by the Assistant Dean for Postdoctoral Affairs or their designate. Individuals are not eligible to be Postdoctoral fellows if they are five or more

years past their qualifying degree, except in exceptional circumstances that warrant extended training. In these cases, the Assistant Dean for Postdoctoral Affairs must approve the title request. If a Postdoc with an MD has had previous research experience, a determination will need to be made as to how much of the 5-year limitation applies, but clinical training generally will not count against the 5-year limit.

Individuals Who May Not Be Appointed in a Postdoc Title

The following individuals may not be appointed using a Postdoctoral title:

- individuals who do not have a doctoral-level degree
- individuals who will be at NYU GSoM for less than one year and retain an appointment or position including compensation from an entity other than NYU GSoM
- individuals who are "self-funded". "Self-funded" means that the individual is using their own personal funds (e.g., from a savings account, etc.) and no agency or outside entity is providing funds.

PAYROLL TITLES AND JOB CODES FOR POSTDOCTORAL FELLOWS

Postdoctoral Fellow (300014): who receives compensation from NYU GSoM and is funded through sources other than a training grant such as Principal Investigator-initiated research awards (i.e., the lab director's R01) or other types of funding.

Postdoctoral Scholar (300039): receives compensation from NYU GSoM, funded by an individual or institutional NIH NRSA Training Grant (National Research Service Awards, "F32" or "T32"), and has elected to be treated as an employee. Their income is considered "wages" and subject to local, state, and federal withholding as well as FICA/Medicare taxes.

Postdoctoral Training Fellow (300011): receives compensation from NYU GSoM and is funded from a training grant or fellowship other than an NIH NRSA program.

Postdoctoral NIH NRSA Training Fellow (300019): receives compensation from NYU GSoM,

funded by an individual or institutional NIH NRSA Training Grant (National Research Service Awards, "F32"s and "T32"s), and has elected to be treated as a trainee. The source of funding is from the federal government to support the individual's training. An NRSA Postdoctoral fellow's stipend may be subject to federal, state and local income tax but is currently exempt from the FICA/Medicare tax.

Externally Funded, Direct Paid Postdocs (Who are Not Employees of the School)

A small percentage of our Postdocs do not receive their full stipends through the School's payroll system but instead are paid directly from a foreign government or external foundation. There are some that are also paid a small supplement by the NYU Grossman School of Medicine. The appointment process is the same for these individuals but not their employment status. Their appointment letters should clearly indicate the source and amount of their funding; however, where policies of their funding organization differ, the funding organization's policies prevail.

Postdoctoral Fellow Partially Paid (300030): Individuals who receive compensation from NYU Langone, but below the current minimum salary levels. The remaining compensation is from an external funder, and the total from all sources must equal, or exceed, the current NYU Langone minimum salary for Postdocs.

Postdoctoral Fellow Non-Compensated (300032): Individuals who receive no direct compensation from and therefore, are not "employed" by NYU Langone, but do receive at least the minimum NYU Langone Postdoc salary from an external source.

It is critical to appoint Postdocs using the correct Job Code and Title, as different titles have different accounting implications under federal regulations. Administrators are encouraged to ask for assistance with classifying Postdocs whenever necessary by contacting the Postdoctoral Program Office. For purposes of this handbook, the term "Postdocs" shall be deemed to refer to both individuals who have either compensated title.

HOUSING

Contact Information

Email: Every Postdoctoral fellow is provided with an nyulangone.org email address. This email should be used for purposes of engaging in activity related to research and NYU Langone or NYU Grossman School of Medicine business or operations. For the full policy, please refer to the policy on Inside Health <https://nyumc.ellucid.com/documents/view/2327/active>

Campus Housing

NYU Grossman School of Medicine allocates housing to Postdoctoral fellows based primarily on the date of receipt of application for housing, with top priority given to newly arriving Postdoctoral fellows. If a postdoc is interested in housing, first register via the online housing portal. Once your registration is reviewed, you will receive an automated email with login information on how to complete a housing application. Please remember, registering is not the same as applying for housing. Before you can apply for housing, your Postdoctoral appointment and credentials must be vetted by Postdoctoral Affairs. Please contact them via email postdochoosing@nyulangone.org

Since housing is not guaranteed, it is imperative that housing requests be submitted as soon as an offer of employment is accepted, and should be no less than three months in advance of arrival date. Please be advised that NYU Grossman SOM housing is only available while individuals hold a Postdoctoral position, which is a maximum of five years including prior training at other institutions. Should your postdoctoral status or title change, your continued eligibility for housing may be subject to review or termination.

If a Postdoc reapplies for housing upon leaving university housing, the applicant will be placed on a waitlist. If NYU housing is not assigned to a new Postdoc, the name will be added to a waiting list. However, due to the number of incoming Postdocs who seek university NYU Grossman SOM housing, requests for housing from the wait list are seldom fulfilled. Special circumstances are subject to review by Postdoctoral Affairs staff. Please note that the entire NYU Langone Health campus including its residential buildings, is a non-smoking campus including e-cigarettes. Pets are permitted in only some of the NYU Grossman SoM housing buildings.

PROCEDURE RELATING TO THE HIRING OF POSTDOCS

- **Advertise open position(s).**
- **Faculty may notify Postdoctoral Affairs to post openings on the Postdoc website. Identify, interview and select final candidates.**
- **Contact the Immigration Services Department** Immigration services needs to be contacted prior to hiring a foreign national at the NYU Grossman School of Medicine. The appropriate visa and endorsements are required before individuals apply for and obtain lawful employment. Visa and Immigration policies relating to Postdocs can be found on page 19 under Visas and Immigration.
- **Verify education and check references**

Human Resources verifies education and requires a notarized diploma or official university transcript noting the conferral of the PhD, MD or equivalent degree for hiring a Postdoc. The hiring department reviews references.

- **Principal Investigator/supervisor completes and returns GUIDELINES FOR USE OF A POSTDOCTORAL FELLOW OR A RESEARCH SCIENTIST TITLE** (found in the Forms and Letters section) to department administrator to be sent along with the requisition.
- **Prepare Postdoc requisition** The Department Administrator should initiate a manager self-service request to recruit ("RTR")

with the required signatures, in accordance with funding sources. Salary must at least meet the minimum level set by NYU GSoM which is reviewed annually. level. Postdoctoral Affairs will notify the PI of the appointment approval and the maximum term of appointment.

- **Send out INITIAL OFFER LETTER**

Once the final candidate is identified, the hiring PI/supervisor should send the standardized Initial Appointment Letter (found in the Forms and Letters section) to the candidate and negotiate a potential start date. The NYU Grossman School of Medicine Postdoctoral Program Office uses standardized Postdoctoral letters reviewed by the Vice Dean & Senior Counsel for Medical School Affairs and approved by the Chief Scientific Officer of the NYU Grossman School of Medicine. Appointment letters must be sent well in advance of the Postdoc's anticipated start date. A copy of the offer letter must be attached to the RTR.

The appointment letter addresses the overall conditions of the appointment as follows:

- Their official title
- Projected start date
- Length of appointment (standard is one year from start date, renewable)
- Stipend amount
- Overall work project description (several sentences)
- General information regarding benefits
- Foreign national issues (if applicable)
- Diploma/degree requirement
- Required signatures

Before the official start date and after the candidate has accepted and returned the countersigned appointment letter, the faculty member should discuss any additional arrangements that are needed. It is recommended that the PI/supervisor notify the hired Postdoc of the need to send in the forms for campus housing as soon as possible—preferably three to four months in advance of the Postdocs' arrival date and email questions here: postdochoosing@nyulangone.org.

Any job offer is contingent upon the satisfac-

tory completion of references, the passing of a pre-employment physical, successful completion of a background check and completion of all required paperwork, including the completion of the I-9, which must be completed before the individual's first day of employment.

- **Pre-onboarding**

A representative from the NYU Grossman School of Medicine's Human Resources Administration Office will contact the Department Administrator to schedule the candidate for an appointment for the pre-employment process.

- **Policy on Patents**

The School's Statement of Policy on Patents of New York University must be read, agreed to and signed by all Postdoctoral appointees at the time of meeting with Human Resources. The Policy can be found at this link <https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/policy-intellectual-property.html>

- **Policy Statement on Privacy, Information Security and Confidentiality**

The School's Policy Statement on Privacy, Information Security and Confidentiality needs to be signed by the Postdoctoral fellow at the time of the meeting with Human Resources.

IMPORTANT PROCEDURES UPON ARRIVAL AT NYU

- **Medical Clearance Form**

Postdocs must be cleared by the Occupational Health Service Office prior to their start date. Postdocs must complete this step in order to avoid any delay in the issuance of their first paycheck.

NOTE: FOREIGN NATIONALS ON A VISA need to complete additional forms with the NYU Langone Health Office of Immigration Services.

On their first day of employment (or earlier if possible), foreign nationals must check in with the Immigration Services department (See Contact List at end of Handbook) to review their visa and entry paperwork. They will be given instruc-

tions on how to obtain a social security number from the Social Security Office using Application Form SS-5. In the interim, the Postdoc will be given a temporary Social Security number. Upon receiving a permanent number from Social Security, the Postdoc must notify Immigration Services as soon as possible. Immigration Services will also orient the Postdoc regarding guidelines governing the VISA and will have the following forms/documents completed/collected:

- Copies of the Postdoc's passport, VISA and INS form 1-94 Form I-20 or IAP-66
- Original I-9 with documents
- Original W-4
- Original Foreign National Information Form, FNIF
- Copy of Notice of Appointment

• Identification badges

All Postdocs, faculty, staff, students, volunteers and others having regular business at the School will be issued valid photo identification badges by the Security Department. A current validated badge is to be worn to gain entrance to the School and at all times while on the School property. It is to be worn face up above the waist on the outer clothing. Security staffs are authorized to stop any individual on the School premises not wearing an appropriate identification badge. Identification badges are non-transferable and remain the property of the School. A validation label will be issued for each School photo identification badge. Labels will be issued at time the badge is issued, and thereafter on an annual basis.

Lost or stolen identification badges

The loss of a badge must be reported immediately to the Security Department and Postdoc's supervisor. The badge must be replaced immediately by paying a replacement fee at the NYU Langone Health Manhattan campus cashier and presenting the receipt to the Security Department.

• Paychecks

Upon completion of all pre-boarding documents, the new hire record for the postdoctoral fellow will be created in the payroll system. Postdocs can arrange for direct deposit of their paycheck or should ask their Department

Administrator where they should pick up their checks and who in the department can answer any payroll-related questions.

• Benefits Orientation and Enrollment

The NYU Langone Health HR Solutions Center/Benefits Services will send an email that contains a link to a video benefit orientation and a link to enroll. Within 30 days of the date the link is sent, the Postdoc must enroll for benefits or the enrollment window will lapse and default coverage will be issued for the Postdoc only (no coverage for dependents).

After web enrollment, Human Resources NYU Grossman School of Medicine will arrange for the electronic transmittal of health plan information to the insurance carriers based on the elections that were chosen. The health plan carrier will then mail ID cards and membership information to the Postdoc's home within two to three weeks of completing the enrollment process. In the interim, if a Postdoc needs to access care or obtain a prescription, he/she can go online into the HR Benefits website and click on the link to the carrier they enrolled in and register. Once registered, a temporary ID can be printed out.

• Postdoctoral Orientation & Welcome to New York

Six times a year there will be a Postdoctoral general orientation meeting, organized by Postdoctoral Affairs, to review important points found in this handbook and discuss any new items affecting Postdocs. The announcement of the dates and schedules for the orientation will come from Postdoctoral Affairs.

DIVERSITY, EQUITY AND INCLUSION POLICIES

Statement on Diversity

We believe that diversity enhances the institution's educational and academic climate. As an institution that prides itself on performance, respect, integrity, and excellence, diversity is one of the core values of NYU Langone Health and NYU Grossman School of Medicine. Diversity as a core value embodies inclusiveness, mutual respect, and the appreciation of multiple perspectives. Inclusion is a critical element

for successfully achieving diversity. Inclusion is achieved by nurturing the climate and culture of the health system through professional development, education, policy, and practice. The objective is to create a climate that fosters belonging, respect, and value for all and to encourage engagement and connection throughout the institution. In this context, we are mindful of all aspects of human differences such as, but not limited to: socioeconomic status, race, ethnicity, sexual orientation, gender, gender identity, spiritual practice, geography, disability, ca-

reer goals, familial educational attainment, and age.

One way to demonstrate a commitment to inclusivity is to be attentive to the pronouns that are used. The act of misgendering an individual may negatively impact their feeling of belonging. The use of gender-neutral pronouns like "they" instead of "he" or "she" when an individual's gender pronoun has not been expressed, avoids the risky and potentially offensive practice of assigning a pronoun based on one's assumptions.

CONCERNING THE PROTECTION OF EQUAL EMPLOYMENT RIGHTS AND CONFIDENTIALITY

Equal Employment Opportunity/Affirmative Action Policy (EEO)

The School is committed to a policy of equal treatment and opportunity in every aspect of its relations with applicants and Postdocs without regard to race, color, creed, religion, sex, sexual orientation, gender, gender identity or expression, transgender status, gender dysphoria, genetic information, marital status, partnership status, caregiver status, familial status, age, national origin, citizenship status, age, disability, military or veteran status, or any other protected class as established by law. This includes, but is not limited to, recruitment, hiring or appointment, selection for training, transfer, layoff, promotion, granting of tenure, rates of pay and other forms of compensation and participation in educational, social, and recreational programs sponsored by NYU Langone Health.

Prohibition against Sexual Harassment (EEO)

The following persons have been designated to handle inquiries regarding the non-discrimination policies:

Molree Williams-Lendor

Title IX Coordinator
1 Park Avenue, 4th floor, New York, NY 10016
TitleIX@nyulangone.org • 212-404-3825

Employee Relations

212-404-3787, Option 1 and then Option 2

For further information contact:

Office for Civil Rights
<https://ocrcas.ed.gov/contact-ocr>

It is the policy of the School to ensure that all Postdocs are afforded a workplace environment free of discrimination and sexual harassment. It is important that all Postdocs understand that any form of sexual harassment will not be tolerated.

Every Postdoc must be allowed to work in an environment free from unsolicited and unwelcome overtures and is responsible for enforcement of this policy.

Prohibited Sexual Misconduct includes the following specifically defined forms of behavior: Sexual or Gender-Based Harassment, Sexual Assault, and Sexual Exploitation. Also prohibited are relationship violence, stalking and retaliation. The following are prohibited activities:

- Making unwelcome sexual advances, either physical or verbal, or implying that submission to such advances is or will be a condition of a Postdoc's continued employment.
- Making the submission to, or rejection of, such unwelcome conduct the basis for employment decisions affecting a Postdoc.
- Such conduct that has the purpose or effect of substantially interfering with an individual's work performance, or creating an intimidating, hostile or offensive work environment.

It is also against the School policy for any Postdoc to display or participate in any of the following:

- Sex-oriented verbal “kidding” or abuse, including lewd jokes or comments.
- Subtle or overt pressure for sexual activity.
- Physical contact such as patting, pinching, intentional brushing against another’s body or gestures.
- Demands for sexual favors, accompanied by implied or overt promises of preferential treatment or threats concerning an individual’s employment status.
- Displaying posters, photographs, pin-ups or any other form of material that could be construed as sexual in nature in workstations or common areas.
- Distributing posters, photographs, pin-ups, emails or any other form of material that could be construed as sexual in nature in workstations or common areas.
- Any other behavior that would be construed as inappropriate or sexual in nature.

Any Postdoc that believes they are being harassed by a faculty member, supervisor, coworker or visitor should notify NYU Langone Health Employee Relations and/or the Title IX Coordinator (See Contact List at end of Handbook) immediately. An investigation into issues brought forth will be conducted in as confidential of a manner as possible. Retaliation of any sort in response to a Postdoc bringing forth an issue is strictly prohibited.

If you have any questions regarding this policy, please contact NYU Langone Health Employee Relations (See Contact List at end of Handbook.)

Title IX Sexual Harassment

Title IX Sexual Harassment is defined as:

1. An employee conditioning educational benefits on participation in unwelcome sexual conduct (i.e., quid pro quo);
2. Unwelcome conduct that a reasonable person would determine is so severe, pervasive, and objectively offensive that it effectively denies a person equal access to the educational institution’s education program or activity;
3. Sexual assault, which includes any sexual act directed against another person, without the consent of the victim including instances

where the victim is incapable of giving consent.

4. Relationship Violence (Dating and Domestic Violence) and/or
5. Stalking

The Title IX Policy and grievance procedures apply equally regardless of sex, sexual orientation, gender identity, gender expression, or other protected classes covered by federal or state law. They may be found under HR Policy 4.5a Sexual Misconduct, Relationship Violence and Stalking Policy. Inquiries regarding the application of Title IX policy and grievance procedures may be directed to the Title IX Coordinator, Molree Williams-Lendor, at titleix@nyulangone.org or (212) 404-3825.

Americans with Disabilities Act (EEO)

In accordance with the Americans With Disabilities Act, Sections 503 and 504 of the Rehabilitation Act of 1973 (as amended), Section 4212 of the Vietnam Era Veterans Readjustment Assistance Act of 1974 (as amended) and the New York City Human Rights law and all subsequent amendments and regulations issued to protect the rights of persons with disabilities and covered veterans, and the commitment of the School to provide reasonable accommodations for and assurance of non-discrimination toward qualified individuals with disabilities and covered veterans, it is policy that:

- No activities, programs, services, aids or benefits administered by the School shall exclude from participation, deny or provide different or separate benefits, programs, or services to, or otherwise limit a qualified person with a disability or covered veteran in the enjoyment of any right, privilege, advantage or opportunity enjoyed by others.
- There will be no recruitment, employment, admissions, or provision of services discrimination against any Postdoc, applicant, student or patient because of physical or mental disability in regard to any position, program, or services for which the Postdoc, applicant, student or patient is qualified.
- Affirmative Action will be taken to employ and advance in employment qualified persons with disabilities (including reasonable accommodations to the limitations of these individuals) and covered veterans.

Americans with Disabilities Act (EEO) – Invitation to Self-Identify

The School is a Government contractor subject to Section 503 and 504 of the Rehabilitation Act of 1973, as amended, and the Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended, which requires government contractors to take affirmative action to employ and advance in employment qualified disabled individuals, disabled veterans and veterans covered by the Act. A Postdoc who is disabled, a disabled veteran or veteran covered by the act, and would like to be considered under the affirmative action program, should contact NYU Langone Health Employee Relations (See Contact List at end of Handbook.) A Postdoc may inform Employee Relations of their desire to benefit under the program at this time and/or at any time in the future. This information will assist us in placing the Postdoc in an appropriate position and in making accommodations for their disability if they are disabled or a disabled veteran.

Reasonable accommodations include, but are not limited to, employment and accessibility to facilities and activities by employees, consumers, and patients. In keeping with this commitment, no activity, program, service, aid, or benefit administered by NYU Langone Health shall exclude qualified persons with a disability from participation. Nor shall such persons be provided different or separate benefits, programs, or services, or denied the enjoyment of any right, privilege, advantage, or opportunity enjoyed by others.

The ADA requires employers to consider whether a “reasonable accommodation” could remove barriers limiting employment opportunities. It also requires employers to make “reasonable accommodation(s)” for all such qualified individuals unless doing so would cause “undue hardship” to the employer.

Submission of this information is voluntary and refusal to provide it will not subject the Postdoc to any adverse treatment. Information the Postdoc submits will be kept confidential, except that (i) supervisors and managers may be informed regarding restrictions on the work or duties of

individuals with disabilities and disabled veterans, and regarding necessary accommodations; (ii) first aid and safety personnel may be informed when, and to the extent appropriate, if the condition might require emergency treatment; and (iii) government officials engaged in enforcing laws administered by OFCCP or the Americans with Disabilities Act, may be informed. The information provided will be used only in ways that are not inconsistent with Section 503 and 504 of the Rehabilitation Act of 1973, as amended, and the Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended.

Conviction of a Crime

Postdocs must report any conviction under a criminal drug statute for violations occurring in or out of the workplace to Employee Relations in Human Resources (See Contact List at end of Handbook) no later than five days after the conviction. In certain circumstances, the School must report the convictions to the appropriate Federal agencies.

The School shall, within thirty days after receipt of notice of a conviction, take appropriate action against such person up to and including termination from employment and or require such person to satisfactorily participate in a drug assistance or rehabilitation program.

Prohibition against Workplace Violence (EEO)

The School is committed to providing a work environment that is safe and secure as possible. Toward that end, the School observes a policy, which strictly prohibits any form of workplace violence against Postdocs, patients, visitors, faculty, students and other staff members. This includes, but is not limited to, threatening or menacing behavior, fighting, assault, sexual harassment and vandalism. Violation of this policy is grounds for disciplinary action up to and including termination from employment.

The Security Department is on duty 24 hours a day, seven days a week. Any Postdoc who observes any behavior that may be questionable, threatening or violent, should call the Security Operations Center at ext. 73000.

The School has a domestic violence help line with social work counselors on call for confidential advice, information referral and crisis intervention. The beeper number for calls during Monday through Friday, from 9:00 a.m. to 5:00 p.m. is 917-812-5325. In an emergency or other than these hours, Postdocs should go to the Emergency Room or call 911. The Faculty and Staff Assistance Program is also available for counseling and assistance during working hours or in emergency situations, during off-hours as well.

POLICY RELATING TO POSTDOCS DURING THEIR TRAINING

CHANGE OF NAME, ADDRESS, OR TAX STATUS

Postdoc records must be maintained accurately at all times. The NYU Langone Health HR Solutions Center/Benefits should be notified immediately of any changes in marital status (married, legally separated, widowed, divorced) or family status affecting medical plan or group life insurance. They can be reached at (212) 404-3787 option #1 and then option #1 again.

Any changes to your address or telephone number should be made via the website for employee self-service, which can be accessed on the Human Resources website which is located on Inside Health. You can log into this site by using your Kerberos ID and email password. Once you log in to this page, you will have the opportunity to update your information. The Department Administrator should be notified immediately of any of the following changes:

1. Name
2. Visa Information (notify the NYU Langone Health Office of Immigration Services)
3. Assignment of a new social security number (notification must be made directly to the Office of Immigration if the individual is a foreign National)

Policy on Cultural Diversity (EEO)

The School is committed to attract and retain a diverse staff and to promote cultural awareness, understanding and appreciation among staff members from diverse cultures and ethnic backgrounds. The School's commitment to a diverse workforce is exemplified by a staff that collectively speaks over one hundred languages, and broadly represents not only the geographic United States but the international community as well. We have a dedicated Office of Diversity and the Dean has launched a Center Wide Council to address policies and furtherance of diversity at NYU Langone Health.

TRAINING COURSES RELATED TO LABORATORY WORK AND SAFETY

Scientific Integrity and the Responsible Conduct of Research Course

All first-year Postdoctoral fellows at the School must take a course in "Scientific Integrity and the Responsible Conduct of Research." This course should be completed no later than one year from the Postdoctoral fellow's start date. Please contact the Postdoctoral Affairs staff for information regarding when this course is offered. A certificate of completion will be issued upon successful completion of the course. Documentation may be provided to Postdoctoral Affairs that certifies completion of this course at a previous institution in order to be exempt from this requirement.

Environmental Health and Safety Training

Initial training and yearly refresher courses are required for laboratory personnel who generate or handle chemical hazardous waste. Initial training is also required for all new laboratory workers in chemical hygiene and biosafety assuming you will be exposed to materials that fall into these classifications. Information on training can be found under the "Chemical Safety" link on their website.

Contact Information

Website: <https://central.nyumc.org/shared/redf/eh-s/Pages/Home.aspx>
Phone: 212-263-5159

Requirements for Personnel using Laboratory Animals

Training in the appropriate care and humane use of laboratory animals is required for all personnel who will be using laboratory animals in their research. Information on training can be found on the Division of Comparative Medicine (DCM) website under the "Policies" link.

Contact Information:

Website: <https://central.nyumc.org/research/site/dcm/Pages/default.aspx>
Phone: 646-754-5256

Requirements of Personnel using Radioactive Materials

If you will be using radioactive materials, initial and annual refresher training is required. Proper personnel monitoring devices such as badges are also required. Your PI or a designated lab member will be able to provide you information on the handling of radioactive materials and how to obtain training and your personal monitoring device. Information can also be obtained by contacting the Radiation Safety Office.

Contact Information

Website: <https://central.nyumc.org/shared/redf/radiation-safety/Pages/Home.aspx>
Phone 212-263-6888

COMPENSATION AND BENEFITS OVERVIEW

COMPENSATION

The School supports a competitive minimum salary for Postdocs, currently \$58,500. The minimum salary is reviewed annually, and takes into account many factors, including the NIH NRSA stipend levels.

- All Postdoctoral appointees must receive at least \$58,500 salary. (As of January 2022)
- In order to remain competitive in today's market, it is recommended that a Postdoc's salary be brought to at least the recommended NRSA level commensurate with their years of experience.
- It is the faculty mentor's responsibility to pay appropriately for Postdoctoral appointees who have obtained additional Postdoctoral experience before coming to the School. This amount is to be determined prior to the Postdoc's initial appointment.

The Office of Postdoctoral Affairs will monitor that Postdocs are being paid at least minimum level set by the School.

NYU GROSSMAN SCHOOL OF MEDICINE BENEFITS FOR POSTDOCTORAL FELLOWS

Contact Information

Website: <https://med.nyu.edu/research/postdoctoral-training/resources-postdoctoral-fellows/benefits>
Phone: 212-404-3787

Waivers, Open Enrollment and Qualifying Life Events

A Postdoc who wants to waive health coverage through the NYU Grossman School of Medicine must demonstrate that they have alternate health insurance. If a Postdoc waives coverage, they cannot change the waiver status until the next "Open Enrollment" except for a qualifying life event (i.e. birth, death, divorce, marriage, etc.). The NYU Grossman School of Medicine's Benefits Services Department (see contact list at the end of the handbook) must be notified of a qualifying life event and an online submission of a request for changes in Benefits must be made within 31 days of the date of the event.

Insurance Notice for Foreign Nationals

Additional insurance requirements may affect foreign national visa holders and their families who are not paid directly by NYU Grossman School of Medicine. NYU Grossman School of Medicine Benefit Plans are not available to those Postdocs who are funded by a non-NYU Grossman School of Medicine source. For further information about alternate medical insurance options for foreign nationals funded by non-NYU GSoM sources, call the Immigration Services Department.

Mental Health Resources

Dr. Ariela Vasserman

Licensed Psychologist
NYU Pre-Doc and Postdoc Mental Health
Program Coordinator
ariela.vasserman@nyulangone.org
Phone: 646-754-4833

Access counseling and referral services by contacting Dr. Ariela Vasserman. You can expect to receive a call or email back within one business day. When you contact Dr. Vasserman, please identify yourself as an NYU Grossman School of Medicine Postdoctoral Fellow. Dr. Vasserman will assess your needs and refer you for care (if needed) with an NYU Langone Psychologist and/or Psychiatrist. If you are referred for care, you will be seen by an NYU Langone mental healthcare provider who participates in your health insurance plan within five business days depending on your needs.

Corporate Counseling Associates (CCA)

24-hour helpline: 1-800-833-8707
www.myccaonline.com
CCA's website access code: NYULH

Confidential counseling services are available to you and your family through Corporate Counseling Associates (CCA) at no cost to you. These services are available to all employees, faculty, students, house staff, and fellows of NYU Langone Health. Counselors are available 24/7 to help you and your family members with emotional and practical support.

CCA's team of experienced professionals can help with:

- Managing stress and anxiety
- Caregiver burnout
- Coping with grief and loss
- Acquiring skills to enhance resilience
- Relationship concerns
- Improving interpersonal communication

NYU Psychiatry Associates

(central.nyumc.org -> Human Resources -> Life & Well Being Benefits & Wellness -> My Wellness --> Mental Well Being)

NYU Psychiatry Associates at the faculty practice at One Park Avenue participates in the outpatient mental health Top Tier network for our United-Healthcare and Empire medical plans.

If you or a covered family member (dependents age 18+) needs care from NYU Langone Psychiatry Associates, call 212-263-7419 to schedule an assessment with a practice clinician. After the assessment, you will be referred to a Top Tier physician within the practice. For more information, please visit the NYU Department of Psychiatry website. Please contact NYU Child Study Center for dependent children under the age of 18, 646-754-5000.

Vacation

After successfully completing their probationary period (six months), Postdocs are eligible for 21 days of paid vacation per year. Any unused vacation time does not carry over from year to year, and is not payable upon termination. Additional time off is at the discretion of the principal investigator since it is predicated on the operational needs of the laboratory.

Sick Days

The Postdoc must notify their principal investigator when they are unable to come to work. Any absence extending for more than seven consecutive days needs to be reported by the Department Administrator to NYU Grossman School of Medicine's Benefits Services Department by initiating a Manager Self Service transaction.

The NYU Grossman School of Medicine also provides any sick days in accordance with state and city law.

Overview of Policy on Absence from Work Due to Disability (Non-occupational)

Postdocs are eligible for thirty (30) days of paid sick time if they are unable to work for more than seven consecutive calendar days due to illness or injury after completion of one year of service. Leave from work, due to illness or injury, which is non-work related, can only be up to, but not exceeding twenty-six (26) weeks (in total, that is, any combination of disability, injury, illness, FMLA and or maternity leave). If the Postdoc is unable

to return to work after twenty-six (26) weeks, the School can release the Postdoc from employment.

A Postdoc can initiate a leave request in Employee Self-Service (ESS) for a continuous leave or an intermittent leave at least 30 days before the start of the leave when practicable; otherwise as soon as the Postdoc is aware. This applies to all types of leave. The ESS process will ask several questions applicable to the type of leave request and provide instructions regarding further steps to complete the leave in order to be approved by the leave administrator. The Postdocs can apply for a leave by contacting the leave administrator, New York Life Group Benefit Solutions (formerly known as Cigna), at 888.842.4462 or apply online.

The maximum period of time a Postdoc can be out of work due to disability is 26 weeks. A Postdoc is eligible for short-term disability leave subsequent to the first month they are out of work due to illness or injury as long as they are certified disabled by New York Life Group Benefit Solutions. A Postdoc may elect to use any or all of their vacation time at full pay prior to going on short-term disability.

A Postdoc is expected to keep in touch with their supervisor throughout their absence from work, so that responsibilities can be covered during their absence. In addition, the Postdoc must provide their supervisor with periodic verification of their continued disability (i.e., a physician's note that states the Postdoc is unable to work and must include an expected duration of disability) at a frequency in accordance with their supervisor's instructions. In addition, they may be required to provide their supervisor with advance notice when they expect to return to work or notice if they will not be returning to work.

Postdocs with (12) months of service and eligible for one month of paid sick time may use their sick time. If the Postdoc is certified as disabled by New York Life Group Benefit Solutions, they would be eligible for short-term disability benefits.

* Please note that a Postdoc's disability leave also counts toward their maximum twelve (12)

week allowance as an FMLA leave (described in the next section) and runs concurrently with a certified disability. Postdoctoral Fellows, who are pregnant, are considered disabled and covered by this policy for the period they are disabled and unable to work due to the birth of their child.

Absence from Work due to the Family & Medical Leave Act (FMLA)

The Family and Medical Leave Act (FMLA) provides eligible employees with up to 12 weeks of unpaid, job-protected leave per year. It also requires that their group health benefits be maintained during the leave. FMLA is designed to help employees balance their work and family responsibilities by allowing them to take reasonable unpaid leave for their own or family medical reasons.

Own Illness:

Postdocs who have been on staff for more than twelve (12) months and have worked a minimum of 1250 hours in the prior twelve (12) months are eligible for leave for their own illness under the federal Family and Medical Leave Act.

Postdocs should inform their PI and Department Administrator at least 30 days prior to the expected date of their absence or as soon as is reasonably possible if unforeseen.

A Postdoc may also elect to be paid using unused vacation time for the remainder of the approved FMLA/Disability leave.

Family Member or Parental Leave:

Postdocs who qualify for FMLA Leave are eligible for up to twelve (12) weeks of leave within a twelve (12) month period for the following:

- Birth of a child and care of a newborn (within one year of the birth);
- Adoption of a child or care of a foster care (within one year after placement);
- Care for spouse, son, daughter, domestic partner or parent with a serious health condition;
- Serious health condition that renders you unable to perform duties of your position*
- Leave when eligible family member is called for active military duty

- Provide care for an eligible military family member who is undergoing treatment for a serious health condition.

A Postdoc may also qualify for NYS Paid Family leave which runs concurrent with the federal law referenced above if a Postdoctoral Fellow worked a minimum of 20 hours per week in the prior 26 weeks. NYU Grossman School of Medicine provides up to three weeks of full pay for leaves that meet the federal and state guidelines if you have less than 5 years of service.

For leaves beyond three weeks, Postdocs may be eligible for a benefit through NYS Paid Family leave that would provide 60% of the NYS Average Weekly Wage for 2020 (\$1401.17) for up to a total of 10 weeks in calendar year 2020 (inclusive of time paid at full pay); that increases to 12 weeks in calendar year 2021. The actual maximum weekly benefit would be \$ \$971.61 in 2021. Covered family members under NYS also include parent-in-law, grandparent, grandchild and a child for which Postdoctoral Fellow has legal custody. For further details, please contact Benefits at (212) 404-3787; option #1, then option #1.

Parental Leave

Parental leave is available for parents of a child that is born, adopted, or for legal guardianship under federal FMLA and NYS Paid Family Leave. It is for the period a parent bonds with their child. Under NYS Paid Family Leave law, the leave may be up to twelve (12) weeks.

Leave Of Absence

An unpaid leave may be granted for personal reasons, after one year of continuous employment, contingent upon the operational needs of the department with their supervisor's approval. The total leave shall not exceed three months.

A Postdoc cannot be granted a personal leave of absence to work outside the NYU Grossman School of Medicine for compensation.

Upon making a request for a personal leave of absence, a Postdoc must provide the supervisor with a corresponding written explanation as to the reason for the request and it must be approved by Employee Relations in Human Resources. Any unused vacation time may be used to prior to taking a personal leave of absence.

Workers' Compensation Insurance— Workers' On-The-Job Injury or Illness

If a Postdoc is injured or becomes ill during the course of their employment while carrying out their responsibilities, they may be entitled to Worker's Compensation Benefits (medical and lost time benefits) in accordance with New York State law. To be eligible for lost time benefits, a Postdoc must be absent from work due to the injury for seven consecutive calendar days. Any paid sick leave the Postdoc may have must first be used before Workers' Compensation benefits are payable. All on-the-job accidents, illnesses, and injuries must be reported to Occupational Health Services (OHS) or the Emergency Room immediately. In all cases, a Postdoc must immediately notify their supervisor. The Postdoc must report the work-related injury or illness via an electronic form in MyChart -Click on Menu. The "Employee Incident Form" option will appear under the Employee Corner section and then click on "Employee Incident Form" to submit a report. When the department reports the work-related incident in MSS, the Postdoc will receive an email alerting that the report is in MyChart. A Workers' Compensation Claim number will be assigned within 24 hours of the manager's report of the injury. An NYU Langone Health Registered Nurse will coordinate any follow-up care that might be required.

PERFORMANCE MANAGEMENT & MENTORING

Probationary Review Period

All Postdocs should be advised that at the time of hire or transfer to another laboratory, they must successfully complete a probationary period. The probationary period is six (6) months in length.

A preliminary review of the Postdoc's performance should be made prior to the completion of the probationary period. If it is determined that additional time is needed to evaluate the Postdoc's job performance, an extension not to exceed an additional 6-month period can be added to the probationary period. Supervisors are encouraged to contact the NYU Grossman School of Medicine's Postdoctoral Affairs for assistance with preparing the performance review of a Postdoc.

A written letter issued to the Postdoc stating the reasons for the extension of probation, the duration of that extension, and the expectation for improvement must accompany the additional six-month extension. Administrators and faculty must contact the NYU Grossman School of Medicine Human Resources and Postdoctoral Affairs before taking this action.

Postdocs who do not pass probation must be terminated by the end of their probationary period or extension thereof. Such Postdocs will not be eligible for grievance rights.

Annual Performance Assessment and Advisement by Mentor

Once a year, Postdocs should meet with their advisor for a performance review. The annual POSTDOCTORAL ASSESSMENT can be found in the Forms and Letters section of the handbook. The advisor should submit the performance review to the department administrator to be maintained in their departmental file with a copy to be sent to the Postdoctoral Program Office.

Mentoring and Development

The Postdoc's faculty supervisor is the Postdoc's primary mentor. As such, mentors are usually

full-time members of the department's faculty, although faculty at affiliated institutions can also serve as mentors. In the latter cases, the Postdoc must also have co-sponsorship of a full-time member of the faculty of the sponsoring department.

The mentor is responsible for acquainting each Postdoc with the performance standards based on job responsibility. When necessary, a principal investigator should counsel Postdocs in appropriate circumstances related to the improvement of work performance. Every effort should be made to provide Postdocs with the tools necessary to aid in their professional development.

The Postdoc is responsible for undertaking and completing in a timely fashion, a substantive original research project of agreed upon mutual interest, suitable for presentation and publication in the scientific literature. The mentor agrees to provide the Postdoc with support, resources, guidance and intellectual leadership.

Compact Between Postdoctoral Appointees and Their Mentors

Recognizing the special relationship between Postdoctoral appointees and their mentors, the Association of American Medical Colleges developed a document that broadly outlines the responsibilities of both mentors and Postdoctoral appointees. This document can be found in the appendix to this handbook and both the Postdoc and their Mentor/faculty supervisor are expected to be familiar with and exercise their respective commitments as present in the COMPACT BETWEEN POSTDOCTORAL APPOINTEES AND THEIR MENTORS (found in the Forms and Letters section).

Annual Performance Assessment

Due to the training nature of the Postdoctoral position, the faculty supervisor assumes responsibility for the appropriate mentoring of Postdocs under their supervision that will assist Postdocs in acquiring a position of independence and facilitate their training while here at NYU Grossman School of Medicine. The Postdoc, however, is ulti-

mately responsible for meeting their professional development needs and career objectives.

With regards to training, principal investigators have responsibility for:

- Ensuring that Postdocs are made aware of their duties and expected performance metrics
- Providing professional and realistic career goals
- Encouraging and preparing the Postdoc to further their career
- Recognizing and acknowledging research efforts both internally and externally.
- Discussing the progress of a project, and assisting in the presentation of data

Both faculty supervisor and Postdoctoral Fellow have responsibility for:

- Establishing goals and objectives to be accomplished
- Identifying skills required for the Postdoc's professional development

Methods of Annual Performance Assessment

Postdocs are encouraged to produce an Individual Development Plan (IDP) to provide professional development needs and outline career objectives. IDPs serve as an important communication tool between individuals and mentors, and can be used when discussing a Postdoc's development and goals during the annual performance assessment required by faculty supervisors for their Postdocs. IDP courses are offered twice a year by Postdoctoral Affairs.

Faculty mentors are responsible for evaluating and completing an annual performance assessment in writing. The Postdoc shall meet with the principal investigator at that time to discuss the Postdoc's performance. A copy of the Performance Assessment Form can be found in the appendix. An evaluation file shall be maintained for each Postdoc in their departmental file. A copy of each formal written evaluation must also be forwarded to the Postdoctoral Affairs. The intent of this process is to:

- Provide an opportunity to assess the professional competence, research performance and judgment that enable the Postdoc to participate

in academic research activity

- Ensure compliance with established practices, rules, regulations, procedures, and policies of any academic research work
- Ensure compliance with standards of professional conduct and/or applicable codes of professional ethics
- Provide a standard assessment for the training of Postdoctoral fellows
- Ensure compliance with established practices, rules, regulations, procedures and policies of NYU Grossman School of Medicine

Postdocs' Rights Regarding Evaluation

If a Postdoc disagrees with, or would like to comment on, statements included in a written evaluation in their file, they may submit a written response, which shall become part of the Postdoc's departmental file. This response must also be forwarded to Postdoctoral Affairs.

Performance Improvement and Performance Deficiencies

If a Postdoc's performance is unsatisfactory, the faculty member shall notify the Postdoc of that conclusion, both verbally and in writing, as soon as it is determined and initiate appropriate corrective and/or disciplinary action.

The faculty member shall meet with the Postdoc and present a written notice, stating the terms of probation (ordinarily not to exceed six months), the reasons for this warning (i.e., the Postdoc's specific actions or deficiencies that led to the recommendation of a new probation period,) and the conditions of probation (i.e. what the Postdoc shall be expected to do differently and the measures the department will use to assess the Postdoc's achievement of these goals). Faculty members or Postdocs with questions regarding performance improvement may contact Postdoctoral Affairs staff and/or Employee Relations at 212-404-3787 option 1, option 2.

Release/Discharge and Termination Letter

If, after the probationary period, it is determined that the Postdoc is unable to perform their duties satisfactorily, a termination letter will be drafted. The Postdoc must be given 90 days written

notice if the faculty member wishes to terminate their Postdoctoral status. This notice will be applicable for performance issues that have been formally and previously addressed that are not a violation of policy. In instances of funding discontinuation or unsatisfactory performance, the standardized termination letter should be used which can be obtained from Postdoctoral Affairs and is available in the Forms and Letters section of this Handbook.

Faculty must consult with Human Resources and Postdoctoral Affairs before terminating any Postdoc during the appointment year, to ensure that departments have taken appropriate remedial steps, if applicable.

If a violation of any School policy has occurred, and/or gross misconduct occurs, and therefore immediate dismissal is appropriate, Faculty must contact the NYU Langone Human Resources and Postdoctoral Affairs. If immediate dismissal is warranted, no prior notice to the Postdoc will be given.

If a Postdoc feels that the termination or disciplinary action is not warranted, then they can proceed with the grievance process.

Grievance Procedure

Grievances are concerns that the Postdoc has about a problem that has not been resolved through informal channels. Grievances come in many varieties, ranging from those that are interpersonal to task-related issues.

The grievance committee's main objective is to promote better channels of communication via the School's Postdoctoral Affairs. It is not an advocate for any one individual or group, but for adherence to the School's regulations and due process. The grievance committee is made up of the Assistant Dean for Postdoctoral Affairs (or their designee), the Senior Vice President of Human Resources (or their designee) and at least two other NYU Langone faculty members. These faculty members are chosen by the Assistant Dean for Postdoctoral Affairs in an ad hoc capacity, based on faculty availability, expertise, and ab-

sence of conflicts of interest. Additional members may be added to the Grievance Committee as deemed necessary by the Assistant Dean for Postdoctoral Affairs. The grievance committee does and can recommend changes to the existing rules and practices as an impartial mediator of conflicts.

If a Postdoc has a grievance, the steps to be followed are:

STEP 1

The Postdoc should informally or formally approach their faculty supervisor in an attempt to resolve the grievance; if the Postdoc does not reach a resolution to the grievance after speaking with the faculty supervisor, the Postdoc should then proceed to the next step.

STEP 2

The Postdoc contacts Postdoctoral Affairs and requests a hearing with the grievance committee. A meeting will be held whereby the Postdoc is counseled and advised of the next steps. The Assistant Dean for Postdoctoral Affairs may also attempt to mediate the situation at this step.

STEP 3

The grievance committee will hold a hearing with the Postdoc and the faculty supervisor and both sides will be presented. The grievance committee serves as a mediator to find a reasonable solution to the problem.

STEP 4

If the Postdoc or faculty supervisor is not satisfied with the determination of the grievance committee and wishes to pursue an appeal, they may submit the complaint/issue in writing to the Vice Dean for Science as a final appeal.

Ombuds Program at NYU Langone Health

NYU Langone Health's Ombuds Program is a neutral, confidential, and informal resource to help faculty, house staff, Postdoctoral fellows, and students address and resolve workplace conflicts. Ombuds are formally trained to facilitate fair and equitable resolutions to work-related questions, concerns, and complaints. An ombud

holds the identity and communications with those seeking assistance in strict confidence, and does not disclose confidential communications unless given permission to do so, except as required by law, or where, in the judgment of the ombud, there appears to be imminent risk of serious harm. They offer professional, neutral guidance for those seeking an off-the-record, confidential consultation about how to resolve a work or education or training-related issue.

<https://central.nyumc.org/edu/site/About-Ombuds/SitePages/AboutUs.aspx>

Ombuds (as of July 2020)

PROCEDURE RELATING TO POSTDOCS LEAVING THEIR POSITION

The following steps need to be completed when a Postdoc terminates:

- The administrative representative of the department should initiate a Manager Self-Service transaction.
- If the Postdoc is completely terminating from the institution, meaning they are not retaining any position, then the ID badge, equipment, etc.

POLICY RELATING TO POSTDOCS LEAVING THEIR POSITION

Although a Postdoctoral appointment is intended to be an annual appointment, a Postdoc may be released prior to the hire anniversary due to the discontinuation of the work for which the Postdoctoral fellow was hired, the expiration of the Postdoc's funding source, or performance issues. For most circumstances causing a Postdoc's release, the faculty supervisor is required to give the Postdoc notice (see page 16), except in cases of misconduct or violation of policy.

Upon beginning the fifth year of Postdoctoral training (including Postdoctoral training at other institutions), or earlier if the training will end earlier, the faculty supervisor will provide their Postdocs a FINAL REAPPOINTMENT LETTER (found in the Forms and Letters section) from their supervisor informing them that they are

- Richard E. Greene, MD, MHPE, Dept. of Medicine (Richard.Greene@nyulangone.org)
 - Georgeann McGuinness, MD, Dept of Radiology (Georgeann.McGuinness@nyulangone.org)
 - K. Ron-Li Liaw, MD, Dept of Child & Adolescent Psychiatry (Ron-Li.Liaw@nyulangone.org)
 - Rebecca Lois, PhD, Dept of Child & Adolescent Psychiatry (Becky.Lois@nyulangone.org)
 - Elaine (Lyn) Wilson, PhD, Dept of Cell Biology (Elaine.Wilson@nyulangone.org)
- While Postdocs can meet with any ombud, Dr. Lyn Wilson typically works with the Postdoc community.

must be returned to their supervisor.

- The Postdoc will leave behind all original notebooks and computer files, and tangible research property. Postdocs may make copies of notebooks and computer files and have access to tangible research property they helped generate during their training according to university policy.

beginning their final year of Postdoctoral training at NYU GSoM, unless their supervisor requests an extension for a sixth year.

Final Reappointment Letter

Upon completion of their fourth year of Postdoctoral training or earlier if training will end earlier, Postdocs will receive a FINAL REAPPOINTMENT LETTER from their supervisor informing them that they are beginning their final year of Postdoctoral training at NYU Grossman SOM, unless their supervisor requests an extension for an additional year. Postdoctoral Affairs will notify the supervisor of the final year of their Postdoctoral trainee's appointment and instruct them to initiate the letter. A copy of this letter must be submitted to Postdoctoral Affairs.

Postdoctoral Appointment Extension

In circumstances where a Postdoctoral researcher requires an extra year beyond the fifth year (cumulative of Postdoctoral training at all institutions) to complete a project underway in order to move onto an independent position, a professional development plan must be submitted along with the Request for Extension of Appointment form for approval so the Postdoctoral appointment may be extended for a sixth and final year. This request form can be found in the Appendix, and must be submitted to Postdoctoral Affairs. The approval for the extra year will be granted only if

VISAS AND IMMIGRATION

Pre U.S Arrival/Before Starting Work at NYU Grossman School of Medicine Proof of U.S. Work Authorization:

As with all NYU Langone Health employees, the employment of Postdocs is contingent upon satisfaction of the legal requirement to present documentation of identity and U.S. work authorization valid for the duration of employment. While NYU Langone Health is able to assist with securing some employment-based immigration benefits, it is ultimately the responsibility of the Postdoc to ensure that they have proof of valid work-authorized U.S. immigration status at all times. If you require assistance in securing a work-authorized U.S. immigration status, please advise your Department Administrator of this need and they will liaise with NYU Langone Health's Immigration Services Dept. to devise a suitable immigration sponsorship strategy. Postdocs are also independently responsible for ensuring any accompanying family members have valid U.S. immigration status at all times.

The Immigration Services Dept. of NYU Langone helps the institution attract and retain global talent by facilitating the hiring and retention of foreign national employees. The Immigration Services Dept. not only provides a wide range of advisory and visa preparation services, but also ensures institutional compliance with require-

the professional development plan demonstrates that the extra year is needed to achieve a position of independence or successful transition into a non-academic career path.

In cases where a faculty supervisor chooses to have Postdoctoral researcher remain in a laboratory beyond the five-year limit or after the one-year extension, it must be in a new position. The new position should provide more independence and a change in responsibility within the department that is consistent with non-Postdoctoral fellowship position at the NYU Grossman School of Medicine.

ments concerning the employment of foreign nationals. The Immigration Services dept. should be contacted with questions at 212.404.3862 or nyumcimmigration@nyulangone.org.

DEPARTMENTAL SPONSORSHIP

If a department wishes to hire a Postdoc who requires sponsorship for work-authorized U.S. immigration status, the Department Administrator should contact the Immigration Services unit and provide a copy of the Postdoc's CV and the position description to facilitate analysis of an immigration sponsorship strategy. Please note that the lead time for onboarding a Postdoc requiring immigration sponsorship will be at least several weeks longer than ordinary onboarding timeframes. In addition to contacting the Immigration Services dept. to devise an initial immigration strategy, please note that each foreign national Postdoc whose status is sponsored by NYU Langone Health must contact NYU Langone Health's Immigration Services unit at nyumcimmigration@nyulangone.org to schedule onboarding and I-9 completion.

WHILE WORKING AT NYU GROSSMAN SCHOOL OF MEDICINE

Maintaining Status

To facilitate Postdocs maintaining valid U.S. immi-

gration status throughout their employment, Postdocs must inform both their Department Administrator and NYU Langone Health's Immigration Services dept. of any changes in their employment and/or U.S. immigration status. Specifically, any proposed job changes for Postdocs whose immigration status is sponsored by NYU Langone Health, including funding changes, should be communicated to the Immigration Services unit prior to finalization.

More Information about Visa Classifications

Detailed information about nonimmigrant visa classifications sponsored by NYU Langone Health and related internal processes is available on the Inside Health Portal under the Human Resources tab, in both the Employee and Manager sections. Specifically, an Informational Memo for each visa classification details the requirements of the classification as well as the NYU Langone Health process for a department to request sponsorship. Additionally, Employer and Employee Questionnaires, including a list of required documentation, are provided for each visa classification. Generally, the J-1 Research Scholar, H-1B Specialty Occupation and O-1 Extraordinary Ability classifications are suitable options for Postdocs, with the best option for each person being determined on an individual basis by the Immigration Services dept.

Permanent Residence

Postdocs seeking to pursue U.S. permanent residence with NYU Langone Health sponsorship should contact the Immigration Services dept. Detailed information about various categories of U.S. Permanent Residence is also available on the InsideHealth under the Human Resources tab.

GENERAL NYU GROSSMAN SCHOOL OF MEDICINE PROCEDURES

Maintenance of Telephone Contact Number

Postdocs of the School are expected to provide their supervisor, and ensure the NYU Langone Health Human Resources has, their current home address, cell phone number where they can be contacted in the event of an emergency or due to operational needs. Failure to provide a current

As a general matter, the Outstanding Researcher classification is a permanent residence classification applicable to many Postdocs, but institutional sponsorship is only available if the offer of employment is considered permanent and sufficient funding is present. A Postdoc seeking institutional sponsorship in the Outstanding Researcher classification may request their Department Administrator send a completed Postdoc Authorization Memo to the NYU Langone Health Immigration Services dept. If the case is suitable for institutional sponsorship, then the Postdoc will be notified; the Postdoc is responsible for retaining their own attorney to prepare a permanent residence case and for covering all costs and fees.

News

Please be aware that U.S. immigration rules change frequently. Please visit the Immigration News section on InsideHealth under the Human Resources tab for the latest developments.

Departing NYU Grossman School of Medicine

Please be prepared that you will need to independently manage your U.S. immigration status following the end of your employment at NYU Langone Health. Please keep in mind that if you are working at NYU Langone Health in an employment-based immigration classification such as H-1B, the end of your employment will also be the end of your associated immigration status. Hence, it is important that you plan the timing of your post-NYU Langone Health endeavors carefully.

Contact Information

Phone: 212-404-3862

contact number may result in disciplinary action.

Workspace and Research Laboratories

All research space, desks, offices and lockers, computers, etc. remain the property of the School. Accordingly, the School may inspect your workspace at any time, with or without cause or notice.

Postdocs who attempt to deny access or to otherwise hinder such an investigation are subject to discipline up to and including discharge.

Smoking Policy

As part of the School's commitment to public health and safety and the prevention and treatment of disease, smoking is prohibited in all areas of the campus and buildings of NYU Langone Health (including the School), in accordance with city and state regulations. "Smoking" also includes e-cigarettes and vaping products.

Use of the Medical Center's Communications Systems, Phone, E-Mail, Fax and Internet

NYU Langone Health's and Grossman School of Medicine's communication services and systems are to be used in accordance with assigned job responsibilities and are considered confidential and accessed by password only. Passwords are considered confidential and should not be shared with anyone without express approval from an appropriate authority.

All the communication services and equipment, including telephone pagers, fax machines, computer networks interoffice, voice and electronic mail and the Internet may not be used for personal purposes except in cases of extreme emergency. This is especially true with regard to the use of the phone and the Internet.

These communication services and systems also may not be used to execute any unlawful or unauthorized endeavor including but not limited to: requesting or distributing copyrighted material in a way that would infringe on the rights of the copyright holder; communicating threatening, insulting, obscene, harassing or abusive language; or for non-work related purposes.

Also it is considered that any communications received or delivered here either telephonically, electronically or by a third party, pertain to Hospitals Center and School's business. Therefore, even if these communications are marked "Personal and Confidential," they may be reviewed by the Hospitals Center and School personnel. Postdocs do not have, nor should they reasonably

expect to have, a right to privacy concerning any information contained on, or transmitted through, electronic storage media that are the property of, or provided by, NYU Langone Health. All Postdocs are encouraged and advised to keep personal records at home. Any and all telephone conversations or transmissions, electronic mail or transmissions, or internet access or usage by an employee by any electronic device or system, including but not limited to the use of a computer, telephone, wire, radio or electromagnetic, photoelectronic or photo-optical systems may be subject to monitoring at any and all times and by any lawful means. NYU GSoM may monitor, copy, and disclose any information that is processed, stored, or transmitted using NYU Langone Health systems without the permission of the Postdoc for any purpose.

Telephone conversations or transmissions, electronic mail or transmissions, or internet access or usage of or by an employee by any electronic device or system, including but not limited to the use of a computer, telephone, wire, radio, or electromagnetic, photoelectronic or photo-optical systems may be subject to monitoring at any and all times and by any lawful means.

Package Checks

As a precaution taken for the safety of Postdocs' property, as well as that of the School and our patients, Security staff are authorized to examine the contents of any package or bag that is being carried into or out of the School. Package checks are regularly conducted at all entrances and exits of the School. Compliance with such inspections is required.

Postdocs who have permission to remove School property must have a properly authorized property pass accurately completed.

Solicitations

The School policy prohibits the solicitation by other persons on the School property during working time for purposes such as membership in support of, or donation to, social, community, political, labor and other organizations.

Postdocs engaging in prohibited activity including prohibited solicitations that disrupt their own, other Postdocs' or any person's work assignments are subject to disciplinary action. Solicitation by any person is prohibited on the School property at

all times and, if observed soliciting or distributing literature on the School property, persons should be asked to leave immediately and the Security Department should be notified of their presence.

GUIDELINES FOR PROFESSIONAL CONDUCT

Rules of Conduct

Rules of conduct at the School are not for the purpose of restricting the rights and activities of Postdocs, but are intended to assist Postdocs by defining and protecting the rights and safety of all persons, students and visitors.

General rules of conduct are considered essential to the safety and well-being of those at the School, and infractions may lead to disciplinary action up to and including discharge. Any Postdoc charged with violating a general rule of conduct may file a grievance in their defense, if they feel the action taken was not warranted.

Obviously, the School cannot create a list of rules that will cover every possible situation. Simply put, conduct that is unethical, unsafe, illegal or detrimental to the School's operation or best interests is unacceptable. Accordingly, Postdocs who engage in any of the following conduct are subject to discipline, up to and including discharge:

- Falsification or unauthorized altering of records, employment application, research, or patient records, or other School documents
- Failure to assist anyone in need in an emergency situation
- Inefficiency in performance of duties and/or substandard performance
- Unexcused or excessive/substandard lateness or absenteeism
- Unauthorized disclosure of information contained in records of the School
- Unauthorized use, possession and distribution of alcoholic beverages on the School property
- Unauthorized use, possession and distribution of narcotics or dangerous drugs.
- Reporting to work or working under the influence of alcoholic beverages or narcotics

- Disorderly conduct including fighting or horseplay
- Possession or carrying a weapon
- Dishonesty
- Threatening behavior towards others
- Insubordinate conduct such as refusal or failure to carry out the instructions of a supervisor
- Refusal or failure to carry out the legitimate instructions of a supervisor
- Leaving without permission during regularly assigned working hours
- Failure to comply with NYU Langone safety guidelines or practices; or creating or contributing to hazardous conditions
- Smoking in any unauthorized areas
- Sleeping or the appearance thereof while on duty
- Creating unsafe or unsanitary conditions
- Theft, unauthorized use, destruction or disposal of School equipment or supplies or personal property belonging to any Postdoc, patient, student, visitor or guest of the School
- Illegal activity, including gambling
- Soliciting or accepting gratuities
- Failure to report an on-the-job injury or illness
- Unlawful or unauthorized use of the School's communication systems including telephones, fax machines, pagers, computer networks, inter-office, voice or electronic mail or the Internet
- Professional misconduct or incompetence
- Using abusive, obscene or profane language
- Failure to report criminal conviction
- Failure to report professional misconduct, incompetence or impairment
- Conduct or behavior detrimental to the best interests of the School
- Failure to cooperate during an investigation conducted by the School

Code of Conduct

nyumc.ellucid.com/documents/view/1474

Promise of No Retaliation

The School promises that there will be no adverse action, retribution or other reprisal for the good faith reporting of a suspected violation of this Code, even if the allegations ultimately prove to be without merit. The School will, however, pursue disciplinary action against any member who is shown to have knowingly filed a false report with the intention to injure another.

The School reserves the right, at any time, to amend this Code of Conduct in its sole, good faith discretion.

Policy on Alcohol and Substance Abuse and Drug Convictions

The School is committed to the education of its Postdocs, students, faculty, administrators and staff about the dangers of alcohol and drug abuse. The School believes that the best way to achieve and maintain this objective is through preventive education about the dangers of alcohol and drug abuse, and compassionate attention to the needs of those who may require help with alcohol and drug-related problems. To that end, the School provides referrals for support programs and information as well as information about related services that are available in the local community.

Confidential counseling can be arranged by the Faculty and Staff Assistance Program, and is available for any member of the Medical Center Community who may have developed an alcohol or drug-related problem, suspects they are at risk, or seeks information about illegal or controlled drugs. Several programs are also available. The following programs and services are voluntary and completely confidential:

New York City Programs: NYS Drug Information Line (1-800-522-5353), Cocaine Hotline (1-

800-COCAINE), Alcohol Council of Greater New York (979-1010), Alcoholics Anonymous (683-3900), Al-Anon (254-7230), Cocaine Anonymous (496-4266), and Narcotics Anonymous (601-5817.)

In addition to policies and practices that emphasize concern for the welfare of individuals, the School also recognizes the importance of maintaining the safety and well-being of the community as a whole. The School therefore adheres to the following guidelines concerning the unlawful possession, use and distribution of alcohol and drugs:

- The unlawful possession, use or distribution of alcohol and illicit drugs on the School premises is strictly prohibited.
- Upon finding evidence of the unlawful possession, use or distribution of alcohol or illicit drugs on its premises by any Postdoc, the School will take appropriate disciplinary action, up to and including termination.
- Any Postdoc who is suspected of being under the influence of alcohol or illicit drugs will not be allowed to work and may be subject to medical evaluation. Any Postdoc who refuses to be medically evaluated may be subject to disciplinary action up to and including discharge.
- Using regularly established procedures, the School will take disciplinary action, up to and including discharge, against any member of the faculty or staff found to be unlawfully using, possessing or distributing alcohol or drugs.

Postdocs must, as a condition of employment at the School, abide by the terms of this policy. Postdocs should also be aware that, in addition to the School sanctions, they may be subject to criminal prosecution under federal and state laws that specify fines or imprisonment for conviction of drug-related offenses.

POLICY ON PATENTS AND INVENTIONS

Policy on Patents <https://www.nyu.edu/content/dam/nyu/compliance/documents/IPPolicy.pdf>

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CONTACT LIST

Security Phone
212-263-3000

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540 First Avenue, Skirball Institute of Biomolecular Medicine, 3rd Floor.
Phone: 646-501-0130
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Associate Director
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Benefits Services Department, Human Resources
One Park Avenue, 4th floor, (Between 32nd & 33rd Street)
Phone: 212-404-3787 (option #1, then option #1)
Fax: 212-404-3900
<https://med.nyu.edu/research/postdoctoral-training/resources-postdoctoral-fellows/benefits>

Office of Workplace Culture & Inclusion (Title IX)
One Park Avenue, 4th Floor (between 32nd and 33rd Street)
Phone: 212-404-3825

Employee Relations, Human Resources
One Park Avenue, 4th floor, (Between 32nd & 33rd Street)
Phone: 212-404-3787 (option #1, then option #2, then option #4)
Fax: 212-404-3903

Immigration Services, Human Resources
One Park Avenue, 4th floor, (Between 32nd & 33rd Street)
New York, NY 10016
Phone: 212-404-3862
Fax: 212-404-3902
<https://med.nyu.edu/research/postdoctoral-training/resources-Postdoctoral-fellows/international-Postdocs>

Faculty and Staff Assistance Program
Contact Corporate Counseling Associates at 800-833-8707
www.corporatecounseling.com

Housing Office
One Park Avenue, 5th Floor
Phone: 212-263-5025
Fax: 212-263-7500
Email: housing@nyulnagone.org
<https://med.nyu.edu/our-community/life-nyu-grossman-school-medicine/housing>

Environmental Health and Safety
Phone: 212-263-5159
<https://central.nyumc.org/shared/redf/eh-s/Pages/Home.aspx>
eh&s@nyulangone.org

Division of Comparative Medicine (DCM)
Phone: 646-754-5256
<https://central.nyumc.org/research/site/dcm/Pages/default.aspx>

Radiation Safety Office
Phone: 212-263-6888
<https://central.nyumc.org/shared/redf/radiation-safety/Pages/Home.aspx>

To Report Incidents Against the Ethical Code of Conduct
NYU NO CALLER ID
Toll-free Hotline: 877-360-7626

Alcohol, Substance Abuse and Drug Programs/Services

- **NYS Drug Information Line:** 800-522-5353
- **Cocaine Hotline:** 800-COCAINE
- **Alcohol Council of Greater New York:** 212-979-1010
- **Alcoholic's Anonymous:** 212-683-3900
- **Al-Anon:** 212-254-7230
- **Cocaine Anonymous:** 212-496-4266
- **Narcotics Anonymous:** 212-601-5817

FORMS AND LETTERS

A Guidelines for Use of a Postdoctoral Fellow or Research Scientist Title

p. 28

Administration: This document will be required to be included with every new hire Postdoctoral fellow.

Faculty Supervisor: The faculty supervisor is expected to be aware of the document and to sign it when such changes occur.

Postdoc: The Postdoc is expected to be aware of the document and to sign it when such changes occur.

B Faculty Supervisor Notification of Requisition and Title Eligibility /Compact Between Postdoctoral Appointees and Their Mentors

p. 29

Administration: Postdoctoral Affairs sends this letter and document upon receiving a Postdoc requisition as a courtesy to the Faculty Supervisor. It details the maximum appointment that the incoming Postdoc can be appointed under a Postdoctoral title (NYU GSoM has a five-year maximum cumulative of Postdoctoral experience at other institutions) and other information that the PI should inform their Postdoc of as a courtesy. A copy of the Compact Between Postdoctoral Appointees and their Mentors will also be included. This document approved by the member institutions of the AAMC including NYU GSoM provides a set of commitments on the part of the Postdoc and PI to each other and the institution. The Postdoc will receive a copy at the quarterly Postdoc orientation or by email once they arrive and obtain a School provided email account.

Faculty Supervisor: No direct action is required but the PI is expected to be familiar with the Compact and support their commitments.

Postdoc: No direct action is required but the Postdoc is expected to be familiar with the Compact and support their commitments.

C Statement of Policy on Patent New York University and Policy Statement on Privacy, Information Security and Confidentiality

p.32

Administration: Human Resources asks the newly appointed Postdoc to sign it when they come to their new hire appointment

Faculty Supervisor: No action is required.

Postdoc: The Postdoc signs the document and returns it to designated person.

D Postdoctoral Fellow Annual Assessment and Progress Report

p. 37

Administration: Postdoctoral Affairs will send the Assessment Form along with the appropriate Annual Assessment to the Postdoc and Faculty Supervisor in October of each year. An email will also be sent to the appropriate Departmental Administrator notifying them of the delivery of the documents as well.

Faculty Supervisor: The Faculty Supervisor must arrange a time to meet and go over the Postdoc's progress and complete the evaluation. The Faculty Supervisor will sign the document's signature page along with the Postdoc and retain a copy of the assessment for their records.

Postdoc: The Postdoc is responsible for arranging the meeting with their Faculty Supervisor where their progress and performance can be discussed. The Postdoc should complete their section prior to the meeting. Once the

Faculty Supervisor and Postdoc have completed the Assessment and both have signed the form, the form must be sent to Postdoctoral Affairs for tracking of this requirement.

E Final Appointment Notices

p. 40

Administration: Postdoctoral Affairs will send these letters to the Postdoc and Faculty Supervisor along with the Postdoctoral Fellow Final Re-Appointment Letter prior to the final year of eligibility for Postdoctoral training. The Departmental Administrator will also be advised of the final year of appointment by email.

Faculty Supervisor: No action required

Postdoc: No action required

F Final Re-Appointment Letter

p. 42

Administration: Postdoctoral Affairs will send this letter to the Postdoc and Faculty Supervisor along with a Final Appointment Notice at the beginning of the final year of eligibility for Postdoctoral training. The Departmental Administrator should receive a copy of the letter.

Faculty Supervisor: The Faculty Supervisor is expected to complete and sign the letter and give it to the Postdoc to sign. Once signed by the Postdoc, a copy is sent to Postdoctoral Affairs.

Postdoc: The Postdoc is expected to sign the appointment letter and return it to the faculty supervisor keeping a copy for themselves.

G Request for Extension of Postdoctoral Appointment

p. 44

Administration: Postdoctoral Affairs will notify the Faculty Supervisor and Departmental Administrator if the request for extension has been approved.

Faculty Supervisor: The Faculty Supervisor is responsible for submitting the request along with the Postdoc's development plan including reasons for the extension to Postdoctoral Affairs for review and approval.

Postdoc: The Postdoc is expected to provide a professional development plan to be submitted along with the Request for Extension of Postdoctoral Appointment form for approval.

GUIDELINES FOR USE OF A POSTDOCTORAL FELLOW OR A RESEARCH SCIENTIST TITLE

As part of your request to hire/promote an employee into a title of Postdoctoral Fellow, Postdoctoral Training Fellow or NSRA Postdoctoral Fellow (herein generically referred to as “Postdoctoral Fellow”) or Research Scientist, supporting documentation is required in the form of a job description, CV and this form.

Postdoctoral Fellows

The use of this title is generally limited to individuals that are within three years (at most) of receiving their PhD or MD degree, to:

- primarily conduct basic science research in a laboratory
- participate in advanced scientific training programs under the mentorship and supervision of a faculty member who is typically a Principal Investigator.
- pursue testing of hypotheses by developing experimental designs, managing and processing data and interpreting and preparing the results.
- “be trained” at NYU Grossman School of Medicine for the principal purpose of engaging in full-time academic research to further her/his personal development. The position is meant to provide additional research and scholarly training in preparation for a position in academia, industry, or government.

A Postdoctoral Fellow title can only be held for up to a total of five years, with an extension of the Postdoctoral position for a sixth year upon approval

by the department chair and the Assistant Dean for Postdoctoral Affairs as an exception. If an individual is more than five years past the point of receiving their PhD., he/she would not be considered a Postdoc Fellow unless they were changing into a different professional career path. If a Postdoc with an MD has had previous research experience, a determination will need to be made as to how much of the Postdoc 5-year limitation would apply.

Research Scientists

This title is given to individuals that typically are not in training but rather perform duties that reflect scientific efforts that require a minimum of a Master’s Degree, or at higher levels, may have substantial experience (from having completed their Postdoc training) and may have established a record of publications. Research Scientists collaborate with Principal Investigators, but work with more independence within the scientific framework of the PI’s laboratory than a Postdoctoral Fellow. Research Scientists may supervise Postdocs (if they have a PhD), technicians and manage a laboratory for the Principal Investigator. They can also seek grant funding from external sources in support of their independent research projects with consent of the PI and the Department Chair.

Though Postdocs and Research Scientists may perform similar and overlapping functions, the focus and purpose of each position is different.

I hereby acknowledge that, _____, who will be under my supervision, will be performing the duties consistent with the title requested.

If this individual is a Pre/Postdoctoral Fellow, are they paid from an NIH NSRA grant? Yes No

Name: _____ Signature/Date: _____
Faculty Supervisor Department: _____

I have reviewed and discussed the use of the title assigned to the employee and agree that its use is consistent with the guidelines of the institution.

Name: _____ Signature/Date: _____
Department Administrator Department: _____

COMPACT BETWEEN POSTDOCTORAL APPOINTEES AND THEIR MENTORS

December 2006

www.aamc.org/Postdoccompact

The Compact Between Postdoctoral Appointees and Their Mentors is intended to initiate discussions at the local and national levels about the Postdoctoral appointee-mentor relationship and the commitments necessary for a high-quality Postdoctoral training experience. The Compact was drafted by the AAMC Group on Graduate, Research, Education, and Training (GREAT) and its Postdoctorate Committee. It is modeled on the AAMC Compact Between Resident Physicians and Their Teachers, available at www.aamc.org/residentcompact. Input on the document was received from the GREAT Group Representatives, members of the AAMC governance, and other members of the Postdoctoral community, including the National Postdoctoral Association. At its October 8, 2006, annual business meeting, the GREAT Group unanimously endorsed the document. The document was subsequently endorsed by the AAMC Executive Committee on October 20, 2006.

COMPACT BETWEEN POSTDOCTORAL APPOINTEES AND THEIR MENTORS

Postdoctoral training is an integral component of the preparation of scientists for career advancement as scientific professionals. Postdoctoral appointees typically join an institution to further their training in a chosen discipline after recently obtaining their terminal degree (eg, PhD, MD, DVM). This training is conducted in an apprenticeship mode where she/he works under the supervision of an investigator who is qualified to fulfill the responsibilities of a mentor. The Postdoctoral appointee may undertake scholarship, research, service, and teaching activities that together provide a training experience essential for career advancement.

CORE TENETS OF POSTDOCTORAL TRAINING

Institutional Commitment

Institutions that train Postdoctoral appointees must

be committed to maintaining the highest standards of training and to providing a program sufficient to ensure, that when completed, the trainee can function independently as a scientific professional. Institutional oversight must be provided for terms of appointment, salary, benefits, grievance procedures, and other matters relevant to the support of Postdoctoral appointees. A responsible institutional official must be designated to provide this oversight, and a suitable office should be available for the administrative support of Postdoctoral affairs.

Quality Postdoctoral Training

Individuals should be trained to independently formulate meaningful hypotheses, design and conduct interpretable experiments, adhere to good laboratory practices, analyze results critically, understand the broad significance of their research findings, and uphold the highest ethical standards in research. The development of additional skills—including oral and written communication, grant writing, and laboratory management—are considered integral to this training.

Importance of Mentoring in Postdoctoral Training

Effective mentoring is critical for Postdoctoral training and requires that the primary mentor dedicate substantial time to ensure personal and professional development. A good mentor builds a relationship with the trainee that is characterized by mutual respect and understanding. Attributes of a good mentor include being approachable, available, and willing to share their knowledge; listening effectively; providing encouragement and constructive criticism; and offering expertise and guidance.

Foster Breadth and Flexibility in Career Choices

Postdoctoral appointees must have training experiences of sufficient breadth to ensure that they are prepared to pursue a wide range of professional career options. Effective and regular career guidance is essential and should be provided by the mentor and the institution.

COMMITMENT OF POSTDOCTORAL APPOINTEE

- I acknowledge that I have the primary responsibility for the development of my own career.** I recognize that I must take a realistic look at career opportunities and follow a path that matches my individual skills, values, and interests.
- I will develop a mutually defined research project with my mentor that includes well-defined goals and timelines.** Ideally, this project should be outlined and agreed upon at the time of the initial appointment.
- I will perform my research activities conscientiously, maintain good research records, and catalog and maintain all tangible research materials that result from the research project.**
- I will respect all ethical standards when conducting my research including compliance with all institutional and federal regulations as they relate to responsible conduct in research, privacy and human subjects research, animal care and use, laboratory safety, and use of radioisotopes.** I recognize that this commitment includes asking for guidance when presented with ethical or compliance uncertainties and reporting on breaches of ethical or compliance standards by me and/or others.
- I will show respect for and will work collegially with my coworkers, support staff, and other individuals with whom I interact.**
- I will endeavor to assume progressive responsibility and management of my research project(s) as it matures.** I recognize that assuming responsibility for the conduct of research projects is a critical step on the path to independence.
- I will seek regular feedback on my performance and ask for a formal evaluation at least annually.**
- I will have open and timely discussions with my mentor concerning the dissemination of research findings and the distribution of research materials to third parties.**
- I recognize that I have embarked on a career requiring “lifelong learning.”** To meet this obligation I must stay abreast of the latest developments in my specialized field through reading the literature, regular attendance at relevant seminar series, and attendance at scientific meetings.
- I will actively seek opportunities outside the laboratory (e.g. professional development seminars and workshops in oral communication, scientific writing, and teaching) to develop the full set of professional skills necessary to be successful for my chosen career.**
- At the end of my appointment, in accordance with institutional policy, I will leave behind all original notebooks, computerized files, and tangible research materials so that other individuals can carry on related research. I will also work with my mentor to submit the research results for publication in a timely manner.** I can make copies of my notebooks and computerized files, and have access to tangible research materials which I helped to generate during my Postdoctoral appointment according to institutional policy.

COMMITMENT OF MENTOR

- I acknowledge that the Postdoctoral period is a time of advanced training intended to develop the skills needed to promote the career of the Postdoctoral appointee.**
- I will ensure that a mutually agreed upon set of expectations and goals are in place at the outset of the Postdoctoral training period, and I will work with the Postdoctoral appointee to create an individual career development plan.**
- I will strive to maintain a relationship with the Postdoctoral appointee that is based on trust and mutual respect.** I acknowledge that open communication and periodic formal performance reviews, conducted at least annually, will help ensure that the expectations of both parties are met.
- I will promote all ethical standards for conducting research including compliance with all institutional and federal regulations as they relate to responsible conduct in research, privacy and human subjects research, animal care and use, laboratory safety, and use of radioisotopes.** I will clearly define expectations for conduct of research in my lab and make myself available to discuss ethical concerns as they arise.
- I will ensure that the Postdoctoral appointee has sufficient opportunities to acquire the skills necessary to become an expert in an agreed upon area of investigation.**
- I will provide the appointee with the required guidance and mentoring, and will seek the assistance of other faculty and departmental/institutional resources when necessary.** Although I am expected to provide guidance and education in technical areas, I recognize that I must also educate the Postdoctoral appointee by example and by providing access to formal opportunities/programs in complementary areas necessary for a successful career.
- I will provide a training environment that is suited to the individual needs of the Postdoctoral appointee in order to ensure their personal and professional growth.** I will encourage a progressive increase in the level of responsibility and independence to facilitate the transition to a fully independent career.
- I will encourage the interaction of the Postdoctoral appointee with fellow scientists both intra- and extramurally and encourage the appointee’s attendance at professional meetings to network and present research findings.**
- I will ensure that the research performed by a Postdoctoral appointee is submitted for publication in a timely manner and that she/he receives appropriate credit for the work she/he performs. I will acknowledge her/his contribution to the development of any intellectual property and will clearly define future access to tangible research materials according to institutional policy.**
- I recognize that there are multiple career options available for a Postdoctoral appointee and will provide assistance in exploring appropriate options.** I recognize that not all Postdoctoral appointees will become academic faculty. To prepare a Postdoctoral appointee for other career paths, I will direct her/him to the resources that explore non-academic careers, and discuss these options.
- I will commit to being a supportive colleague to Postdoctoral appointees as they transition to the next stage of their career and to the extent possible, throughout their professional life.** I recognize that the role of a mentor continues after the formal training period.

This compact serves both as a pledge and a reminder to mentors and their Postdoctoral appointees that their conduct in fulfilling their commitments to one another should reflect the highest professional standards and mutual respect.

STATEMENT OF POLICY ON PATENTS

<https://www.nyu.edu/content/dam/nyu/compliance/documents/IPPolicy.pdf>

NYU Langone Health IP Agreement

NYU LANGONE HEALTH¹ INTELLECTUAL PROPERTY AGREEMENT (“AGREEMENT”)

I have read and understand New York University’s (“NYU’s”) Statement of Policy on Intellectual Property, including NYU’s Patent Policy, Copyright Policy and Tangible Research Property Policy (as may be amended or revised from time to time, the “Statement of Policy on Intellectual Policy” or “Statement”), and NYU Langone Health’s Policy on Retention of and Access to Research Data (as may be amended or revised from time to time by NYU Langone Health, the “Research Data Policy”). Capitalized terms used herein shall have the meaning set forth in such policies. As a condition and in consideration of employment and/or association with New York University and NYU Langone Health and the following, as applicable:

- (1) my participation in research at NYU and/or NYU Langone Health;
- (2) my receipt as a student, fellow, Postdoctoral trainee or volunteer of support from or through NYU and/or NYU Langone Health;
- (3) opportunities made or to be made available to me to make substantial use of NYU- or NYU Langone Health-administered funds or NYU and/or NYU Langone Health resources and facilities;
- (4) my employment by NYU and/or NYU Langone Health;
- (5) compensation paid by NYU and/or NYU Langone Health for services I performed; and/or
- (6) my being a visiting faculty member, scholar or researcher at NYU and/or NYU Langone Health,

I agree that I am bound by all the provisions of the Statement of Policy on Intellectual Property and the Research Data Policy and I hereby:

- A. assign to NYU all of my right, title and interest in and to: any Invention (including all right, title and interest in and to any copyrights, patent applications, patents or inventors certificates

for such Inventions), any Copyrightable Work, any Tangible Research Property, and any Research Data I create, conceive and/or reduce to practice, that is subject to NYU ownership under the terms of the Statement of Policy on Intellectual Property, the Research Data Policy, and/or grants or agreements under which research or other activities I participate in is funded or otherwise supported.

- B. agree to cooperate as reasonably requested by NYU, and in every necessary way, but at no out-of-pocket expense to me, with NYU’s efforts to evaluate an Invention, Copyrightable Work, Tangible Research Property, and/or Research Data, to seek patent, copyright or other protection for it, and to undertake commercialization and/or otherwise introduce it into public use, including, without limitation, executing confirmatory assignments or agreements documenting NYU’s ownership as contemplated by this Agreement, the Statement of Policy on Intellectual Property, and the Research Data Policy, executing documents necessary or useful for prosecuting or enforcing patents, patent applications or copyrights in the US or in any other jurisdiction or with respect to the commercialization of the Invention, Copyrightable Work, Tangible Research Property, Research Data or its introduction into public use, meeting and cooperating with NYU and its attorneys and agents regarding the prosecution and enforcement of patents or patent applications, and providing reasonable advisement regarding it to companies who have acquired rights to it pursuant to the Statement of Intellectual Property.

- C. agree to disclose fully to NYU’s Office of Industrial Liaison, or successor office, promptly after discovery, conception, reduction to practice, and/or creation, any Invention I conceive and reduce to practice and any Copyrightable Work I create that may be subject to NYU ownership under the terms of the Statement of Policy on Intellectual Property and/or the agreements under which research or other activities I participate in is funded or otherwise supported, even if I believe at that time that NYU has no ownership rights to the Invention or Copyrightable Work. For Invention disclosures, I agree to make the disclosure to NYU’s Office of Industrial Liaison, or successor office, prior to any public disclosure of the Invention and I agree to ensure that the disclosures are sufficient to ensure that NYU is: (a) fully informed of the scope, extent and usefulness of the Invention; (b) able to make a proper determination of Inventorship and ownership; (c) able to fulfill reporting obligations to governmental and other research or other sponsors; and (d) able to timely file patent applications. With respect to Inventions or Copyrightable Works covered under the Statement of Policy on Intellectual Property, I agree that this obligation to disclose as

set forth herein continues after I cease to be a member of the University Community.

- D. agree to disclose fully to NYU’s Office of Industrial Liaison, or successor office, at the earliest opportunity practicable, any Tangible Research Property (“TRP”) I create that may be subject to NYU ownership under the terms of the Statement of Policy on Intellectual Property and/or the agreements under which research or other activities I participate in is funded or otherwise supported, even if I believe at that time that NYU has no ownership rights to the TRP, when (a) I wish to transfer the TRP outside of NYU; (b) I believe, in my reasonable judgment, that the TRP has commercial potential, or (c) the TRP is subject to contractual rights or obligations (e.g., funding agreements).
- E. certify that I do not have any consulting or other agreements with any third person or organization pursuant to which I grant rights that are in conflict with this Agreement or with my obligations under the Statement of Policy on Intellectual Property or the Research Data Policy, and warrant that I will not enter into any such agreement.

I agree my responsibilities hereunder continue after termination of my employment or association with NYU and NYU Langone Health.

I agree that this agreement is governed by and construed in accordance with the laws of the United States of America and the State of New York.

NAME: _____

SIGNED: _____

DATE: _____

WITNESS NAME: _____

¹For purpose of this Agreement, “NYU Langone Health” includes NYU Langone Health System, NYU Langone Hospitals (including all inpatient and ambulatory facilities), NYU Grossman School of Medicine, and all entities that are controlled by any of them.

The very nature of NYU Langone Health's trifold mission of research, patient care and education may provide employees and other members of the NYU Langone Health community with access to (1) protected information¹, such as personal information about our patients, research subjects, employees, and other personnel, and student education records, and (2) confidential information about NYU Langone Health such as financial and contractual arrangements with suppliers and managed care companies, strategic plans, prices, professional fees, salary levels, research proposals, unpublished research data and results, and invention disclosures. NYU Langone Health considers all such information to be its property and places a high priority on maintaining and securing the privacy and confidentiality of this information.

As a member of the NYU Langone Health community, I agree that I must comply with all applicable laws and NYU Langone Health policies governing privacy, information security, and confidentiality, including the following:

A. I will at all times maintain the confidentiality of NYU Langone Health's confidential information and protected information, including but not limited to protected health information (PHI)², to which I may have access and use such information only as necessary to perform my duties and responsibilities within NYU Langone Health and for no other purpose.

B. I will follow NYU Langone Health's privacy, information security and confidentiality guidelines, including, but not limited to, NYU Langone Health's HIPAA Privacy Policies, NYU Langone Health's Workforce Members IT Policy, and other information security policies and programs, and any guidance promulgated by NYU Langone Health's Office of Internal Audit, Compliance, and Enterprise Risk Management, Human Resources/Employee and Labor Relations, and NYU Langone Health Information Technology (MCIT).

C. I will safeguard NYU Langone Health's confidential information and protected information, including but not limited to PHI, to prevent accidental, intentional, or inadvertent uses or disclosures. This includes:

- Not sharing such information with others in casual conversation or in public areas, on websites or on social media, or in other situations where disclosures might be overheard, viewed, or accessed;
- Using only MCIT-approved secure messaging services to transmit such information;
- Handling all paper and electronic documents with care to prevent unauthorized use or disclosure of such information; and
- Disposing of confidential information and protected information in a way that ensures that the information cannot be read or otherwise reconstructed. This includes shredding or destroying paper documents and following MCIT's protocol for disposing of electronic media.

¹ **Protected Information** means any information created, maintained, received or transmitted by NYU Langone Health that may identify an individual (including Protected Health Information) and which is subject to federal, state or local laws and regulations (e.g., student educational records, Social Security numbers).

² **Protected Health Information (PHI)** means individually identifiable health information that is transmitted or maintained in any form (oral, electronic, paper, etc) that: (i) identifies or could be used to identify an individual, (ii) is created or received by a healthcare provider (such as NYU Langone Health), health plan, employer, or healthcare clearinghouse, AND (iii) relates to the past, present, or future physical or mental health or condition of an individual, provision of healthcare to an individual, or past, present, or future payment for the provision of that healthcare.

D. I will request, collect, access, use, and disclose information provided by patients, research subjects, students, and others only to the extent it is necessary to perform my duties within NYU Langone Health. I recognize that it is against the law to inappropriately access, use, or disclose an individual's PHI or social security numbers, a student's educational records, or any other NYU Langone Health protected information, and that there are additional restrictions regarding HIV and AIDS, psychiatric, drug and alcohol treatments, and genetic information.

E. I will not disclose competitive information concerning NYU Langone Health with representatives from other entities that might compete with NYU Langone Health.

F. I will comply with any confidentiality obligations outlined in NYU Langone Health's agreements with third parties.

G. I will participate in all privacy and security awareness training mandated by NYU Langone Health.

H. I will not use email to send PHI, social security numbers, or other NYU Langone Health protected information outside NYU Langone Health unless the email is encrypted in accordance with NYU Langone Health policies and unless it is necessary to perform my NYU Langone Health duties.

I. I will use my assigned NYU Langone Health email address when performing my duties and obligations for NYU Langone Health and will not use my personal email accounts to conduct NYU Langone Health business.

J. I will store electronic versions of any communications, information, data and other work product I develop or receive while performing my NYU Langone Health duties on the appropriate MCIT-managed network drives and other locations as may be approved by MCIT, and will store such information on my personal devices only as authorized under NYU Langone Health policies.

K. I will not use portable devices such as laptops, USB flash drives, or other external hard drives or storage devices or disks, to store or save PHI, social security numbers, or any other NYU Langone Health protected information unless both (a) such devices have enabled encryption software installed by MCIT and (b) use of such devices to store such information is absolutely necessary to perform my NYU Langone Health duties. I will not use any USB flash drives other than MCIT-approved IronKey to store PHI, social security numbers, or other NYU Langone Health protected information.

L. I will ensure that any personal workstation (desktops and laptops), hard drive, portable hard drive, tablet, smartphone, or other mobile device I use for NYU Langone Health business activities is protected by up-to-date anti-virus software, and acknowledge that MCIT desktop support is generally not available for personal devices.

M. I will act professionally and not abuse my privileges to use NYU Langone Health's computers, information systems, Intranet, and the Internet. They are intended to be used specifically for performing my assigned job responsibilities. I will not use NYU Langone Health's computers, information systems, Intranet, and the Internet to:

- Misrepresent my identity or authority through electronic means.
- Cause a security incident.
- Create or distribute chain letters, spam, electronic viruses, video files or software for malicious purposes.
- View, create, store, download or forward pornographic, obscene, sexually explicit or sexually oriented language or material, or materials that are offensive, discriminatory, profane or abusive, unless required as part of my assigned duties or professional obligations at NYU Langone Health.
- Advocate religious or political causes, further a personal interest, or facilitate or encourage illegal activity.
- Engage in solicitations contrary to NYU Langone Health's Solicitations Policy.

- N. I will not attempt to bypass security software (i.e., anti-virus software) or intentionally cause a security incident affecting NYU Langone Health's data, workstations, applications, or accounts.
- O. I will manage all unique user IDs (e.g., Kerberos ID) assigned to me, will use secure passwords to access NYU Langone Health information assets, and will not divulge any passwords, verification codes, or electronic signature codes assigned to me or allow unauthorized persons to use them. I understand that if I allow another person to use my passwords or codes, I will be held accountable.
- P. I acknowledge that I have no expectation of privacy with respect to NYU Langone Health's telecommunications, networking or information processing systems (including, without limitation, files, e-mail messages, and voice messages), and that my activity and any files or messages on or using any of those systems may be monitored at any time without notice and is subject to legal discovery and subpoena.
- Q. I acknowledge NYU Langone Health's right to inspect any electronic device and media (including but not limited to workstations (desktops and laptops), hard drives, portable hard drives, tablets, smartphones and other mobile

devices) which are provided to me by NYU Langone Health or paid for by funds received through NYU Langone Health, as well as NYU Langone Health's right to inspect my personal computers and other electronic devices and media if used for NYU Langone Health activities or to conduct its business.

- R. I will immediately report any breach or suspected breach of PHI, social security numbers, or other NYU Langone Health protected information to my supervisor and/or NYU Langone Health's Office of Internal Audit, Compliance, and Enterprise Risk Management.

I understand that use or disclosure of NYU Langone Health's confidential information or protected information for personal benefit or for the benefit of another unauthorized institution, or for a purpose that may be detrimental to NYU Langone Health, or in any other way inconsistent with this agreement, is a violation of NYU Langone Health's policies and is subject to disciplinary action, up to and including termination of employment or association with NYU Langone Health and can lead, under certain circumstances, to individual civil and criminal liability.

I agree my responsibilities under this agreement continue after termination of my employment or association with NYU Langone Health.

NAME: _____

SIGNED: _____

DATE: _____

Revised 12/3/2019

POSTDOCTORAL FELLOW ANNUAL ASSESSMENT INSTRUCTIONS

The NYU Grossman School of Medicine encourages Faculty mentors to meet with their Postdocs at least on an annual basis to discuss the Postdoc's performance. The intent of this process is to:

- Provide an opportunity to discuss performance and judgment that enable the Postdoc to successfully engage in academic research activity.
- Provide a standard assessment for the training of Postdoctoral fellows
- Ensure compliance with established practices, rules, regulations, procedures, and policies of any academic research work
- Ensure compliance with standards of professional conduct and/or applicable codes of professional ethics
- Ensure compliance with established practices, rules, regulations, procedures and policies of NYU Grossman School of Medicine
- Provide an opportunity to discuss the Postdoc's training and career goals

The school also requires that the mentor complete an annual performance assessment in writing that should be completed prior to the Postdoc's re-appointment. The assessment should help facilitate the review session and be useful in monitoring the Postdoc's training progress.

The assessment has two (2) sections.

Section 1: Postdoctoral Self-assessment and Development Plan.

This section allows Postdocs the opportunity to consider and provide input on their accomplishments and plans. If the Postdoc has developed an Individual Development Plan, as he or she is encouraged to do, he or she may use that document for this section.

Section 2: Mentors Assessment and Guidance.

This section contains two main areas: performance and competency. Although Postdocs are trainees, like other members of the Medical Center community, the Postdoc's performance is required to be evaluated on a standardized scale by their PI who plays a supervisory as well as mentoring role. We are asking you to evaluate the Postdoc's performance based on your estimation of their performance level considering the standards of your profession and the NYU community. As trainees, every effort should

be made to provide Postdocs with the skills and appropriate guidance necessary to aid in their professional development. While not required in the assessment, selected competency areas are listed on the evaluation. During your meeting, the Postdoc and the PI are encouraged to discuss the Postdoc's proficiency in these skills and competencies and suitable training to improve upon them.

The Annual Assessment shall be maintained for each Postdoc in their departmental file.

POSTDOCTORAL FELLOW ANNUAL ASSESSMENT

Name of Postdoctoral Fellow: _____

Name of PI/Mentor: _____

Date of Review: Department: _____

Part I: Postdoctoral Self-Assessment and Development Plan

Postdoctoral fellows please complete questions 1 – 4. Please use additional sheets of paper for your responses if needed.

1. What progress have you made in your project in the last year?

2. Please list any accomplishments achieved in the past year? (publications, completed manuscripts for submission, presentations, grants awarded, etc.)

3. What are your goals for the coming year?

4. What are the challenges in achieving your goals for the coming year?

Name of Postdoctoral Fellow: _____

Part II: Mentors Assessment and Guidance

(Please use additional sheets of paper for comments as needed)

Performance Assessment (Required):

Please provide further information and comments on any performance areas deemed unsatisfactory including steps to be taken by the Postdoctoral fellow to improve their performance.

	Excellent	Good	Satisfactory	Unsatisfactory
Effort				
Initiative/motivation				
Fulfillment of lab duties/expectations				
Exhibits professional behavior with PI and other lab members				

Competency Assessment Areas:

Time management; Capacity for independent research; Interpersonal communication skills, with mentor, co-workers and collaborators; Presentation skills; Mentoring skills; Language skills; Writing skills; Grant writing skills; Project management skills; Knowledge or relevant subjects

Please sign the form below before returning it to the Department Administrator. You or your Department Administrator should send a copy of the signature page only to the Postdoctoral Program Office / Vilcek Institute.

Signature Section

Name of Postdoctoral Fellow: _____

Postdoctoral Fellow Signature: _____

Date: _____

FINAL APPOINTMENT NOTICE

Upon Beginning the Final Year of a Postdoctoral Appointment

Date _____

Name _____

Dear _____,

According to our records, you are beginning your final year of appointment as a Postdoctoral fellow. To promote individual career development, no doctoral postgraduate can serve at NY U Grossman School of Medicine for more than five years in a Postdoctoral position unless the faculty mentor/PI requests an extension of your appointment for a sixth year.

Your faculty mentor/PI is being provided notification of your final year of Postdoctoral training to provide adequate time for you and your PI to make appropriate arrangements. This final appointment is based on continued satisfactory performance, and progress toward research goals, compliance with all Grossman School of Medicine rules and regulations, and continued availability of funding during this final year of your appointment.

On behalf of Keith Micoli, Assistant Dean of Postdoctoral Affairs, we hope that your Postdoctoral appointment has been productive and enjoyable. We wish you all the best in your future career and endeavors.

Sincerely,

Postdoctoral Program Manager

MENTOR'S POSTDOCTORAL FELLOW FINAL APPOINTMENT NOTICE

Print on Department Letter Head
Upon Beginning the Final Year of a Postdoctoral Appointment

Date _____

Name _____

Dear _____,

Enclosed please find a Postdoctoral Fellow Final Re-appointment Letter for Dr. <Insert Name>, a Postdoc in your lab. Postdoctoral appointments are limited to a total of five years cumulatively in recognition of the training nature of the position and to encourage the appropriate transition to a more permanent position.

If there are extenuating circumstances, you may file a request for Extension of Appointment (see attached). However, in cases where the Postdoctoral researcher may remain in a laboratory beyond the term of Postdoctoral appointment, this choice will require a new title and assuming a non-training role - typically to that of an "Assistant Research Scientist". Please be advised that if your Postdoc is in university-provided housing, they will have to vacate this housing as housing is provided only to Postdoctoral fellows.

If you have any questions about this letter or the Postdoctoral program and its guidelines you may contact me by phone at 212-263-8569 or by email at Keith.Micoli@nyulangone.org

I wish you and your Postdoc every success in your research and careers.

Best regards,

Keith Micoli, PhD
Assistant Dean
Postdoctoral Affairs

POSTDOCTORAL FELLOW FINAL RE-APPOINTMENT LETTER

Print on Department Letter Head

Date _____

Name _____

Dear _____,

Following the evaluation of your last year’s performance, I look forward to continuing our work together on this your fifth and final year working in my laboratory as a Postdoctoral-level scientist. This appointment is for one year only and is non-renewable. To promote individual career development, no doctoral postgraduate can serve at NYU Grossman School of Medicine for more than five years in a Postdoctoral position including Postdoctoral training at other institutions. This final appointment is based on continued satisfactory performance, compliance with all School of Medicine rules and regulations, and continued availability of funding during this final year of your appointment.

Please sign this final appointment letter to indicate your acceptance of the terms of your appointment and return it to me by (insert date).

Sincerely,

Faculty Mentor’s Name _____

I have received this letter and accept this offer as outlined above:

Postdoctoral Fellow Signature: _____

Date: _____

Please submit the signed copy of this letter to the appropriate departmental human resources contact for inclusion in the Postdoctoral fellow’s file and send a copy to Postdoctoral Affairs.

EXTENSION OF APPOINTMENT POLICY

NYU Grossman School of Medicine policy stipulates that the length of a Postdoctoral appointment is to be no longer than 5 years cumulative of prior Postdoctoral training. This is in recognition that a Postdoctoral tenure should only last long enough to allow the investigator to train and prepare for the next career stage.

In circumstances where a Postdoctoral researcher requires an extra year beyond the fifth year to complete a project underway in order to move onto another position, a professional development plan should be submitted along with the “Request for Extension of Appointment” form for approval so the Postdoctoral appointment may be extended for a sixth and final year. The approval for the extra year will be granted only if the professional development plan demonstrates that the extra year is needed to achieve an appointment of independence or successful transition into a non-academic career path.

In cases where a Postdoctoral researcher may remain in a laboratory beyond the five-year limit or after the one-year extension, this choice should involve a change in career direction and will require a new title. The new position should ideally provide more independence, enhanced benefits and increased compensation for the employee.

REQUEST FOR EXTENSION OF POSTDOCTORAL APPOINTMENT

Name of Postdoctoral Fellow: _____

Appointment Date: _____

Department/Division: _____

Name of Faculty Supervisor requesting extension: _____

Date extension will end: _____

Reason for request:

I hereby agree that this Postdoctoral appointment will not extend beyond the date requested above.

Name: _____

Signature: _____

Postdoctoral Fellow

Date: _____

Name: _____

Signature: _____

Faculty Supervisor

Department: _____ Date: _____

I have reviewed this request for extension and agree to the extension of the Postdoctoral training period to the termination date above but not to exceed the end of the sixth year of Postdoctoral training.

Name: _____

Signature: _____

Assistant Dean of Postdoctoral Training

Date: _____

Date: _____

Recipient Name: _____

Address: _____

Dear _____,

I am pleased to offer you the position of (official title) working in the Department of XXXXXX. Your role will be to (Project Description here). Your appointment will be effective on or around (Date). You will be paid at an annual rate of \$XXXXXX on a monthly basis.

This initial appointment is for one year (the first six months are probationary), and thereafter the appointment is renewable on an annual basis. Continuation during that time period and annual renewals are based on satisfactory performance and availability of funding. Annual salary increases will be contingent on satisfactory performance and after annual performance review. You will be subject to all applicable NYU Grossman School of Medicine policies and procedures that Postdocs are governed by, found in the Postdoctoral Handbook. Further information is available on our Postdoctoral website at <https://med.nyu.edu/research/postdoctoral-training/>.

NYU Grossman School of Medicine provides a comprehensive benefit package for eligible postdoctoral fellows which includes options for health insurance. You must apply for available benefits through the School within 30 days of being cleared for employment. Please note that health insurance is also available for eligible dependents.

In addition, newly incoming Postdocs are eligible for subsidized housing. It is recommended that new Postdoctoral research fellows complete a housing application at least four months before their start date.

Before applying for housing, incoming Postdocs must submit their CV and offer letter to Postdochohousing@nyulangone.org for review and approval. The Postdoctoral program office informs the candidate and Housing Services via email of its approval. Housing Services then informs the candidate about the steps involved in applying for housing. Additional information on housing can be found on the NYU Housing site at <https://med.nyu.edu/our-community/life-nyu-grossman-school-medicine/housing/eligible-employee-faculty-housing>.

Your Postdoctoral appointment is contingent upon evidence of a doctoral degree. You must furnish either a notarized copy of a diploma or notarized statement from the registrar or University official, that you have received your doctoral degree and completed all degree requirements in order for your appointment to be processed by the Postdoctoral Program Office.

All Postdocs agree to be bound by all the provisions of the NYU Grossman School of Medicine Statement of Policy on Patents that you will be asked to sign when you come to your appointment for your pre-employment processing.

Human Resources will contact you in order to make necessary arrangements for you to meet with a representative and comply with the school's pre-employment guidelines. This offer of employment is contingent upon successful completion of NYU Langone Health's pre-employment process which includes, but is not limited to, reference checking, a background investigation and receipt of all documentation required in accordance with Federal, State and local rules, including presentation of documentation of identity and U.S. work authorization that meets Form I-9 requirements, as well as compliance with NYU Langone Health Human Resources and New York University policies and procedures. To protect the safety of our patients, staff, and the community at large, NYU Grossman School of Medicine requires COVID-19 vaccination unless granted an approved exemption (in New York State, only medical exemptions shall be considered).

Your appointment and continuing appointment with the NYU Grossman School of Medicine are contingent upon continued employment in good standing with the School of Medicine and compliance with all University School of Medicine rules and regulations.

Please sign this offer letter to indicate your acceptance of the terms of your appointment and return it to me by (Date).

Sincerely,

I accept this offer as outlined above.
Signature: _____
Date: _____

