

UNIVERSITY *of* PENNSYLVANIA

PennWorks/Payroll/ Personnel User Guide

Overview

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Introduction

Welcome to the PennWorks/Payroll/Personnel User Guide! This manual is separated into five sections:

- Section 1 - Overview
- Section 2 - PennWorks
- Section 3 - Time Reporting
- Section 4 - Salary Management and Payroll Reallocations
- Section 5 - Clinical Practices of the University of Pennsylvania (CPUP)

The "**Overview Section**" contains links to various departments and offices for which there is a need to communicate information relevant to use of the PennWorks/Payroll/Personnel System. It also gives an overview description of the kinds of people that are contained in the PennWorks 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.

The "**PennWorks**" section takes you through each screen with an explanation of the information revealed on the screens as well as a link for where to go for detailed 'how to' instructions.

The "**On-Line Time Reporting**" section explains the use of and the information required on each of the Data Entry and Update Screens and explains the use of the Time Reporting Screens for positive and exceptions employees, as well as reporting Late Pay or Reduction in Pay for monthly employees.

The "**Salary Management and Payroll Reallocations**" section describes the Salary Management System and explain how to perform a payroll reallocation.

The "**Clinical Practices of the University of Pennsylvania (CPUP)**" section describes the steps and the basic documentation necessary in order for a faculty members, with a CPUP appointment, to be entered into the PennWorks/Payroll/Personnel System.

Need Help?

Dial 6-HELP (6-4357 or 215/746-4357)

- Enter your two-digit School or Center code
- 6-Help is available 9:00 a.m. to 5 p.m. Monday through Friday

Logon Access Forms

Access to the PennWorks/Payroll/Personnel 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/forms/ISC_Access/Admin%20MF%20Account%20V2.pdf

☞ 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.

These forms should be processed promptly to ensure system access following training. **If a form has not been processed within 60 days or more of attending a training course, you will be required to repeat the course to obtain access.**

Overview: Penn's Structure for PennWorks/Payroll/Personnel

The following section contains links to various departments and offices for which there is a need to communicate information relevant to use of PennWorks. It also gives an overview description of the kinds of information and people that are contained in PennWorks. 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.

Exempt vs. Non-Exempt Employees

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.

<https://www.hr.upenn.edu/myhr/resources/policy/compensation/pay-practices>

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 – 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 a 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/tax/appointments.shtml>
- 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 – 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 than 20 hours per week.

Exception vs. Positive Pay

The employee type drives the way each employee is paid, either on an Exception Pay or Positive Pay basis.

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 (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 (e.g. SCK) or paid time off (e.g. VAC, HOL) days into the 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 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.

Please keep in mind:

- Always ask for instructions (offer letter, changes to information, etc.) in writing.
- All forms must be legible, and all forms must be complete with all signatures and necessary documentation, or they will be returned to you.
- All forms should be received in Payroll according to the Payroll deadlines
 - Please use 898-6301 when calling the Payroll Office
 - Please use payroll@exchange.upenn.edu when emailing the Payroll Office

Receiving Your Pay at Penn

You now have the option of receiving your pay in one of two ways:

Direct Deposit or the new ADP Aline Card system.

Direct Deposit

Your pay is automatically deposited into your personal U.S. bank account. Below is more information, including how to sign up.

Employees can enroll for direct deposit via the on-line direct deposit feature now available at the U@Penn portal http://medley.isc-seo.upenn.edu/penn_portal/u@penn.phps a quick and easy option that automatically deposits pay into a personal U.S. bank account every payday.

Allow for 2-3 weeks for new accounts or new banks to take effect. Employees who newly elect Direct Deposit or change their existing banking information will be paid via TotalPay® Card until their new Direct Deposit accounts become active.

The 2-3 week time period refers to the amount of time between the day you update your direct deposit through the day payroll is processed.

Employees should always stop Direct Deposit BEFORE closing an account at the bank!

**NOTE: Several of our employees now bank with Internet banks. It is imperative that all employees provide proof (from the bank) of correct routing numbers and account numbers for the account to which they want their paycheck deposited. The proof should be a voided blank check for deposit into a checking account from the bank to which the funds will be transferred, or a pre-printed savings account deposit slip from the correct bank, if the money is to be deposited into a savings account.*

In these times when banks are merging branches on a regular basis; it is absolutely imperative that every employee who participates in the direct deposit program open and examine their advices every pay period. Please check to ensure the correct amount of money went to the correct account in the correct bank.

Please notify all employees in your ORG that they should check this every time they receive an advice.

or

The ADP Aline Card System

Your pay is automatically loaded onto a Visa® debit card. If you're being paid by the University for the first time, you will automatically receive a Aline Card. However, you can sign up for Direct Deposit at any time.

Both methods are safe, secure and convenient, offering you immediate access to your pay. See the FAQs below to help you decide between Direct Deposit or the ADP Aline Card

If you are a Penn Student, please read about these options on the [Student Financial Services website](#)

Starting in June 2011, all pay and reimbursements will either be made via Direct Deposit or the ADP Aline Card system. If you didn't enroll in Direct Deposit by June 5th, 2011, you automatically received a Aline Card. If you were hired after June 5th, 2011, you will automatically receive a Aline Card. However, you can sign up for Direct Deposit at any time.

Pay Cycles

The University has two pay cycles: the Monthly Pay cycle and the Weekly Pay cycle.

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 $(14/22) \times$ monthly salary.

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

Exempt employees are automatically paid by PennWorks 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 PennWorks based on the information that has been entered into the database. For positive employees time must be entered in Time Reporting 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.

Payroll Closing Schedule

For a complete list of Payroll cutoff dates, go to the following website:

<http://www.finance.upenn.edu/comptroller/accounting/closingsch/payroll/>

CNAC and ORG Structures

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

Penn adopted Responsibility Center Management as our management model in 1974. Under this model, all Schools (Medicine, Wharton, Engineering, etc) and Centers (VP Finance, Business Services, Facilities, etc. are responsible for managing their direct revenue and expense.

CNAC Center/Net Asset Class: the first two positions of CNAC identify the Responsibility School/Center

ORG Organizational Unit: roughly equivalent to department; an organizational unit can be affiliated with one and only one Responsibility Center.

For example:	CNAC <u>070</u> Wharton	CNAC <u>870</u> VP Finance
	ORG <u>0705</u> Accounting	ORG <u>8704</u> Bursar
	ORG <u>0749</u> Dean's Office	ORG <u>8720</u> Comptroller
	ORG <u>0706</u> Management	ORG <u>8710</u> Insurance

Home ORG & Role ORG

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

The second ORG to which an employee is assigned is the Role ORG. This ORG is responsible for maintaining data associated with a particular Role (i.e. Job Class, etc.). The Role ORG can view and update only its own Role.

More about Roles and Role ORG

- **Role** details a person's appointment for a specified timeframe
- **Role** captures the relevant details for all types of personnel relationships, including administrative/professional, faculty, student, support and temporary staff, unionized staff, and non-employees
- **Role Description** is the explanation of a specific Job Class Code when there is a one-to-one correspondence of Role to Job Class Code
 - Some faculty job class codes can have multiple role descriptions
 - For example Job Class Code 140010 - FACULTY ADMIN APPTMT (A-1) can have the following role descriptions:
 - Department Chair, Director of a Center/Institute, Graduate Group Chair, Lab Director
 - In this case, a Role with Job Class 140010 is created for each of the Role Descriptions

- A person can have more **Roles** than the four job (4) limit allowed in PennWorks
- A Role can have more distributions than the eight (8) distribution limit per job in PennWorks
- PennWorks background logic will determine how **Roles** and **Distributions** are recorded on the PennWorks System to accommodate its 4 job and 32 distribution limits
- See the PennWorks Glossary for detailed information on Roles and other PennWorks terms and definitions http://www.finance.upenn.edu/ftd/documentation/PennWorks_Glossary.pdf

Key Features of Roles

- Records are now locked by default so Home Organizations can prevent non-Home payroll ORGs from adding new Roles
- Unpaid Roles may be added if the department so desires
- Roles can be 'disabled' as roles change, these historical Roles can be viewed as well in the Data Warehouse
- A Role can be created for each specific type of faculty-held administrative position
- Faculty Administrative Roles can be designated as 'Interim'
- Certain faculty roles have a free-text title for a Role
- All full-time faculty should have one role that is their main academic job as approved by the Provost Staff Conference or PSCS
- All CPUP providers must have a role called 'CPUP Clinical Position'
- Faculty may have secondary academic roles and administrative roles that may be paid or unpaid in addition to staff roles

Types of Faculty Roles

- Main Academic Role for full-time faculty
 - e.g. Professor A
- Secondary Academic Roles
 - e.g. Professor B
- Staff Roles
 - e.g. Health System Clinician
- CPUP Clinical Position
- SOM users should refer to SOM Guidelines for Faculty Records
 - <http://www.med.upenn.edu/policy/fin.shtml>
- Faculty Administrative Appointments
- Faculty Admin Appt (A-1) and CPUP Admin
- 'Seasonal' Roles
 - e.g. Summer Research, Summer Teaching, Evening Teaching

Important!

- For faculty with administrative appointments, create a **separate Role** for each appointment, listing the Role description (e.g. Grad Group Chair) and the salary and distributions, if any, for that specific appointment
- **Do not** lump the administrative pay within another role

Appointment of New Employees

New Employees

The first step is to meet with the new employee to complete forms so you can provide the appropriate data in PennWorks to generate a Minimum Record.

When entering a new employee into PennWorks, initially the **Minimum Record** flag will indicate “**TX**”. In addition, the screens will prompt you for any missing required fields.

Appropriate **documentation** for a new hire must be delivered to the **HR Records Office** according to procedures established by the University and/or your School/Center. This includes the I-9, Employment Eligibility Verification (<https://www.hr.upenn.edu/myhr/resources/forms/recruitment#hiring>) and W-4, Employee’s Withholding Allowance Certificate (<http://www.irs.gov/pub/irs-pdf/fw4.pdf>) forms and may include the Graduate Student and Post-Doctoral Appointment Information Form (<http://www.finance.upenn.edu/forms/apptform.pdf>), Notice of Appointment, and other documentation. *Please be sure all forms are appropriately completed, signed and dated.*

The **HR Records Office** will review 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 now be “**OK**”.

The Minimum Record Flag must indicate “OK” in order for the employee to be paid.

In order for an employee to be paid, the employee must have one or more active payroll distributions. 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.**

Social Security Cards

When you enter information for an employee into PennWorks, the **name and Social Security Number (SSN) 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 PennWorks. 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/forms/ss-5.pdf>

For an individual who has applied for a SSN, their receipt of application can be used to request a Temporary Number. Fax a copy of this ‘receipt’ to HR Records. HR will provide a temporary number that can be used in place of the SSN.

Supporting Documents

One or more of the following supporting documents may be necessary for an employee to be entered into PennWorks. The documents are divided into two categories according to who requires them: the Federal Government or the University of Pennsylvania.

Forms Required by the Federal Government

Staff Affirmative Action Compliance Form

- The Hiring Officer completes ethnicity data from the applicants interviewed and the reason the candidates were not chosen over the recommended applicant.
- This blank form is generally sent to the Business Administrator/Hiring Officer when a Request for Employment Form (HR1/2) is submitted to post an administrative or support staff position.
This form must be completed and approved prior to extending an offer to an applicant.

Once an offer has been extended to and accepted by the applicant, the following forms are to be completed:

Voluntary Self-Identification Form

- Penn faculty and staff are invited to identify their disability and/or covered veteran status to the Office of Affirmative Action and Equal Opportunity Programs.
Completion of this form is voluntary by the employee.

Race/Ethnicity Voluntary Self Identification Form

- Penn faculty and staff are invited to identify their ethnicity to the Office of Affirmative Action and Equal Opportunity Programs.

I-9 Employment Eligibility Verification

- All U.S. employers must complete an on-line Form I-9 for each individual they hire for employment in the United States. This includes citizens and noncitizens. On the form, the employer must examine the employment eligibility and identity document(s) an employee presents to determine whether the document(s) reasonably appear to be genuine and relate to the individual and record the document information on the Form I-9. The list of acceptable documents can be found on the last page of the form.
- This form is available at the following websites:

<https://www.hr.upenn.edu/myhr/resources/forms/recruitment#new>

VISA

- When you are hiring your preferred candidate, review the employment application to ensure your applicant has the authorization to work in the United States. This information can be found on the first page of the employment application. Your preferred candidate may hold an employment visa if he/she is not a U.S. citizen. The websites below have a listing of the types of visas you may encounter and what you need to make sure the candidate is eligible for hire. **IMPORTANT:** Always contact the Office of International Student and Scholar Services if you hiring a worker on a visa.

<http://global.upenn.edu/iss>

W-4 Employee's Withholding Allowance Certificate

- This form is required of all employees of the University.
Important!! Be sure the W-4 form is completed accurately by the employee.
- **This could delay the employee achieving Minimum Record 'OK'.**

This form is available at the following website:

<http://www.irs.gov/pub/irs-pdf/fw4.pdf>

Promise of Employment (a.k.a. Work Permit or Working Papers)

- Is required if an individual to be hired is 16 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, etc. See the Human Resources Policy below:

<https://www.hr.upenn.edu/myhr/resources/policy/recruitment/employment-of-minors>

Forms Required by the University of Pennsylvania

*☞ This is **NOT** a comprehensive list of all forms required of all employees.*

Offer Letter

- An offer letter that is sent to the employee must also be sent to HR Records. There are a variety of offer letter templates that are used depending on the role/position for which you are hiring.

Human Resources Sample Offer Letters

<https://www.hr.upenn.edu/myhr/resources/forms/recruitment#offer>

Medical School Sample Offer Letters

http://www.med.upenn.edu/apps/fapd/index.php/collection/id_11

HR –1/2 Request for Employment Form

- This form is 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 Inventory Number, Salary, and Hire Date.

Job Appointment Form

- A student may not begin working until the Job Appointment Form (JAF) is presented to the supervisor and department business administrator. For additional information go to:

<http://www.sfs.upenn.edu/seo/>

Notice of Appointment

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

Employee's Statement of Non-Residence in Pennsylvania

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

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/forms/apptform.pdf>

Let's Review!

To establish the minimum record for staff members, the following must be forwarded to HR/Records:

- Signed offer letter
- A completed W-4 form
- An I-9 form (required by the Immigration Control Act of 1986), along with photocopies of the documents used for verification in section 2
- If a non-US citizen, appropriate visa information

Please use a sealed confidential envelope when sending these documents. While a signed copy of the offer letter may be maintained locally within the department/school/center, copies of the W-4 and I-9 should not be maintained locally.

If you have questions or concerns regarding the W-4 or I-9 forms, please contact your department's Business Administrator or HR/Records at 215-898-7288.

Central Support Offices

Office of Human Resources

The Human Resources website has full details on hiring exempt and non-exempt (administrative and support staff) employees at the University of Pennsylvania.

<https://www.hr.upenn.edu/>

Performance and Staff Development Plans

These evaluation forms are required for each employee on an annual basis. They are used in determining the annual merit salary increases.

The forms can be found on the HR Staff and Labor Relations website:

<https://www.hr.upenn.edu/myhr/resources/forms/staffandlabor#performance>

Salary Increase Program (formerly known as SALINC)

The University of Pennsylvania's merit increase program is designed to recognize and reward the valuable contributions of faculty and staff to the University's commitment to the highest levels of excellence in teaching, research, and administration by paying market competitive salaries in a fiscally responsible manner. The Salary Increase Program is incorporated into PennWorks. University Schools and Centers use either PennWorks Role Export for salary planning or the web-based program PennWorks Modeling.

Access

School or Center Senior Business Administrators review a listing of users in their organizations who have current access to the Salary Increase function in PennWorks. They are instructed to submit a Salary Increase Program Logon Access Form for any new users or existing users requiring a new function(s). Each of these individuals then receives a separate e-mail instructing them of the appropriate training required in order to be granted access. On-line training is offered annually approximately mid- April to mid-May.

Tax and International Operations Office

When hiring or staff members who are not from the United States i.e. Foreign Nationals, the Tax and International Operations Office provides the information required to process an individual into PennWorks.

Payroll Tax

<http://www.finance.upenn.edu/comptroller/payroll/taxinfo/>

Required Forms for Nonresident Aliens (Foreign Nationals)

<http://www.finance.upenn.edu/comptroller/tax/foreignforms.shtml>

Tax Honorarium Payment Matrix to US Citizens and Foreign Nationals

http://www.finance.upenn.edu/comptroller/tax/honorarium_matrix1.shtml

Guide to Graduate Student Appointments

<http://www.finance.upenn.edu/comptroller/tax/appointments.shtml>

Guide to Post-Doctoral Appointments

http://www.finance.upenn.edu/comptroller/tax/post_doctoral_appointments.shtml

Office of International Programs

Guidelines for Hiring International Scholars: Faculty, Researchers, Staff and Students

https://global.upenn.edu/iss/scholar_dept

The University of Pennsylvania hosts foreign nationals in many of the following categories. These guidelines have been developed to assist the Penn hiring departments in determining which immigration status is most appropriate and advantageous.

Points to consider include:

- whether the person is to receive compensation of any sort from the University
- the length of stay
- the future plans of both the individual and the hiring department

For more details, refer to the individual section of the ISSS website or contact ISSS.

The following are the nonimmigrant classifications used by foreign nationals at Penn:

- [B-1 Visitor for Business or B-2 Visitor for Pleasure \(Tourist\)](#)
 - Not for employment of any kind
 - B-1 Visitors may be [reimbursed for travel expenses](#). B-2 Visitors may receive reimbursements for travel expenses only if incidental honorarium
 - If certain conditions are met, may receive an [honorarium](#)
 - Visa must be obtained from US Consulate abroad (except for Canadian citizens) to enter US
 - Letter of invitation may be helpful in obtaining visa and/or explaining purpose of trip
 - May enter the US for short periods of time (usually less than three to six months)
 - Should have a nonrefundable round trip ticket
 - Should have documentation of funds to support expenses
- [WB Visa Waiver Visitor for Business or WT Visa Waiver for Pleasure \(Tourist\)](#)
 - Same as for B-1/ B-2, except:
 - May enter US for a maximum of 90 days without a visa
 - Available only to citizens of certain countries who have registered online in advance through the Electronic System for Travel Authorization (ESTA). Go to the Department of State's website at http://travel.state.gov/visa/temp/without/without_1990.html for information.
- [H-1B Specialty Workers](#)
 - Employment restricted to the petitioning employer under the terms and conditions of the approved H-1B
 - Consult ISSS prior to any changes in H-1B employment at the University of Pennsylvania
 - Must meet wage requirements as set by Department of Labor regulations
 - Must obtain H-1B visa abroad to enter US (except for Canadian citizens), or obtain approval from USCIS to change status to H-1B from within the US
 - H-1B status is initially granted for a maximum period of three years and can be extended for a total of six years (regardless of the number of employers) May be reimbursed for expenses
 - May receive honoraria, stipend, or salary only from the University of Pennsylvania for H-1B authorized activities
 - H-4 dependents of H-1B temporary workers may not work

- [J-1 Visiting Scholars](#)
 - Available to visiting scholars, such as visiting professors, visiting researchers, postdoctoral fellows, etc.
 - Cannot be used for a tenure-track or tenured faculty position
 - Cannot be used for a staff position
 - Must obtain a Form DS-2019 (Certificate of Eligibility) issued by ISSS or outside sponsoring organization, e.g. Council for International Exchange of Scholars (CIES)
 - Must obtain a J-1 visa at US Consulate abroad to enter US (except for Canadian citizens), or obtain approval from US Citizenship and Immigration Services (USCIS) to change status to J-1 from within the US
 - J-1 *Research Scholar* and *Professor* category is limited to five years
 - J-1 *Short-term Scholar* is limited to a six-month stay
 - Note some exchange visitors are [subject to the two-year home country residence requirement](#)
 - If scholar has held J status (including J Student, Researcher, Professor, Specialist or dependent) in the United States, except as a Short-Term Scholar, for six months or more during the preceding 12 months, he/she is *not* eligible for the J-1 Research Scholar or Professor category
 - Scholars in the j-1 Professor or Research Scholar category become subject to the Two-Year Bar on *repeat participation* in those particular categories after completing their programs even if the program lasts less than five years.
 -
 - DOS has taken the position that the Two-Year Bar also applies to J-2 dependents of J-1 Professors or Research Scholars if the J-2 subsequently wishes to return as a J-1 Professor or Research Scholar
 - *The two-year bar is different from the two- year home country residence requirement*
 - May be given honorarium, stipend or salary by the J-1 program sponsor for pre-approved activities related to program objectives (in SEVIS).
 - Prior written authorization from ISSS must be obtained to engage in occasional lectures or consultation
 - Dependents of J-1 Exchange Visitors holding J-2 status may apply for employment authorization from USCIS
- [J-1 Student Intern](#)
 - The J-1 Student Intern program is designed to provide an opportunity for certain international students to pursue a structured and guided internship program in his or her specific academic field. The student internship is to fulfill the educational objectives for the prospective J-1 Student Intern's current (bachelor's, master's or doctorate) degree program at his or her home institution overseas.
- [E-3 Australian Treaty Workers in Specialty Occupation](#)
 - Employment restricted to the petitioning employer under the terms and conditions of the approved E-3
 - Consult ISSS prior to any changes E-3 employment at the University of Pennsylvania
 - Must meet wage requirements as set by Department of Labor regulations
 - Must obtain E-3 visa abroad or obtain approval to change status to E-3 from within the US
 - E-3 status is granted for a maximum period of two years at a time
 - May receive honoraria, stipend, or salary only from the University of Pennsylvania for E-3 authorized activities.
 - Dependents of E-3 workers may apply for employment authorization from USCIS

- [TN NAFTA Professionals](#)
 - Available only to Canadian and Mexican citizens
 - Must be an employee of the University of Pennsylvania
 - Mexican citizens must obtain TN visa abroad to enter US
 - Canadian citizens must show letter of job offer and educational credentials to obtain status at the port of entry or border crossing
 - May be requested in increments of up to three years, with unlimited extensions.
 - Applies to only certain professions, most teaching and research positions (Cannot be used for physicians with clinical responsibilities)

- [O-1 Person of Extraordinary Ability](#)
 - For individuals recognized by their peers and colleagues as having *a level of expertise indicating that the person is one of the small percentage who have risen to the very top of his or her field*. The individual must have made unique contributions to his or her field and play an integral or critical role in a program, project or department. Must demonstrate national and international prominence.
 - Must be an employee of the University of Pennsylvania
 - Application requires extensive demonstration and documentation of national or international prominence
 - Granted for an initial period of up to three years; indefinite annual extensions

- [F-1 Student On-Campus Employment](#)
 - Must be a continuing full-time student with a valid Form I-20 issued by the University of Pennsylvania
 - Paychecks must be issued by the University of Pennsylvania.
 - Consult an ISSS advisor in advance for employment with a UPHS entity or non-Penn entities
 - Employment must not interfere with academic program and must not displace a US worker
 - Restricted to 20 hours per week maximum while classes are in session, full time is permitted during university breaks

- [F-1 Student Optional Practical Training](#)
 - F-1 Optional Practical Training recommended by a student's college or university for employment directly related to the student's *major field of study*. Must be approved by USCIS in form of a valid Employment Authorization Document (EAD card)
 - Restricted to 20 hours per week maximum while classes are in session, full time is permitted during university breaks
 - Total period allowable is 12 months per degree level; nonrenewable except for eligible STEM OPT extensions

- [F-1 Student Curricular Practical Training](#)
 - F-1 Curricular Practical Training authorized by a Designated School Official at the individual's academic institution for a position where the training serves as an integral part of a student's academic program, prior to completion of that program
 - Approval is given on the third page of student's Form I-20 by the issuing institution

- [J-1 Student On-Campus Employment](#)
 - Must be a continuing full time student with a valid Form DS-2019 issued for study at the University of Pennsylvania
 - Must have prior written authorization from ISSS (or their program sponsor if other than the University of Pennsylvania)
 - Paychecks must be issued by the University of Pennsylvania
 - Consult an ISSS advisor in advance for employment with a UPHS entity or non-Penn entities
 - Employment must not interfere with academic program and must not displace a US worker
 - Restricted to 20 hours per week maximum while classes are in session, full time is permitted during university breaks

- [J-1 Student Academic Training](#)
 - J-1 Academic Training authorized in writing by J-1 sponsor (the University of Pennsylvania, or program sponsor)
 - Work must be directly related to student's *major field of study*
 - Maximum period allowable is 18 months (postdoctoral academic training may be authorized for up to an additional 18 months)
 - Authorization will be listed on Form DS-2019 and the Academic Training authorization letter

Office of Risk Management and Insurance

<http://www.finance.upenn.edu/riskmgmt/>

The University insures faculty and staff against losses sustained as a result of work-related injury or illness in accordance with the provisions of the Workers' Compensation Act and Occupational Disease Act of the Commonwealth of Pennsylvania.

Workers' Compensation provides for medical treatment and partial income replacement due to lost time arising from work-related injury or illness sustained by faculty and staff in the course of employment with the University.

Please refer to the following for specific information regarding various aspects of Workers' Compensation policy at the University of Pennsylvania:

- Policy 2608: Overview

http://www.finance.upenn.edu/vpfinance/fpm/2600/2600_pdf/2608.pdf

- Policy 2608.1: Benefits Continuation

http://www.finance.upenn.edu/vpfinance/fpm/2600/2600_pdf/2608.1.pdf

- Policy 2608.2: Re-Instatement from Workers' Compensation Leave

http://www.finance.upenn.edu/vpfinance/fpm/2600/2600_pdf/2608.2.pdf

- Policy 2608.3: Hiring a Replacement for an Employee on Workers' Compensation Leave

http://www.finance.upenn.edu/vpfinance/fpm/2600/2600_pdf/2608.3.pdf

Important! It is imperative that departmental Business Administrators contact the University's Risk Management Office and Insurance in cases where an employee is injured on the job. If the employee qualifies for Worker's Compensation, you will be directed to update the employee's online record in PennWorks.

General Information on Types of Employees Paid at Penn

Faculty

The Office of Faculty Affairs facilitates every stage of a faculty member's life at Penn, from appointment through post-retirement. It manages appointments and promotions; supports initiatives to enhance faculty recruitment and retention; provides resources, policies, and information; collaborates with peer institutions on important initiatives for faculty; and advances Penn's commitment to gender and minority equity for faculty.

<http://provost.upenn.edu/faculty>

Resources for Administrators

<http://provost.upenn.edu/faculty/administrators>

Each School may have somewhat different processes and terms for changes to faculty. You are encouraged, if hiring faculty is a part of your job, to learn the School-specific terms and procedures in order to manage your faculty appointments and/or contact your School's Faculty Affairs Office.

You should become familiar with all of the faculty policies as they relate to hiring in the Faculty Handbook, available at the following website:

<http://provost.upenn.edu/policies/faculty-handbook>

Changes to Current Faculty

All changes (except Distributions) to a faculty record (sabbaticals, re-appointments and terminations) should be approved via Provost Staff Conference (PSC) minutes. For more information regarding PSC go to:

<http://provost.upenn.edu/about/councils/deanscouncil>

Conflict of Interest

The University of Pennsylvania's Conflict of Interest Policy for Faculty Members (§II.E.10 in the *Handbook for Faculty and Academic Administrators*) (the "Policy"), available at

http://provost.upenn.edu/uploads/media_items/ii-e-10-conflict-of-interest-policy-for-faculty.original.pdf),

Patent Policy

The Patent Policy at the following website:

<https://provost.upenn.edu/policies/faculty-handbook/research-policies/iii-e>

Participation Agreement

<http://www.upenn.edu/researchservices/pdfs/Intellectual%20Property.%20PARTICIPATION%20AGREEMENT.v2010.pdf>

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 communicated between appointing departments.

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

Staff

Position Inventory Numbers

Position Inventory Numbers are assigned to all administrative and support staff positions. They are unique to the employee, i.e. Social Security Number.

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.

Students

<http://www.sfs.upenn.edu/seo/>

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

Work Study Positions

The Student Employment Management System (SEMS) allows for the creation and management of work-study job listings online. Each work-study student must have a Job Appointment Form complete with a SEMS job number on file prior to beginning work. To access SEMS go to:

<http://www.sfs.upenn.edu/seo/sems/live.php>

Please note: Students may hold two Work-Study Positions at a time.

Once Hired

Once hired, the student's information must be entered into PennWorks in order for the student to be paid.

Currently students are paid 40% by the department and 60% 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%. PennWorks will read the Work-Study Job Class Code and the 5139 Work-Study Object Code and "know" that only 40% of the pay is to be removed from the account you enter.

☞ The department has the responsibility to check the terms of each federal grant to see if there are restrictions against paying for Work-Study students.

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 a percentage of Student Workers' hourly rate.

*☞ Student Workers may also hold **TWO** jobs simultaneously. In addition, a student can hold a Job 1 Work-Study position and a Student Worker positions at the same time. In this case, the Work-Study job will always be Job 1.*

General Information

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.

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.

☞ 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.

The usual codes used for student employees are as follows:

<i>Student Worker A – In Class</i> ERN Type: SW1 Object Code: 5134 Job Class Code: 599070	<i>Student Worker B – Not in Class</i> ERN Type: SW2 Object Code: 5134 Job Class Code: 599071
<i>Academic Year Work-Study – In Class</i> ERN Type WSR Object Code: 5139 Job Class Code: 515370 (community service jobs) 515374 (all other jobs)	<i>Academic Year Work-Study – International</i> ERN Type SW1 Object Code: 5134 Job Class Code: 599072
<i>Summer Work-Study – In Class</i> ERN Type WSR Object Code: 5139 Job Class Code: 515375	<i>Summer Work-Study – Not In Class</i> ERN Type WS2 Object Code: 5139 Job Class Code: 515375

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 ERN Type of SUP, for Supplement. This ERN Type allows you to pay an hourly rate less than minimum wage.

E.g.:

Job 1:	WSR
Object Code:	5139
Job Class Code:	515315
Amount:	\$6.05/hour
Job 2:	SUP
Object Code:	5134
Job Class Code:	599070
Amount:	\$0.35/hour

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

Reminders: 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.

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

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

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 (Participation Agreement) available at the following website:

<http://www.upenn.edu/researchservices/pdfs/Intellectual%20Property.%20PARTICIPATION%20AGREEMENT.v2010.pdf>

The ‘Appointment Process’ used by the Perelman School of Medicine is available as a help to determine all the required forms and documents for new Post-Doctoral appointments.

<http://www.med.upenn.edu/postdoc/appointment.shtml>

The Guide to 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/tax/post_doctoral_appointments.shtml

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

Record Retention

<https://www.hr.upenn.edu/myhr/resources/policy/other/confidentialityofrecords>

Human Resources Polity 201.8 Record Retention Requirements

Records shall be maintained for the period specified by state or federal law, or longer at the direction of the Provost, the Vice President for Human Resources, the University Archivist or the General Counsel.

Records will be retained according to the following schedule:

- | | |
|---|----------------------------------|
| • Affirmative Action records | 7 years |
| • Information Management / Records | 5 years after death |
| • Medical records relating to job qualification | 30 years beyond termination date |
| • Records relating to faculty appointment or promotion | 5 years after death |
| • Grievance records | 5 years after death |
| • Public Safety Records | 5 years after death |
| • *Payroll | 7 years |
| • *Occupational Safety and Health Act (OSHA)
records of exposure to toxic substances | 30 years |
| • *Applications (unsuccessful candidates) | 2 years |

*Payroll, OSHA records and applications are retained according to this schedule and are not dependent on employment status.

The Department of Public Safety and the Hospital of the University of Pennsylvania shall develop their own record retention policies for security records and medical records.

Faculty grievance records are retained permanently.

Security

Users will access PennWorks via **PennKey** and **Password**. For information regarding security, go to the following website:

<http://www.upenn.edu/computing/pennkey/>

Access to the Payroll/Personnel system for Time Reporting and Salary Management 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 for both, you must be trained in the 5-day PennWorks/Payroll/Personnel course. A Logon ID Request Form must be filled out and signed by you, your Department Business Administrator, your School/Center Access Administrator, Human Resources, Payroll and the Financial Training Dept.

This form should be returned to your PennWorks/Payroll/Personnel 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 PennWorks/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.**

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 gain 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 PennWorks/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 ISC/SEO Security Administrator (after acquiring School/Center signatures) to have the account suspended. This will prevent use of the Logon ID after the staff member has left.

Institutional Compliance, i.e. Stewardship

The Office of Audit, Compliance and Privacy <http://www.upenn.edu/oacp/> strives to help faculty, staff and students understand what is expected and to provide support in raising and addressing compliance concerns. On this web site you will find links to Penn's code of conduct - the [Principles of Responsible Conduct](#) - as well as other [policy information and guidance](#). You will also find information on the [offices that handle specific compliance concerns](#) and the [215-P-COMPLY line](#), Penn's confidential Reporting and Help Line. And for those with compliance responsibilities, there is information in our [Compliance Leads](#) section to keep you updated on the latest compliance news.

215-P-COMPLY

If you have questions or concerns about possible violations of policies or legal requirements, contact Penn's Reporting and Help Line at 215-P-Comply (215-726-6759) or www.upenn.edu/215pcomply.

Additional Pay

Additional Pay is pay to employees outside the normal scope of their salary, such as vacation pay at separation, merit bonuses, extra services. Separate on-line training is required for 'Submitters' and 'Approvers'.

For on-line training, go to: <http://knowledgelinek.upenn.edu>

For documentation, go to: <http://www.finance.upenn.edu/ftd/documentation.shtml#add>

Off Cycle Payment Requests (formerly known as Hand Drawn Check)

Off Cycle Payment Requests are for emergency purposes only

- There should never be more than one in a month, shouldn't be more than one in a year for any given employee
- They are to be requested under the following circumstance only:
- Employee receives less than 75% of regular pay.

How to make your request:

- Call Payroll Office first for preliminary approval - 215.898.6301
- Enter Late Pay on-line - it must be approved by someone in your department or school
- Print Late Pay Process screen
- Print Updated Job Assignment screen
- The Payroll Office with complete justification of request along with processed late pay and updated job assignment screens
- Please put only one request on each memo

Justification must include:

- A detailed reason why the employee was not paid (be specific)
- The name of the person in Payroll who verbally approved the Off Cycle payment
- The ORG where you entered the late pay
- Your signature
- The signature of the senior BA in your department

Hand carry the request to the Payroll Department.

Please note that the Payroll Office will process requests as they are submitted to the office and will make every attempt to ensure that the employee has their payment by their designated pay date. However, due to peaks in volume you and your employee must allow three business days for the payment to be produced.

To help ensure that your employee receives their pay by their scheduled pay date each payroll administrator should be sure to run Salary Management reports from either the Data Warehouse or UMIS ON TUESDAY MORNING AFTER THE WEEKLY PAYROLL RUNS OR THE DAY AFTER THE MONTHLY PAYROLL RUNS to verify that all of their employees were paid as expected. In the event that someone was paid incorrectly – this will allow 3 to 4 days to process an off cycle payment. Please - don't wait for your employee to find the mistake on payday as this cause a financial hardship and also potentially delays their pay by several days.

**NOTE: Payroll Coordinators should contact PIs for new account numbers to replace expired accounts in plenty of time to affect the next payroll. If the PI, or in some cases, another department, does not respond in a timely manner, the Home ORG is responsible to ensure the money is paid using anticipated resources, then reallocate when the correct information becomes available. All salaried employees should be guaranteed their monthly salary on time every month.*

Overpayments

There are times when an employee is overpaid and the University needs to be reimbursed. Please submit an overpayment calculation form to the Payroll Department.

[Request for Overpayment Calculation](#)

- The name, social security number, the correct gross amount (that the employee should have been paid)
- Pay period end date
- Payroll Department will contact you by e-mail with the net amount of the overpayment
- The net overpayment amount will automatically be deducted from their subsequent pay(s) until it is fully recovered
- Tell employee not to spend the money!
- Please do not remit any personal checks to the Payroll Department for the net amount of the overpayment unless the employee has been terminated
- Contact the Payroll Department with any questions or concerns at payroll@pobox.upenn.edu or 215.898.6301

Please see below for repayment of the prior-year wages paid back in the current year:

The wages paid in error in the prior year remain taxable to the employee for that year. This is because the employee received and had use of those funds during that year. The employee is not entitled to file an amended return (Form 1040X) to recover the income tax on these wages. Instead, the employee is entitled to a deduction (or credit in some cases) for the repaid wages on his or her income tax return for the year of repayment.

Revision History

Date	Page Number(s)	Topic
November 2, 2009 (BAM)	Various	PennWorks implementation
January 21, 2014 (BAM)	Various	Updated websites; adjusted Student Worker codes; changed all HR/Payroll/Personnel references to PennWorks/Payroll/Personnel