NORTHWESTERN UNIVERSITY

Position Data Form

1

Form Print Date: 2

Univ Title: 3 Posn # : 4 Incumbent: 5

Position Information

Effective Date: 6

Action/Reason: POS 7 (Action) 8 (Reason)

Position Status: 9

Job Information

Job Code: 10 Dept. Title: 11

Work Location

Department #: 12 Std Hours: 13 Reports To: 14 Location: 15

NW Position Data

Position End Date: 16 OR Check here if Indefinite End to Position: 17

Comment: 18

Position Type: 19 Posn Category: 20 Sched Pay Periods: 21 % Full Time: 22

Benefits Eligible: 23 Y / N (please circle one) Tenure Track: 24 Y / N Salary Admin Unit: 25

Information

Max Head Count: 27

Budgeted Salary: 26

NW Position Distribution (Current Funding)

Perc	Fund	Financial Dept	Project	Act	Program	Account	Start Date	Stop Date	Indef End?
28	29	30	31	32	33	34	35	36	37

Previous Funding

Perc	Fund	Financial Dept	Project	Act	Program	Account	Start Date	Stop Date	Indef End?

Signature(s)

Comments	Authorization	Phone	Date
38	39	40	41

Position Definitions

Position actions

There are four broad categories of position actions: create, modify, and inactivate. In general:

- **Create** means to establish a new position
- **Modify** means to change information describing existing positions
- **Inactivate** prevents a position from being used in the future.
- **Reactivate** means that an inactive position can be used again.

In some cases it may not be clear whether to create a new position or when to change an existing position. If new funding is required, a new position should be created. If the duties of the position are completely new, a new position should be created. Conversely, when existing funding is being redistributed, or an existing employee is currently performing many of the duties, the actions are modifications to an existing position.

Another point to consider is the tracking of position history. If it is important to know that the position was connected to a previous position, then a modification rather than creation is appropriate because create will issue a new position number that has no link to a previous position.

Resources

The position management material is meant to be a useful guide for employees responsible for completing position management transactions. However, no manual can address all possible situations that may arise. Questions on interpretation, issues not presented, or general clarifications should be directed to the Payroll Office.

Position Data form field definitions

Listed below are the definitions of the fields contained on the Position Data form. The numbered definitions correspond to the numbers on the sample form on the following page. When creating a position, a blank form must be completed. After completion and with any future change to the position, a completed form can be generated and printed in HRIS by the designated department administrator. Position/Appointment forms are printed and distributed to departments automatically for new hires and after the September merit increases are processed.

To change the Department Administrator in HRIS, the School Administrator must call the HRIS Help Desk and give them the appropriate person' s name and Employee ID.

Routing

After the form is completed, including obtaining all authorized signatures, it should be routed to the Payroll Division of Human Resources for data entry. If the position is funded by any department other than the department initiating the Position Data form, then the form should also be routed through the supporting department before being sent to Human Resources.

Form Layout

The form has been designed to help you find the information you need on the HRIS panels. Each section divided by a title box contains the fields found on the tab name listed in bold within the Position Data Panel. The exemptions are Previous funding and Signature(s).

At the Top of the Form

(1) Mailing Address

The name and address of the school or department administrator who has the responsibility for human resources processes and who maintains the Human Resources records for the area. They are also known as the Department Managers.

The address for the department Administrator comes for the location code listed on the Position for that individual.

(2) Form Print Date

This is simply the date on which the form was printed out from HRIS.

(3) Univ. Title

This is the Job Title of the position for which the action is taken.

Please refer to the Job Class matrix for Job Code Titles and related field values.

(4) Position #

An eight-digit number automatically assigned to a new position by HRIS and which is the key identifier and locator for that position. The position can be vacant or filled and can have a specific end date or an indefinite end date to the position.

(5) Incumbent

The name of the person who has the position if it is occupied.

Position Information

(6) Effective Date

The date on which the action requested should begin and which will default to the date of data entry if no other date is indicated.

Leave the effective date blank when extending the position end dates in HRIS. The Payroll Clerk will use the current date when entering this information.

(7) Action

The Action will always be Position Change - **POS** for the Position Data Form.

(8) Reason

The Reason for the action taken. Some of the most common reason codes are listed below.

Please refer to the Action Reason Code Matrix for a complete list of actions.

NEW	New Position	Used when creating a new position
CLS	Change in classification	Used to reclassify the position; when the duties currently performed by the holder of the position do not match the original job duties and responsibilities
HRS	Change in Hours	Used when increasing or decreasing the standard hours of the position
LOC	Change in Location	Used when making a change to the physical location of the position
EXT	Extend Position End Date	Used when extending a position end date
RPT	Change Reports to	Used to change the supervisor for an employee by changing the "reports to" position number. This supervisor approves ETES timesheets for non-exempt employees.
SAU	Change in SAU	Used to change the Salary Administration Unit. May be changed by administrators directly in HRIS during the annual salary planning process.
INA	Position inactivated	Used to inactivate a position - the position status changes to Inactive - position will no longer appear on payroll reports

(9) Position Status

The options are:

- **Active** - A position that is filled or approved for staffing.
- **Inactive** - A position that is not available to be filled.

The system places this information on the pre-printed Position Data form, no data entry is needed. INFORMATIONAL ONLY!

Job Information

(10) Job Code

The 6-digit code assigned by Compensation that identifies the Job Title.

See Job Code Matrix for appropriate Job Codes and related field values

(11) Dept. Title

This allows a department to create a title that more clearly defines the positions role in that department. For example, there are many Program Coordinator 2 positions, but the Department Title could read ‘Student Outreach Program Coordinator’. These requests should be sent to Compensation for approval.

Work Location

(12) Department #

The department that establishes and has control of the position. This code is used by HRIS security to limit what financial information employees have access to.

The deptid is a six-digit number that identifies an organizational unit such as a department, section, division, center or a subset of individuals. The first four digits of the follow the ORG structure of account codes and should be unique to a given unit (e.g. 2777 for Political Science).

The first three digits of the deptid often define a school which has a range of department codes.

- 2700 – WCAS (including 2777xx, Political Science)
- 2800 – Education
- 2900 – Journalism
- 3000 – Music
- 31000 – SOC
- – McCormick
- 3900 – 4800 Feinberg
- 5400 – Law
- 5800 – 5900 - Kellogg

The last two digits of the deptid are ‘nodes’ that are standard department suffixes that have been established for the following types of employees.

- XXXX99 - Graduate Student processed through the Graduate School
- XXXX98 - Work Study Department
- XXXX97 - Emeritus Faculty - owned by the Provost Office
- XXXX96 - Officers of the University
- XXXX95 - NMFF common paymaster
- XXXX92 - VA faculty appointments
- XXXX80-91 – (excluding 90) Shared departments where employees are funded by another department or section.
- XXXX05-13 - Shows where faculty paid by a shared department is located.
- XXX10,20,30 – some departments have segregated their faculty, staff, and temps for viewing access using these suffixes.

(13) Standard Hours

The weekly number of hours are:

• Faculty	37.5
• Biweekly staff	Check with compensation
• Monthly staff	37.5
• Temporaries	40
• Work Study & Graduate Students	12

(14) Reports to

The eight-digit Position Number of the supervisor or manager to which this position reports. ETES uses this information to assign supervisor's for necessary authorization for biweekly and temporary employees.

The department manager information is NOT derived from this field.

(15) Location

This defines the physical location of the position within the department.

Departments should create new location codes when a new administrative office is added. To create new location codes contact the HRIS Help Desk with the new location information.

NW Position Data

(16) Position End Date

Leave blank if funded by a non-grant account. If the position is funded by a Sponsored Project (grant) account, the position end date will be the end of the research appointment.

(17) Indefinite End

Positions will have Indefinite End Dates if funded by non-grant accounts. If the position is funded by a Sponsored Project (grant) account, the position end date will be the end of the research appointment.

(18) Comment

Write any comment regarding the changes to be made on the position form in this space.

(19) Position Type

A three-letter code that defines whether a position is staff (STF), faculty (FAC), student (STU), or non-employee (NON). Because the position type is specific to each job code, please refer to the Job Code Matrix.

(20) Position Category

A three-letter code that further refines the type of position listed in field 19 (e.g., EXM for exempt monthly staff employees, or ADJ for adjunct faculty). Because the position category is specific to each job code, please refer to the Job Code Matrix.

(21) Scheduled Pay Periods	• 12 for Monthly faculty, staff and graduate students • 26.1 for biweekly staff unless they have a partial-year position Number of pay periods scheduled for regular employees.
(22) Percentage Full Time	The percentage will be blank for biweekly employees. Enter percentage for faculty and monthly paid staff. Percentage will be zero for graduate students. To calculate the percentage for full time, take the (monthly salary x 12) /divided by the total monthly salaries of all benefit eligible records.
(23) Benefits Eligible	Check the Job Code Matrix and percentage full time.
(24) Tenure Track	For faculty positions only - Yes or No
(25) Salary Admin Unit	Lists the Salary Administration Unit assigned to the employee. For graduate students, temporaries and work study, use the department code. If you do not know the SAU for faculty and staff check with your School Administration Office.
(26) Budgeted Salary	Is the amount budgeted for the position for salary planning purposes and is does not need to be the same amount as the Compensation Rate on the Appointment form.
(27) Max Head Count	For most positions there is a one to one ratio (position and employee). Regular faculty and staff are one to one. Graduate student positions should have a maximum head count of 35. Adjunct Lecturers have a maximum head count of 35. **Changes to any position data will affect <u>all incumbents</u> assigned to the position. There will be no more than 35 incumbents assigned to a position. If more incumbents are required, another position needs to be established.**

NW Position Distribution (Current Funding)

(28) Percent	The percent of funding to be charged to a specific CUFS account.
(29) Fund	The three-digit code that indicates source of the funding.

(30) Financial Dept	The seven-digit code that identifies the owner of the transaction.
(31) Project	An eight-digit code that provides detail and description about the funds. Only chartstrings with funds 170 and higher will have Project and Activity.
(32) Act	A two-digit code tied to the project that identifies the type of Activity. For the time being, the Activity code will always be 01 in HRIS.
(33) Program	For future use
(34) Account	The five-digit expense code assigned to this category of expense by the accounting department. See the Job Code Matrix for the appropriate object that coincides with job code. The Payroll Manager must approve all exceptions to the matrix.
(35) Start Date	The beginning date that the fund is to be charged with the payroll expense for the position.
(36) Stop Date	The date that the individual will stop being paid from a specific account. For research accounts the Stop Date of the account will be the end of the budget period. Non-research accounts may have an indefinite end. Note: the Stop Date on funding will not stop a payment from being made to the person if the Position End date is further in the future.
(37) Indefinite End	The box will be checked if the position is being supported by any CUFS account other than a research account.

Signatures

(38) Comments	Space for any comments or titles of the person signing to the right.
(39) Authorization	Each department should have established a signature list of individuals authorized to approve human resources position actions. A minimum of one departmental authorized signature is required prior to input of data into HRIS.
(40) Phone	The office phone number or extension of the person signing to the left.
(41) Date	The date the person to the left signed the form.

Department of Human Resources
Northwestern University
720 University Place 1
Evanston Campus

NORTHWESTERN UNIVERSITY

Appointment Form

Form Print Date: 2 Record Number: 3

Employee Name: 4

Print last name first, first name, middle initial

University ID No: 5

Job Data

Last Action: 6 Effective Date: 7 Action: 8 Reason: 9

Work Location HR Status: 10

Effective Date: 11

Action/Reason: 12 Action Reason Action Reason Action Reason

Position Number: 13 Expected LOA Return Date: 14

Department: 15 Location: 16 Primary Job: 17

Job Information

Job Code: 18 Standard Hours: 19 Suite or Room No: 20

Payroll

Pay Group: 21

Compensation

Compensation Rate: 22

NW Faculty Tenure

Tenure Status: 23

Tenure Review Date: 24

Expected Tenure Begin Date: 25

NW Job Data

Appointment End Date: 26 OR Check here if Indefinite End to Appointment 27

Scheduled Pay Periods: 28 Percent Full Time: 29

Annual FTE Salary: 30 Contract Period: 31

Benefits

Annual Benefits Base: 32

Address History

Check Addr Code: 33 Employee Work Phone #: 34 Mailing Record: 35

NW Reports To

Conflict of Interest Posn# 36 Performance Evaluation Posn# 40

Approver 37 Approver 41

Training Posn# 38 Leave Accrual (Exempt Staff Only) Posn# 42

Approver 39 Approver 43

Comments	Authorization	Phone	Date
44	45	45	47

Appointment Definitions

Appointment form

The form is used for all personnel who occupy positions. A separate Appointment form is needed for each position in which the employee is employed.

Events when the form is used

The form is used to request the following actions for Northwestern University employees:

- hire into position
- rehire into position
- add additional appointments
- pay rate changes
- pay rate changes for multiple jobs
- change check address code
- extending end dates
- terminate employment
- transfer to other position

Required information

Refer to the Action/Reason Matrix to identify which fields are required based on the action code.

Description of the form

The Appointment form is designed to record the information needed for entry into the Job Data panels of the Human Resource Information System (HRIS). The Job Data panels are used to record information that relates directly to the employee's individual employment arrangement with the University.

System produced document

After the initial appointment form is submitted for an employee from the department/school and the information has been entered into HRIS, a new appointment form can be generated in HRIS and printed by the school/department for future processing. Blank appointment forms are available on the HRIS web site at http://www.northwestern.edu/hr/payroll

Future updates to the appointment can be made by printing out a form from HRIS which already has the existing date printed into the fields.

Appointment form field definitions

Listed below are the definitions of the fields contained on the Appointment form. The numbered definitions correspond to the numbers on the sample form on the following page. When creating a position, a blank form must be completed. After completion and with any future change to the position, a completed form can be generated in HRIS and printed by the appropriate school or department administrator.

At the Top of the Form

(1) Address

The name and address of the school or department administrator who has the responsibility for human resources processes and who maintains the Human Resources records for the area. They are also known as the Department Managers.

The address for the department administrator comes from the location code listed on the Position for that individual.

(2) Form Print Date

This is simply the date on which the form was printed out from HRIS.

(3) Record Number

If an individual has only one appointment (job) at the university, their record number is 0. Their second position, if they have more than one, is record 1. Their third position is record 2 and so on.

(4) Employee Name

The department must print the name for all new employees. The entire name will be carried in one field in HRIS: last name first, followed by a comma, first name without a space between the comma and the first name. Titles and degrees will not be included in the name field.

(5) University ID Number

The University ID Number is assigned by HRIS sequentially.

For new employees who do not have a number, the University ID Number field should be left blank. For employees who have had a University ID Number assigned, the system will print the ID number on the form. If a blank form is being used and the department does not know the number, the department should look this up in HRIS on the Job Summary panel.

If the individual is a student with an ID from the student system, please use that number, if a University ID has not been assigned by HRIS.

Job Data

(6) Last Action

This field indicates the most recent activity that occurred on the appointment. The system places this information on the pre-printed Appointment form, no data entry is needed.

(7) Effective Date

This is the date when the most recent action is/was to go into effect.

(8) Action

The action identifies the most recent personnel activity / change that occurred.

- Hire - HIR
- Rehire - REH
- Leave of Absence Unpaid - LOA

- Pay Rate Change - PAY
- Promotion - PRO
- Data Change - DTA
- Leave of Absence Paid - PLA
- Return from Leave - RFL
- Transfer - XFR
- Termination – TER

(9) Reason

The reason field identifies the cause for the most recent change made to an employee's data.

Please refer to the Action Code Matrix for an explanation of the codes seen in this field.

Work Location

(10) HR Status

Denotes whether the employee is Active or Inactive.

(11) Effective Date

The date on which the new action requested should begin and which will default to the date of data entry if no other date is indicated.

(12) Action / Reason

Used for Action/Reason requests. Multiple actions and reasons may be indicated on the Appointment form. For example, an appointment form can list the actions Hire, Salary Adjustment, and Termination, all within the same form.

Please refer to the Action Code Matrix to choose the appropriate reason code for each employee type. Administrators may write in a series of actions to be taken.

(13) Position Number

Enter the number of the position to which the person is being appointed.

(14) Expected LOA Return Date

The date when an employee is expected to return from a leave of absence.

(15) Department

Department is defaulted from the position information.

(16) Location

Location is defaulted from the position information.

(17) Primary Job

Indicates which job at the university is connected to the area that will administer the position for payroll purposes.

Job Information

(18) Job Code	The job code defaults from the position information.
(19) Standard Hours	Standard hours are the number of hours the employee is scheduled to work on that particular job or position each week, and defaults from the position.
(20) Suite or Room No.	Additional address information. This information is included in PH, the Faculty/Staff Directory, and label requests. If a room number is indicated, the room number of the administrative location from the Location table will be excluded from the information and the suite or room number from this field will be substituted.

Payroll

(21) Pay Group	The correct pay group for each job code can be found on the Job Code Matrix.

Compensation

(22) Comp. Rate	This field reflects the dollar amount the individual should be paid. For monthly employees enter the monthly amount. For biweekly hourly employees enter the hourly amount.

NW Faculty Tenure

(23) Tenure Status	**This information is maintained by the Provost's Office.** This field indicates whether faculty members are currently tenured, tenure-track or non-tenure track.
(24) Tenure Review Date	Tenure-track faculty are typically reviewed for tenure in the 6th year of their tenure clock. Individual tenure clocks begin on September 1st. Medical faculty typically are on a 9-year tenure clock.
(25) Expected Tenure Begin Date	The date a tenure-track faculty member is expected to be granted tenure, assuming a favorable tenure review.

NW Job Data

(26) Appointment End Date

The appointment end date is used to record the projected last work date of the appointment. Payments will be made through the date given in the Appointment End Date field. The appointment end date **or** the stop date on the funding controls the encumbrances.

If you do not extend the appointment end date and the appointment expires, the Payroll Office will terminate the employee effective the day after the end date on the next payroll cycle.

(27) Indefinite End

If an appointment does not have an end date, the Indefinite End box is marked. Payments will then be made indefinitely.

(28) Scheduled Pay Periods

Enter the number of pay periods that the employee is scheduled to work. This will default from the position.

- Monthly employee 12
- Biweekly employees 26.1 or less

(29) Percent Full Time

This field must be completed for all benefits eligible appointments. The calculation of percentage full time. This will default from the position.

Monthly employees - Monthly salary of one job divided by the total salaries of all benefit eligible jobs. For biweekly employees and graduate student percentage will be **0**.

(30) Annual FTE Salary

The Annual FTE Salary is the amount that an employee would earn if he or she were working 100 percent full time for the entire year. The Annual FTE Salary is calculated separately for each record.

- <u>Biweekly employees</u> Hourly salary x 75 x 26.1
- <u>Monthly employees</u> (Monthly salary x 12)/ percentage full time.

(31) Contract Period

Enter the number of months during a continuous twelve-month period that an employee is contracted to work. The number must not be greater than twelve. Faculty members will have a contract period equal to the number of months they are teaching classes.

Benefits

(32) Annual Benefits Base

Benefits base is the amount that the employees' benefits will be calculated from using the salary rate set on the September 1 of the current fiscal year. This amount is calculated automatically.

Address History

(33) Check Address Code	Notices of deposit and checks for employees are sent to department addresses. For employees who work in multiple departments, the departments must coordinate the check address with each other and with the employee. Enter the appropriate check address code. Check address codes may be found in the HRIS Codes Reference, which is available on the Human Resources web site at http://www.northwestern.edu/hr/hris. NOTE: Direct deposit is the current norm. Regular paychecks are no longer paid on paper.
(34) Employee Work Phone	Enter the work phone for the individual. This information will appear in the Faculty/Staff Directory.
(35) Mailing Record	Employees may choose where they would like to receive their campus mail (not pay checks or notice of deposit). Valid choices are: • HOME – Current/Local Address • OFFC – Current Assignment (for instance, a professional office) • Any Valid Job Record Number If no choice is made, it is assumed that the employee wishes to receive their mail at the location of their Job Record #0.

NW Reports To

(36) Conflict of Interest: Posn#	Enter the position number for the person responsible for reviewing and approving this employee's Conflict of Interest disclosures.
(37) Conflict of Interest: Approver	The name of the person who holds the position that is responsible for reviewing and approving this individual's Conflict of Interest disclosures.
(38) Training: Posn#	Enter the position number for the person responsible for reviewing and approving this employee's training requests. Requests made through SelfService can not be processed without an approver.
(39) Training: Approver	The name of the person who holds the position (see 38) responsible for reviewing and approving this individual's training requests.

(40) Performance Evaluation: Posn#	Enter the position number for the person responsible for conducting performance evaluations of this employee.
(41) Performance Evaluation: Approver	The name of the person who holds the position (see 40) that is responsible for conducting performance evaluations of this individual.
(42) Leave Accrual: Posn#	Enter the number for the position responsible for reviewing and approving this employee's leave accruals.
(43) Leave Accrual: Approver	The name of the person who holds the position (see 42) that is responsible for reviewing and approving this employee's leave accruals.

At the Bottom of the Form

(44) Comments	The Comments Section of the form may be used to record any comments that may be needed to clarify the entries on the form.
(45) Authorization	Each Appointment form must be signed by an individual who has been given signing authority by the employee's school or department administrators who has been empowered to grant such authority and in accordance with the policy of each school and department. If the employee is being supported by another department, signatures from both departments must be included on the Appointment Form. The phone number of the signer and the date the form is signed must also be included on the form.
(46) Phone	The office phone number or extension of the person signing to the left.
(47) Date	The date the person to the left signed the form.
Questions	If you have any questions regarding the completion of the form please contact the Payroll Division of Human Resources at 491-7362.
Routing	The Appointment Form must be sent to the Payroll Division of Human Resources for entry into the Human Resource Information System.