

August 12, 2009

TO: Departmental Administrators
FROM: Pearl Spiro
Assistant Provost for Academic Appointments
SUBJECT: Updated Quick Reference Guide for Completing
Nomination Forms

Action Reason Codes:

New appointment	HIR NEW
New appointment to second or third position	HIR MJB
Reappointment for which you cannot print a PAF (the person has not held an appointment for several years or has been terminated)	REH CNW
Reappointment to a second or third position for which you cannot print a PAF (the person has not held this appointment for several years or has been terminated)	REH MJB
Appointment of <u>new</u> Special Lecturer (the person's first position is considered "retiree," so PeopleSoft considers "Special Lecturer" appointment as a second position)	HIR MJB

Prefix:

If the person's title includes the word "professor"	Prof
If the person's title does not include the word "professor," but the person has a doctorate	Dr.
If the person's title does not include the word "professor," and the person does not have a doctorate	Mr./Ms. (do NOT use Miss/Mrs. for academic personnel)

Office Address:

Do not include city, state, and zip code if using campus address

Form will be returned if Mail Code and/or Check Sequence Number are missing.

Mailing Address/Home Address:

If mailing address and home address are the same, do not include mailing address. Just enter home address. Do not put "SAME" in mailing address.

If they are different, include both addresses.

Marital Status:

If not single, you must include marital status date (month/day/year).

Education:

List all the degrees that the person has earned. Please be sure to indicate the month and year of the degree if it will affect the person's appointment. For example, if a person being appointed as a postdoc received the degree in April 2009, please indicate the month so that the appointment can be processed. On the other hand, if a person being appointed Associate Professor earned the Ph.D. in 2003, you do not need to identify the month. PeopleSoft will default to June.

Identify the university from which the person received the degree, not the particular school: e.g., Columbia University, not Columbia University School of Law.

Identify the particular branch of larger systems from which the degree was earned. For example, if someone received a degree from Hunter College or from Stony Brook, the institution should be listed as CUNY, Hunter College or SUNY, Stony Brook.

Do not use abbreviations for institutions. For example, do not use MIT: write out Massachusetts Institute of Technology; do not use UCLA: write out University of California, Los Angeles.

Identify foreign institutions with the country in which they are located, even if it should be self-evident: e.g., Oxford University (UK), University of Tokyo (Japan), McGill University (Canada).

If the person's highest degree is only a high school diploma, you do not need to identify the high school. Simply indicate "High School Diploma" and the year it was earned.

IMPORTANT: In addition to the levels of education that PeopleSoft requires, you must indicate the actual degrees that a person has earned. Once you have printed the nomination form, please write in all the actual degrees next to the level of education printed on the form (e.g., Bachelors - B.A.), not next to the institution. This is very important for academic personnel. (See the attached sample of nomination form.)

Tenure Information:

Tenure information is required for all academic personnel (both full-time and part-time).

Faculty with appointments with tenure are "Tenured." Please enter the date in the box.

All full-time faculty who do not have tenure and who have unmodified titles (Instructor, Lecturer, Associate, Assistant Professor, Associate Professor, Professor) including those with "Visiting" titles are "Nontenured But On Track." No date should be entered.

All full-time faculty who have "clinical," "professional practice" or "in discipline" in their titles are "Other Nontenured." No date should be entered.

All part-time faculty are "Other Nontenured." No date should be entered.

Officers of research and student officers do not have tenure status. Please write "None" in the box. Do not use "Other Nontenured" for these groups.

Complete University Title:

Must be completed for all faculty and officers of research (NOT for student officers)

Position/Salary Information:

Use position number from the list provided by Human Resources. Please contact me if you need a title that is not on the list.

Be sure to complete "Position Entry Date," "Appt/Comp Rate Eff Date," and Appt/Comp Rate End Date." All these dates should be the same as the "Eff Date" at the top of the nomination form. Please take special care with dates (e.g., 9/1/09-5/31/09 is not good).

"Appt Type" will be system generated so you do not need to complete this field.

You must provide both "Comp Rate" and "Annual Rate." (The TIG Calculator should **not** be used to calculate the "Comp Rate" for appointments of less than one month.)

Salary Type is "Contract" unless the person has tenure or is an officer of the libraries in which cases you should use "Naannl."

Full-Time/Part-Time status must be identified. All student officers are part-time.

August 12, 2009

TO: Departmental Administrators

FROM: Pearl Spiro,
Assistant Provost for Academic Appointments

SUBJECT: **Updated Quick Reference Guide for Processing PAFs FOR FULL- TIME Academic Personnel Who Cannot Be Done by E-Comp**

I. REAPPOINTMENTS/SALARY INCREASES REQUIRING A PAF (assumes that you cannot reappoint the person by E-Comp but must use a PAF.)

1. Nontenured Faculty/Officers of Research/ Student Officers: Reappoint with/without a change in title and with/without a change in salary

DTA CNW only

(NO other codes are required to indicate a change in title or salary. Do not use DTA TTL and/or PAY ADJ)

2. Tenured Faculty:

Salary Increase: PAY ADJ

Change in Title: DTA TTL

II. COMMON TERMINATIONS:

Appointment ended	TER AEN
Resignation: Accepted position outside the University	TER APO
Resignation: Other personal	TER ROP
Resignation: Relocation	TER RLO
Normal Retirement	RET NOR
Retirement before 65	RET EAR

III. CHANGE IN STATUS FROM FULL-TIME TO PART-TIME.

1. Actions at Top of PAF:

TER and appropriate Action Code:

REH CNW

2. Record new appointment in usual way, making sure to change POSITION ENTRY DATE and TITLE EFFECTIVE DATE if the title is changing.

3. Terminate full-time appointment using TER and appropriate reason code with date of termination in Termination Box.

IV. COMMON LEAVES

Exemption from Teaching Duties (with salary)	PLA EXM
Exemption from Teaching Duties (without salary)	LOA EXM
Research Leave (with salary)	PLA RSR
Research Leave (without salary)	LOA RSR
Sabbatical Leave (with salary)	PLA SAB
Sabbatical Leave (without salary)	LOA SAB
Parental Workload Relief (FMLA/with salary)	PLA FPR
Parental Workload Relief (with salary)	PLA PWR
Parental Workload Relief (FMLA/without salary)	LOA FPR
Parental Workload Relief (without salary)	LOA PWR
Personal (FMLA/with salary)	PLA FPL
Personal (with salary)	PLA PER
Personal (FMLA/without salary)	LOA FPL
Personal (without salary)	LOA PER
Non-occupational disability (FMLA/with salary)	PLA FNO
Non-occupational disability (with salary)	PLA NOC
Non-occupational disability (FMLA/without salary)	LOA FNO
Non-occupational disability (without salary)	LOA NOC
Parental care (FMLA/with salary)	PLA FIC
Parental care (with salary)	PLA INF
Parental care (FMLA/without salary)	LOA FIC

Parental care (without salary)	LOA INF
Long-term disability (with salary)	PLA LTD
Long-term disability (without salary)	LOA LTD
Lapse of funding	LOA FND
Public Service	LOA PUB

V. RETURN FROM LEAVE RFL LOA

PAFs must be submitted to return people from leave as of January 1 and of July 1.

For people on leave with full salary or on leave without salary the P AF simply needs to indicate RFL LOA.

For people who are on leave with partial salary, in addition to indicating "RFL LOA," you must also

For tenured faculty:

1. Change COMP RATE and ANNUAL RATE
2. Update (if necessary) FULL BASE SALARY
3. Change APPT/COMP RATE EFF DATE
4. In Leave Box indicate RFL LOA and actual return date

Example: Person is currently on sabbatical leave for entire year at \$30,000, assuring that the person would earn \$60,000 annually if he/she was not on leave.

The PAF currently shows

COMP RATE - 30,000
 ANNUAL RATE - 30,000
 FULL BASE SALARY - 60,000

APPT/COMP RATE EFF DATE: 7/1/09

LEAVE ACTION: PLA
 ACTION REASON CODE: SAB

LEAVE BEGIN DATE: 7/1/09
 LEAVE END DATE: 6/30/10
 EXPECTED RETURN: 7/1/10

PARTIAL PAY: Yes

- 1.) Submit the PAF showing 7/1/10 RFL LOA and 7/1/10 PAY ADJ as Action Codes/Action Reasons
- 2.) Change the COMP RATE and the ANNUAL. RATE to the full base salary the person is to receive starting 7/1/10 (e.g. increase to \$70,000)
- 3.) Change APPT/COMP RATE EFF DATE to 7/1/10
- 4.) In Leave Box indicate RFL LOA and actual return date 7/1/10

For nontenured faculty/officers of research:

1. Change COMP RATE and ANNUAL RATE
2. Change APPT/COMP RATE EFF DATE
3. Change APPT/COMP RATE END DATE
4. Update FULL BASE SALARY
5. In Leave Box indicate RFL LOA and actual return date

Example: Person is currently on a leave for one semester at \$15,000 (1/1/10 - 6/30/10), assuming that the person would earn \$60,000 annually if he/she was not on leave.

The PAF currently shows

COMP RATE 15,000
ANNUAL RATE - 30,000
FULL BASE SALARY: 60,000

APPT/COMP RATE EFF DATE: 1/1/10
APPT/COMP RATE END DATE: 6/30/10

LEAVE ACTION: PLA
ACTION REASON CODE: RSR

LEAVE BEGIN DATE: 1/1/10
LEAVE END DATE: 6/30/10
EXPECTED RETURN DATE: 7/1/10

PARTIAL PAY: Yes

- 1.) Submit the PAF showing 7/1/10 RFL LOA and 7/1/10 DTA CNW as Action Codes/Action Reasons.
- 2.) Change the COMP RATE and the ANNUAL RATE to the full base salary the person is to receive starting 7/1/10 (e.g. increase to \$70,000)
- 3.) Change APPT/COMP RATE EFF DATE to 7/1/10
- 4.) Change APPT/COMP RATE END DATE to 6/30/11
- 5.) In Leave Box indicate RFL LOA and actual return date 7/1/10

VI. PROCESSING LEAVES

1. *Leave with Full Salary:* Indicate leave action and action reason code both at the top of the PAF and in the "Leave of Absence" box and check "No" for partial pay. In comments box indicate "LEAVE SALARY = xx."

EXAMPLE: one semester sabbatical leave assuming annual salary = \$60,000

COMP RATE - 60,000
ANNUAL RATE - 60,000
FULL BASE SALARY: 60,000

LEAVE ACTION - PLA
ACTION REASON CODE – SAB

LEAVE BEGIN DATE: 7/1/10
LEAVE END DATE: 12/31/10

PARTIAL PAY: No

[In Comments Box - "Leave salary = \$30,000." This information is for Provostial records.]

2. *Leave without Salary:* Indicate leave action and action reason code both at the top of the PAF and in the "Leave of Absence" box and check "No" for partial pay. In comments box indicate "LEAVE SALARY = 0."

EXAMPLE: Leave without salary for entire year, assuming annual salary = \$60,000

COMP RATE - 60,000
ANNUAL RATE - 60,000
FULL BASE SALARY- 60,000

LEAVE ACTION - LOA
ACTION REASON CODE – RSR

LEAVE BEGIN DATE: 7/1/09
LEAVE END DATE: 6/30/10

PARTIAL PAY: No

[In Comments Box - "Leave salary = 0." This information is for Provostial records.]

3. *Leave with Partial Salary:* COMP RATE and ANNUAL RATE need to reflect partial salary, FULL BASE SALARY needs to reflect full salary if person was not on leave, and APPT/COMP RATE END DATE need to be confirmed in addition to leave information itself being provided.

EXAMPLE 1: Sabbatical leave for entire year (\$30,000), assuming that the person would earn \$60,000 annually if he/she was not on leave.

COMP RATE - 30,000
ANNUAL RATE - 30,000
FULL BASE SALARY: 60,000

APPT/COMP RATE EFF DATE: 7/1/09

LEAVE ACTION: PLA
ACTION REASON CODE: SAB

LEAVE BEGIN DATE: 7/1/09
LEAVEENDDATE: 6/30/10

PARTIAL PAY: Yes

[In Comments Box - "Leave Salary = \$30,000." This information is for Provostial records.]

EXAMPLE 2: Nontenured faculty member/officer of research is on a Research Leave at partial salary (\$15,000) for one semester, assuming that the person would receive \$60,000 annually if he/she were not on leave.

COMP RATE - 15,000
ANNUAL RATE - 30,000
FULL BASE SALARY - 60,000

APPT/COMP RATE EFF DATE: 7/1/09
APPT/COMP RATE END DATE: 12/31/09

LEAVE ACTION: PLA
ACTION REASON CODE: RSR

LEAVE BEGIN DATE: 7/1/09
LEAVE END DATE: 12/31/09

PARTIAL PAY: Yes

[In Comments Box - "Leave Salary = \$15,000." This information is for Provostial records.]

VII. COMMON PERSONAL CHANGES:

Update Social Security number: DTA SSN

Update Visa information: DTA VSA

If the visa information is changing, DTA VSA should be the first ACTION/REASON put on the PAF to ensure proper processing.

Update Education information: DTA EDU

Change in Tenure Status:

No Effective Date, Action Code or Reason Code required at top of PAF. Just complete "Tenure Information" Box.

Tenure requires Tenure Effective Date

Officers of research, officers of the libraries, and student officers do not have tenure status. Tenure code should be "None."

VIII. ORDER OF ACTION CODES AT TOP OF PAF:

1. Personal changes (DTA VSA, etc.)
2. Reappointment/Title/Salary (DTA/CNW, DTA TTL (only for tenured faculty and officers of the libraries); PAY ADJ (only for tenured faculty)
3. Leaves

4. Terminations

IX. GENERAL REVIEW BEFORE SUBMISSION:

Please check the PAFs you are submitting to make sure that they contain all the necessary information.

1. CITIZENSHIP: Please make sure that Citizenship is properly recorded.
 - a) If the person has a visa, "U.S. Citizen" field should show as "N." There should be a visa type and visa expiration date.
 - b) If the person is a Permanent Resident, "U.S. Citizen" field should show as "N." Please be sure that the "A" number is recorded.
2. EDUCATION: Please be sure that educational information is indicated on the PAF. PAFs missing this information will be returned.
 - a) If "Education" box is blank, please provide highest degree, institution, and date.
 - b) Please check "Institution" to confirm that it is a legitimate college or university. You do not need to change "Harvard Undergraduate" to Harvard University. The Education tables in PeopleSoft are being updated, and corrected information will populate these fields shortly. You do need to fix such entries in the "Institution" field as "Tuxedo Park Middle School," "Allentown Hospital," etc.
3. COMPLETE UNIVERSITY TITLE: Please make sure that the title is current and free of typos. *(Please refer to the Title Job Aids in the appendix)*

Please remember to consult the TIG for a more detailed explanation and for less frequently used codes.

August 12, 2009

TO: Departmental Administrators

FROM: Pearl Spiro
Assistant Provost for Academic Appointments

SUBJECT: Quick Reference Guide for Processing PAFs **for Part-Time Academic Personnel Who Cannot Be Done by Roster**

I. ORDER OF ACTION CODES AT THE TOP OF PAF:

1. Personal changes (DTA VSA, etc.)

If the visa is being extended or is changing, DTA VSA should be the first ACTION/ REASON listed on the PAF to ensure proper processing.

2. Other changes in personal information (e.g., Social Security number, marriage date). All campus address changes should be done via the Web, not by PAF.
3. Terminate casual position and rehire into academic appointment (TER AEN, REH REH)

4. Reappointment/Title/Salary

DTA/CNW (if no break in service)

REH CNW (if person is already terminated)

II. ACTION CODES FOR COMMON PERSONAL CHANGES:

Update Social Security number: DTA SSN

Update Visa information: DTA VSA

Update Education information: DTA EDU

Change in Tenure Status: No Effective Date, Action Code or Reason Code needed

III. ACTION CODES FOR REAPPOINTMENTS WITH/WITHOUT A CHANGE IN TITLE AND WITH/WITHOUT A CHANGE IN SALARY (assumes that you cannot reappoint the person by roster but must use a PAF. See my instructions for roster processing.)

1. Nontenured Faculty, Officers of Research, and Student Officers

DTA CNW: should be used only if there is no break in service, and if the nontenured faculty member, officer of research, or student officer has not yet been terminated.

No other codes are required to indicate a change in title or salary. Do not use DTA TTL, PAY ADJ, or PRO/PRO.

REH CNW: should be used if there is a break in service or if the person has already been terminated.

No other codes are required to indicate a reappointment with/without a change in title or salary. Do not use DTA TTL, PAY ADJ, and/or PRO/PRO.

2. Tenured Faculty (with multiple appointments):

Change in Salary: PAY ADJ
Change in Title: DTA TTL

IV. ACTION CODES TO TERMINATE CASUAL EMPLOYMENT AND APPOINT TO ACADEMIC POSITION

1. TER AEN
2. REH REH

V. COMPLETION OF POSITION/SALARY INFORMATION

1. Changes of Title and Position and/or Administrative Department
 - a. Update Position Number
 - b. If the person is remaining in your department, update POSITION ENTRY DATE and TITLE EFFECTIVE DATE.
 - c. If the person is changing departments but the title is remaining the same, update ADMINISTRATIVE DEPARTMENT CODE, ADMINISTRATIVE DEPARTMENT NAME, POSITION NUMBER, and POSITION ENTRY DATE
TITLE EFFECTIVE DATE does not change.
2. Update APPT/COMP RATE EFF DATE and APPT/COMP RATE END DATE
3. Update COMP RATE and ANNUAL RATE using TIG calculator, as needed. (Do not use the TIG calculator if the duration of the appointment is less than one month.)
4. Confirm full-time/part-time status

5. Change Salary Type from NAHRLY to CNTRCT if the person is switching from casual to an officer appointment.
6. Update Tenure Status

All part-time faculty: OTHER NONTENURED

All officers of research and student officers: NONE

VI. GENERAL REVIEW BEFORE SUBMISSION

Please check the PAFs you are submitting to make sure that they contain all the necessary information.

1. CITIZENSHIP:

Please make sure that Citizenship is properly recorded. The individual must have completed a new 1-9 if you are changing the visa information.

- a) If the person has a visa, "U.S. Citizen" field should show as "N." There should be a visa type and visa expiration date.
- b) If the person is a Permanent Resident, "U.S. Citizen" field should show as "N." Please be sure that the "A" number is recorded.

2. EDUCATION:

Please be sure that educational information is indicated on the PAF. PAFs missing this information will be returned.

- a) If "Education" box is blank, please provide highest degree, institution, and date. If the degree is from a foreign institution; be sure to indicate the country.
- b) Please check "Institution" to confirm that it is a legitimate college or university. You do not need to change "Harvard Undergraduate" to Harvard University or to indicate the foreign institution from which the person received the degree. The Education tables in PeopleSoft are being updated, and corrected information will populate these fields shortly. You do need to fix such entries in the "Institution" field as "Tuxedo Park Middle School," "Allentown Hospital," etc.

3. COMPLETE UNIVERSITY TITLE: Please check to make sure it is current and free of typos.

Please remember to consult the TIG for a more detailed explanation and for less frequently used codes.

SAMPLE

PLEASE BE SURE TO READ BEFORE COMPLETING APPOINTMENT PAPERWORK. USE CURRENT DATES WHEN COMPLETING PAPERWORK.

August 5, 2011

TO: Departmental Administrators and Academic Departmental Administrators

FROM: Pearl Spiro
Associate Provost for Academic Appointments

SUBJECT: Personnel Forms for Fall Appointments

With the implementation of semi-monthly paychecks and the new Labor Accounting system, the ability of departments to submit the forms for part-time and student officers of instruction and research to meet the HRPC deadlines will determine whether these people will start receiving checks on September 15 or September 30. The HRPC cannot process individual pages of department rosters, but needs all of the pages for a particular department before entering the information into PeopleSoft. Those units which submit their rosters and forms through a dean or executive vice president should complete them even earlier to ensure that they are processed in time. Since the submission of the electronic transactions and paperwork will determine when people receive their first check, departments and schools should notify their faculty and student officers when they can expect their first paycheck.

To ensure that I have sufficient time to approve appointments and meet the HRPC Mail Closing Dates for the September 15 and September 30 payrolls, please note the following dates:

Deadlines for September 15 Payroll

Departments wanting to meet the deadline for the September 15 payroll must submit all of their rosters, nomination forms, PAFs, and FAST transactions to me by **Tuesday, September 6**. Joe Werst in the Arts and Sciences has requested that those departments wanting to meet the September 15 payroll should submit all forms and especially rosters to them by **Wednesday, August 31**.

Deadlines for September 30 Payroll

Departments wanting to meet the deadline for the September 30 payroll must submit all of their rosters, nomination forms, PAFs, and FAST transactions to me by **Tuesday, September 20**. All appointments processed after that date for people who appeared on the rosters must be submitted on PAFs. Joe Werst has requested that they receive all forms and especially rosters for the September 30 payroll by **Tuesday, September 13**.

Recertification by Roster

The format of the rosters is the same as last year. As in the past, to expedite processing the rosters for the period 9/1/11 - 12/31/11 have been printed on green paper, and those for the period 9/1/11 - 5/31/11 are on yellow paper.

The procedures to recertify your part-time officers of instruction and your student officers for the 2011 – 2012 academic year or for Fall 2011 are also similar to those used last year.

Attached are two rosters, one for officers of instruction and one for student officers, who held an appointment during the 2010 - 2011 academic year or during Summer 2011 in your department or school. Such people who are currently working on the casual payroll or who held an appointment in Summer Session 2011 should also appear on your roster. Please contact me if your rosters are missing people before preparing PAFs.

The same rules will apply to these rosters as did to the ones you received last year:

- The rosters should be used to reappoint for the period indicated in the heading of the roster. Depending on the appointment cycle in your school or department, you are receiving rosters for the 9/1/11 -5/31/12 period and/or the 9/1/11 -12/31/11 period. You can use the roster only to reappoint for the period noted in its heading. PAFs must be submitted if the new appointment covers any other period of time.
- Please indicate the new title on the line marked "New Title," and enter the position number for the new title. You do not need to restate the title or the position number if it remains the same.
- The definitions for the codes used on the roster are also the same as in the past. All the names on the roster must have a code placed next to them:

R - reappoint for the period indicated in the heading on the roster. You must provide both "New Comp Rate" and "New Annual Rate."

P - process by PAF submitted with the roster.

E -terminate with Term Action Reason TER AEN on 9/01/11. Use of this code will terminate the current appointment. Do not use "E" if the termination type is not AEN, or if the "Appt/Comp Rate End Date" is prior to August 31, 2011. If you can use "E" on the roster, you do not need to submit a PAF.

T - to keep terminated: use this code if the person should remain terminated and not be reappointed for the Fall term or for the 2011 – 2012 academic year. Do not use "T" to terminate an active appointment by roster.

U - unknown: if an individual who does not hold an appointment in your school or department has been erroneously included on your roster. Please contact me immediately if such a person appears on your roster.

Do not write the names of any officers who are not already on the rosters. Individuals who have been omitted from the rosters or mistakenly included on the wrong roster must be recertified by PAF even if you only want to reappoint them.

You no longer need to provide 1-9 information on the roster. You can ignore the line on the roster requesting this information. Please see the section "Citizenship Information and 1-9 Forms" on page 6 below for further important information.

You may process the pages of the rosters individually or together. In either case, you should sign each completed page and forward it to me. Even if you do not wish to use the rosters, you must return all your

roster pages to me **no later than September 6** for the September 15 payroll and by **September 20** for the September 30 payroll. The HRPC needs them for proper control.

If, as a result of a subsequent review, the entry for any officer whom you want to recertify by the roster needs to be changed, the notation in the action column will be changed to "E" or "T" and you will be asked to prepare a PAF. Such a PAF should be labeled "SUPERCEDES ROSTER ENTRY."

You should not submit the PAFs of officers whom you are recertifying by roster. Once you have submitted your rosters, do not print a PAF to initiate any change in PeopleSoft until the rosters are updated. You must use the PAF generated from the roster for any additional modification. Otherwise the person will not be paid properly.

Recertification by PAF

You should enter "P" under the ACTION column on the roster and submit a PAF if you need to make any changes other than to reappoint at the same title or appoint to a new title, terminate with a Term Type TER AEN, or keep terminated.

Do not make the changes on the roster itself. A PAF will be required for any of those officers if you intend:

1. to reappoint through a date other than that shown on the roster;
2. to reappoint at zero salary;
3. to terminate an appointment with a termination code other than TER AEN;
4. to reappoint people whose visas have been extended;
5. to reappoint an officer of administration to an academic position (the PAF for the previous academic position should be obtained from the person's administrative department) ;
6. to reappoint people whose names do not appear on the roster (either because their last appointment predated July 1, 2010 or because of some programming omission); or
7. to change any of the personal information (other than addresses and phone numbers which must be submitted via the Web).

Nobody working in the United States should be reappointed with a "dummy" number, either by roster or by PAF. Please check that everyone being reappointed has a real Social Security number in PeopleSoft. Once the Social Security card has been issued, the PAF needs to be updated with the actual Social Security number. A copy of the person's Social Security card and new tax forms with the Social Security number must accompany the PAF. Paperwork for anyone working in the United States who is reappointed with a "dummy" Social Security number will be returned to you.

You will also need to submit PAFs foreign citizens on the rosters with visa expiration dates before December 31, 2011 or May 31, 2011 (depending on the roster heading). Those officers who have received visa extensions need to complete new 1-9 Forms, and you should update the PAF with the new visa expiration date and new type of visa (if applicable) and attach copies of the relevant paperwork. If the

Department of Homeland Security has not extended an officer's visa, the appt/comp rate end date cannot be later than the visa expiration date. In those cases where the officer has applied for the extension but Homeland Security has not acted, you should contact me, or Joe Werst in the Arts and Sciences, for instructions.

While you will not be able to use the rosters to recertify some of your officers, it will nonetheless be in your interest to submit their PAFs at the same time as the rosters. If you do, you must sign the PAFs as well as the rosters.

FAST Transactions

If you use FAST for new appointments, please follow the instructions provided by Human Resources. Please note the following to ensure that PeopleSoft contains accurate data:

- always put a period after the middle initial of the name;
- be careful when choosing educational institutions since many have similar names;
- for student officers only who received degrees from foreign universities or from US schools not on the list provided by PeopleSoft, please indicate the institutions from which they received their degrees in the "Comments" area; and
- include Complete University titles for all faculty and officers of research; leave that field blank for student officers.

Current Casual Employees Who Need to Be Reappointed as Academic Officers

People who were officers of instruction or research or who were student officers during the 2010 - 2011 academic year who are currently working on the casual payroll should appear on your roster. You do not need to submit a PAF terminating their casual position if you reappoint them by roster. Use of the "R" code on the roster will terminate their casual position and reappoint them as officers effective September 1, 2011.

You will need to submit a PAF for people who are currently working on the casual payroll 1) who were officers of instruction or student officers during the 2010 - 2011 academic year but whom you cannot appoint by roster for the reasons mentioned above in the section entitled "Recertification by PAF," or 2) who did not hold appointments as officers of instruction or research or student officers during the 2010 - 2011 academic year. The PAF showing their casual status should be modified as follows to reflect the change from casual to semi-monthly payroll:

- | | |
|--------------------------|---|
| a. Action Codes at Top: | 1) 9/1/11 TER AEN
2) 9/1/11 REH REH (please note this code) |
| b. Position Entry Date: | 9/1/11 |
| c. Title Effective Date: | 9/1/11 |
| d. Title: | Change from Short-Term Casual to proper academic title |
| e. Salary Type: | Change from Hourly to Contract |

f. Termination:

Action TER Action Reason AEN Eff Date: 9/1/11

You should complete the fields relating to the academic appointment: comp rate, appt/comp rate effective date, appt/comp rate end date, annual rate, and full base salary. Please also be sure that the personal information such as citizenship, education, and tenure status is complete and accurate. For faculty and officers of research, please include the Complete University Title. (Student officers do not need the Complete University Title completed on their forms.) **The PAF will be returned to you if any of this information is missing.**

All additional work done by these people once their appointments as officers are effective September 1, 2011 must be submitted as additional compensation. They must not be paid on the casual payroll.

Citizenship Information and 1-9 Forms

The Immigration Reform and Control Act of 1986 (IRCA) requires that all new employees complete the 1-9 Form by the first day of work. The University is liable to substantial fines from the Department of Homeland Security if it is not in compliance with the law.

The procedures for completing 1-9 Forms distributed by Human Resources should be followed. All faculty, officers of research, and student officers, whether or not they are U.S. citizens, should go to 210 Kent or to the 4th Floor Studebaker to complete their 1-9 Forms.

New I-9s will also be required for foreign citizens who are being reappointed if their visas will expire before the end of the proposed period of appointment. If Homeland Security has not extended an officer's visa, the appt/comp rate end date cannot be later than the visa expiration date. New 1-9 Forms are required for U.S. citizens and permanent residents with breaks in service of more than one year when the 1-9 Form was signed more than three years ago. In other words, as long as a person returns to work within three years of signing an 1-9, they do not need to complete a new form. The same applies to non-citizens who are not permanent residents if the original authorization to work has not expired during the break in service.

With the introduction of electronically prepared 1-9 Forms, you no longer need to provide the date that the 1-9 Form was signed if the existing 1-9 Form on file is still valid. You will need to attach the documents for foreigners that were listed in the instructions from Human Resources if a new 1-9 was completed. The office of the appropriate dean or executive vice president will check that individuals needing a new 1-9 have indeed completed one.

Ethnic and Racial Classification of Employees

Please refer to the e-mail that Human Resources distributed on April 6, 2010 for information about the U.S. Department of Education rules regarding the ethnic and racial classification of faculty, students, and staff. Attached to the e-mail is the paper self-identification form that all new employees should complete and from which you should obtain the information required for the nomination form. A copy of the self-identification form must be attached to the nomination form or PAF (for casuals' becoming officers).

New York State Labor Law Section 195(1)

To comply with the New York State Labor Law Section 195(1) all new faculty and officers of research (NOT student officers) who receive salary from the University, regardless of whether they are full-time or

part-time, and anyone switching from non-salaried to salaried positions must complete the "Notice and Acknowledgement of Wage Rate and Designated Payday Hourly Rate Plus Overtime" form before they can begin working. The original form must be attached to the nomination form, PAF, or FAST transaction for the appointment to be approved and sent to the HRPC. A copy of the form should be maintained in the department. Only those people who are newly hired or who did not hold faculty or officer of research appointments during the 2009 - 2010 academic year should receive and return the form.

Assignment of Inventions to Columbia University

Part-time officers of instruction do not need to complete the "Agreement to Assign to the University Inventions or Discoveries Conceived or Reduced to Practice in the Performance of Sponsored Projects." However, all full-time officers of instruction, full-time and part-time salaried officers of research, and student officers of research (Departmental Research Assistant, Graduate Research Assistant, Research Fellow, and GRA/Research Fellow) must complete the "Agreement to Assign to the University Inventions or Discoveries Conceived or Reduced to Practice in the Performance of Sponsored Projects." Such officers being appointed for the first time, those switching from part-time to full-time or from non-salaried to salaried appointments, or those who have not already signed an Agreement must complete the Agreement. Student officers switching from teaching appointments to research appointments must also sign the Agreement. No appointment should be processed until the department or school has received a completed Assignment Agreement. The original Assignment Agreement should be maintained in the departmental office. A copy of newly signed forms only should be attached to each nomination form or to the roster/PAF. Officers who have already completed an Assignment Agreement do not have to sign another one, nor do copies of Agreements already submitted need to be attached to the appropriate paperwork. The only exception relates to student officers switching from teaching appointments to research appointments. If they have completed the form previously, please indicate "IA" (no date required) on the PAF or next to their name on the roster.

Please refer to the memo dated April 14, 2010 from Provost Claude Steele for further information. The Invention Agreement itself is located at <http://spa.columbia.edu/forms/intemalforms>. (For the time being you may continue to use forms addressed to Claude Steele.)

Curricula Vitae

In order for my office to maintain complete information about the educational background of academic personnel, please attach a copy of the *curriculum vitae* of all new officers of instruction and research to the nomination form and of those being promoted to the PAF. *Curricula vitae* are not needed for student officers.

It is crucial that you review the data in PeopleSoft to ensure that it is accurate and that people will receive correct checks in September. If you find any discrepancies with the information you submitted or if a record has not been updated within a reasonable interval, please contact the Help Desk. If you need further assistance, please feel free to contact Joe Werst in the Arts and Sciences (x46110), or me (x43813). Do not resubmit the PAFs with corrections until you have spoken to one of us.

If you have any questions about our procedures, do not hesitate to ask for a clarification from my office. If you are in the Arts and Sciences, you may call Joe Werst instead.

Thank you for your cooperation.