OVERVIEW: PENN’S STRUCTURE FOR PAYROLL

The following section contains links to various departments and offices for which there is a need to communicate information relevant to use of the Payroll/Personnel System. It also gives an overview description of the kinds of information and people that are contained in the Payroll/Personnel System. Various forms used in conjunction with placing someone into the system are described, as well as specific types of positions, such as Student Workers or Post-Doctoral appointments. Each time a form or another department is mentioned, there are links to the form, or the other department’s website.

EMPLOYEE CATEGORIES

The University of Pennsylvania has greater than 32,000 active records many of whom are categorized according to the Federal “Fair Labor Standards Act” (FLSA) as either exempt or non-exempt employees.

At the University exempt employees are paid on a monthly basis and are exempt from receiving compensation for overtime hours worked. Non-exempt employees are paid on a weekly basis and must be financially compensated for hours worked beyond 40 in a given pay cycle.

To facilitate management reporting and personnel censuses, all employees are further categorized by employee type according to the nature of work they perform.

Exempt Employee Types - Monthly Paid

TYPE 1 - Includes all Faculty, Research Associates and Administrative employees.

TYPE 4 - Exempt (Graduate) Students. For example: Teaching Assistants, Teaching Fellows, Research Assistants, and Research Fellows. (For greater explanation of these job titles see The Guide to Graduate Student and Post-Doctoral Appointments on the following website: http://www.finance.upenn.edu/comptroller/forms/#Tax

TYPE 8 - Educational Fellowship Recipients. These are graduate students on fellowships paid directly from University of Pennsylvania funds, such as a dean’s account. The compensation for these appointments is also referred to as “stipends”.

TYPE 9 - No employer/employee relationship exists. This type includes retirees, people on long term disability, Post-Doctoral Appointments and other special situations.

Non-Exempt Employee Types - Weekly Paid

TYPE 2 - Includes Non-Exempt salaried Support Staff. These employees receive monetary compensation for all hours worked beyond 40 in a given workweek.

TYPE 3 - Includes hourly part-time, temporary workers, occasional workers, and full-time members of bargaining units, including the Library.

TYPE 5 - Includes all non-exempt hourly students. For example: Student Worker and College Work-Study students. Student Employees, during those weeks they are in class, should not work or be compensated for greater that 20 hours per week.
When entering information onto the payroll system for a new employee, you will enter an “E” for exempt, or “N” for non-exempt in the EMPL TYPE field, as shown on the 003 Screen.

Once you have entered all the information you will be able to view what numerical Empl Type each employee is when you do an inquiry. This is a field into which the system generates information and it is seen on the 004 Screen.

**EXCEPTION VS POSITIVE PAY**

**Exception Pay**

Exception Pay employees work a standard work week and receive a predetermined salary or pay amount. The standard workweek is determined at the time of appointment and may be 35, 37.5, or 40 hours. All Exempt and Non-Exempt Salaried Staff & Library Union Workers (Types 1, 2, 4, 8, 9) are paid on an Exception basis. The difference with Type 2 employees is the paid time off to which they are entitled is recorded on a positive basis, meaning you have to enter sick days or paid time off days into the On-Line Time Reporting System for the records to be accurate.

**Positive Pay**

Positive pay employees work a variable number of hours per week. This time must be reported using the On-Line Time Reporting option on the Payroll/Personnel system to receive any pay. All Type 3 and Type 5 employees are paid on a positive pay basis.

You can see in the TIME RPT CODE field on the 004 screen if an employee is paid on an Exception or Positive basis. The information in this field is system generated.

**PAY CYCLES**

**Monthly Pay Cycle**

The monthly pay cycle runs from the first of the month through the last day of the month. Monthly employees are paid based on a ratio of the number of days worked in the month. For example: if there are 22 workdays in a month, and an employee works only 14, the system will use the calculation (14/22) x monthly salary.

Monthly paid employees receive their pay on the last working day of the month.

Exempt employees are automatically paid by the Payroll System based on the information that has been entered into the database.
**Weekly Pay Cycle**

The weekly pay cycle runs from 12:01 A.M. Monday through Midnight Sunday. Weekly employees are paid according to the number of hours worked during the weekly pay period.

Non-exempt, exception employees are automatically paid by the Payroll System based on the information that has been entered into the database. For Positive Employees time must be entered on-line in order to receive a weekly paycheck. Weekly Paid employees receive paychecks on the Friday following the Sunday of the week for which they are being paid.

**ORGANIZATIONAL STRUCTURE**

The University community is organized around two basic structures, the responsibility Center (CNAC) and the Organization (ORG). The Comptroller's Office is responsible for assigning and maintaining these structures.

**Responsibility Center and ORG**

A responsibility center (CNAC) can be a revenue-generating unit like a school (Wharton, Medicine, etc.) or a service provider (VP Finance, etc.). The latter are often referred to as indirect cost centers. Every center has a unique three digit identifying number. Each ORG belongs to one responsibility center and has a unique four digit identifying number. For example:

<table>
<thead>
<tr>
<th>CNAC 070 Wharton</th>
<th>CNAC 870 VP Finance</th>
</tr>
</thead>
<tbody>
<tr>
<td>ORG 0705 Accounting</td>
<td>ORG 8704 Bursar</td>
</tr>
<tr>
<td>ORG 0749 Dean's Office</td>
<td>ORG 8720 Comptroller</td>
</tr>
<tr>
<td>ORG 0706 Management</td>
<td>ORG 8710 Insurance</td>
</tr>
</tbody>
</table>

**Home ORG & Job ORG**

Every employee has at least two ORG numbers associated with their record: the Home ORG number and the Job ORG number.

The Home ORG is responsible for the employee’s overall relationship with the University (i.e. Active, Leave, etc.) and for maintaining current biographic data (i.e. Name, Address, etc.) The Home ORG has authorization to view and update all personnel records and jobs associated with their employees.

The second ORG to which an employee is assigned is the Job ORG. This ORG is responsible for maintaining data associated with a particular job (i.e. Job Class, etc.). The Job ORG can view and update only its own job.
An Employee Type 1, 4, 5, 8 can have up to four jobs, each in a different Job ORG. If this was the case, the employee would have one Home ORG and the same ORG number for Job 1, and three different Job ORGs for the other three jobs. The Home ORG typically has authorization to view and update data for all four jobs, though it is not encouraged that anyone update a record for another ORG without prior knowledge on the part of a representative of the Job ORG for whom the record is being changed. A Job ORG cannot view or update jobs that the employee holds in other ORGs.

**Example:** Employee A has a primary faculty appointment in the Economics Department and has three teaching jobs, one in Wharton Evening School, one in CGS and one in Graduate School of Education.

- Economics = Home ORG = 0106
- Economics = Job Dept #1 = 0106  Can view Jobs 1,2,3,4
- Wharton Evening = Job Dept #2 = 0773  Can only view Job 2

- CGS = Job Dept #3 = 0143  Can only view Job 3
- GSE = Job Dept #4 = 0591  Can only view Job 4

If an employee has only one job, then the Home ORG and the Job ORG are usually the same numbers.

**Example:** Employee B has one job in the Comptroller's Office.

- Comptroller - Home ORG - 8720
- Comptroller - Job ORG – 8720

**DATA CATEGORIES**

**Personnel Data**

Personnel Data is information about an employee's relationship with the University. This includes whether the employee is active or terminated, full-time or part-time, salaried or hourly paid. This information is viewed on the 003 screen in the Inquiry Menu.

**Job Data**

Job data is information about an employee's job(s). This includes Job Class Code, Salary/Hourly Rate, Job Begin Date, 26 digit Account Number, Position Number, etc. This information is found on the 004 Job Assignment Screen.

Jobs in an academic environment are sometimes referred to as appointments. Each appointment (job) has a Begin and End Date, Job Class, and Salary.

Academic employees and student workers can have up to four appointments (jobs). Each appointment (job) is given a job sequence number. For example: The first appointment is assigned job sequence number 1, the second appointment is job sequence number 2 and so on until the maximum number of appointments (4) is reached.
Example #1: Employee A has one job.
Basic Data/Job Data - Job #1

Example #2: Employee B has four jobs.
Basic Data/(Primary) Appointment Data - Job #1
Appointment Data - Job #2
Appointment Data - Job #3
Appointment Data - Job #4

**Personal Data**

Basic data is general information about an employee. This includes Name, Social Security Number, Birth Date, Address, Emergency Information and other data elements that only occur once. This information is found on the 005 Personal Data Screen.

**Payroll Data**

Payroll data is information about an employee’s Time Balances (i.e.: Sick and Paid Time Off balances, etc.). Time balances can be found in the 025 Time Balances Screen.

At the University two different years are used in Payroll transactions. For tax purposes, Payroll uses a calendar year to track information. Calendar year runs from January 1 through December 31. However, it is important to remember the University runs on a fiscal year basis. The University's fiscal year runs from July 1 through June 30. When reconciling accounts, it is imperative to recall the effects of tracking on a calendar vs. a fiscal year basis.

**Payroll Distributions**

Example #1: Employee A has one job and one payroll distribution.
Basic/Data Appointment Data – Payroll Distribution 1

Example #2: Employee B has two jobs and one payroll distribution for each job.
Basic Data/ Appointment Data - Job 1 - Payroll Distribution
Appointment Data - Job 2 - Payroll Distribution

Example #3: Employee C has one job and four payroll distributions.
Basic Data/ Appointment Data - Payroll Distribution 1
- Payroll Distribution 2
- Payroll Distribution 3
- Payroll Distribution 4

Example #4: Employee D has two jobs and two payroll distributions each.
Basic Data/Appointment Data - Job 1 - Payroll Distribution 1
Payroll Distribution 2
Appointment Data - Job 2 - Payroll Distribution 1
Payroll Distribution 2
NOTIFICATIONS

Certain offices of the University require notification that Payroll transactions have taken place. These offices are notified the day after transactions take place. For example: the PennCard ID Center finds out which employees have been terminated, so that their access to University buildings via their PennCards can be removed.

This feature is also used as an audit function in certain schools and centers. Those schools who use it, track all transactions to the Payroll System to make sure the decentralized departments are following University guidelines.

HOW TO CREATE A DATABASE RECORD

Appointments of New Employees

The first step is to meet with the new employee to complete forms so you can provide the appropriate data in the on-line Payroll/Personnel system to generate a Minimum Record.

When entering a new employee into the On-Line System, initially the Minimum Record flag will indicate “NO”. You will enter all pertinent information onto 3 screens to create the Payroll record. Once you complete the screens the system turns the indicator to “TX”. The screen will prompt you for missing required fields if you have omitted any.

Appropriate documentation for a new hire must be sent to the Records Office according to procedures established by the responsibility center. This includes the I-9 and W-4 forms and may include the Graduate Student and Post-Doctoral Appointment Information Form, Notice of Appointment, and other documentation. Please be sure all forms are appropriately completed and signed and dated.

The HR Records Office will keep and process the I-9 form and send the W-4 on to the Payroll Office. The Payroll Office uses the information from the W-4 to complete the employee’s record and allow pay transactions to proceed. You will know this step has been completed because the Minimum Record indicator will turn to “OK”. The Minimum Record Flag must indicate “OK” in order for the employee to be paid.

The employee must have one or more active payroll distributions on the 004 screen. The Start and Stop dates on the Distribution Line must be within the appointment period. If the Distribution Start and Stop Dates do not include the dates within the pay period to be paid, the employee will not be paid.

NOTE – There are employees with unsalaried faculty appointments (i.e. Visiting Scholars, Visiting Faculty). Although these employees do not receive pay they must have a record on the database in order to receive an identification card, parking, etc.
Social Security Cards

When you enter information for an employee into the Payroll system, the name and Social Security number you enter must exactly match the Social Security Card.

Many times people say their name and or number are incorrect on the card. The correction must be made to the card before you enter the info into the Payroll system. This can be done either by going to the Social Security Office or completing the form (and sending it to the Social Security Administration) on the following website:

http://www.finance.upenn.edu/comptroller/forms/#Tax

If you have a foreign national who has gone to the Social Security Administration to apply for a new card, but has not yet received a number, you can call the HR Records Department to request a temporary number. When the employee receives the new card, you should make a photocopy of it and write a memo to HR Records to request they update the employee’s record. The memo can be faxed to the Records Department for faster processing.

**Note:** It is illegal to demand the Social Security Card for I-9 purposes, as other documents could meet the requirements. However, for payroll purposes, it is legal.

It is strongly advised by the SSA, to check an employee's Social Security card to make sure that the number and name on the card agrees with that on the payroll records.

The law has been modified to specifically allow employers to take a copy of the card as well, but ONLY for payroll records.

Supporting Documents

Rule #1: Get it in writing! Any offer letter sent to the prospective permanent and temporary employee should be copied to the Business Office of your department.

**Documents Required by the Federal Government**

1. **Affirmative Action Compliance Form**
   - Collects ethnicity data on the applicant pool and the reason the candidate was chosen over other applicants.
   - This form is generally sent to the Business Administrator/Hiring Officer when an HR1/2 is submitted to post an administrative or support staff position.

2. **I-9 Form**
   - The Employment Eligibility Verification is required for every employee hired on or after November 6, 1986 and is used to demonstrate that the employee has permission to work in the United States. This form is required of United States citizens as well as International Appointments.
     - I-9 form requires you sign that you have personally seen the documents used for identification purposes.
• This form is available at the following website:
  http://www.finance.upenn.edu/comptroller/forms/#Tax

3. Visa Form

• Demonstrates permission for International Appointees to enter the United States. There are several different visa classification codes relevant to employment at the University of Pennsylvania.

• The Office of International Programs' website has information concerning applying for a visa:
  http://www.upenn.edu/oip/iss/penn/index.html

4. W-4 Form

• The Income Tax Withholding Form is required of all paid employees of the University.

• International appointees should leave line 6 blank until they see a representative of the Corporate Tax Office.

• This form is available at the following website:
  http://www.finance.upenn.edu/comptroller/forms/#Tax

5. Work Permit Form

• Is required if the individual is 17 years of age or under and is not a high school graduate. If a prospective employee needs a work permit, it is incumbent upon the hiring department to know and adhere to all the requirements stated therein. I.E.: Number of hours per week, time employee is permitted to work by law.

  Note: International Appointees also receive work permits; usually these are stapled to the page in the passport opposite the visa permit.

Forms Required by the University of Pennsylvania

1. HR - 1/2

• A notice of a non-academic vacancy in employment. This form is required to fill a vacant administrative or support staff position. And an authorization for employment action. The HR-1/2 finalizes the hiring procedure by providing the Job Class Code, Grade, Position Number, Salary, and Hire Date.

2. Job Appointment Form

• A work permit issued by the Student Employment for all Federal Work -Study students.
3. **Notice Of Appointment**

- A form required by the Office of International Programs for International Appointments. This form provides authorization for employment.

4. **Statement of Non-Residence in Pennsylvania**

- A form for the use of people not working and/or not living in PA or Philadelphia.

**Other Documents Required for Employees**

1. **Graduate Student And Post-Doctoral Appointment Information Form**

- Used for all graduate students and Post-doctoral appointments. This form indicates how the individual is to be funded. Each time a change is made to the source of income a new form needs to be completed. It is imperative that the PI sign each form indicating his/her awareness of the source of income for the individual. This form should go to the Corporate Tax Office.

   This form is available at the following website:  
   [http://www.finance.upenn.edu/comptroller/forms/#Tax](http://www.finance.upenn.edu/comptroller/forms/#Tax)

**Correcting Errors**

Most times, when an error is made in data entry on the payroll database, you can correct the mistake on your own. However, there are five fields that cannot be changed unless you send a memo to HR Records to request they make the correction. Attached to this memo should be documentation showing proof of the corrected information. These fields are: Social Security Number, Birth Date, Class Entry Date, Job Class Code and Status Date.

**Post-Docs**

Post-Docs are not considered “employees” of the University. As such, the Principle Investigator need only provide a salary and health insurance.

Eligibility for appointment as a postdoctoral fellow requires an advanced degree, Ph.D., M.D., or equivalent. It is the intent of the University that international fellows have advanced degrees that are equivalent to those provided in domestic institutions in order to qualify for appointment as postdoctoral fellows. It is the responsibility of the fellow to provide transcripts certifying that he/she has received his/her degree, and it is the responsibility of the mentor to be sure that this documentation is satisfactory.

All laboratory and clinical personnel, including Post-Docs are required to sign the University's Patent Policy Agreement available at the following website:  
[http://www.finance.upenn.edu/ctt/resources/penn_patent_policy.shtml](http://www.finance.upenn.edu/ctt/resources/penn_patent_policy.shtml)
A check list used by the Medical School is available as a help to determine all the required forms and documents for new Post-Doctoral appointments.

http://www.med.upenn.edu/postdoc/

The Guide for Graduate Student and Post-Doctoral Appointments supplies further information regarding the Job Title and Job Class Code to be used for each Post-Doc.

http://www.finance.upenn.edu/comptroller/forms/#Tax

Some Post-Doctoral stipends may be paid from multiple sources, including Federal Grants. In the majority of cases you will have to create two Job Screens, each with different Job Class Codes, Object Codes, and Job Titles. Using the Guide to Graduate Student and Post-Doctoral Appointments will aid you in determining which codes to use.

Student Employment Office

All Work-Study and Student Worker employees at Penn must be registered as University of Pennsylvania students.

Work Study Positions

You can contact the Student Employment Office to request a packet create a new position.

Once all forms are completed, signed and returned to SEO, the job will be created with a Job Class Code, an Hourly Rate, a Job Title and a Project Number.

How students acquire a position:
Students may only hold one Work-Study Position at a time.

The students apply directly to the supervisor to fill a position.

Once hired, the primary or alternate supervisor fills out Part II of the On-Campus Job Appointment Form. The student should take the form to the Business Administrator to sign and emboss Part III. The BA must put the student's information into the Payroll System in order for the student to be paid.

Note: Currently students are paid 35% by the department and 65% by the Federal Work-Study Program. When creating a distribution screen for a Work-Study student the Distribution Line should contain the 26 digit Account Number and the Percent Field should be 100%. The Payroll System will read the Work-Study Job Class Code and the 5139 Work-Study Object Code and “know” that only 35% of the pay is to be removed from the account you enter.

*Also note: The BA has the responsibility to check the terms of each federal grant to see if there are restrictions against paying for Work-Study students.

Once hired, while classes are in session students may not work greater than 20 hours per week. Their primary responsibility is their academic achievement and work cannot be a priority for them. During those weeks when classes are in recess (Fall, Spring Breaks and Winter Break) students may work up to 40 hours. During Summer Break, students who remain in a working capacity at the University are classified as Work-Study or Student Workers and may work up to
40 hours per week. While students are in class, whether they hold Work-Study Positions or are classified as Student Workers, they are exempt from paying FICA/Medicare. Their status can remain unchanged at Penn as long as the time between class sessions remains five weeks or less.

**Note**: Student workers classified as Ern Type SW1 (Student Worker 1) in the winter and spring semesters are flipped automatically to SW2 (Student Worker 2) for summer by Payroll. This causes FICA and Medicare to be taken from checks.

**Student Workers**

In most cases, the Student Workers should be treated in the same way as Work-Study Students, with the exception that the government is not contributing 65% of Student Workers’ hourly rate.

**Note**: Students can hold only one Work-Study job at any given time. However, Student Workers may hold up to four jobs simultaneously. A student can hold a Job 1 Work-Study position and up to three Student Worker positions at the same time. In this case, the Work-Study job will always be Job 1.

**The maximum number of hours any student should work during weeks classes are attended is 20.**

Anyone holding a Work-Study or Student Worker position must be a Penn student.

Departments desiring to hire a student that already holds another position at the University, should contact the home department to verify and coordinate the student's time and hours. Home departments reserve the right to refuse to release the student worker to work extra hours in another University department.

The usual codes used for student employees are as follows:

- **Student Worker – in class – Ern Type: SW1, Object Code 5134/5135, Job Class Code: 599070**
- **Student Worker – not in class – Ern Type: SW2, Object Code: 5134/5135, Job Class Code: 599071**
- **Work-Study Student - Ern Type: WSR, Object Code: 5139, Job Class Code: begins with 5153xx**

If a supervisor wants to pay a Work-Study student more than the assigned hourly rate for a given job, the amount over the hourly rate is entered into a second job as a Student Worker with an ErnType of SUP, for Supplement. This Ern Type allows you to pay an hourly rate less than minimum wage.

**E.g.: Job 1: WSR – 5139 – 515315 - $6.05/hour**

**Job 2: SW1 – 5134 – 599070 - $0.35/hour**

This scenario will allow the student to be paid $6.40/hour for a given job.

**Temporary Employees**
Departments at times hire temporary help to cover for regular employees away on paid time off or to supplement the staff for short periods of time. Temporary Extra Workers may work up to 999 hours in a given year.

The usual codes used for weekly temporary employees are as follows:
Ern Type: REG, Object Code 5134/5135, Job Class Code: 599050

The usual codes used for weekly occasional employees are as follows:
Ern Type: REG, Object Code 5134/5135, Job Class Code: 855100

Note: The only difference between an occasional worker and a temporary extra worker is the consistency of time they work. An occasional worker tends to work inconsistently throughout the year as departments require their services. Temporary Extra Workers tend to work consistently for a more significant period of time (up to 999 hours).

The usual codes used for monthly temporary employees are as follows:
Ern Type: RMO, Object Code 5130/5132, Job Class Code: 399050

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**Faculty, Appointments, Promotions and Terminations**

Each school has somewhat different processes and terms for changes to faculty. You are encouraged, if this is a part of your job, to learn the school-specific terms and procedures in order to take care of your faculty appointments.

You should become familiar with all of the faculty titles as they are listed in the Faculty Handbook, available on-line at the following website:

http://www.upenn.edu/assoc-provost/handbook/

**Changes to Current Faculty**

All changes (except Distribution Line) to a faculty record (sabbaticals, re-appointments and terminations) should be approved via Provost Staff Conference (PSC) minutes.

When entering the return date for a Leave of Absence (LOA) – Sabbatical, the date should be the month and year the faculty expects to return – not the date of the last month of leave. For example, if Professor Brown is taking sabbatical from 07/00 through 06/01, the LOA should be “07/01”. The month Dr. Brown returns to Penn.

All terminations also have to be approved by the PSC.
**Cleaning up Old Appointments**

On an annual basis be sure to terminate/delete old appointments. All expired primary appointments should be terminated; all expired secondary appointments should be deleted.

Be sure to open the lines of communication between the departments of primary and secondary appointments. Changes to appointments should be exchanged between appointing departments.

If a faculty position does not require a Distribution Line, be sure the Salary field is set to zeros.

**Special Forms – Faculty**

All faculty are required to sign the patent policy and the Conflict of Interest Statement available on the following website:

http://www.upenn.edu/VPR/COI2.html

The Statement of Potential Conflict of Interest is found in Appendix 2 on this website. The University of Penn Memorandum of Understanding for the Management of Potential Conflict of Interest is found in Appendix 4 on the website.

The Patent Policy is available in the Research Investigator's Handbook available from Research Services or at the following website:

http://www.upenn.edu/researchservices/rih/intro.html

**Terminations**

All employees, faculty and students who will be terminated from the Payroll system should submit a Letter of Resignation. In cases where this is not possible, a letter from the supervisor is required stating the date of termination.

Due to the necessary forwarding information required for the University, Letters of Resignation should state the following:

- Date resignation is effective,
- Forwarding home address and phone number,
- Forwarding employment address and phone number (if available),
- Reason for resignation/type of employment to which the employee is going.
Rehires

Always check with HR Department first before rehiring a former employee. There are some termination codes which should only be updated by the HR Records department, for example: Retired personnel who return on a part-time basis.

If any employee was terminated for cause (code is in the 2x series) a phone call must be made to HR Records to verify permission to rehire.

Record Retention

- HR Policy # 201.8 states that all Payroll records should be retained for 7 years.
- All faculty records should be retained forever.
- If space is a problem in your department, records may be stored off-site (University Archives) until the 7 year date has been attained.
- All records containing confidential information should be destroyed.

Position Inventory Numbers

Position Inventory Numbers are assigned to all administrative and support staff positions. They are unique to the Job Class Code and ORG.

The use of Position Inventory numbers in the Payroll/Personnel System has brought some matters of concern to our attention. When a current Penn employee transfers positions internal or external to a department, we suggest the following be taken into consideration. All new Position Inventory numbers will begin on the first day of the month in which the transfer or reclassification will begin. This will permit the payroll administrator of the new position to properly compensate the new position in a timely manner.

(In all examples below when dates are given, the year assumed is 2000.)

Reclassifications

The supervisor or principle investigator may request reclassification of an employee. Requests for reclassification and all appropriate forms need to be sent to HR for their approval of any reclassifications of Type 1 Administrative and Technical/Professional employees and all Type 2 employees in your department. You will be contacted by an HR Compensation Specialist to discuss effective dates and salary. You will receive a letter from the HR Compensation Office stating the effective dates of the reclassification, the new Salary, Job Class Code, Position Inventory Number, etc. Once you receive this letter you can update the employee's on-line record.
See the Faculty Handbook for re-appointing or promoting faculty and Research Associates.

Refer to the Guide to Graduate Student and Post-Doctoral Appointments for reclassifications of Type 4 and 8 employees and (Type 9) Post-Doctoral appointees.

The Business Administrator has authority to approve any (non-union) Type 3 and type 5 appointments, excluding Work-Study students. Work-Study reclassifications must be approved by the Student Employment Office.

**Transferring Employees between Departments/ Positions**

**Transfers In**

You will have to contact the Business Office of the ORG who currently holds the record and supply your ORG number, your Mail Code and the Name and/or Social Security Number of the employee you want transferred. Once the record has been transferred to your ORG you update the 003, 004, and 005 screens.

**Transfers Out**

You will need to enter the 010 Home ORG Transfer Screen. DO NOT TERMINATE THE EMPLOYEE if the record is currently Active. You will be taken to three screens in order to complete this transaction. A Letter of Resignation should be submitted by the transferring employee.

*Note:* If you are the Home ORG, you can transfer all records within your ORG, EVEN IF THEY ARE TERMINATED.

**Transfer from a weekly to a weekly position**

When a person transfers from one weekly position to another, it is preferred the new position begin on the first day of a new pay cycle; however, the physical record transfer should occur the day after a pay cycle is completed.

For example, Margaret Wulfe is a 525620 - ADMIN ASST A in History and is transferring to a 420065 - TECH RESEARCH LAB B in Chemistry. She can start her new position in Chemistry on any Monday, however, her record should be transferred the next day, Tuesday, so that she will receive her final pay from History.

**Transfer from a monthly to a monthly position**

When a person transfers from one monthly position to another, it is preferred the transfer happen on the first day of the month.

For example, Albert Hankowski is a 130200 - MANAGER C in the Comptroller Office and is transferring to become a 345349 - MGING EDITOR, COMPASS. It is preferred he transfer on the first day of any given month.
However, if Albert should transfer in the middle of the month, the following should take place:

- The transferring department (the Comptroller Office) leaves the distribution line on the 004 screen, but changes the Start Date to the first day of the current month and the Stop Date to the last day worked in the department.*

- The receiving department (Compass) changes the Class Entry Date and Begin Date to be the first of the month in the new job, and updates the new Position Inventory Number.*

- The new department also adds a Line 2 of distribution with a Start Date of the first day in the new job and a Stop Date of the end of the Fiscal Year (or Project Year).*

- After the first monthly payroll has run in the new job, the Line 1 of Distribution should be overwritten with the information from Line 2 and Line 2 should be cleared.

For all internal transfers of University monthly employees, every day of the month should be accounted for between the various distribution lines, so that the employee will be fully compensated for the month. Therefore, the transferring department may use a Sunday Stop Date on the Line 1 of distribution.

**Example:**

Jaime Rosas a 130085 - ASSISTANT MANAGER B in GSE is transferring to a 130390 - BUS ADMINISTRATOR B in Biology on the 16th of the month.

GSE should do an 010 Home ORG Transfer, changing his distribution Line 1 to have a Start Date of the first of the month and a Stop Date of the 15th.

Biology should add a Line 2 of distribution with a Start Date of the 16th and a Stop Date of the end of the Fiscal Year (06/30). The Begin Date and the Class Entry Date, entered by Biology, should be the 1st of the month.

After monthly payroll is run, Biology should do an 019 Distribution Update, and overwrite Line 1 with the information from Line 2 (wipe out the information with GSE’s COA) and clear the information from Line 2.

**Transfer from a monthly to a weekly position**

In an effort to correctly pay employees who transfer from a monthly to a weekly paid position or department, the following is suggested:

1. Whenever possible, begin a new job on the first of a month.

2. If not on the first of the month, an employee should move from a monthly to a weekly position on any day between the Monday directly preceding the monthly payroll run and the first day of the next month, and the following should occur:
a. the monthly distribution line must be updated with the correct Stop Date
   before monthly payroll is run

b. the job must not be transferred and updated until the Monday after the
   monthly payroll is run

**Example:**

Jennifer Abraham, a 355060 - SUPV ACCOUNTNG OPERATION in the Economics
Department will transfer to a 525379 - OFFC ADMNST ASST B in the Psychology
Department to begin on March 1, 2000.

The monthly distribution should be updated by the Economics Department to show a
stop date of February 29th. The employee will receive a final monthly paycheck in
the Economics Department in February if the start date in the new job is March 1st.
The employee will receive the first weekly paycheck in the Psychology Department
on March 10th if the start date is March 1st.

However, if the transfer takes place on or after March 20 (the Monday before March
monthly payroll is run) up until the 1st of April, the monthly distribution should be
updated by the Economics Department to show a correct stop date.

The Economics Department should not transfer the record to the History Department
before March 20th. The Psychology Department should update the record to reflect
the new pay distribution.

The employee will receive a final monthly paycheck in the Economics Department in
March if the Start Date in the new job is March 20th or later. The employee will
receive the first weekly paycheck in the Psychology Department on March 31st if the
Start Date is in the week beginning March 20th.

**Transfer from a weekly to a monthly position**

When an employee is going to transfer from a weekly to a monthly position, it is
best if the transfer occurs between the first of the month and the Friday before
monthly payroll is run. If the transfer does not occur by the Friday prior to the
monthly payroll run, it should not occur until the 1st of the next month.

While the person can physically begin a new job between the first of the month
and the Friday before monthly payroll is run, in order for an employee to receive
all prior weekly paychecks, the record should not be transferred and updated
before the following Tuesday. All weekly payroll activities must occur before the
transfer takes place.

**Example:**

Douglas Kelly, a 525379 - OFFC ADMNST ASST B, works in the LRSM. He will
transfer to a new position as a 365108 - TRAINING SPECIALIST SR in the
Financial Training Department in May. This changes his pay status from weekly
paid to monthly paid.

The best day to transfer his record is for him to start the new position on
Monday, May 1. His record should be transferred on or soon after May 2nd, in
order for him to receive his last paycheck as a weekly paid employee for week ending April 30th.

However, in order for him to receive a monthly paycheck and all of his weekly paychecks, he can start the new position anytime up to and including May 12.

If Douglas’s last day in LRSM is May 12th, and his first day in Financial Training is May 15th, his record should be transferred on Tuesday, May 16th, the day after the last weekly payroll is run for which he will receive pay.

After May 15th, the next available time for Douglas to transfer from LRSM to Financial Training is June 1st.

**Vacation at Separation**

When an employee terminates employment at the University, he/she is entitled to receive payment for accrued and unused vacation time. The payout must be calculated and paid via an Additional Pay Form.

For regular monthly paid employees of the University, calculate as follows:

\[
\text{Monthly Rate / 22 days} \times \#\text{days accrued}
\]

I.E.: $3,000.00 / 22 = $136.363

$136.363 \times 15 = $2,045.454

To calculate for Part-Time Monthly Employees, vacation is proportional to the percentage time worked in comparison to the job if it was a full-time job.

**Example:**

- Work week = 4 hours/day
- FT equivalent = 7 hours/day
- Employee works 57% of FT equivalent
- Employee can accrue up 24 (4 hour) days = 96 hours vs. 168 hours for FT employee
- Full-time salary = $20,000
- Part-time (@ 57%) = $11,400

Now use same formula as FT:

\[
\text{Annual salary / 12 = Monthly Salary}
\]

\[
\text{Monthly Salary / 22 = daily rate}
\]

\[
\text{Daily Rate} \times \#\text{days accrued}
\]

$11,400 / 12 = $950; $950 / 22 = $43.181

Daily Rate for this employee = $43.181
For regular weekly paid employees of the University, the number of vacation days are calculated automatically by the Payroll System. This calculation is as follows:

\[
\text{Weekly Rate} / 5 \text{ days} = \text{Daily Rate} \\
\text{Daily Rate} \times \# \text{days accrued} = \text{Amount Due}
\]

To calculate for Part-time Weekly Employees, the number of vacation days are calculated automatically by the Payroll System:

\[
\text{Weekly Rate} / 5 \text{ days} = \text{Daily Rate} \\
\text{Daily Rate} \times \# \text{days accrued} = \text{Amount Due}
\]

**Vacation Separation Pay - Additional Pay Forms**

- Please include the date of termination in the justification.
- VCT is paid the pay cycle after the employee terminates in most cases.
- VCT is paid in the last check for employees who are PDST’ed.
- For those employees who request it, VCT for PDST’ed employees can be paid at the beginning of their layoff, rather than waiting until the last pay.
- Send the APF form, with the PDST date in the justification, to HR Staff Relations.

**Getting Paid at Penn**

**Paycheck**

The Paycheck is a negotiable document that the employee must bring to the bank to cash or deposit.

Paychecks are distributed by the employee’s Home ORG.

**Advice**

The Advice is a non-negotiable document which advises the employee of the amount of their pay that has been direct deposited to the financial institution of their choice.

New employees will be paid by check until arrangements are made for direct deposit. To have funds direct deposited, the employee must authorize the transaction by signing a Direct Deposit Authorization Form.

*Note:* At the current time, funds from Penn Paychecks can only be deposited to one account in one bank at a time, with the exception that money can be put into Penn's employee credit union (as a payroll deduction) and direct deposited into another financial institution's account.
Check Delivery

Departments should, immediately upon receipt of a check, make an attempt to contact the recipient, using information from the Payroll System if necessary, such as home phone and emergency phone numbers, or by sending mail notice.

After thirty days return the check to Payroll with a memo stating what attempts have been taken to contact the employee, including dates.

Distribution of Pay - checks vs. advices

Many departments require a signature for an actual paycheck, advices may be put into departmental mailboxes.

Paychecks and advices should never be put into a drawer for anyone to have access to the pile - they should be distributed in a central location known to all employees, and generally the same person each pay period is responsible for their distribution. If checks are not picked up in a timely manner, they should be returned to the Payroll Office. (Timely = one month.)

How to Gain Access to Payroll

Access to the Payroll System requires training and departmental and school level authorization before access is granted.

The form is available on the website for those current users who need to make a change to their access.

http://www.finance.upenn.edu/comptroller/forms/#Payroll

*Note: Notice the statement of confidentiality on the form - the University takes this as a very serious responsibility that stewards of the payroll and personnel records maintain the correct posture with regard to the information available to them.

Security

Access to the Payroll/Personnel system is provided through a UMIS Logon Identification Number (Logon ID). When signing-on to the system, the Logon ID identifies who you are and what type of view/update access you have. All updates to the system are tracked with the Logon ID to indicate what changes were made, when and by whom.

To apply for a Logon ID, you must be trained in the 5-day Payroll/Personnel course. A Logon ID Request Form must be filled out and signed by you, your Department BA, your School/Center Representative, Human Resources and Payroll.

This form should be returned to your Payroll trainer by the end of your attendance in the course. Your signature on this form indicates that you acknowledge the sensitive nature of the information in the Payroll/Personnel System and that you accept the responsibility for keeping the information confidential.
Maintaining confidentiality includes the protection of your Logon ID and password. The Logon ID is assigned to you for your use only. This number should not be shared with anyone. Sharing your Logon ID means that you share your access and accept responsibility for anything that may be viewed/updated in the system under your ID.

**How to Protect Logon ID and Password**

The system will prompt you to change your password every 30 days. Select a password that would not be easy to figure out. For example: use a combination of letters and numbers, like your favorite car or your childhood phone number. Refrain from using your husband’s name, your children's names, your boyfriend's name, your pet's names, or any initials of those close to you.

If it is easy to guess your password, it will be easy to use your account to again access to the system.

Do not post your Logon ID and Password on the side of your computer, on a bulletin board, or on the inside of your top drawer.

Refrain from announcing what your Logon ID and Password are in an open office.

**Responsibility for Subordinates** - If there are other Payroll/Personnel System users in your department:

Make sure that each user of the system has her/his own Logon ID.

When a staff member transfer/terminates, send a form to Josephine Mercer, UMIS Customer Service (after acquiring School/Center signatures) to have the account suspended. This will prevent use of the Logon ID after the staff member has left.

**Stewardship Issues**

The Office of Audit and Compliance has established a confidential reporting line for compliance issues.

If you have questions or concerns regarding any compliance issue, including, but not limited to, fraud, abuse or wrongdoing, call the Hotline number: **1-888-Ben-Tips**

Your call is confidential and reprisal-free. Your name is not required and your questions are welcome.

The Office of Audit and Compliance will receive your report and take appropriate action as required.

You have an affirmative duty to report suspected violations of the law and violations of policies and standards set by the University of Pennsylvania.
Med School Specific Item: Greensheets

The School of Medicine Office of Financial Services (SMOFS) requires the use of Greensheets for audit purposes of Payroll transactions performed in that school. Any questions regarding these sheets may be directed to 573-4148.