

## Setting Up and Maintaining Faculty Records in PennWorks

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PennWorks is a new web-based user interface for the University's payroll system. It provides enhanced functionality for and eases the limitations of the payroll system including the four job and eight distribution limits.

All employees have 2 tabs in the system: **Bio** and **Roles/Distributions**. Standing and Associated Faculty and all Health System Clinicians have an additional tab in the system: **Compensation**.

This document provides information regarding guidelines and practices for the management of faculty records in PennWorks.

### Bio Tab

The **Bio** tab has several information sets that are affected by the employee's faculty status. Data from the Faculty Information System (FIS) will be drawn upon for Professional Name information as well as for Highest Education Level. In order to leverage this FIS information for PennWorks, the faculty member must have a Penn ID in the FIS system. At the time a new faculty member record is added to PennWorks via Add Person, users will be prompted to select a matching record in FIS and if found, the Penn ID will be recorded on the FIS record. Note that not all faculty have records in FIS, such as faculty with appointments that are not approved via Provost's Staff Conference (PSC or PSCS) and faculty to be approved by PSC but whose appointment process has not yet been initiated.

- **Professional Name:** displayed as read-only, any revisions must be made in FIS.
- **Highest Education Level:** option to choose the appropriate highest degree from those in FIS, displayed in drop-down menu.
- **FIS Degree Information:** displayed as read-only from FIS.

### Practices Related to Bio Tab Information

- **Salary Key:** will be reset to "U" (unsalaryed) if faculty member is not paid for 4 months and it must be reset once s/he returns

### Roles / Distributions Tab

The initial information for the **Roles / Distributions** tab comes directly from the payroll system. All jobs appear as roles with their appropriate distributions.

The PennWorks system automatically mimics what the user currently does manually, in order to get a person's information entered into Payroll given the four-job, eight-distribution limit:

- **Move distributions in and out:** *PennWorks removes expired distributions from the mainframe and replaces them with finalized distributions that are about to become active.*

This means that users can enter all the distributions for the year at the beginning of the year, even if there are more than 8.

- **Clone a job:** *If there are too many distributions active at once to fit on a single job, and there is no position inventory # associated with the role, PennWorks copies the role information, creates a second job on the mainframe, and puts the additional distributions there.* This means that individual faculty can have more than 8 active distributions on a single role in PennWorks. Users should no longer create a copy of a role in order to place additional distributions. For non-faculty roles with a position number, however, there is still a constraint that no more than 8 distributions can be active at once. If additional distributions are required then the user must perform a reallocation.
- **Merge administrative roles:** *Administrative roles are merged on the mainframe under 140010 Faculty Administrative Appointment (A-1), or under the Academic Appointment (professor role) if there is not enough space to store them on separate jobs.* Each faculty administrative role should be entered separately on PennWorks.

## Roles

All full-time faculty should have one role that is their main academic job as approved by the Provost's Staff Conference [and Provost's Staff Conference Subcommittee](#). All CPUP providers must have a role called 'CPUP Clinical Position'. Faculty may also 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 (see detailed procedures specific to School of Medicine)
- Faculty Administrative Appointments (Faculty Admin Appt (A-1) and CPUP Admin)
- 'Seasonal' Roles (e.g. Summer Research, Summer Teaching, Evening Teaching)

## Roles: New Functionality

***Unlimited Faculty Administrative Appointments:*** The new PennWorks interface allows for an unlimited number of faculty administrative appointment (A-1) roles and unpaid roles for each individual. (see Faculty **Administrative Appointments** below)

***Lock Roles:*** Records are now locked ("frozen") by default when adding a new person (see checkbox on Role/Distribution tab) and only the Home ORG can unlock a locked record. This prevents other organizations from adding roles for a faculty member without the home department's knowledge or approval. If you want to give permission to another organization to add a role for one of your faculty members, you must unlock the record and coordinate the addition of the role with the ORG (alternatively, you could add the role for them). After the

ORG has added the new role, you should re-lock the record. The other ORG will be able to maintain this role (based on role ORG level security), but cannot view or edit any other roles or tabs.

**Open Ended Role End Dates:** The start date for each role should reflect the start date for the appointment and the end date should reflect the end date of the appointment, if known, the end of the fiscal year (if the appointment needs to be renewed annually), or “open-ended” if there is no end date (as in the case of tenured faculty).

Example: SAS Full professor:

A full professor begins his faculty appointment mid-fiscal year on 1/1/2010 and his salary is set at \$150,000. The annual amount on the faculty role should be \$150,000 and the start date should be 1/1/2010 and the end date is “open-ended”. If this were an assistant professor in the standing faculty or standing faculty clinician-educator, the end date would be 6/30/2013, the end of his first appointment.

**Original Start Date:** There is now an original start date separate from the role start and end dates.

Example:

When the assistant professor reaches the end of his appointment, you would process a Reappointment action, leave the original start date alone, and update the new appointment period’s start and end dates.

**Summer Research:** Summer Research jobs may only be held by faculty. The user cannot assign a Summer Research job (Job Class Code 296002) unless the employee has a current standing faculty or lecturer C role and an Academic Base Salary. The specific criteria to identify standing/lecturer C is the same set of faculty classes as the criteria for the Academic Base entry requirement (Tenure, Pre-Tenure and Clinician Educator).

## **Faculty Administrative Appointments**

Standing faculty members are expected to conduct teaching, research, and community service to promote the advancement of knowledge. Faculty members may have administrative responsibilities that are beyond those that they would be expected to perform as part of their service to their departments, the School, and the University. Examples of these faculty administrative roles include Associate Dean, Director of a Center/Institute, Graduate Group Chair, Program Director, etc. Faculty may also be assigned faculty administrative roles through CPUP or the Health System.

The initial PennWorks information obtained from payroll includes those job records using the former title ‘A-1 Academician’ (140010). This job class description has been updated to “Faculty Admin Apptmt (A-1).” Use of this job class now requires additional detail: a Role Description. Each faculty administrative role should be entered using the drop-down box of approved role descriptions. A separate role should be set up for each administrative appointment, specifying the following:

- Annual Amount: Administrative Stipend is paid for specific administrative duties beyond regular teaching, research and service responsibilities. This may include duties performed on an interim basis. The stipend should be the annual amount received for the role (for instance, if the person receives only one payment a year, the amount should be equal to that one payment). If the person assumes the role mid-year, the annual amount should be equal to the amount they would have earned had they held the role the whole year.
- Role ORG: Indicates the organization for which the individual *performs the administrative role* (which may be different from the Home ORG).
- Role Description: The specific administrative role for which the individual receives a stipend. A list of roles is provided in the drop-down box (e.g. Associate Dean, Graduate Group Chair, Vice Chair).
- Role Title: The descriptive title corresponding to the administrative role. This field is **required** if you have chosen ‘Other Administrative’ from the drop-down menu and **optional** if you choose any other role description. You must explain the Role in free form text. The title does not have to correspond to a job title in Payroll. For example, you may choose the role ‘Graduate Group Chair’ from the drop-down box and enter the title ‘Graduate Group Chair for Cell and Molecular Biology’ in free form text for more specificity.
- Interim Position: Indicates whether the individual holds the administrative role on an interim basis.
- Distributions for Faculty Administrative Appointments: Typically, the object code used to budget and distribute faculty administrative pay is 5056 and the earnings type is RMO. For CPUP administrative appointments, the earnings type used is CST.

#### **Practices related to Roles:**

- The salary for the role at times may not equal the sum of the distribution payments for that job because the salary does not include incentive payments or other special earnings type payments.
- The salary, pay term, and start and end dates are used to calculate the pay period amount. The pay period amount for faculty may be overwritten but you will be asked to recertify the data.
- The percent FTE field on the main academic job should be 100% unless the faculty member is on approved reduction in duties. Faculty on reduced duties should be noted with an FTE of less than 100%. They are still considered “full-time faculty” for benefits purposes based on their primary academic appointment title but this allows us to match actual payments and salary).
- You may disable roles with end dates in the past. This makes clear that they are part of the faculty member’s history as well as clearing a slot for new roles. This data is maintained in the data warehouse.

- Summer Research and Summer Teaching roles must be entered with a pay term “3 month summer salary for faculty” and their distributions are limited to June, July and August. Summer Research and Summer Teaching roles are not used for School of Medicine faculty.
- The annual amount for each role should be the annualized amount expected to be paid for that role for the fiscal year. Some exceptions exist to this general rule. For example, for a lecturer / adjunct / part time type, the annual salary should be equal to amount to be paid rather than an annualized amount. The term would still be 9 months or 12 months and the period amount will calculate incorrectly – but the user should override the incorrect amount.
- If a faculty member has a joint or PIK appointment in the Faculty Information System, a user may specify one or more partner organization(s) in PennWorks. Payroll users within the partner organizations will have view-only access to the faculty member’s PennWorks record. When the appointment ends, the partner ORG’s view-only access will end.

Please see Appendix A for examples of faculty roles and their relation to faculty compensation components.

### **Distributions: New Functionality**

***Warning if periods with distributions don’t match the term:*** PennWorks will count how many periods in the fiscal year have distributions. If the count exceeds 9 periods for an employee job with pay term = 1 (9 months), or exceeds 10 periods for an employee job with pay term = 3 (10 months), then the user will receive a warning.

***Prevent distribution updates on unsalaried employees:*** For inactive faculty, rather than being terminated during the “auto-term” process, their salary key is set to “unsalaried”. In PennWorks the user will be prevented from adding or updating distributions if the salary key = 'U'. PennWorks will inform the user that the salary key must be updated in order to enter/update distributions.

### **Compensation Tab**

The information on this tab must be maintained by schools and is intended to capture the salary commitment to Standing Faculty, Associated Faculty and Health System Clinicians regardless of academic appointment. The initial information for this tab was collected from schools via spreadsheets during fall of FY09 and FY10 and loaded to PennWorks. The purpose for this information is twofold: first, it is needed by the Provost and Institutional Research for internal reporting and external compensation survey responses; second, it is a mechanism to help schools compare their salary commitment with actual distributions to ensure changes are appropriate and in line with agreements made between the school and individual faculty.

Current rates in effect for each faculty member are displayed at the top of the tab for easy reference. This is point-in-time data as indicated by the inclusion of the current date in the subheading.

PennWorks has a flag to indicate eligibility for performance incentives. This flag will be used in reporting, to perform analysis of eligible faculty who did / did not receive actual incentive payments.

For full-time faculty paid by external payrolls or for faculty on approved reduction in duties, the *full salary commitment* should be tracked in this tab.

### **Definitions of Categories of Compensation:**

*Academic Base Salary:* Applies to Standing Faculty only (Tenure and Clinician- Educator)

Academic Base Salary is salary paid for regular, full-time academic duties of standing faculty (teaching, research, service) as derived by each school. As described in the Handbook for Faculty and Academic Administrators (section II .E.11), the Academic Base Salary cannot be decreased except for by express agreement or financial exigency. It does not include extra salary for administrative appointments, overload teaching, summer research, summer teaching and summer administrative appointments, and performance incentives or bonuses. While normally paid for a 9-month academic year, paid out in 12 equal amounts in a monthly paycheck, some schools pay an annualized base for regular academic duties performed over a 12-month period. Note: Standing faculty, including Lecturer C and Clinician Educators, have an academic base salary; non-standing faculty do not have an Academic Base Salary.

*Faculty Salary:* Applies to Non-Standing Faculty

Salary normally paid for academic duties of non-standing faculty. It does not include extra salary for administrative appointments, overload teaching, summer research, summer teaching and summer administrative appointments, and performance incentives or bonuses.

*Base Salary Supplement:*

Salary in excess of Academic Base or Faculty Salary that is guaranteed for a defined term. This pay is often necessary for recruitment and retention but may be reduced or eliminated at the schools discretion, or in accordance with any written agreement between the school and the faculty member. The Base Salary Supplement does not include extra salary for administrative appointments, overload teaching, summer research, summer teaching and summer administrative appointments, and performance incentives or bonuses. The Base Salary Supplement is not included in calculations of summer ninths for summer research stipends, summer teaching stipends and overload teaching stipends. Note: only individuals with Academic Base Salary or Faculty Salary may have a Base Salary Supplement.

*Staff Salary:* Applies to Staff with part-time faculty appointments

Salary that is normally paid for staff member duties, for those faculty who hold staff positions as their primary job (e.g. Senior Research Investigators and Health System Clinicians).

*Administrative Stipend:*

Salary paid for administrative appointments beyond regular teaching, research and service responsibilities. May include duties performed on an interim basis.

*Eligible for Incentive* – Indicates that faculty member is eligible for an incentive program. This indicator does not imply/guarantee that the incentive will be paid, just indicates eligibility for reporting purposes (e.g. % of eligible faculty receiving incentives)

**Practices Related to Compensation Tab:**

Changes to the data in this tab are made either during the annual salary increase (SALINC) process or via your school's mid-year approval process. Examples of such changes would be a mid-year promotion, new administrative position or termination of an administrative appointment. In general, the components of salary are set annually during the SALINC approval process and will not change during the year.

Note the following validations relating to faculty compensation:

- Compensation data is entered by fiscal year (or part of a fiscal year) and dates cannot cross the FY boundary.
- Academic Base must be entered for standing faculty and standing faculty clinician-educators; a reminder notification will be sent if Academic Base data is not current
- Non-tenure-track faculty (those not standing faculty or standing faculty clinician-educators) should not have an Academic Base salary; enter their salary as Faculty Salary
- Faculty with a summer research role must have Academic Base entered; the summer research monthly pay period amount should equal 1/9 of Academic Base Salary.
- A faculty member cannot have a Base Salary Supplement without first having Academic Base Salary or Faculty Salary in effect.
- You may not enter two rates in the same category (e.g. two Academic Bases) in effect at the same time
- Only faculty with a paid, non-guaranteed secondary appointment should have both Academic Base and Faculty Salary during the same period

The administrative stipend amount should equal the sum of all administrative roles' annual salaries; warehouse reporting will highlight exceptions.

Users with access to both role updates and the Compensation tab will get a reminder to review faculty compensation information whenever they update a role salary.

## Appendix A: Relationship Between the Faculty Compensation Tab and the Role/Distribution Tab in PennWorks

The following examples are provided to illustrate the relationship between the faculty Compensation tab and the Role/distribution tab. Note that the salary for seasonal roles (summer

teaching, research and evening teaching) is not represented on the Compensation tab – they will be reported on for surveys, etc. via actuals and not prospectively.

Example (a): Faculty (tenure) with one role and one compensation type

<b>Faculty Compensation Tab</b>	<b>Amount</b>
Academic Base	\$120,000
Faculty Salary	NA
Base Salary Supplement	\$0
Admin Stipend	\$0
Staff Salary	N/A
Total base salary	\$120,000
<b>Role/Distribution Tab</b>	
Role 1: Professor A	\$120,000

Example (b): Faculty (non-tenure) with one role and one compensation type

<b>Faculty Compensation Tab</b>	<b>Amount</b>
Academic Base	N/A
Faculty Salary	90,000
Base Salary Supplement	\$0
Admin Stipend	\$0
Staff Salary	N/A
Total base salary	\$90,000
<b>Role/Distribution Tab:</b>	
Role 1: Adjunct Professor	\$90,000

Example (c): Faculty with Administrative Roles.

- Compensation for the Professor A role equals Academic Base in this example.
- Compensation for roles 2 and 3 have been combined into one amount under the Administrative Stipend compensation type.

<b>Faculty Compensation Tab</b>	<b>Amount</b>
Academic Base	\$90,000
Faculty Salary	NA
Base Salary Supplement	\$0
Admin Stipend	\$20,000
Staff Salary	NA
Total	\$110,000
<b>Role/Distribution Tab:</b>	
Role 1: Professor A	\$90,000
Role 2: Grad Group Chair	\$10,000
Role 3: Curriculum Chair	\$10,000
Total	\$110,000

Example (d): Faculty recruited/retained via supplemental pay. Compensation for the Professor A role is divided between Academic Base (\$90,000) and the Base Salary Supplement (\$10,000).

<b>Faculty Compensation Tab</b>	<b>Amount</b>
Academic Base	\$90,000
Faculty Salary	N/A
Base Salary Supplement	\$10,000
Admin Stipend	\$0
Staff Salary	N/A
Total	\$100,000
<b>Role/Distribution Tab:</b>	
Role 1: Professor A	\$100,000
Total	\$100,000

Example (e): Faculty with secondary, administrative and seasonal roles being retained.

- Compensation for the Professor A role (#1) is divided between Academic Base (\$90,000) and the Base Salary Supplement (\$10,000).
- Compensation for the Professor B role (#2) is under the Faculty Salary category since it is secondary.
- Roles 3 and 4 are both Faculty Administrative Appointments and the compensations are summed under the Administrative Stipend compensation category.
- Compensation for the Summer Teaching role does not appear on the Compensation tab, it will be reported via actuals only.

<b>Faculty Compensation Tab</b>	<b>Amount</b>
Academic Base	\$90,000
Faculty Salary	\$10,000
Base Salary Supplement	\$10,000
Admin Stipend	\$20,000
Staff Salary	NA
Total	\$130,000
<b>Role/Distribution Tab:</b>	
Role 1: Professor A	\$100,000
Role 2: Professor B	\$10,000
Role 3: Grad Group Chair	\$10,000
Role 4: Curriculum Chair	\$10,000
<i>Role 5: Summer Teaching</i>	<i>\$22,222</i>
Total excluding summer	\$130,000

## Examples with Screen Shots:

Example 1: Robert Brown (Penn ID# 33987366) is now a faculty member in SAS, Anthropology. He has an administrative appointment, summer teaching and was promoted during the year from a non-tenured position to tenured.

Bio Roles/Distributions Compensation [Return to Search Results](#) [Shadow Data](#)

Payroll Name: **BROWN,ROBERT** Penn ID: **33987366**  
Home: SCHOOL OF ARTS AND SCIENCES, ANTHROPOLOGY

**Roles** i

**Role Summaries**

Task	Description	Role ORG	Start	End	Open-ended	State	Annual Amount
Select...	PROFESSOR A	0101 ANTHROPOLOGY	01/01/2010		<input checked="" type="checkbox"/>	Final	\$124,000.000
Select...	PROGRAM DIRECTOR	0101 ANTHROPOLOGY	09/01/2009	06/30/2010	<input type="checkbox"/>	Final	\$55,000.000
Select...	SUMMER TEACHING	0101 ANTHROPOLOGY	07/01/2009	08/31/2009	<input type="checkbox"/>	Final	\$8,000.000
Select...	VISITING PROFESSOR	0101 ANTHROPOLOGY	07/01/2009	12/31/2009	<input type="checkbox"/>	Final	\$75,000.000

Only users with home ORG access may add a role for this employee. i

[Add Role](#)

## Example 1: Compensation tab

Bio Roles/Distributions Compensation [Return to Search Results](#) [Shadow Data](#)

Payroll Name: **BROWN,ROBERT** Penn ID: **33987366**  
Home: SCHOOL OF ARTS AND SCIENCES, ANTHROPOLOGY

**Current Compensation Rates as of 09/22/2009** i

Academic Base Salary	Faculty Salary	Base Salary Supplement	Admin Stipend	Staff Salary	Total Salary
\$0.00	\$75,000.00	\$0.00	\$55,000.00	\$0.00	\$130,000.00

**Compensation Details** i

Show compensation between fiscal year  and  [Set](#) i

	Component	Annual Rate	Start	End	State
<a href="#">Edit</a> <a href="#">Delete</a>	Academic Base Salary	\$124,000.00	01/01/2010	06/30/2010	Final
<a href="#">Edit</a> <a href="#">Delete</a>	Administrative Stipend	\$55,000.00	09/01/2009	06/30/2010	Final
<a href="#">Edit</a> <a href="#">Delete</a>	Faculty Salary	\$75,000.00	07/01/2009	12/31/2009	Final

Eligible for Performance Incentive i

[Add Compensation](#)

Note that the compensation for the Summer Teaching role does not appear on the Compensation tab.

Example 2: Joy Jones (Penn ID: 70863092) is a faculty member in Wharton who was recruited with an agreement to pay supplemental salary on top of her academic base. She holds an administrative appointment.

Bio Roles/Distributions Compensation [Return to Search Results](#) [Shadow Data](#)

Payroll Name: **JONES,JOY** Penn ID: **70863092**  
Home: WHARTON SCHOOL, WHARTON SCHOOL

**Roles** ⓘ

**Role Summaries**

Task	Description	Role ORG	Start	End	Open-ended	State	Annual Amount
Select...	ASSOC PROFESSOR A	0700 WHARTON SCHOOL	07/01/2009		<input checked="" type="checkbox"/>	Final	\$186,000.000
Select...	DIRECTOR OF A CENTER/INSTITUTE	0700 WHARTON SCHOOL	07/01/2009	06/30/2010	<input type="checkbox"/>	Final	\$10,000.000
Select...	SUMMER RESEARCH	0700 WHARTON SCHOOL	07/01/2009	08/31/2009	<input type="checkbox"/>	Final	\$34,666.667
Select...	WHARTON GROUP SPEAKER	0700 WHARTON SCHOOL	07/01/2009		<input checked="" type="checkbox"/>	Final	\$0.000

Only users with home ORG access may add a role for this employee. ⓘ

**Add Role**

Example 2: Compensation Tab

Bio Roles/Distributions Compensation [Return to Search Results](#) [Shadow Data](#)

Payroll Name: **JONES,JOY** Penn ID: **70863092**  
Home: WHARTON SCHOOL, WHARTON SCHOOL

**Current Compensation Rates as of 09/18/2009** ⓘ

Academic Base Salary	Faculty Salary	Base Salary Supplement	Admin Stipend	Staff Salary	Total Salary
\$156,000.00	\$0.00	\$30,000.00	\$10,000.00	\$0.00	\$196,000.00

**Compensation Details** ⓘ

Show compensation between fiscal year  and  **Set** ⓘ

	Component	Annual Rate	Start	End	State
<a href="#">Edit</a> <a href="#">Delete</a>	Administrative Stipend	\$10,000.00	07/01/2009	06/30/2010	Final
<a href="#">Edit</a> <a href="#">Delete</a>	Base Salary Supplement	\$30,000.00	07/01/2009	06/30/2010	Final
<a href="#">Edit</a> <a href="#">Delete</a>	Academic Base Salary	\$156,000.00	07/01/2009	06/30/2010	Final

Eligible for Performance Incentive ⓘ

**Add Compensation**

Note that the salary for the Associate Professor A role has been divided between Academic Base (\$156,000) and Base Salary Supplement (\$30,000), meaning that the supplemental amount was agreed upon for recruitment or retention purposes. Also note that the compensation for the Summer Research role does not appear on the Compensation tab. The Wharton Group Speaker role has \$0 compensation.