POSTDOCTORAL APPOINTMENT POLICY

Postdoctoral appointments in Arts, Sciences and Engineering are made in conformity with this policy.

Definition of Postdoctoral Appointee

A Postdoctoral appointment involves substantially full-time research or scholarship. It is a transitional position and is viewed as preparatory for an academic and/or research career. The appointee was recently awarded the PhD or equivalent doctorate, works under the supervision of a faculty member and has the freedom and is expected to publish the results of his/her research or scholarship during the period of the appointment.

- **A Postdoctoral Associate (093)** is supported from research funds on grants or other external or internal funding sources and is expected to perform specific work for the University (work on a specific research project, teaching, etc.). A Postdoctoral Associate is an employee of the University and is paid through the University with a fringe rate collected on the salary.

- **A Postdoctoral Fellow (095)** is supported from a grant that prohibits the individual from being considered an employee (as determined by the terms of the Sponsored Research grant or funding entity). In cases where the grant/fellowship terms regarding whether the researcher should be an employee are not specific, the terms must be reviewed by the ASE Dean of Graduate Studies for classification determination. Factors such as whether the funding source reimburses for the University of Rochester fringe rate may be considered in reaching a determination.

- **A Visiting Postdoctoral Fellow (094)** is being paid a stipend by an agency outside the University.

*Please note: postdoctoral appointees with multiple types of funding dollars will need to have multiple appointments in HRMS. Administrators should review the document “Process for Appointing Postdocs with Dual Appointments” for more information.*

While the Postdoctoral position is primarily a full-time position, part-time Postdoctoral appointments are permitted for temporary situations (e.g., to provide support to a postdoctoral appointee who requests a reduction in time to accommodate family care) or for transitional periods (e.g., to provide support to a PhD student who has recently completed a degree and is completing research before beginning a full-time position, or to provide support
to a Postdoctoral appointee who is transitioning into a new full-time position). In all cases, the part-time status should be for a limited period of time, the salary associated must be in compliance with a minimum weekly salary of $727.50 per week effective 1/27/17 and the ASE Dean of Graduate Studies must approve the appointment.

**General Conditions of Appointment**

1. **Formal Written Offer**

All postdoctoral appointments are to be made through an offer letter that provides the specifics of the appointment and is signed by both the postdoctoral appointee ("Appointee") and his or her supervising faculty member ("Advisor").

The letter must be signed by the faculty member Advisor as well as the PI of the grant that will be supporting the Appointee, if different. The department chair of the advisor should be copied on the offer letter.

The letter must include 1) the dates of the appointment; 2) the level of stipend; 3) benefits provided; 4) a statement of the expected research and/or teaching requirements of the Appointee during the postdoctoral period; 5) the statement: “This offer is contingent on the Appointee’s ability to provide work authorization to the University of Rochester. Foreign nationals should refer to [www.iso.rochester.edu/employment](http://www.iso.rochester.edu/employment);” and 6) a link to this policy document. A template for such a letter is attached as an Appendix to this policy.

2. **Duration of Appointment or Re-appointment**

Postdoctoral appointments are for an agreed upon period, with a specific starting date. Assuming satisfactory performance and mutual agreement, reappointment is permissible when funding to cover the proposed appointment period is available.

In general, individuals shall serve no more than five years in the status of postdoctoral Appointee. Exceptions must be approved by the AS&E Dean of Graduate Studies.

3. **Stipend**

The Appointee’s stipend is to be specified in an amount agreed to by the Appointee and the Advisor. The stipend level should be competitive to those offered in the field, and, effective January 27, 2017, must be the greater of: a.) 1.3 the department’s 12-month equivalent graduate stipend or b.) The New York State salary threshold for exempt employees (currently $37,830) This threshold is reviewed annually. Note that for Appointees in H1B or J-1 temporary work authorization status, there may be additional requirements on the stipend level the University provides. For H1Bs, federal law requires that the employer “pay nonimmigrants at least the local prevailing wage or the employer’s actual wage, whichever is higher, and pay for non-productive time.” ([www.iso.rochester.edu/employment/workers/h1bwork.html](http://www.iso.rochester.edu/employment/workers/h1bwork.html)) For anyone who requires a J1
Visa, the department must complete and submit a J1Scholar Job Code proposal for review before proceeding with a postdoc appointment. This form may be found at: _______________________ and needs to be submitted via email to Tammy Michielsen at tammy.michielsen@rochester.edu  For J-1 Wage requirements, see www.iso.rochester.edu/employment/scholars/j-eligibility.html. Contact the International Service Office for more information.

4. **Benefits**

Postdoctoral Appointees are eligible to participate in medical, dental and vision plans administered by Garnett Powers and Associates. Appendix C provides more information about the Garnett Powers health insurance plans as well as the other benefits provided to postdoctoral associates, postdoctoral fellows and visiting postdoctoral fellows.

5. **Housing**

Postdoctoral Appointees are eligible to become a part of the University of Rochester graduate and family housing communities. Information about housing can be found here: http://www.rochester.edu/reslife/graduate/index.html.

6. **Annual Review**

At the end of each year of service, the Advisor is to provide the postdoctoral Appointee with a performance review.

7. **Resolution of Disagreements**

When the Advisor and postdoctoral Appointee cannot themselves resolve a disagreement relating to the appointment, the issue will be considered by the department chair or center director and, failing resolution at that level, the chair or director should refer the matter and a recommended solution to the AS&E Dean of Graduate Studies. Ordinarily, the AS&E Dean of Graduate Studies’ decision is final. However, if the matter is still in dispute, either party may submit it to the Dean of the Faculty for Arts, Sciences and Engineering, who may elect or decline to hear it. There are no appeals beyond this.

8. **Resignation**

If a postdoctoral Appointee elects to resign his or her appointment prior to the ending date indicated in the appointment letter or subsequent written understandings, the postdoctoral Appointee is expected to provide a minimum of one month’s notice. If the Appointee is a foreign national in a temporary nonimmigrant worker status they should inform the International Services Office of the resignation by completing the Scholar Departure Form: www.iso.rochester.edu/travel/depart/scholar.

9. **Termination**
A postdoctoral Appointee may be terminated only after the Advisor has first notified the Appointee of his or her specific deficiencies. The notice should be made in writing, with a copy to the AS&E Dean of Graduate Studies. The notice should provide a reasonable period of time to remedy any deficiencies that can be remedied.

If the identified deficiencies are not remedied within the time allowed, then the Advisor will, with the advice and consent of the department chair (or center director), terminate the appointment of the postdoctoral Appointee.

In those circumstance in which the need to terminate a postdoctoral Appointee is more pressing than the process described above will allow, the matter may be presented to the AS&E Dean of Graduate Studies for review. If it is determined that an immediate termination, or suspension pending further investigation or procedures, is warranted, such immediate actions will be taken.

If the funding for the postdoctoral Appointee is terminated prematurely by an outside funding agency, the Advisor and/or department/program must immediately inform the Appointee of the change in appointment and continue the Appointee’s stipend for a period of no less than 2 months.

If the Appointee is a foreign national in a temporary nonimmigrant worker status, the department should inform the International Services Office of the termination and request the foreign national to complete the Scholar Departure Form: www.iso.rochester.edu/travel/depart/scholar.

10. **Property**

When departing the University of Rochester, whether at the end of an appointment or by resignation or termination, the postdoctoral Appointee must leave behind with his or her Advisor all original laboratory notebooks, data, code, and University property. All these should be left in a condition that will permit uninterrupted continuation of the work.

11. **Other Policies**

Postdoctoral Appointees are subject to the generally applicable rules, regulations and policies of the University of Rochester and Arts, Sciences and Engineering, including but not limited to those relating to intellectual property, conflicts of interest, sexual harassment, respect for diversity, academic honesty and campus safety and security.

12. **Responsibilities of the Advisor**

The Advisor is expected to treat the postdoctoral Appointee as a colleague while at the same time mentoring him or her in the performance of high quality research leading to timely publication. Mentoring also includes encouraging and helping the Appointee to define and develop a career direction, and to prepare publications, presentations, and applications for extramural support.
The Appointee and Advisor may wish to jointly develop an Individual Development Plan (IDP) to guide the Appointee’s professional development. The Appendix contains documents that provide information about the IDP, and an on-line, interactive resource for the development of an IDP can be found here: http://myidp.sciencecareers.org/.

13. **Responsibilities of the Postdoctoral Appointee**

Postdoctoral Appointees have obligations to their faculty Advisors, to Arts, Sciences and Engineering, and to the University of Rochester. These include conscientious and ethical efforts to accomplish the research and/or teaching responsibilities outlined at the time of acceptance of the appointment, and compliance with good laboratory practice, including the maintenance of adequate research records and care for unique facilities, equipment, and special materials. The Appointee must discuss research findings with the faculty Advisor and avoid disclosures without the Advisor's consent, behave with congeniality and respect for colleagues, and conform to applicable policies, as described above. The University of Rochester Policy on Intellectual Property and Technology Transfer (available at http://www.urmc.rochester.edu/technology-transfer/inventors/ip-policies.cfm), by which the University acquires, retains and protects rights in intellectual property and tangible research property produced by University personnel or with the significant use of University resources, applies to postdoctoral Appointees.

14. **Responsible Conduct of Research Training**

All postdoctoral Appointees are required to receive training in the responsible conduct of research as soon as possible after the start of their appointment. There are two options to fulfill this requirement: 1) Arts, Sciences and Engineering through the Dean of Graduate Studies offers an online training through the CITI program; and 2) the School of Medicine and Dentistry offers a 0-credit semester long course in the fall, IND506: Ethics and Professional Integrity in Research.

15. **Changes**

Arts, Sciences and Engineering reserves the right to make changes to this policy from time to time. No period of advance notice is required to make such changes.
APPENDIX A: SAMPLE POSTDOCTORAL APPOINTMENT LETTER

To be finalized on department letterhead. For Dual appointment template letter, see the dual appointment document

Date

POSTDOC NAME
Address
City, State ZIP

Dear XXX,

This letter is to offer you an appointment as a Postdoctoral [Associate, Fellow] in our research program and to describe the details of the appointment for your consideration. To accept the offer, you must sign and return this letter to me by [DATE].

You may find the Arts, Sciences and Engineering Postdoctoral Appointment Policy (“Policy”) at the following link: http://www.rochester.edu/college/postdoc. This Policy sets forth additional information pertaining to your appointment. Please let me know if you have any questions.

Your appointment is conditioned upon receipt of your doctoral degree prior to [START DATE], and your satisfactory completion of all health and other applicable conditions of employment as outlined in the University’s human resources policies, prior to [START DATE].

Your appointment is for a period of [APPOINTMENT], beginning [DATE]. As described in the Policy, initial appointments may be renewed. Renewal depends on your satisfactory performance, availability of funds for salary support, and a mutual desire to continue the appointment.

You will be subject to all of the policies, rules and responsibilities applicable to other researchers working in your lab. You will be under the direction and supervision of [ADVISOR]. We reserve the right to revoke your appointment or otherwise adjust the terms should your performance so require.

Your research project will be that already discussed, [DESCRIBE]. The project may be modified within the limits of the objectives defined by the supporting grant or other funds. I will be responsible for supervising you in this research program and also for providing guidance to you in your career development.

Your stipend in the first year will be $[STIPEND]. Your stipend will be adjusted each year according to the additional year of experience you will then have. You will receive the benefits described in Appendix C of the Policy, including access to medical, dental and vision insurance, as part of your appointment. This offer is contingent on your ability to provide and maintain work authorization to the University of Rochester. You are required to work with your department administrator and the University’s International Services Office to obtain the appropriate work authorization. Foreign nationals should refer to http://www.iso.rochester.edu/employment.

New York law requires employers to provide all employees with notice of certain information pertaining to pay status and payday, as well as certain contact address and contact information. Please be advised that your compensation will be paid to you on a salary basis, distributed over
twelve months and paid on a [semi-monthly basis unless indicated otherwise]. Your regular payday will be [insert “the 15th and last day of the month” for semi-monthly, or whatever other payday is appropriate for the individual under UR Policy]. The University’s physical and mailing address is Brooks Landing Business Center, Suite 200, Rochester, NY 14611-3847, 585-275-2040. New York employers also are required to ask an employee to identify a primary language, so that we can provide this required pay rate and payday notice separately in the employee’s primary language. When you return this letter, please identify your primary language in the space indicated at the end of this letter and also sign and date the section acknowledging receipt of this required information.

I look forward to you accepting this appointment and to working with you.

Sincerely,

________________________________________________  _________________________
Supervisor’s Name/ Title      Date

Acceptance and Acknowledgement:

I have read, understand, and agree to the terms set forth above and in the Postdoctoral Appointment Policy.

I hereby acknowledge that, with receipt of this letter, I received notice of my pay rate and my designated payday in English. My primary language is _________________.

________________________________________________  _________________________
[Postdoctoral Appointee]      Date

cc: Department Chair
Individual Development Plans (IDPs) provide a planning process that identifies both professional development needs and career objectives. Furthermore, IDPs serve as a communication tool between individuals and their mentors. While IDPs have been incorporated into performance review processes in many organizations, they have been used much less frequently in the mentoring of postdoctoral fellows. An IDP can be considered one component of a broader mentoring program that needs to be instituted by all types of research institutions.

**Goals**

Help individuals identify:
- Long-term career options they wish to pursue and the necessary tools to meet these; and
- Short-term needs for improving current performance.

**Benefits**

Postdoctoral fellows will have a process that assists in developing long-term goals. Identifying short-term goals will give them a clearer sense of expectations and help identify milestones along the way to achieving specific objectives. The IDP also provides a tool for communication between the postdoc and a faculty mentor.

**Outline of IDP Process**

The development, implementation and revision of the IDP requires a series of steps to be conducted by the postdoctoral fellow and their mentor. These steps are an interactive effort, and so both the postdoctoral fellow and the mentor must participate fully in the process.

**BASIC STEPS**

<table>
<thead>
<tr>
<th>... <strong>for Postdoctoral Fellows</strong></th>
<th>... <strong>for Mentors</strong></th>
</tr>
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<tbody>
<tr>
<td><strong>Step 1:</strong> Conduct a self assessment</td>
<td>Become familiar with available opportunities</td>
</tr>
<tr>
<td><strong>Step 2:</strong> Survey opportunities with mentor</td>
<td>Discuss opportunities with postdoc</td>
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<tr>
<td><strong>Step 3:</strong> Write an IDP, share IDP with mentor and revise</td>
<td>Review IDP and help revise</td>
</tr>
<tr>
<td><strong>Step 4:</strong> Implement the plan</td>
<td>Establish regular review of progress and help</td>
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<td>Revise the IDP as needed</td>
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</tbody>
</table>
Execution of the IDP Process

... for Postdoctoral Fellows

Step 1. Conduct a Self Assessment.
   - Assess your skills, strengths and areas which need development. Formal assessment tools can be helpful. (Examples can be found in Resources: Self Assessment at the end of this document).
   - Take a realistic look at your current abilities. This is a critical part of career planning. Ask your peers, mentors, family and friends what they see as your strengths and your development needs.
   - Outline your long-term career objectives. (For useful information see Resources: Career Opportunities at the end of this document). Ask yourself:
     - What type of work would I like to be doing?
     - Where would I like to be in an organization?
     - What is important to me in a career?

Step 2. Survey Opportunities with Mentor.
   - Identify career opportunities and select from those that interest you.
   - Identify developmental needs by comparing current skills and strengths with those needed for your career choice.
   - Prioritize your developmental areas and discuss with your mentor how these should be addressed.

Step 3. Write an IDP.
The IDP maps out the general path you want to take and helps match skills and strengths to your career choices. It is a changing document, since needs and goals will almost certainly evolve over time as a postdoctoral fellow. The aim is to build upon current strengths and skills by identifying areas for development and providing a way to address these. The specific objectives of a typical IDP are to:
   - Establish effective dates for the duration of your postdoctoral appointment.
   - Identify specific skills and strengths that you need to develop (based on discussions with your mentor).
   - Define the approaches to obtain the specific skills and strengths (e.g., courses, technical skills, teaching, supervision) together with anticipated time frames.
   - Discuss your draft IDP with your mentor.
   - Revise the IDP as appropriate.

Step 4. Implement Your Plan.
The plan is just the beginning of the career development process and serves as the road map. Now it’s time to take action!
   - Put your plan into action.
   - Revise and modify the plan as necessary. The plan is not cast in concrete; it will need to be modified as circumstances and goals change. The challenge of implementation is to remain flexible and open to change.
   - Review the plan with your mentor regularly. Revise the plan on the basis of these discussions.
...for Mentors

Step 1. Become familiar with available opportunities.
By virtue of your experience you should already have knowledge of some career opportunities, but you may want to familiarize yourself with other career opportunities and trends in job opportunities (refer to sources such as National Research Council reports and Science career reviews; see also Resources: Career Opportunities at the end of this document).

Step 2. Discuss opportunities with postdoc.
This needs to be a private, scheduled meeting distinct from regular research-specific meetings. There should be adequate time set aside for an open and honest discussion.

Step 3. Review IDP and help revise.
Provide honest feedback - both positive and negative - to help postdoctoral fellows set realistic goals. Agree on a development plan that will allow postdoctoral fellows to be productive in the laboratory and adequately prepare them for their chosen career.

Step 4. Establish regular review of progress.
The mentor should meet at regular intervals with the postdoctoral fellow to assess progress, expectations and changing goals. On at least an annual basis, the mentor should conduct a performance review designed to analyze what has been accomplished and what needs to be done. A written review is most helpful in objectively documenting accomplishments. (An example is provided as an attachment – this can be modified to fit the needs of the postdoc and mentor).

Resources*

Self Assessment

The Postdoc Experience

Career Opportunities

_Resources on Non-Academic Careers_

*these resources are not considered endorsements, per se*
## APPENDIX C: SUMMARY OF BENEFITS

### University of Rochester Summary of Benefits for Postdoctoral Associates (0093) and Postdoctoral Fellows (0095)

<table>
<thead>
<tr>
<th>Benefit Category</th>
<th>Eligibility and Contact Information</th>
<th>Other Information</th>
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<tbody>
<tr>
<td>Medical POS - Aetna</td>
<td>Immediate</td>
<td>The POS plan offers you the flexibility to choose to seek care in-network or out-of-network. You may choose a Primary Care Physician (PCP) for this plan who may coordinate all of your care. Or, you may desire to just self-refer to an in-network specialist when you need to see a particular type of doctor.</td>
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<td>Enroll within 30 days of hire online at:</td>
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<td><a href="http://clients.garnett-powers.com/rochester/">http://clients.garnett-powers.com/rochester/</a></td>
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<tr>
<td></td>
<td>Contact Garnett-Powers &amp; Associates at:</td>
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<td></td>
<td>1-844-243-0027</td>
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<td></td>
<td><a href="mailto:URPD@Garnett-Powers.com">URPD@Garnett-Powers.com</a></td>
<td></td>
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<tr>
<td>Dental PPO - Aetna</td>
<td>Immediate</td>
<td>This plan offers you the option of seeking services from an in-network or out-of-network dentist. Co-insurance levels can change between in and out-of-network services. Seeking care from in-network dentists will reduce your costs.</td>
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<tr>
<td>Voluntary Vision PPO - Aetna</td>
<td>Immediate</td>
<td>This plan offers you a PPO platform with a robust network. This comprehensive plan offers low-cost copays for exams, lenses or contact lenses and frames, with an additional discount available on extra pairs of glasses or contacts.</td>
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<tr>
<td>Voluntary Long-Term Care Insurance</td>
<td>Immediate</td>
<td>Long-term care insurance pays for home health care, assisted living and nursing home care to help people with the functions of day-to-day living like bathing, dressing, transferring and eating. Please refer to Legacy Services website for more information: <a href="http://www.servilink1.net/legacyltc">www.servilink1.net/legacyltc</a></td>
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<td>Contact Legacy Services at:</td>
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<td>1-800-230-3398 Ext. 101</td>
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<td><a href="mailto:custserv@4groupltci.com">custserv@4groupltci.com</a></td>
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<tr>
<td>Travel Accident Insurance</td>
<td>Immediate</td>
<td>Provide insurance in case of accidental death or dismemberment while traveling on University business in capacity of University employee. Medical and travel-related assistance services are provided using Frontier MEDEX worldwide 24-hours a day.</td>
</tr>
<tr>
<td>NYS Statutory Short-Term Disability</td>
<td>Immediate</td>
<td>NY State Statutory only (half pay for up to 26 weeks, max of $170 per week)</td>
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<td>Benefit Category</td>
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<tr>
<td>Retirement Plan 403(b)</td>
<td>Immediately eligible to make Employee Voluntary Contributions: Pre-Tax 403(b) or Roth After-Tax 403(b)</td>
<td>Enroll online through Retirement Program Self-Service at <a href="http://www.tiaa-cref.org/rochester">www.tiaa-cref.org/rochester</a> or by telephone at 1-800-410-6497.</td>
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<tr>
<td>Employee Assistance Program (EAP)</td>
<td>Immediate. Employees and family members are able to seek EAP services.</td>
<td>Visit: <a href="http://www.urmc.rochester.edu/eap/">www.urmc.rochester.edu/eap/</a></td>
</tr>
<tr>
<td>Employee Wellness Programs</td>
<td>Immediate eligibility for the following programs:</td>
<td>Visit: <a href="http://www.rochester.edu/working/hr/wellness">www.rochester.edu/working/hr/wellness</a></td>
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<td> Biometric Screening and Personal Health Assessment (PHA) - plus incentive</td>
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<td> Lifestyle Management Programs - plus incentive</td>
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<td> Weight Watchers (At Work &amp; Online) - plus incentive</td>
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<td> Condition Management Rx/DX Discount</td>
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<td> Nurse Lines</td>
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<td></td>
<td> Flu Shots</td>
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This document provides only a brief summary of main features of the plans. Detailed information on the benefit plans is available on the Benefits website at [www.rochester.edu/benefits](http://www.rochester.edu/benefits). A paper copy of this information is available for free from the Benefits Office. In the event of a conflict between this document and the official plan document or SPD, the plan document or SPD shall be controlling. The University reserves the right to modify, amend or terminate the Plans at any time, including actions that may affect coverage, cost sharing or covered benefits, as well as benefits that are provided to current and future retirees.

Please note that online enrollment requires your appointment to be recorded in the HRMS system, and your Net ID and access to HRMS to be established. In addition, for the Retirement Plan, online enrollment requires your information to be transmitted to these administrators.
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<td>Travel Accident Insurance</td>
<td>Immediate</td>
<td>Provide insurance in case of accidental death or dismemberment while traveling on University business in capacity of University employee. Medical and travel-related assistance services are provided using Frontier MEDEX worldwide 24-hours a day.</td>
</tr>
<tr>
<td>Employee Assistance Program (EAP)</td>
<td>Immediate. Employees and family members are able to seek EAP services.</td>
<td>Visit: <a href="http://www.urmc.rochester.edu/eap/">www.urmc.rochester.edu/eap/</a></td>
</tr>
<tr>
<td>Employee Wellness Programs</td>
<td>Immediate eligibility for the following programs: ▪ Biometric Screening and Personal Health Assessment (PHA) - plus incentive ▪ Lifestyle Management Programs - plus incentive ▪ Weight Watchers (At Work &amp; Online) - plus incentive ▪ Condition Management Programs - plus incentive ▪ Condition Management Rx/DX Discount ▪ Nurse Lines ▪ Flu Shots</td>
<td>Visit: <a href="http://www.rochester.edu/working/hr/wellness">www.rochester.edu/working/hr/wellness</a></td>
</tr>
</tbody>
</table>

Please note that online enrollment requires your appointment to be recorded in the HRMS system, and your Net ID and access to HRMS to be established.