6. Payroll and Records

Employee Identification Cards

Individuals covered	Faculty, regular staff employees, postdoctoral fellows, and visiting faculty receive employee photo identification cards. Spouses of these employees and nonsalaried faculty, staff, and retirees may receive identification cards without photographs.
Policy	Identification cards are issued to faculty and staff to permit access to University buildings; library loans; check cashing (with photo identification) at the bursar's offices; and discounts on tickets to certain University theater, music, and sports events.
Procedures	Identification cards are obtained by presenting photo identification at the Wildcard office of University Services in the Norris Center on the Evanston Campus or in Abbott Hall on the Chicago Campus. The WildCARD is the property of Northwestern University and must be surrendered upon University request or separation from University employment. It is only for the use of the individual to whom it is issued and it is not transferable under any circumstances.

Direct Deposit

Employees covered	Faculty, staff, and temporary employees. Excluded from the direct deposit program are assistance to graduate student and other monthly payments to graduate students.
Policy	Northwestern University offers a direct payroll deposit plan for employees. This plan allows employees to have their pay automatically deposited into a checking or savings account at a financial institution of their choice.
Procedures	Authorization Form. The employee completes the Authorization for Direct Deposit of Payroll form, available in the department of human resources offices on both campuses. The employee must include the financial institution's name, bank identification number (Transit/ABA No.), and account number. The employee submits two parts of the form to the payroll division and retains the third. Deposit slip or voided check. A voided check or a deposit slip must be attached to the authorization forms to verify the transit and account numbers. If the employee is submitting a copy of the deposit slip, the bank's transit routing number must be encoded on it. Deposit test. The first direct deposit is processed two to four weeks from the time of submission. Each direct deposit application is tested to ensure that the transit and account numbers are valid and to avoid rejection of the paycheck.

Special Check Requests

Employees covered	Individuals paid through the University payroll system
Policy	The payroll division of the department of human resources issues special checks to employees if the department requests them and agrees to pay a service fee.
Procedures	Special checks are issued for back pay when employees have already performed the services but were not issued checks on the scheduled pay date because paperwork was submitted late. If the paper processing for an individual employee was not completed by the payroll division's cutoff dates, the department may request a special check. This request is made in writing to the payroll manager and should include the name of the employee, Social Security number, name of the person to contact when the check is ready, and the CUFS account to which the service fee should be charged. The manual check will be issued by the payroll division within 24 hours of the request. If the cutoff date is missed for a regular payroll (monthly or biweekly) and the request is that the employee be paid on the scheduled pay date, the check will be distributed on the pay date with the regular paychecks.
Fees	The payroll division establishes and announces cutoff dates for processing payroll checks. A service fee is not required if the payroll forms are submitted on time. If payroll documents are not submitted before the cutoff dates, the payroll division establishes a service fee to cover the cost of manual preparation of individual checks. The department requesting the check pays the fee. Employees cannot be asked to pay the service fee for a special check. Grant accounts cannot be charged for the service fee.

Mailing Labels

Employees covered

Only Northwestern University employees (but not contributed service or adjunct faculty) may request to have labels produced from the human resources information system.

Policy

Work address and home address labels of Northwestern University faculty and staff may be purchased by a department of Northwestern University for any University purpose.

Labels may not be purchased for or supplied to persons or organizations outside of Northwestern University.

Home addresses will be supplied only for those employees who indicated on the Directory Verification Form that their home address may be listed in the University telephone directory.

Procedures

The person requesting the labels completes a Label Request form provided by the systems division of the department of human resources, supplying the following information:

- name of person requesting labels
- department for whom labels are being requested
- telephone number of person requesting labels
- purpose for which labels will be used
- CUFS account to be charged
- date labels are needed
- population desired (campus, school or department, title, sex, etc.)
- how the labels should be sorted
- address (home or campus) to appear on the labels
- the address to which the label job should be sent

The form is sent or brought to the Department of Human Resources, 720 University Place, Evanston campus. Allow five working days for receipt of labels.

The department requesting labels is charged three cents per label plus $15 per job on an Intra-Institutional Voucher.

University Directory

Individuals covered	University employees and certain affiliated personnel
Policy	Covered personnel have their names, titles, department names, work addresses, and work telephone numbers listed in a maximum of two places in the paper and the electronic directories. Fax numbers also appear in a separate listing of the paper directory. Employees with campuswide E-mail addresses have their E-mail address listed as well. Name of spouse, professional name (if different from legal name), home address, and home telephone number may be listed if desired.
Procedures	Department listings. Office and fax listings and changes are requested by the Department of University Relations. Individual listings. A Directory Verification Form is mailed to covered personnel after September 30 each year. Employees correct erroneous and out-of-date information and send the changes to their department of record for processing on a Personnel Action Form. Emeritus faculty information for the directory is solicited by the provost's office and forwarded to the department of human resources. Endowed chair information is reviewed for the directory by the department of development. Retiree information is reviewed for the directory by the department of human resources.

Confidentiality of Personnel Records

Employees covered	Current and former employees
Policy	University records containing personal employee information are to be held in confidence and safeguarded from unauthorized access.
Retention procedures	Personnel File. Employee records consist of such information as the job application, résumé, tax forms, demographic information, and records of training, performance, salary changes, and commendation or discipline. Benefits File. The benefits division of the department of human resources maintains records of the employee's enrollment in and contributions to the University’s benefit plans. Hazardous Exposure Warning Record. For positions in which there is the possibility of exposure to blood-borne pathogens, the employing department notifies the candidate at the time of starting employment about the exposure and required preventive measures, such as inoculation. The employing department keeps a record of the notification. The agency providing the preventive inoculation or other measure keeps a record. The employing department keeps a record of jobs having possible exposure and notifies the department of human resources with each requisition to fill such jobs.
Access procedures	Management access. The University's records of personal information are to be maintained in a secure location. Access to employee records is limited to University administrators with a specific need to use personal information in the performance of their normal administrative responsibilities. Employee access. Employees may examine the contents of their own personnel records upon written request to the department of human resources. Faculty may access their records maintained at their school upon written request to their dean. A director or manager in the department of human resources or, for faculty, the dean or a designee is present during the review. Such requests are to be handled expeditiously. At the employee's request, copies of documents in the file may be made at a reasonable charge. The department of human resources or, for faculty, the provost determines the records available for review in accordance with federal and state law and university policy. Records of former employees are available until one year following separation from the University.

Confidentiality of Personnel Records, continued

Access procedures, continued	Outside access. No information may be provided to persons outside of the University without the employee's consent or a legal process requiring release. Requests must be in writing to the department of human resources.
Correction procedure	An employee may request correction of errors in personnel records. In cases of disagreement, employees may have included in the file their own documentation of any situation.
Employment verification procedure	At an employee's request, the University provides certain employment information with outside agencies establishing the financial standing of the employee. The information usually concerns length of service, job title, rate of earnings, and sometimes the Social Security number. The employee identifies the items of information to be released, usually on a form provided by the inquiring agency. Release of the information requires the employee's written approval or signature on the request. Responses to these inquiries are handled by the records division of the department of human resources.
Reference checks	The department of human resources, at the written request of an employee or former employee, verifies employment, dates of employment, job title, and job location. The records division handles such requests. Although it is recognized that employers call former supervisors to inquire about job candidates, departments should avoid giving employment references to prospective employers of former University employees. Such information should be given only by prior arrangement with the former employee and should not be written. Reports should be accurate or should not be given at all.

Accounting for all standard hours

The biweekly timesheet must account for all of the position's standard hours during the biweekly pay period by reporting them in one classification or another.

Regular. Hours worked under 40 in a week are regular time. The timesheet code is REG.
Premium overtime. Hours worked beyond 40 in the University's work week are paid a1t 1½ times the regular hourly rate using code OTP.
Paid or unpaid time off. Sick time, personal floating holidays, and vacation days do not count in the accumulation of hours to qualify for weekly overtime. Only time worked and University scheduled holiday time is used.

Reporting in each pay period. A paid or unpaid status must be reported during each pay period in order for an hourly-paid employee to continue on the payroll. If an individual takes a pay period as absent without pay, a report must be made on a timesheet for the time and submitted with the supervisor's signature of approval.

Dropping below 17½ hours per week or 50 percent paid time in a pay period jeopardizes continuation of employee benefits. An employee absent and unpaid for more than two weeks must request and receive approval for a leave of absence to avoid termination of University employment. Ordinarily, 30 days notice is needed for planned leaves of absence. See the policy on Leave of Absence.

Completing the Biweekly employee time sheet

Biweekly Employee Time Sheets are distributed to the department every other week through campus mail. Employees should keep timesheets in a secured place and hours should be recorded daily. After an absence, the timesheet should be completed on the first day of return to work.

Reporting regular time

The biweekly timesheet must report every hour worked for each employee. Employees should fill in daily the amount of hours worked for that given day. All hours worked up to 40 hours in the University work week are recorded as regular pay (REG).

EXAMPLE: An employee is scheduled for 37.5 hours in a work week but works 38.5. Hours should be reported as follows.

Sun	Mon	Tues	Wed	Thur	Fri	Sat	Type	Total
	7.5	7.5	8	7.5	8		REG	38.5

If an employee exceeds the regular biweekly scheduled hours for three or more consecutive pay periods, but does not exceed 40 hours in a work week, the supervisor should request that the biweekly schedule hours be changed for that employee in HRIS. This change in scheduled hours would be made through the human resources consultant or the compensation analyst who is serving the department where the job is located.

Time Reporting, continued

Reporting overtime

All hours worked over 40 in a workweek are to be reported as premium overtime (OTP).

Only hours worked and University Scheduled Holiday hours are used in computing the hours to start premium overtime. Sick time, vacation and personal floating holiday time, paid Workers' Compensation (WCK), and any other paid time not worked, are not included in the accumulation of hours to qualify for premium overtime.

Example: An employee works 9 hours on each of Monday, Tuesday and Wednesday, and on Thursday takes 8 hours of vacation time. After Thursday, the employee would have to work more than another 13 hours before receiving premium overtime. The time worked for that week would be recorded as follows:

Sun	Mon	Tues	Wed	Thur	Fri	Sat	Type	Total
	9	9	9		5	8	REG	40
				8			VAC	8
						3	OTP	3

In this example, Saturday is the employee's scheduled day off, but the first eight hours worked are regular work hours because there were only 32 hours worked before Saturday. Thus the last three hours of the 11 hours worked on Saturday are premium overtime because at the end of eight hours on Saturday, the employee had worked 40 hours for the week.

Because the scheduling policy allows adjusting an employee's weekly schedule, the same employee with the approval of the supervisor might elect to change the schedule for that work week, working Monday, Tuesday, Wednesday, Friday and Saturday, and not using a vacation day on Thursday. The employee would report the hours for that week as follows:

Sun	Mon	Tues	Wed	Thur	Fri	Sat	Type	Total
	9	9	9		5	8	REG	40
							VAC	
						3	OTP	3

In this schedule, the work days are changed without the use of the vacation day on Thursday.

The new scheduling policy gives employees and departments the opportunity to be more creative in the scheduling of staff and in maintaining coverage for the department.

Time Reporting, continued

Reporting holidays

Hourly-paid employees are paid one tenth of their biweekly standard hours for each University scheduled holiday. Even if an employee’s normal work schedule for the day observed as a scheduled holiday is more or less than one tenth of the biweekly standard hours, the employee is paid for one tenth of the biweekly scheduled hours for the holiday.

Paid status hours include:

Regular time worked (REG)
Vacation (VAC)
Sick (SCK)
Personal floating holiday (PFH)
Jury duty (JUR)
Funeral leave (FNL)
Other paid time (OPT)
Workers compensation (WCK)

EXAMPLE: An employee’s biweekly schedule is 80 hours. The employee works 8 hours on each of Tuesday, Wednesday, and Thursday in the first week, for a total of 24 regular hours. Monday of the following week is the holiday and the employee earns 8 hours of holiday pay. The employee is required to be in paid status for 16 more hours in the pay period to earn the 8 hours of holiday time.

Su	Mo	Tu	We	Th	Fri	Sa	Su	Mo	Tu	We	Th	Fr	S		Tot
		8	8	8						8	8			REG	40
								8						HOL	8
					8	8			8			8		EXA	32

In the case above, the employee has paid time for at least 50% of the pay period, which allows payment of the scheduled holiday pay, even though the individual had excused absence (EXA) for 32 hours during the period.

Reporting sick time

Sick time is reported for all of the work hours missed due to sickness. For example, if a day missed due to sickness is scheduled for five hours of work, five hours of sick time are reported. If the day is scheduled for 10 hours, then 10 hours of sick time are reported.

Reporting unpaid absence

All biweekly scheduled hours must be reported on the Biweekly Time Sheet. If the regular hours and other paid hours do not total to biweekly scheduled hours, the Payroll Division will assume that the unreported hours are unexcused absences and record them in HRIS as UXA.

Su	Mo	Tu	We	Th	Fri	Sa	Su	Mo	Tu	We	Th	Fr	S		Tot
		8	8	8						8	8			REG	40
								8						HOL	8
														UXA	32

Employees cannot be unpaid for a full pay period without being on an approved leave of absence.

Reporting tardiness

An employee late in arriving for work or in returning from lunch must report the tardiness as unexcused absence (UXA). The time is rounded to the nearest tenth of an hour. A shorter lunch period or extending the end of the work day does make up for tardiness.

Submitting the biweekly employee time sheet

The Biweekly Employee Time Sheets must be received in the timekeeping section of the Payroll Division of Human Resources, located on the ground floor at 720 University Place, Evanston, by noon on the Friday before the payday. If a holiday occurs during the week of payday, the timesheet is due one day earlier for each scheduled holiday that occurs during the week of the payday.

An employee who misses the deadline for submitting the Biweekly Employee Time Sheet is not paid on the following Friday, the regular payday. If the time report is submitted after noon on the cutoff day but before 5:00 PM on payday, the paycheck will be available on the Wednesday following the regular payday. A late check is delivered to the employing department and will not be paid through direct deposit.

Schedule adjustments for regularity of personal earnings and department expense

The expense of unplanned overtime which an employee has worked can be countered by scheduling time off for that person. When a nonexempt employee works one or more long days, rescheduling work time can keep the paycheck amount constant from one pay period to the next and can keep the department payroll expense constant through the period of fluctuating work demands.

There are three rescheduling alternatives for mitigating the expense of premium pay.
If the work of a particular week required long hours on a day or days during a week, an employee can be scheduled off on part of another day or all of a day in the same week to keep the week’s work hours below 40 and thereby paying the regular rather than the premium rate for hours worked. In this example, the individual worked 10 hours on Wednesday, but shortened the day on Friday, to work the usual 40 hours in the week.

Sun	Mon	Tues	Wed	Thur	Fri	Sat	Type	Total
	8	8	10	8	6		REG	40
							OTP	0

If the work of a particular week required long hours resulting in more than 40 hours worked and if rescheduling within same week was not possible, time can be taken off in the second week of a pay period at the rate of 1½ hours off for every overtime hour worked in the prior week. In this fashion, even though overtime pay is required in the first week of the pay period, the employee’s earnings are the same as usual for the pay period and the department expense is the same as it would be if there were no overtime worked.

There are no vacation or sick time accruals earned during premium overtime, with the result that this rescheduling results in some reduction of these accruals for the employee. For example, a 20 year employee loses 5 minutes 45 seconds of vacation for each overtime hour worked that would have been worked at the regular hourly rate.

In this example, an individual works 2 hours overtime in the first week of the pay period and is given 3 unpaid hours off in the second week, resulting in the same gross pay as if working 80 hours at the regular rate.

Su	Mo	Tu	We	Th	Fri	Sa	Su	Mo	Tu	We	Th	Fr	S		Tot
	8	8	8	8	8			8	8	8	8	5		REG	77
					2									OTP	2

Continued

Time Reporting, continued

Schedule adjustments for regularity of personal earnings and department expense, continued

If the time off cannot be scheduled during a biweekly pay period in which overtime is paid, time off can be scheduled in another pay period to keep the overall earnings of the employee constant and the department's expense constant over a longer period. However, the individual will experience a fluctuation in earnings from one pay period to the next, and the accruals will be affected since vacation and sick time credits are not accrued on overtime hours.

Note that every worked hour must be recorded on the timesheet in the week when that hour was worked and it must be paid at the correct rate. Federal law prohibits the practice of avoiding overtime pay by giving "compensatory time" to employees paid by the hour. Every hour worked in a week must be paid and must be counted toward overtime in that week.

Some grants may limit the use of these options if overtime work or overtime pay are not allowed by the grant.

Flexible schedules for exempt employees

Employees holding positions exempt from the overtime requirements of the Fair Labor Standards Act (FLSA) are paid monthly. They may also be able to arrange flexible schedules if the needs of the department allow it and if the individual's supervisor gives approval to the schedule. Since employees in exempt positions are not required to account for time usage for payroll purposes, there are no policy changes to be made.

Department Reimbursement for Sick Leave

Employees covered	Department jobs occupied by staff employees who work more than 17.5 hours per week.
Policy	For covered employees, the department is eligible for reimbursement of extended sick leave. Part-time employees earn sick leave on a prorated basis depending on their regular scheduled work hours.
Procedures	First 10 days. The first 10 days of sick leave are charged to the budget accounts that regularly support the employee. Eleventh day to accrual total. Sick leave absences that continue beyond 10 days up to the maximum of the employee's accrued sick leave are reimbursed to the departmental budget, whether restricted or unrestricted. For nonexempt staff, the 10 continuous days are calculated on the biweekly scheduled hours. Reimbursement is available for both exempt and nonexempt staff. Request written. The department head submits the request for reimbursement of extended sick leave after the employee has exhausted all of the accrued sick leave or returns to work. The request should document the dates of the continuous illness, the number of days (or hours in the case of nonexempt staff), the dollar amount to be reimbursed, and the departmental account that should be credited. Request forwarded. Reimbursement requests for extended sick leave are made in writing to the supervisor of position and budget control, Department of Human Resources, 720 University Place, Evanston campus. Accounting by position control division. The supervisor of position and budget control reviews the request, including the documentation and accrual balances, and processes the journal entry reimbursing the departmental account for the amount indicated.

Access to the Human Resource Information System (HRIS)

Policy

Access to the Human Resources Information System (HRIS) is granted to users on a need-to-know basis. Individuals requesting access to the HRIS must supervise or oversee staff, faculty, graduate students, or temporary employees hired at Northwestern University. In addition, individuals who conduct or oversee the budgeting for a department or school, requiring information about employees' salaries or personal information stored in HRIS, may need access to HRIS

Obtaining access to HRIS

Individuals requesting access to HRIS initiate the request by completing the Request for HRIS Security form. The security form is to be completed and signed by the employee and forwarded to his or her immediate supervisor or Dean's office. Either the Associate Dean or Business Administrator must approve the individual's access to HRIS for each department.

HRIS access rules

When completing the Request for HRIS Security form, the user must agree to follow HRIS access rules as stated on the HRIS Security form.

HRIS users must agree to the following:

All information listed in HRIS will only be used for the purpose of performing duties assigned by Northwestern University.
Information in HRIS is confidential information and is not to be disclosed to parties who are not faculty or staff of the University or any other unauthorized parties.
The information in HRIS will not be used for any personal benefit.
The information in HRIS will not be divulged to any other individual unless it is related to the work assignment and unless disclosure is in accordance with University and departmental policies.
Users will not include any information in HRIS that is false, inaccurate, or misleading.
Users will not share or divulge user IDs or passwords to anyone, whether University personnel or others.
Users will agree to be added to the HRIS listserv in order to be kept up to date with changes made to HRIS.

Access to the Human Resource Information System (HRIS)

Required training

Before HRIS access is given to any user, training is required.

HR Staff. For new employees in the Department of Human Resources, the director or manager of the employee will set up training on HRIS transactions. This can be done either individually by the division director or a request can be made to the HRIS Trainer. Normally the training is done in the division, since most new employees need to start immediately doing their job functions.

Look-up access. Users in the University community who have look up capabilities to the system they are required to attend a Look-Up class on HRIS before the HRIS ID and passwords are released. This ensures that the user understands how to maneuver around HRIS and understands the terminology associated with the system. After the class has been completed, the user's security access is released.

Query and update access. Additional training courses can be taken to grant additional access to HRIS. These involve query training, salary planning, temporary merit increase training, and access to entry of funding. The appropriate training class must be taken before the user's security is changed to accommodate the user's new features in HRIS. Because this is a progressive training effort, security classes are initially entered on the Request for HRIS Security Access form; and the user progresses with the new training, a master list shows the security and the training classes that have been completed.

Departmental access

HRIS security is based on departmental access (individuals whose information is needed) as well as panel access (what information is needed about those individuals) to support the conduct of the user's business. When the user submits the Request for HRIS Security, he or she lists the departments to be made accessible in HRIS. The Request for HRIS Security is authorized by the school administrator or by the user's department manager.

Very few individuals have total access to HRIS. Those who do have total access must be approved for this access by the Associate Vice President for Human Resources. Most individuals with this type of access reside either in the central administrative areas, central administration academic areas, or HRIS support areas. These individuals are responsible for University-wide reporting which requires full access for University-wide queries.

Department of Human Resources – HR staff have access to employee data outside of university officers and the HR staff itself. There are only a few individuals (mostly the Directors) in the Department of Human Resources that have access to Human Resources. The associate vice president for human resources determines accessibility to officer and HR data.

IT staff do not have access to HR, university officers, or IT staff in the production database or the test databases.

Access to the Human Resource Information System (HRIS)

Panel access

HRIS functional access is given to users based on their needs to perform their jobs. Security classes are created based on these needs. The classes are set up based on the functions of the job for the employee who is requesting HRIS access. The director of human resource information, the associate vice president for human resources, or the HRIS security administrator determine the range of panel access to be given to an individual.

The HRIS Security Administrator has a list of security classes including the panels and content available in each class.

Access to correction mode

The correction mode of HRIS is available to a small group of users. Correction mode allows users Update access without leaving audit trails. For this reason, most users are restricted to Update, and Update-Display-All access and not Correction.

In the Department of Human Resources, the directors and one other member of each division has access to correction mode. The HRIS staff has correction mode but are not allowed to update production data without permission of the director of human resource information. The Help Desk has full correction mode to assist anyone who needs to make a correction.

The only department outside of HR with correction mode is the Graduate School because they have update capabilities to the hiring part of the system. Correction mode is limited to the supervisors on both the Chicago and Evanston Campus.

During the salary planning process, the provost's area supports the administration of this process for faculty, so the school's administrative manager has correction to job and position during the summer months. This access is changed after the Salary Planning process is completed each year.

Access to Update for the Community

Certain features in HRIS have been implemented in schools and departments for updating HRIS. Currently this is limited to the salary planning module and to Funding Changes in academic units. In the future, more features will be rolled out with update capabilities to HRIS. This will be a result of the implementation of the Electronic Time Entry System (ETES), further deployment of the hiring process, and employee self-service.

Access to queries and tables

Table access for queries is restricted to the user's need to access the data. Query access groups have been set up based on the user's viewing access to the system. Most users have access to the NW Employee Table and the supporting tables. Payroll tables are restricted to the users with advanced training in HRIS.

Certain users have HRIS access only to run queries, as indicated on their security form. These individuals have access to pre-written public queries which they can run as needed to perform their jobs.

Access to the Human Resource Information System (HRIS)

Access to SQR reports

The HRIS Help Desk, the HRIS Support Staff, or the Payroll Manager can run SQR reports in HRIS. Most reports delivered or customized by Northwestern University are scheduled in batch jobs, are run, and are stored in VISTA (View Direct) for Department viewing. VISTA is a report viewer application with a security structure to limit access based on user's departmental security. See VISTA Security Policy for more information on Vista access and security.

The Position/Appointment Form SQR is the only report that the user can run at the manager's desktop. This SQR allows access to the employees authorized by the user's HRIS department security. The requested Position/Appointment Forms can be run as needed and printed on local printers.

Procedures for requesting access to HRIS

The Request for HRIS Security Access is available on the HRIS web site: *http://www.northwestern.edu/hr/hris*. Users can download the Request for HRIS Security Access and complete the requested information. If necessary, the user's IT support staff can assist with the installation of HRIS on the user's personal computer, with assistance from the HRIS Security Administrator, if needed. The school's business administrator or the user's immediate supervisor or department manager must approve the Request of HRIS Security.

The Request for HRIS Security is then forwarded to the HRIS Security Administrator listed on the form for processing. The HRIS Security Administrator works with ITCS staff to establish an ID allowing access to the HRIS.

After the UCCPSS ID is established, the HRIS Security Administrator establishes the security access in HRIS. This access includes the departments requested for access on the form, whether the requestor needs look up capabilities in the system or whether the requestor is on the HR staff. After the department security is established, the HRIS Security Administrator verifies that the HRIS access agrees with the security request. The HRIS Security Administrator also checks the People Tools Tree Manager to ensure that no other departments are viewable.

The Request for HRIS Security then is forwarded to the Director of Human Resource Information or the Associate Vice President for Human Resource's signature. Human Resource staff members must have their Request for HRIS Security approved by the Associate Vice President for Human Resources.

After this is done, the HRIS Security Administrator forwards the Request for HRIS Security Access to the HRIS Trainer to schedule the user for a Look-Up class. The HRIS Trainer notifies users of the dates of the next available class, and after the Look-Up class has been completed the user ID and password are given to the employee.

The HRIS Security Administrator and the HRIS Trainer keep logs of all users with security access to HRIS and the training classes they have completed. The HRIS

Trainer also keeps track of all HRIS Procedural Classes attended by the users.

Access to the Human Resource Information System (HRIS)

Terminations in HRIS	Each month a report is generated from HRIS and stored in VISTA showing employees who have been terminated from all of their jobs, indicating separation from University employment. This report is used by the HRIS Security Administrator to remove security access for those individuals who have left the University. The HRIS Security Administrator runs a query on all employees who have transferred or been promoted into a new position or department in the University. The information will also prompt the HRIS Security Administrator to terminate the HRIS access if departments or positions have been changed.
Transfers and promotions	Individuals with security access to HRIS who are promoted or transferred to another position, must reapply for security access when arriving at the new department. The HRIS Security Request must be completed again for approval by the head of the new department, seeking approval for the new departmental and viewing access that is requested.
Violations.	Users who violate the provisions of this policy may have their access to HRIS terminated and, depending on the violation, may be subject to further discipline up to and including termination from University employment.

Access to the VISTA Reports

Policy	VISTA access is given to users on a need to know basis. Individuals requesting access to VISTA must supervise or oversee staff, faculty, graduate students or temporary employees hired at Northwestern University. Individuals involved in overseeing the budgeting for a department or school that requires detailed information about employee's salary or personal information stored in VISTA may request access.
Description of VISTA	Vista (View Direct) is a report viewing software that is designed to store and view all SQR reports that are generated from HRIS. Some of the features delivered with the VISTA software are: having the capabilities of storing multiple generations of reports for a given period if time; designed to give the users the ability to download reports into excel or flat files; and built in security capabilities to give select pieces of the reports to the users based on their departmental or account access. Northwestern University users access VISTA on a regular basis to read reports online, print pages of reports as needed and review reports for daily transactions that have been processed in HRIS.
Access to VISTA (View Direct)	All individuals requesting access to VISTA must initiate their request by completing a Request for VISTA Security Form. The Request for VISTA Security form must be completed and signed by the employee and then forwarded to their immediate supervisor or School Administrator. Either the School/Administrative Assoc Dean or Business Administrator must be the final sign off authority for VISTA access for that department.
VISTA access rules	When completing the Request for VISTA Security Form the users must agree to adhere to the following rules: Information listed in VISTA will only be used for the sole purpose of performing their duties assigned to them by Northwestern University. Information listed in VISTA is confidential information and will not be disclosed to outside parties or any other unauthorized parties. The information listed in VISTA will not be used for any personal benefit. The information listed in VISTA will not be divulged to any other individual unless it is related to the work assignment and in accordance with University and departmental policies The user will not share, divulge personal IDs or passwords to anyone whether University Personnel or others.

Access to the VISTA Reports

Requesting VISTA Access

The Request for VISTA Security Access form is available on the HRIS web site: http://www.northwestern.edu/hr/hris. Users can download the Request for VISTA Security Access and complete the information. Users must list the appropriate department access and CUFS accounts that are needed for viewing access. If necessary, the user's IT or LAN administrator will be responsible for the installation of VISTA on the user's Personal Computer in the department. The HRIS Security Administrator will assist the ITor LAN administrator with the installation, if needed. (See VISTA installation instructions for details).

After the Request for VISAT Security Access has been completed by the user, the form is forwarded to the user's immediate supervisor or department administrator. The final approval for VISTA security access is given by the Department Administrator or School's Administrative Assistant or Associate Dean.

After the form has been completed, the Request for VISTA Security Access should be forwarded to the HRIS Security Administrator for processing. The HRIS Security Administrator sets up the appropriate security structure and notifies the, by telephone, when the security and passwords have been set up.

Report viewing access in VISTA

There are standard reports that are given to all the University Community. These reports may include the Payroll Expense Distribution Reports, Leave Accruals Reports, Department Edit Reports, Deployment Reports, Payroll Register Report by Department, and Salary Planning Reports (as applicable). These report are grouped together in a folder marked with the school/Department name. All Look-Up users of HRIS receive the same reports for viewing.

Employment, Benefits, Compensation and Payroll staff have access to additional report based on their need to access this information. Payroll and Benefits personnel have access to the Payroll Register by Department, Deduction Register, Payroll Expense Distribution Reports, Edit Reports, Treaty Reports, Benefit Reports, etc. All HR staff are restricted from the Confidential Payroll Expense Distribution Report, and HR Payroll Register which includes HR salaries. Only the Director of Benefits, HRIS staff, and Payroll Manager have access to these reports. Employment and compensation staff have access to reports for compensation, salary planning and general position/appointment information.

Changes to department or account access viewing access in VISTA

Because Northwestern University conducts major research endeavors, the CUFS accounts in HRIS and VISTA are continually changing because of the additional grant monies being awarded. The new account or department information is usually communicated to the HRIS Security Administrator via email, with the new account number request to be set up in VISTA. The HRIS Security Administrator will set up the new access in VISTA and attach a copy of the email request to their security form. The HRIS Security Administrator will notify the user by e-mail when the additional CUFS accounts have been added.

Access to the VISTA Reports

Terminations in HRIS	Each month a report is generated from HRIS and stored in VISTA with all employees who have been terminated from all of their jobs. This report is used by the HRIS Security Administrator to remove security access for those individuals who have left the University. The HRIS Security Administrator runs a query on all employees who have transferred or been promoted into a new department in the University. The information will also prompt the HRIS Security Administrator to terminate the HRIS access if a department has been changed for an individual.
Transfers and promotions	Individuals with security access to HRIS who are promoted or transferred to another position, must reapply for security access when arriving at the new position. The HRIS Security Request must be completed again giving the department and viewing access that is requested.