Faculty and Staff Information System Manual

Office of Human Resources

and

Office of the Provost

Last Revised September 3, 2015

Faculty and Staff Information System Manual

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Faculty and Staff Information System Manual

FASIS Manual

The Faculty and Staff Information System (FASIS) Manual is a compilation of Data Definitions, Procedural Descriptions, System Enhancements, Policies, and Training Materials. The Manual is available in PDF format, and as such, is easily searchable and is printable in part or in full.

Each entry in the Manual is marked with the *Effective Date* and *Last Update* dates, as this is a working document with continuous revisions. There will be notifications and descriptions in the bimonthly FASIS Newsletter when major changes have been made to the FASIS Manual.

The material in the Manual has been developed and vetted within the Data Definition and Process Redesign Team and the Functional/Academic/IT School Administrators Task Force. If you have questions about the contents of the Manual, please contact the FASIS team at fasis@northwestern.edu.

Styles Used in This Manual

To the best of our ability, we have followed the *A to Z Style Guide* available from the Department of University Relations at Northwestern. This guide is based on the *Chicago Manual of Style* and the *Merriam-Webster's Collegiate Dictionary.*

All terms and processes used in the FASIS Manual are capitalized and italicized the first time they are used. Thereafter, the first time a term or process is cited on any page, an internal document hyperlink is supplied. Hyperlinks to external resources are inserted whenever available.

Terms that come from the PeopleSoft database, the Faculty and Staff Information System (FASIS) are set in SMALL CAPS for easy recognition.

Contacts and Resources for Faculty Processes

Contacts, Office of the Provost

Laura Koepele-Tenges
Director, Faculty Records & Business Operations
facultyrecords@northwestern.edu; 847-491-7042

Kate Quimby
Administrative Assistant
facultyrecords@northwestern.edu; 847-467-4127

Faculty-related Links

Area	Resource	Link
Faculty Appointment and process definitions	Faculty and Staff Information System (FASIS) Manual Office of the Provost	http://www.northwestern.edu/hr/about/announcements-initiatives/fasis/manual/index.html Laura Koepele-Tenges, 1-7042
Faculty Benefits	HR Benefits Office of the Provost	http://www.northwestern.edu/hr/benefits/ http://www.northwestern.edu/provost/policies/handbook/index.html
Faculty Data	Institutional Research	http://www.adminplan.northwestern.edu/ir/
Faculty Dependent Care Travel Grant	Office of the Provost	http://www.northwestern.edu/provost/faculty/work-life-family/dependent.html Daphne Fair-Leary, 7-5884
Faculty eOffer	FASIS Self Service Portal	http://nupa.northwestern.edu/
Faculty and Librarian eRecruit	FASIS Self Service Portal	http://nupa.northwestern.edu/
Faculty Hiring Plans	Office of the Provost Depot	facultyrecords@northwestern.edu https://depot.northwestern.edu/

Faculty Status Report	Office of the Provost Depot	Kate Reinhardt, 7-4127 https://depot.northwestern.edu/
Faculty Handbook and Policies	Office of the Provost Web site	http://www.northwestern.edu/provost/policies/handbook/index.html
Resources for Faculty	Office of the Provost Web site	http://www.northwestern.edu/provost/
Faculty Salary Planning	Office of the Provost Managers & Administrators HR Web site Budget Office	Laura Koepele-Tenges, 1-7042 Salary Planning materials are updated each year http://www.northwestern.edu/hr/managers-administrators/annual-compensation/ http://www.northwestern.edu/budget/planning/index.html

Other Resources

Area	Resource	Link
General Counsel	Office of General Counsel	http://www.northwestern.edu/general-counsel/index.html
FASIS Codes (departments, jobs, action/action reasons and more)	FASIS Web site	http://www.northwestern.edu/hr/managers-administrators/fasis-administrator-tools/fasis-systems-admin-functions/index.html
FASIS Database	FASIS 9.1 Production and Reporting	https://hrweb.northwestern.edu/
FASIS Help	FASIS Help Desk	fasishelp@northwestern.edu; 847-467-4800
Office of Human Resources	Payroll Division	Evanston: Eileen Sandalow, Payroll Supervisor 847-491-8593; e-sandalow@northwestern.edu Chicago: Ro Torres, Payroll Supervisor 312-503-9707; rtorres@northwestern.edu
University News	University Relations	http://www.northwestern.edu/univ-relations/

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Data and Business Process Definitions

Basic Terms

There are basic terms that are used repeatedly in building the Faculty and Staff Information System. To insure understanding and uniformity, these terms are defined below with links to related terms and processes. One of these basic definitions is a table representing the standard faculty career paths, the associated titles, academic ranks used at Northwestern, and the corresponding Integrated Postsecondary Education Data System (IPEDS) ranks.

Academic Rank

Data Definition
Academic rank is the hierarchical categorization of faculty positions. Faculty members are hired into ranks based on their academic qualifications. Academic rank at Northwestern describes the positions or promotion sequence on the tenure track, clinical, in residence, lecturer, teaching track, research, contributed services, and career paths. A faculty member with multiple appointments should have the same rank for all appointments across schools and units within Northwestern with the exception of research faculty members or librarians who may have an additional lecturer appointment. The Office for Institutional Research uses rank for IPEDS and AAUDE reports as well as other external reports.

Rules Checklist	
☑	Rank descriptions: professor, associate professor, assistant professor, instructor, distinguished senior lecturer, senior lecturer, and lecturer.
☑	Career paths: tenure track, clinical, in residence, lecturer, teaching track, research, contributed services, and librarian.
☑	Visiting and adjunct faculty: Hold the same rank as at their home institution.

Additional Information
• Promotion paths follow rank. Most promotions occur within a faculty member's career path. If a faculty member switches to a different career path, but moves to a higher rank, this is considered both a reclassification and a promotion. • In most cases rank for all other academic appointments matches the primary academic appointment. • Other rank hierarchies are: IPEDS, AAUDE. • Academic rank and faculty career path together describe the faculty position. • The ranks for librarian faculty are defined by the specific position held and do not necessarily progress along a career path.

Category – Basic Terms Last update: 9/7/2011

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Benefit Program

Data Definition
The *Benefit Program* designates whether an individual is benefits-eligible and, if benefits-eligible, the set of benefits available. An individual may only be assigned to one benefit program with the exception of Northwestern Medical Faculty Foundation (NMFF) members who are assigned two benefit programs. Below is the list of benefit programs and descriptions: 046: Union 46 benefits-eligible employees 399: Union 399 benefits-eligible employees 681: Union 681 benefits-eligible employees BIW: Bi-weekly benefits-eligible employees MTH: Monthly benefits-eligible employees NBE: Non-benefits-eligible employees NFT: Benefits-eligible NMFF members only (benefit record number one) NON: Non Employees (contractors) NRS: Benefits-eligible NRSA postdoctoral fellows and visiting scholars, administered by Garnett Powers QAT: Qatar benefits-eligible employees RET: Retired benefits-eligible employees

Rules Checklist	
☑	NMFF members are the only employees with two benefit programs: MTH and NFT.

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Benefits Eligibility

Data Definition
Benefits Eligibility is determined by the following criteria: the individual must be employed by Northwestern in a benefits-eligible position, must be compensated from the Northwestern payroll system, and must hold an appointment(s) with a total full-time equivalent (FTE)* greater than or equal to .50. An employee must hold an appointment that is full-time (2 quarters or 1 semester) for half the academic year or at least half-time for the entire academic year to be benefits-eligible. University salary must be sufficient to cover benefit plan deductions. * For monthly employees such as faculty and exempt staff, the FTE is calculated from the percent full-time: FTE = (total percent full-time/100) For bi-weekly employees: If scheduled hours >= 37.5, FTE = 1.0 If 18.75 <= scheduled hours <= 20.0, FTE = .50 Otherwise, FTE = (scheduled hours) / 37.5 The total FTE is the sum of the FTEs for all appointments.

Rules Checklist	
☑	Must be employed in a Northwestern benefits-eligible position.
☑	PAY GROUP must be MON, MOF, NMF or BIR .
☑	The total FTE must be 50% or greater, in other words: - For faculty and exempt staff: the total percent full-time of an individual must be equal to or greater than 50. - For non-exempt staff: the total standard hours must be equal to or greater than 18.75 hours per week.
☑	An employee must hold an appointment that is full-time for half (2 quarters or 1 semester) the academic year or at least half-time for the entire academic year to be benefits-eligible.

Additional Information
A benefits-eligible individual may either be eligible for full or part time benefits. For staff and faculty, full-time status requires that an individual be scheduled to work a minimum of 37.5 hours per week and hold an appointment(s) with the total percent full-time equal to 100. To be eligible for part-time benefits, faculty and exempt staff must have a total percent full-time equal to or greater than 50 and less than or equal to 99. Non-exempt staff must be scheduled to work a minimum of 18.75 hours per week to be part-time benefits-eligible. For detailed information regarding the benefit plans available by employee type, visit the Benefits website.

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Contract Period

Data Definition
The *Contract Period* is the length of time (in months) faculty or staff members are contracted to fulfill the responsibilities of their University appointments within a single fiscal year. A faculty member typically has a contract period of 9 months. The 9 month period typically coincides with the academic year; that is, mid-September to mid-June. In some schools, faculty appointments may have a contract period of 10, 11 or 12 months. For faculty members with short- term appointments the contract period may be less; for example an adjunct faculty member may have a 3 or 4 month contract period. Staff members, including research staff, typically have a contract period of 12 (months); however, in some cases, staff members may have a shorter contract period.

Rules Checklist	
☑	The contract period should be stated in the appointment letter.
☑	All paid staff and faculty appointments must have a contract period value assigned.
☑	For faculty members who hold Northwestern Medical Foundation (NMFF) appointments, the contract period is always 12 (months) for both the University and NMFF appointments.
☑	The contract period for the majority of research faculty is 11 (months) except for those in the Feinberg School of Medicine where the contract period is always 12(months).
☑	For faculty members with short- term appointments the contract period may be less; for example an adjunct faculty member may have a 3 or 4 month contract period. Faculty members with short-term appointments may have multiple contract periods per appointment per fiscal year.
☑	Administrative faculty appointments typically have a 12 month contract period.

Additional Information
• The contract period is used to calculate the monthly contract rate. For each appointment, Monthly Contract Rate = (ANNUAL RATE)/(Contract Period) • The contract period is used to determine if the academic base salary field displays on the FASIS EMPLOYMENT INFO page. The academic base salary field displays if the faculty member has multiple appointments, all having contract periods of 9- or 12-months and at least one appointment with a 9-month contract period.

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Faculty Career Path

Tenured/Tenure-track Faculty	Clinical Faculty		Faculty in Residence	Lecturer Faculty	Teaching Track Faculty	Research Faculty	Contributed Services Faculty	Librarian Faculty
Professor	Clinical Professor	Professor	Professor in Residence		Professor of Instruction or Practice	Research Professor	Clinical Professor	Director
Associate Professor	Clinical Associate Professor	Associate Professor	Associate Professor in Residence	Distinguished Senior Lecturer	Associate Professor of Instruction or Practice	Research Associate Professor	Clinical Associate Professor	Assistant/ Associate Director
Assistant Professor	Clinical Assistant Professor	Assistant Professor	Assistant Professor in Residence	Senior Lecturer	Assistant Professor of Instruction or Practice	Research Assistant Professor	Clinical Assistant Professor	Senior Librarian
Instructor**	Clinical Instructor	Instructor		Lecturer			Clinical Instructor	Librarian

Donald P. Jacobs Scholar and College Fellow job titles are at the assistant professor rank.
** This instructor title may be used only in the Judd A. and Marjorie Weinberg College of Arts and Sciences under special circumstances.

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Home Department

Data Definition
The *Home Department* is the department that is responsible for taking the lead in promotion and tenure matters, disciplinary actions, and salary decisions. A faculty member holds tenure in a school, not a department. However, departments are responsible for faculty appointments and affairs. When a new faculty member receives an offer from Northwestern that involves appointments in more than one department or school, the primary academic department (home department) should be identified in the offer letter. Offer letters to new tenure-track faculty who will have appointments in more than one department or school must include an explanation of how the tenure process will be handled, including which school or department will take the lead in the process. One of the departments must be designated the home department. The primary academic appointment is granted by the home department and usually resides in the home department. Additional faculty appointments with shared budgetary responsibilities are considered joint appointments. The home department takes the lead for approving additional faculty appointments and checking the faculty member's workload and effort. The department that first hires a lecturer is considered the home department and the appointment in this department is considered the primary academic appointment.

Rules
• The home department is visible in the header of the appointment overview page in FASIS. • For staff positions, the department of the employee's primary role is the home department. • For faculty positions, the department of the employee's primary academic appointment is the home department. • For employees with faculty and staff positions, the department of the employee's primary role is the home department.

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Percent Full-Time

Data Definition
Percent Full-Time is the proportion of full-time (expressed as a percentage) spent by a faculty or staff member, calculated for each individual appointment or job. For faculty appointments, percent full-time is determined at the School level, based on the equivalent full-time workload for that specific School. For staff appointments, percent full-time is calculated using the full-time equivalent of 37.5 hours a week. For non-exempt staff appointments, use scheduled hours.

Rules Checklist	
☑	If a person is benefits-eligible, a percent full-time must be assigned to all paid appointments spanning six months or more.
☑	When assigning a percent full-time, the value must be greater than zero and less than or equal to 100.
☑	Paid adjunct and paid emeritus faculty appointments must have a percent full-time assigned. This is for the quarter during which the faculty member teaches, based upon the faculty course load in that department for the academic year. The Office of the Provost, as home department, is responsible for monitoring the number of adjunct appointments an individual holds at Northwestern; see additional information concerning benefits eligibility and adjunct faculty appointments. The equation to determine Percent Full-Time for a paid adjunct or emeritus appointment is: % full time for a particular quarter / 4 quarters = Percent Full-Time For example: an individual is working 60% full time for a quarter and there are four quarters within a year. The equation provides: 60/4 = 15%. This is the percent full-time that should be indicated in FASIS for that quarter.
☑	For faculty joint appointments and NMFF appointments, percent full-time is usually commensurate with the proportion of total salary for that appointment. For all other appointments, the percent full-time may or may not be commensurate with the proportion of total salary from that appointment.
☑	VA appointments (set up as unpaid in FASIS) do have a percent full-time assigned.
☑	In most cases, with the exception of VA appointments, unpaid appointments do not have a percent full-time value assigned; for these appointments the percent full-time is set to zero.
☑	The percent full-time for academic full-time individuals is always zero. The appointment indicator is a reminder that the individual is full-time.

Additional Information
• The total of the percent full-time values over all of an individual's active appointments is referred to as the *Total Percent Full-Time*. The total percent full-time for an individual cannot exceed 100. • The total percent full-time is used to calculate the total FTE (full-time equivalent for faculty and exempt staff. The FTE field is one factor used to determine benefits eligibility. In addition, the annual benefit base rate (ABBR) is calculated from appointments which have a percent full-time assigned. See the benefits eligibility and ABBR definitions for more detailed information.

- Calculating and recording the percent full-time does not in any way substitute for effort reporting. For additional information on effort reporting, please see the Research Information Guide, a compilation of policies, guidelines, and procedures governing the conduct and administration of research at the University.

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Position Type and Position Category

Data Definition
Each position is defined with a *Position Type* and *Position Category*. The position type defines the general role filled by the position such as faculty, staff, student, or non-employee. The position category further defines the position type. The position type and category fields are useful in reporting to select or group types of employees.

Rules Checklist	
☑	Every position must have a position type and category defined.
☑	Since temporary employees do not have specific positions or associated position numbers, they do not have a position type or position category.
☑	The position category choices depend on the position type selected (see chart below).

Position Type	Position Type Description	Position Category	Position Category Description
FAC	Faculty	ADF	Administrative Faculty
FAC	Faculty	ADJ	Adjunct
FAC	Faculty	CLA	Clinical Associate or Faculty Associate
FAC	Faculty	CNT	Contributed Services
FAC	Faculty	COT	Coterminous
FAC	Faculty	END	Named Professorship
FAC	Faculty	EME	Emeritus
FAC	Faculty	HSC	Health System Clinician
FAC	Faculty	LIB	Librarian
FAC	Faculty	END	Named Professorship and Awarded Appointment
FAC	Faculty	NMF	Northwestern Medical Group Member
FAC	Faculty	REG	Regular
FAC	Faculty	RES	Research
FAC	Faculty	UNC	School of Continuing Studies
FAC	Faculty	VIS	Visiting
STF	Staff	EXM	Exempt
STF	Staff	NEX	Non-Exempt
STU	Student	GRA	Graduate Non Work Study
STU	Student	GWK	Graduate Work Study
STU	Student	UNG	Undergraduate Non Work Study
NON	Non-Employee	ABF	American Bar Foundation
NON	Non-Employee	AFF	Affiliate
NON	Non-Employee	CHA	Chaplain Affiliate
NON	Non-Employee	COB	Cobra Dependent
NON	Non-Employee	IND	Independent Contractor
NON	Non-Employee	NMF	NMFF Administrator

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Position Type	Position Type Description	Position Category	Position Category Description
NON	Non-Employee	NRO	NROTC staff
NON	Non-Employee	PDC	NRSA Post docs
NON	Non-Employee	RET	Retiree
NON	Non-Employee	TRU	Trustee
NON	Non-Employee	VSC	Visiting
NON	Non-Employee	VSS	Visiting Student

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Primary Academic Appointment

Data Definition
The majority of faculty must have a *Primary Academic Appointment*. The primary academic appointment is granted by the home department and usually resides in the home department. This is the department that requests the appointment and is responsible for taking the lead in promotion and tenure matters as well as disciplinary actions and salary decisions. When a new faculty member receives an offer from Northwestern that involves appointments in more than one department or school, the department (home department) of the primary academic appointment should be identified in the offer letter. The department that first hires a lecturer is considered the home department. This appointment is considered the primary academic appointment. See the home department definition for further details about primary academic and additional appointments.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: not NMF, END, or ADF

Rules
• The primary academic appointment checkbox is checked for *faculty only*. • It is possible that a faculty member may not have any primary academic appointment, particularly if they have one appointment and the appointment is an administrative appointment. • A named professorship, NMFF appointment, or an administrative faculty appointment (ADF)may not be designated as a primary academic appointment. • The home department determines the primary academic appointment of a faculty member. • For questions regarding primary academic appointment designation, contact the Manager for Faculty records in the Office of the Provost.

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Primary Role

Data Definition
The *Primary Role* indicator identifies the primary job responsibility of staff and faculty employees. All active employees have a primary role. For example, a faculty member may have three appointments – department chair, academic advisor and professor. If the majority of the faculty member's workload is as a professor, the professor appointment is the primary role. In another example, the Dean of the Graduate School, who also has an appointment as a professor, spends the majority of time functioning as dean, and the dean appointment is the primary role. If a dean were to step down and return to faculty duties, the primary role would switch to professor.

Eligibility Checklist	
☑	POSITION TYPE: all employee types.
☑	POSITION CATEGORY: not NMF, END, COT or a courtesy appointment.

Rules

<u>For staff with no faculty appointments</u>

- The primary role resides on record zero. If there is no record zero, then the employee record with the highest percent full-time is marked as the primary role.

<u>For staff with at least one faculty appointment</u>

- The record with the highest percent full-time is marked as the primary role.
- If the appointments are equally distributed, the lowest record number (usually record zero) should be marked as the primary role

<u>For faculty with no staff appointments</u>

- If a faculty member has two appointments in the same department, and one of the appointments is an NMFF appointment, add these two percentages together. If this sum is greater than the percent full-time in any other department, mark the non-NMFF appointment (in the department holding the NMFF appointment) as the primary role.
- For most other faculty appointments, mark the one with the highest percent full-time. In the case of equally distributed percent full-time, mark the primary role on the primary academic appointment. However, in the case of multiple faculty appointments, the primary role may be one at a lower percent full-time.

For staff positions, the department of the employee's primary role is the home department.

For employees with faculty and staff positions, the department of the employee's primary role is the home department.

Named professorships, NMFF, courtesy, and coterminous appointments should never be marked as a primary role. However, if the Coterminous appointment is the only appointment at the University, then mark this appointment as the primary role.

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Scheduled Pay Periods

Data Definition
The number of *Scheduled pay periods* is the number of months or weeks during a year when an employee receives a paycheck. Effective 9/1/2011 all full-time faculty members and exempt staff members are paid over 12 Scheduled pay periods (once a month). Nonexempt staff members are paid bi-weekly and typically have 26.1 Scheduled pay periods.

Rules Checklist	
☑	Scheduled pay periods should be assigned to all staff, faculty and graduate student paid appointments with the exception of short-term appointments.
☑	All faculty should have Scheduled pay periods = 12 with the exception of faculty with short-term appointments such as adjunct faculty or those faculty in their first year who have an early start appointment with salary spread over more than one fiscal year.
☑	If a faculty member arrives after the start of the academic year, e.g. January 1, and has an appointment length greater than one year, the Scheduled pay periods should be 12.
☑	Nonexempt staff members have 26.1 Scheduled pay periods, and exempt staff members have 12 Scheduled pay periods.

Additional Information

- For early start appointments where the salary is spread over the early start months and the first academic year; the Scheduled pay periods will be a value greater than 12.
- Leave the Scheduled pay periods blank for adjunct appointments.
- The Scheduled pay periods field is used to determine if the Annual rate field displays on the FASIS Employment info and Salary pages. If an appointment has Scheduled pay periods equal to 12 or 26.1, the Annual rate displays. If an appointment has Scheduled pay periods not equal to 12 or 26.1, the Annual rate field is blank.

Category – Basic Terms Last update: 07/21/2011

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Faculty Appointment Types

Academic Full-Time

Data Definition
An *Academic Full-Time* appointment is for full-time, tenure-track or non-tenure-track faculty whose salary and benefits are provided, whole or in part, by an entity other than Northwestern. In the most common circumstance, e.g. at the Feinberg School of Medicine, the faculty member's salary is paid by an affiliated hospital. Similar considerations also apply to full-time faculty paid by outside organizations, such as the American Bar Foundation or the Howard Hughes Medical Institute.

Eligibility Checklist	
☑	POSITION TYPE : FAC
☑	POSITION CATEGORY: REG or RES
☑	PAY GROUP: OTH
☑	PCT FT (appointment percent full-time) : 0%
☑	Academic full-time is designated using the appointment indicator on the job record.

Rules
• An academic full-time faculty member may qualify for tuition benefits based on years of service. • Academic full-time faculty members generally have full participatory rights in faculty governance. • Coterminous faculty, health system clinicians, and clinical associates are NOT eligible for academic full-time status.

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Adjunct Faculty

Data Definition
Adjunct Faculty appointments are non-tenure-track. Adjunct appointments must total less than 50% workload for the academic year or be less than 100% for half of the academic year. As such, adjunct faculty members are not eligible for University benefits. Adjunct faculty members typically hold a primary, continuing position at another university or at an external organization. They do not have the full range of faculty responsibilities; their focus is either on teaching or research. Depending upon the discipline, adjunct faculty may or may not be expected to hold a terminal degree in their field of specialization. Adjunct appointments are usually less than three years but may be renewed repeatedly.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: ADJ
☑	BENEFITS ELIGIBILITY: No
☑	May be primary academic appointment: Yes
☑	Paid appointment: either
☑	JOB TITLE: adjuncts usually hold the same JOB TITLE as that of their continuing position at another university or at an external organization.
☑	RANK: adjuncts usually hold the same rank as that of their continuing position at another university or at an external organization.
☑	STANDARD HOURS: determined by using the federally-provided formula for adjunct faculty: • 2.25 hours to be counted for each "classroom hour" (not credit hour) of time • 1.00 office work hour per class
☑	SCHEDULED PAY PERIODS: leave blank.
☑	All other appointments should be adjunct appointments with the same JOB TITLE.

Rule

- The home department for adjunct faculty members is the Office of the Provost.
- The Office of the Provost must sign all Position/Appointment Forms for adjunct appointments.
- Adjunct faculty members are tracked for Affordable Care Act benefits eligibility.
- The decision as to whether a faculty member may hold a second or additional adjunct appointment during an academic year is reviewed by the Office of the Provost.
- See the adjunct appointment procedure for more details.

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Artist in Residence

Data Definition
These non-tenure-track appointments are for accomplished artists. The appointment may be full- or part-time, for a limited term (1-2 years), or on a continuing basis.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: REG
☑	BENEFITS ELIGIBILITY: either
☑	May be primary academic appointment: Yes
☑	Paid appointment: either
☑	Tenure-track appointment: No
☑	JOB TITLE: Artist in Residence

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Associate and Associate, Clinical

Data Definition
The titles *Associate* and *Associate, Clinical,* designations which have not been given to new hires since 1988, have been granted in the Feinberg School of Medicine to faculty at a rank equivalent to instructor. These individuals are regular faculty members holding renewable one-year appointments. These titles are distinct from and not to be confused with clinical associate, a (previously used) subset of clinical faculty in the Feinberg School of Medicine. There is no expectation for promotion for associate or associate, clinical faculty.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: REG
☑	BENEFITS ELIGIBILITY: Yes
☑	May be primary academic appointment: Yes
☑	Paid appointment: Yes
☑	Tenure-track appointment: No
☑	RANK: instructor
☑	JOB TITLE: associate or associate, clinical.

Rules
• These titles apply solely within the Feinberg School of Medicine. • These titles are distinct from the title clinical associate, used until March of 2012. • These titles have not been granted to newly hired faculty since 1988. • Faculty members with these titles may apply for emeritus status upon retirement.

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Clinical Faculty

Data Definition
Clinical appointments are a subset of regular faculty appointments. In the medical school, the majority of non-tenure-track faculty members belong to this category despite the absence of "clinical" in the faculty title. In other schools with established clinical paths (J. L. Kellogg School of Management, Northwestern University School of Law, the Medill School of Journalism and the Henry and Leigh Bienen School of Music), the clinical modifier is generally used for paid, non-tenure-track faculty members who are typically practicing professionals brought in to add professional experience and perspective to the curriculum. This term is also used to distinguish clinical positions from tenure-track faculty members. Clinical faculty members are not necessarily expected to hold a terminal degree in their field. Their duties are generally focused on teaching rather than research.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: REG
☑	BENEFITS ELIGIBILITY: Yes
☑	May be primary academic appointment: Yes
☑	Paid appointment: Yes
☑	Tenure-track appointment: No
☑	JOB TITLE: clinical is in the JOB TITLE for all schools except the medical school.
☑	Signature required, Office of the Provost.

Rules

- In the medical school, clinical is not in the JOB TITLE; all regular, paid, non-tenured/non-tenure eligible faculty members are considered clinical faculty. This includes PhDs such as psychologists, chemists, etc. in clinical departments.
- Clinical faculty may hold additional appointments in other departments or schools and may have a different JOB TITLE for those appointments.

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College Fellow

Data Definition
College Fellows are entry level faculty members who have been approved for entry into the tenure-track, primarily within Weinberg, spending their first year as a fellowship year. These are persons who have not already had a post-graduate school fellowship or a teaching appointment that would have increased their experience in teaching and/or research. The fellowship year does not count towards the six-year probationary term for the tenure decision. At the end of that year the title assistant professor is granted, the faculty member enters the tenure-track, and the tenure clock begins. The focus during the fellowship is on teaching and writing with no major service obligations.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: REG
☑	BENEFITS ELIGIBILITY: Yes
☑	May be primary academic appointment: Yes
☑	Paid appointment: Yes
☑	Tenure-track appointment: No
☑	RANK: assistant professor
☑	CAREER PATH: N/A
☑	JOB TITLE: College Fellow

Rules

- This title is primarily used within Weinberg.
- Faculty holding this title may not have had a previous post-graduate school fellowship or a teaching appointment that would have increased their experience in teaching and/or research.
- Faculty holding this title must be in full-time residence.

Category – Faculty Appointment Type | Last update: 10/29/2010

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Contributed Services Faculty

Data Definition
A *Contributed Services* faculty appointment is granted to medical staff who participate in medical school academic activities without compensation from an approved medical school source (Veteran's Administration, Children's Memorial Hospital, Lake Forest Hospital, Northwestern Medical Faculty Foundation, Northwestern Memorial Hospital, Rehabilitation Institute of Chicago, John H. Stroger Jr. Hospital of Cook County). The majority of such faculty members are in the private practice of medicine. Contributed services faculty members are allowed leaves of absence, and the tuition benefits are based on continuous years of service.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: CNT
☑	BENEFITS ELIGIBILITY: limited to tuition benefits.
☑	PCT FT (appointment percent full-time): must be 0%.
☑	May be primary academic appointment: Yes
☑	Paid appointment: unpaid.*
☑	Tenure-track appointment: No**
☑	JOB TITLE: clinical is in the JOB TITLE.

Rules
Contributed services faculty members are only at the medical school. * Contributed services faculty engaged in educational activities above and beyond specified duties or engaged in course development may receive a stipend. ** However, tenured faculty may change from a regular faculty position to contributed services.

Category – Faculty Appointment Type Last update: 04/21/2011

Return to Table of Contents Effective date: 06/14/2010

Coterminous Faculty

Data Definition
Coterminous identifies faculty appointments that are granted in conjunction with another, typically non-faculty, appointment. The non-faculty appointment is the primary role. Therefore, the faculty appointment terminates when the other appointment ends. In the medical school, for example, a graduate medical student may hold an appointment as Chief Medical Resident and be granted an appointment as a coterminous instructor. The faculty appointment must end when the appointment as Chief Medical Resident ends. There are also faculty members holding a single faculty appointment, coterminous with a non-Northwestern appointment. In this case the appointment at Northwestern is designated as the primary role.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: COT
☑	BENEFITS ELIGIBILITY: either
☑	May be primary academic appointment: Yes
☑	Paid appointment: either
☑	Tenure-track appointment: No

Rules
• These appointments are determined on an individual basis. Depending upon the school or department, if the only appointment is coterminous (COT), the individual may be excluded from faculty governance. • This usually involves an administrative appointment and a coterminous academic appointment. However, Qatar faculty members with academic appointments may hold coterminous academic appointments in schools based in Evanston. • COT appointments are faculty appointments dependent on another position, but they are not always a Northwestern appointment. There are cases where a faculty member holds an academic appointment at another school and supervises Northwestern University medical students at outside institutions such as the VA Hospital. Coterminous appointments can also be associated with students involved in post graduate medical training or with resident fellows. These latter appointments are being phased out.

Category – Faculty Appointment Type — Last update: 04/15/2011

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Courtesy Appointment

Data Definition
A *Courtesy* appointment is an unpaid secondary appointment. This designation refers to academic appointments outside a faculty member's primary department. See the secondary appointment definition for further details.

How to identify	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: same as the primary academic appointment.
☑	PAY GROUP: OTH
☑	Primary academic appointment: No
☑	RANK: should be the same rank as the primary academic appointment.
☑	A courtesy appointment may be designated using the appointment indicator on the job record.
☑	Signature required, Home Department.

Category – Faculty Appointment Type Last update: 09/12/2011

Return to Table of Contents Effective date: 06/14/2010

Donald P. Jacobs Scholar

Data Definition
The *Donald P. Jacobs Scholar* position may be granted in the Kellogg School to newly appointed first year faculty who have not previously taught in a business school. The position is granted for one academic year and defers the start of the tenure clock for one year. At the end of that year the title assistant professor is granted, the faculty member enters the tenure track, and the tenure clock begins. The focus during the fellowship year is on integrating into the research community and teaching in the classroom. A PhD is required for tenure-track positions in the Kellogg School.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: REG
☑	BENEFITS ELIGIBILITY: Yes
☑	May be primary academic appointment: Yes
☑	Paid appointment: Yes
☑	Tenure-track appointment: No
☑	RANK: assistant professor
☑	CAREER PATH: N/A
☑	JOB TITLE: Donald P. Jacobs Scholar

Rules

- This title applies solely within the Kellogg School.
- A PhD is required for tenure-track positions in the Kellogg School.

Category – Faculty Appointment Type Last update: 03/17/2011

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Emeritus

Data Definition
The *Emeritus* designation refers to a faculty member who retires from Northwestern after reaching age 55 and (generally) at least 10 years of continuous service. Nominations to emeritus status require approval of the dean, the Provost and the Board of Trustees. Approval is based upon an assessment of the faculty member's contributions to the research and/or teaching missions of the University. Emeritus faculty members are typically unpaid, though they may receive compensation for specific teaching, research or administrative activities.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: EME
☑	BENEFITS ELIGIBILITY: emeritus faculty have the retiree universal health plan.
☑	May be primary academic appointment: Yes
☑	Paid appointment: either
☑	Tenure-track appointment: No
☑	JOB TITLE: Emeritus is in the JOB TITLE
☑	Signature required, Office of the Provost.

Rules

- A faculty member may request emeritus status to be granted at retirement. This status must be approved by the dean, the Provost and the Board of Trustees.
- Emeritus faculty may hold paid appointments.
- For additional information see the emeritus transaction and the paid emeritus procedure.

Category – Faculty Appointment Type — Last update: 01/03/2011

Return to Table of Contents — Effective date: 06/14/2010

Faculty Administrative Appointments

Data Definition
Faculty members often have *Faculty Administrative Appointments*, for example, as director of a center, institute, or program, or as an associate or assistant dean. Such positions may be the primary role of the faculty member or may be added on in addition to the primary activities of teaching, research, or clinical work. Administrative positions are typically 12-month appointments; whereas other faculty appointments usually have a 9-month contract period.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY : ADF
☑	BENEFITS ELIGIBILITY – yes
☑	Administrative faculty appointments typically have a 12-month contract period.
☑	Can be primary role.
☑	JOB TITLE – varies
☑	Signature required, Office of the Provost.

Rules
• The contract period should be stated in the appointment letter. • Typically sponsored funds are not used for faculty administrative appointments. For any questions regarding sponsored funding, see the guidelines posted on the Accounting Services for Research and Sponsored Programs web site.

Category – Faculty Appointment Type — Last update: 09/26/2011

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Faculty Associate

Data Definition
Faculty Associates hold appointments intended for professionals within their field of specialty. The teaching responsibilities of faculty associates are overseen by regular faculty. Faculty associates do not follow a specific career path or rank designation.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: CLA
☑	BENEFITS ELIGIBILITY: possible
☑	May be primary academic appointment: Yes
☑	Paid appointment: Yes
☑	Tenure-track appointment: No
☑	JOB TITLE: faculty associate may or may not be in the JOB TITLE.

Additional Information
• Instructors of the following types in the Bienen School of Music are faculty associates: instructor-chamber music, instructor-opera, instructor-accompanist, and instructor-academy. The sub-type of instructor is tracked with the appointment indicator. • The following individuals hired in the Center for Talent Development are faculty associates: instructors, EDG teaching assistants, and teaching assistants-non TGS.

Category – Faculty Appointment Type | Last update: 4/09/2012

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Faculty in Residence

Data Definition
Assistant/Associate/Full Professors in Residence are non-tenure track faculty at the NU Qatar campus. These faculty members are regular faculty in the Faculty in Residence career path.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: REG
☑	BENEFITS ELIGIBILITY: yes
☑	May be primary academic appointment: Yes
☑	Paid appointment: Yes
☑	Tenure-track appointment: No
☑	RANK: assistant professor, associate professor, or professor.
☑	JOB TITLE: Assistant/Associate/Full Professor in Residence.

Additional Information
These faculty titles are limited to non-tenure track faculty working at the NU Qatar campus.

Category – Faculty Appointment Type　　Last update: 09/13/2012

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Health System Clinician

Data Definition
In the Medical School, *Health System Clinicians* are a subset of clinical faculty appointments. Such appointments are without rank or opportunity for promotion. Faculty members in this category are customarily health professionals whose total compensation is provided by an approved Medical School source but who are geographically based outside the McGaw Medical Center of Northwestern University. Health system clinicians have no ongoing teaching, research, or academic administrative responsibilities. Health system clinicians may be paid by an affiliated practice plan.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: HSC
☑	BENEFITS ELIGIBILITY: No
☑	May be primary academic appointment: Yes
☑	Department number must end with 94.
☑	JOBCODE is 102073
☑	Paid appointment: No
☑	Not academic full-time
☑	Tenure-track appointment: No
☑	JOB TITLE: health system clinician in JOB TITLE.

Rules
• FSM has health system clinicians. • The appointment end date is set up in FASIS as indefinite. However these appointments are set up with the *annual renewable* appointment indicator and may be renewed annually.

Category – Faculty Appointment Type
Last update: 03/21/2012

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Effective date: 03/21/2012

Joint Appointment

Data Definition
The *Joint Appointment* designation applies to regular faculty appointments that are held concurrently in more than one academic department if both departments contribute financially to the faculty member's salary. (If salary support comes exclusively from one department, the appointment held in the second department is referred to as a secondary or courtesy appointment.) One of the two (or more) academic departments providing salary support is designated the faculty member's primary (home) department. Usually the appointment in this department is considered the primary academic appointment. Faculty members holding joint appointments are entitled to all rights and privileges accorded regular faculty members of both departments. Collaboration is expected across departments and schools for tenure review.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: REG
☑	BENEFITS ELIGIBILITY: Yes
☑	May be primary academic appointment: No
☑	Paid appointment: Yes
☑	Tenure-track appointment: usually
☑	Signature required, Office of the Provost.
☑	RANK: rank and tenure status must be the same as the primary appointment.

Rules
A home department must be specified for a joint appointment. The appointment in the home department is considered the primary academic appointment. Some centers, by exception, may have joint appointments with an academic department. See the Joint and Paid Secondary Appointment Procedure.

Category – Faculty Appointment Type — Last update: 04/15/2011

Return to Table of Contents — Effective date: 06/14/2010

Lecturer Faculty

Data Definition
Lecturer Faculty contribute primarily to the teaching mission of the University, assuming a range of teaching and teaching related responsibilities often requiring specialized skills. Lecturer faculty may hold one of three job titles: Lecturer, Senior Lecturer and Distinguished Senior Lecturer (in a given field). These three titles are approved for use throughout the University. Lecturer faculty appointments are dependent upon student enrollment.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: REG
☑	BENEFITS ELIGIBILITY: Yes
☑	May be primary academic appointment: Yes
☑	Paid appointment: may be either paid or unpaid.
☑	Tenure Eligible: No
☑	JOB TITLE: The term *lecturer* is in the job title. Lecturer titles are lecturer, senior lecturer and distinguished senior lecturer.
☑	RANK: distinguished senior lecturer, senior lecturer, lecturer
☑	Signature required, Office of the Provost, for senior lecturer and distinguished senior lecturer.
☑	Emeritus: eligible to apply for emeritus status upon retirement.

Rules
• Lecturer faculty may work in multiple departments and schools. The department that first hires the lecturer is considered the home department, and the faculty member's primary academic appointment is in that department. • Lecturer appointment may be multi-year appointments. • The appointment indicator on the job record may be used to specify continuing or year-to-year.

Category – Faculty Appointment Type | Last update: 08/20/2014

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Librarian

Data Definition
Librarian faculty members contribute to the teaching and research missions of the University, assuming a wide range of responsibilities requiring specialized skills in a range of library and information sciences. Librarian faculty members are generally full-time, non-tenure track faculty who are practicing professionals brought in to add professional experience and perspective to the curriculum and research programs. Librarian faculty members are typically expected to hold a relevant terminal degree (i.e. MLS or equivalent). Their duties are focused on specialized professional support for the teaching, learning, and research activities of the university. This category of appointment may be used in any of the university's schools and units with varying specific job titles.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: LIB
☑	BENEFITS ELIGIBILITY: Yes
☑	May be primary academic appointment: Yes
☑	Paid appointment: Yes
☑	Tenure-track appointment: No
☑	RANK: Librarian, Senior Librarian, Assistant/Associate Director, and Director
☑	Signature required, Office of the Provost

Rules

- Librarian faculty may hold named professorships.
- Librarian faculty may hold joint appointments with Schools at Northwestern.
- Librarian faculty may apply for emeritus status upon retirement.

Category – Faculty Appointment Type — Last update: 09/02/2011

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Named Professorships and Awarded Appointments

Data Definition
A *Named Professorship* is a position/appointment that may be supported by restricted, endowed funds. The named professorship appointment is in addition to the regular academic appointment. A faculty *Awarded Appointment* provides formal, internal recognition of achievement and is a separate position/appointment. Funding for an awarded appointment may go to a school, a department, or directly to the recipient as a stipend. The dean nominates a faculty member to a named professorship. Approval is required by the Office of the Provost and the Board of Trustees. The process for an awarded appointment depends upon the specific award. Please see the Named Professorship Procedure for additional details.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY : END
☑	BENEFITS ELIGIBILITY – no
☑	May be primary academic appointment: No
☑	PUBLISHED JOB DESCRIPTION – a modification of the legal name of the named professorship without any abbreviations – typically the word *professorship* in the legal name becomes *professor* in the published job description. The *Legal Name* is specified in the *Gift Agreement*, held by the Office of the Provost.
☑	JOB TITLE – The title of the professorship, abbreviated if necessary to accommodate system requirements. Because the JOB TITLE may be abbreviated, it may differ slightly from the legal name.
☑	Signature required, Office of the Provost.

Rules
Named Professorships • The faculty member is required to hold a regular or visiting academic appointment in addition to the named appointment. • A named professorship appointment may be for a set amount of time, or it can be for an indefinite time period. • An indefinite appointment ends when the faculty member retires or resigns from the university. • The source of funding may or may not be a gift account. • Faculty may not modify the name of the professorship on publications, letter head, business cards, etc., and they must not use the title until it has been approved by the Board of Trustees. Awarded Appointments • Awarded appointments are for a set amount of time and may include a stipend. • Depending on the award, the recipient may or may not have a regular faculty appointment.

- Examples are the Ver Steeg Research Fellowship, the Charles Deering McCormick Award, and the Nemmers Prizes in Mathematics/Economics.

Category – Faculty Appointment Type Last update: 04/15/2011

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NMFF Member

Data Definition
The *NMFF Member* designation is used for Feinberg faculty members who are also paid for clinical work as members of the Northwestern Medical Faculty Foundation. These appointments are always made in conjunction with a paid faculty appointment through Northwestern.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: NMF
☑	BENEFITS ELIGIBILITY: Yes; NFT (NMFF benefit program)
☑	May be primary academic appointment: No
☑	Paid appointment: Yes
☑	Tenure-track appointment: No
☑	JOB TITLE: NMFF Member
☑	School : FSM only

Category – Faculty Appointment Type Last update: 06/14/2010

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Regular Faculty

Data Definition
Regular Faculty members are identified as officers of instruction, following the career paths of tenure-track faculty, clinical faculty, faculty in residence, teaching track faculty, or lecturer faculty. Regular faculty may have the rank of professor, associate professor, assistant professor, or instructor. Regular faculty appointments may be held either in departments or in officially sanctioned programs. The categories of adjunct, clinical associate, contributed services, health system clinician, librarian, coterminous, emeritus, faculty associate, research and visiting faculty are not included among regular faculty.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: REG
☑	BENEFITS ELIGIBILITY: Yes
☑	May be primary academic appointment: Yes
☑	Paid appointment: either
☑	Tenure-track appointment: varies
☑	JOB TITLE: professor, associate professor, assistant professor, professor of instruction or practice, associate professor of instruction or practice, assistant professor of instruction or practice, distinguished senior lecturer, senior lecturer, lecturer, College Fellow, Donald P. Jacobs Scholar, and instructor. Also included are clinical professor, clinical associate professor, clinical assistant professor, and clinical instructor.
☑	Signature required, Office of the Provost, for instructor, assistant professor, associate professor, clinical faculty, senior lecturer, distinguished senior lecturer, professor of instruction, and renewals for visiting faculty.
☑	RANK: professor, associate professor, assistant professor, and instructor.

Rules
• College Fellows and Donald P. Jacobs Scholars hold a one year non-tenured position and are then reclassified into a tenure eligible assistant professor position. • Academic full-time faculty are considered regular faculty. This may be designated with the appointment indicator on the job record.

Category – Faculty Appointment Type — Last update: 09/07/2011

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Research Faculty

Data Definition
Schools submit recommendations for *Research Faculty* appointments, and these appointments are reviewed and approved by the Office for Research. Research faculty members do not teach and are not to be supported on appropriated funds. They are typically supported only on sponsored funding and are appointed solely to pursue research. Generally they must hold the terminal degree in their field and are independent investigators who are evaluated in terms of their scholarly achievements. Research faculty members almost always have paid appointments. Unpaid research faculty appointments are generally reserved for those individuals employed by affiliated institutions (Lurie Children's Hospital, Rehabilitation Institute of Chicago, etc.) and involved in collaborative research with Northwestern investigators in Northwestern facilities. Research faculty members who are employed full-time at an affiliated institution are classified as academic full-time.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: RES
☑	BENEFITS ELIGIBILITY: either
☑	May be primary academic appointment: Yes
☑	Paid appointment: either
☑	If academic full-time, PCT FT (appointment percent full-time) is 0%.
☑	Tenure-track appointment: No
☑	JOB TITLE: research is in the title.

Rules

- Detailed information concerning Research Appointments at Northwestern and the Research Faculty Policy are available from the Office for Research.
- Research faculty do not usually teach, but at the department's discretion a faculty member may have a secondary appointment in another department (or even their own) as lecturer. This is a regular faculty appointment.
- The primary academic appointment for a research faculty member may be in an institute or center.
- *Senior research investigator* is a category of research faculty that is used for retired tenured faculty who do not qualify for emeritus appointments and who wish to maintain an externally funded research program. This JOB TITLE is not currently being used.

Category – Faculty Appointment Type Last update: 12/02/2011

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Secondary Appointment

Data Definition
The *Secondary* designation refers to faculty academic appointments outside a faculty member's primary department. It may refer to faculty appointments in centers or institutes that are not eligible to grant primary, regular faculty appointments. Secondary appointments do not customarily invest the faculty member with full faculty privileges in the second department. Unpaid secondary appointments can alternatively be referred to as a courtesy appointment. Academic administrative appointments are a subset of secondary appointments.

How to identify	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: same as the primary academic appointment
☑	PAY GROUP: OTH if in an academic department.
☑	PAY GROUP: may be paid (MOF) if holding a non-administrative appointment in a center or institute.
☑	Primary academic appointment: No
☑	RANK: should be the same rank as the primary academic appointment.
☑	Signature required, Home Department.

Rules
Researchers and librarians who teach courses can have a secondary appointment with a different JOB TITLE and POSITION CATEGORY. A lecturer JOB TITLE with a regular (REG) POSITION CATEGORY is a recommended designation. See the Joint and Paid Secondary Appointment Procedure.

Category – Faculty Appointment Type — Last update: 09/12/2011

Return to Table of Contents — Effective date: 06/14/2010

Teaching Track Faculty

Data Definition
Teaching Track Faculty contribute primarily to the teaching mission of the University, assuming a range of teaching and teaching related responsibilities often requiring specialized skills. Teaching track faculty may hold one of three job titles: Assistant Professor of Instruction or Practice, Associate Professor of Instruction or Practice and Professor of Instruction or Practice. These three titles are approved for use throughout the University. (Note: in Weinberg, *Teaching Track Faculty* also includes the following job titles that are being phased out: Lecturer, Senior Lecturer, and Distinguished Senior Lecturer.)

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: REG
☑	BENEFITS ELIGIBILITY: Yes
☑	May be primary academic appointment: Yes
☑	Paid appointment: may be either paid or unpaid.
☑	Tenure Eligible: No
☑	JOB TITLE: professor of instruction/practice, associate professor of instruction/practice, assistant professor of instruction/practice.
☑	RANK: professor, associate professor, assistant professor.
☑	Signature required by the Office of the Provost.
☑	Emeritus: eligible to apply for emeritus status upon retirement.

Rules

- Teaching track faculty may work in multiple departments and schools. The department that is responsible for taking the lead in promotion matters, as well as disciplinary actions and salary decisions, is the home department, and the primary academic appointment is in that department.
- These titles are intended for individuals whose duties are primarily instructional.

Category – Faculty Appointment Type | Last update: 09/18/2014

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Tenure-Track Faculty

Data Definition
Tenure-Track Faculty members are faculty who have attained tenure or are eligible for attaining tenure; they are a subset of regular faculty. They teach, do research, and serve in administrative and service roles in all schools at Northwestern. They may be hired at the rank of professor, associate professor or assistant professor. Appointments for tenure-eligible faculty are subject to a tenure clock which typically begins September first of their first appointment as assistant professor. Tenure-track faculty hold fixed length appointments (tenure status = T) before they attain tenure, with defined appointment end dates. Upon attaining tenure (tenure status = A), the faculty member's appointment end date becomes indefinite. Tenure-track faculty may also hold named professorships. Provided they fulfill the age and service requirements, tenure-track faculty may apply for emeritus status upon retirement.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: REG
☑	BENEFITS ELIGIBILITY: Yes
☑	May be primary academic appointment: Yes
☑	Paid appointment: may be either paid or unpaid.
☑	Tenure Eligible: Yes
☑	JOB TITLE: professor, associate professor, assistant professor. Under special circumstances the title instructor may be used in Weinberg for a tenure-track faculty member.
☑	RANK: professor, associate professor, assistant professor. Under special circumstances the rank instructor may be used in Weinberg.
☑	Signature required, Office of the Provost, for instructor, assistant professor, associate professor, and professor.
☑	Emeritus: eligible to apply for emeritus status upon retirement. Upon retirement, tenure status becomes N/A.

Rules
• Tenure-track faculty may work in multiple departments and schools. The department that is responsible for taking the lead in promotion and tenure matters, as well as disciplinary actions and salary decisions, is the home department, and the primary academic appointment is in that department. • Tenure status is tracked separately within FASIS on a tenure page which includes information on Cohort FY, Tenure Review Date, Early Decision Tenure, Clock Extensions, and Switch to Non-Tenure.

Category – Faculty Appointment Type Last update: 01/17/2011

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Visiting Faculty Appointments

Data Definition
Visiting Faculty Appointments are generally held by faculty with appointments at another academic institution. Appointments may range in duration from one to 36 months. Appointments longer than 36 months must be approved by the Office of the Provost. These appointments may be either paid or unpaid. Generally there is some expectation of service for the University, often specialized teaching.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: VIS
☑	BENEFITS ELIGIBILITY: Yes
☑	May be primary academic appointment: Yes
☑	Paid appointment: either
☑	Tenure-track appointment: No
☑	JOB TITLE: visiting is in the JOB TITLE
☑	Signature required, Home Department.
☑	Signature required, Office of the Provost, for all renewals of visiting appointments.
☑	RANK: visiting faculty generally hold the same rank as at their home institution.

Rules
Students who have completed their PhD at Northwestern may be granted a two year post-doctoral appointment as a visiting assistant professor.

Category – Faculty Appointment Type Last update: 08/24/2015

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Staff Appointment Types

Clinical Research Associate/Clinical Senior Research Associate

Data Definition
Clinical Research Associates are primarily involved in the administration of clinical trials and have experience and expertise in running such trials. They do not serve as principal investigators on research projects, except with the written approval of the vice president for research. They are not members of the faculty and are ineligible for tenure. Clinical research associates and clinical senior research associates may be appointed for a term of up to three years. The differences between clinical research associates and clinical senior research associates are a function of experience and expertise. Both clinical research associates and clinical senior research associates typically hold an advanced degree which may include RN, MS, MA, MD or PhD. They have demonstrated significant research achievements in the form of publications, patents, or other measures of research accomplishments.

Eligibility Checklist	
☑	POSITION TYPE: STF
☑	POSITION CATEGORY: EXM (Exempt) and NEX (Non exempt)
☑	BENEFITS ELIGIBILITY: Yes
☑	Paid appointment : Yes
☑	JOBCODES: 103258 (Clinical Research Associate), 103015 (Clinical Research Associate-BIR) 104576 (Sr Clinical Research Assoc), 104577 (Sr Clinical Research Assoc-BIR)
☑	Contract Period: 12, exceptions may be made.
☑	SCHEDULED PAY PERIODS: EXM:12 and NEX 26.1
☑	Can be the primary role.

Rules
• The appointment is approved by the School. The Recommendation for Research and Visitor appointment is approved by the Office for Research. • Appointments are for a fixed term up to three years. The two contingencies are availability of funds and satisfactory performance. Documentation of unsatisfactory performance must be consistent with the Department of Human Resources staff policies. Any termination, layoff, or reduction in salary must be done in accordance with this Research Staff & Visitor Appointments policy and Department of Human Resources staff policies, and must be approved by the school dean or University center director, as well as by the Department of Human Resources. Documentation of lack of funding leading to reduction in effort and/or termination must be consistent with school or center policies and practices. • The minimum salary for full-time exempt research associates, senior research associates, clinical research associates, and senior clinical research associates is $23,660 per annum. Part-time

appointments may be pro-rated from this salary amount, based on the percent of effort. Regardless of the percent of effort, where the annual salary is less than the FLSA minimum of $23,660 per year, the Clinical Research Associate or Senior Clinical Research Associate is non-exempt and must be paid hourly. In these cases, use the BIR job codes.

- All research staff and visitors are subject to Northwestern University's policies on intellectual property, including the Patent and Invention Policy, which gives the University rights in inventions and discoveries made under conditions of employment or from use of University facilities, resources, or support. The policies regarding intellectual property are available at the Innovation and New Ventures web site.

- All research staff and visitors are subject to Northwestern University's Conflict of Interest Policy.

- Clinical Research Associates may hold a separate appointment to teach at the University, typically as a lecturer. It is assumed that when the clinical research associate appointment ends, the teaching (lecturer) appointment would end.

- These appointments are typically held in the Feinberg School of Medicine in Clinical departments.

Category –Staff Appointment Type | Last update: 7/15/2011

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Exempt Staff

Data Definition
The *exempt* staff consists of employees whose responsibilities are primarily executive, managerial, or administrative, or whose positions require an advanced educational degree or knowledge and experience in a professional field. These positions are paid monthly and are exempt from the overtime requirements of the Fair Labor Standards Act (FLSA).

Eligibility Checklist	
☑	POSITION TYPE: STF
☑	POSITION CATEGORY: EXM
☑	BENEFITS ELIGIBILITY: Yes
☑	Paid appointment : Yes (The Pay Group is MON (Monthly))
☑	SCHEDULED PAY PERIODS: 12
☑	CONTRACT PERIOD : Typically 12, in some cases can be 9.
☑	Can be the primary role.
☑	Appointment End Date is typically indefinite.

Rules

- The Percent full time field must be filled out for exempt staff as this field drives benefits eligibility (full time or part time benefits eligible status).
- The minimum salary exempt staff is $23,660 per annum.
- Reference and follow the rules according to the Staff Handbook.

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Non-Exempt Staff

Data Definition
The *non-exempt staff* consists of employees holding positions in support activities. Employees in these jobs are subject to FLSA overtime provisions. They are paid by the hour and are paid 1½ times their regular pay rate for hours worked in excess of 40 in a week.

Eligibility Checklist	
☑	POSITION TYPE: STF
☑	POSITION CATEGORY: NEX
☑	BENEFITS ELIGIBILITY: Yes
☑	Paid appointment : Yes, the PAY GROUP is BIR (bi-weekly).
☑	SCHEDULED PAY PERIODS: Typically 26.1, in some rare cases may be another value such as 20.
☑	CONTRACT PERIOD: Typically 12, in some cases may be 9, 10, 11.
☑	Can be the primary role.
☑	Appointment End Date is typically indefinite.

Rules
• The Standard Hour field must be filled out for Non Exempt Staff as this field drives benefits eligibility (and full-time or part time benefits eligible status). *Please Note: percent full time is not an applicable field for non-exempt staff.* • Reference and follow the rules according to the Staff Handbook.

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NRSA Postdoctoral Fellows

Data Definition
NRSA postdoctoral fellows are recipients of National Research Service Award (NRSA) funding from the National Institutes of Health (NIH) - both those receiving fellowships as individuals (F32) and those receiving support from institutional training grants (T32). As provided by the terms of the award, NRSA postdoctoral fellows are considered to be trainees rather than employees of the NIH or of the University. Additional information including current stipend scales and revised parental leave policy is maintained on web pages of the Training Grant Support Office of The Graduate School.

Eligibility Checklist	
☑	POSITION TYPE: NON
☑	POSITION CATEGORY : PDC (Post Doc)
☑	BENEFITS ELIGIBILITY: Yes, administered through Garnett Powers, (resides in the NPP Benefit Program in FASIS).
☑	Paid appointment : Paid
☑	JOBCODE: 100091 (Post Doc F/T (NRSA After 8/86))

Rules

- These appointments are managed and approved by each School.
- NIH NRSA policy determines the availability of benefits, as described in the document *Benefits, Tax, and Other Policy Provisions for Postdoctoral National Research Service Awards* sponsored by the Office of Human Resources and administered by Garnett-Powers & Associates.
- An NRSA stipend may be supplemented with non-sponsored funds provided there is no work requirement associated with the supplement. This is the normal and expected form of stipend augmentation. The NRSA stipend supplement is set up in FASIS as JOBCODE 102019 (NRSA Post Doc Supplement) with a Position Type of NON and Position Category of PDC.
- There is 100% full time obligation (40 hrs/week) for NRSA trainees on the NRSA funded activities.
- NRSA postdoctoral fellows may be compensated for work beyond the NRSA full-time obligation that is temporary and part time, amounting to less than or equal to 10 hours per week. Compensation may be provided from sponsored funds provided that the work does not involve the same research that is part of the NRSA research training. The work may not interfere with, detract from, or prolong the approved NRSA training, and must be approved by the Training Grant Program Director or NRSA fellowship faculty Sponsor. If compensation is from sponsored funds, effort reporting is required.
- NRSA postdoctoral fellows may hold an additional Instructor appointment. This appointment must be entered using JOBCODE 100079 (Instructor) and must be co-terminus with the NRSA appointment (Position Type FAC and Position Category COT).
-

Category –Staff Appointment Type — Last update: 8/08/2011

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Post-baccalaureate Research Fellows

Data Definition
Post-baccalaureate Research Fellows are individuals with recently granted baccalaureate or masters degrees. Under the direction of a faculty supervisor the post-baccalaureate fellow supports the research efforts of the research laboratory or group. Depending on the scientific discipline and phase of research, the fellow may design, prepare, and run experiments; review scientific literature; prepare reports and presentations; develop and present theories and hypotheses; design and build experimental apparatus; operate research equipment; prepare samples for testing: and perform a variety of research related activities in support of the research project. The individual's degree must be in a related discipline of the supporting research laboratory or group. The position description is accessible at the following link: Northwestern University Position Description for Post-baccalaureate research fellows (Job code 105139).

Eligibility Checklist	
☑	POSITION TYPE: STF
☑	POSITION CATEGORY: EXM (Exempt)
☑	BENEFITS ELIGIBILITY: Yes
☑	Paid appointment : Yes
☑	JOBCODE: 105139 (Post-Baccalaureate Res Fellow)
☑	CONTRACT PERIOD: 9, 10, 11, or 12, exceptions may be made.
☑	SCHEDULED PAY PERIODS: Typically 12, can differ.
☑	Can be the primary role.
☑	Always full time (Percent Full Time = 100%)

Rules

- The appointment is approved by the School. The *Recommendation for Research Appointment* is approved by the Office for Research.
- No more than six months may have elapsed between the date of graduation and the start date of the fellowship.
- In general, post-baccalaureate fellows may not be appointed for less than nine months or more than twelve. Exceptions to these appointment term limits may be made for individuals with documented job offers and/or acceptance to graduate school.
- Post-baccalaureate fellows may only be appointed with full-time, paid, exempt status. The minimum salary is $23,660 per annum.
- Appointments are for a fixed term up to one year. The two contingencies are availability of funds and satisfactory performance. Documentation of unsatisfactory performance must be consistent with the Department of Human Resources staff policies. Any termination, layoff, or reduction in salary must be done in accordance with this Research Staff & Visitor Appointments policy and Department of Human Resources staff policies, and must be approved by the School dean or University center director, as well as by the Department of Human Resources. Documentation of

lack of funding leading to reduction in effort and/or termination must be consistent with School or center policies and practices.

- All research staff and visitors are subject to Northwestern University's policies on intellectual property, including the Patent and Invention Policy, which gives the University rights in inventions and discoveries made under conditions of employment or from use of University facilities, resources, or support. The policies regarding intellectual property are available at the Innovation and New Ventures web site.
- All research staff and visitors are subject to Northwestern University's Conflict of Interest Policy.

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Postdoctoral Fellows

Data Definition
Postdoctoral Fellows are individuals with recently granted degrees of PhD or MD, or the equivalent terminal degree, who are primarily involved in continuing post graduate education or training in conducting research. Postdoctoral fellows are normally paid through the University payroll system and have research staff appointments.

Eligibility Checklist	
☑	POSITION TYPE: STF
☑	POSITION CATEGORY: Typically EXM, can be NEX
☑	BENEFITS ELIGIBILITY: Either
☑	Paid appointment : Typically paid *
☑	JOBCODE: 100006 (Postdoctoral Fellow (Trainee)); 103013 (Postdoctoral Fellow (BIR)).

Rules

- Each individual School oversees and approves these appointments.
- If the grant allows, postdoctoral fellows may hold a separate appointment to teach at the University, typically as a lecturer. It is assumed that when the postdoctoral fellow appointment ends, the teaching (lecturer) appointment ends.
- In the Weinberg College of Arts and Sciences, there are Mellon postdoctoral fellows. These are considered teaching postdoctoral fellows and can be indicated by the appointment indicator value of 'Teaching Post Doc'. Mellow Postdoctoral Fellows use Jobcode 100118, Position Type FAC, and Position Category REG.
- All research staff and visitors are subject to Northwestern University's policies on intellectual property, including the Patent and Invention Policy, which gives the University rights in inventions and discoveries made under conditions of employment or from use of University facilities, resources, or support. The policies regarding intellectual property are available at the Innovation and New Ventures web site.
- All research staff and visitors are subject to Northwestern University's Conflict of Interest Policy.
- * The cases where a postdoctoral fellow is unpaid at Northwestern occurs only when an individual is funded by an affiliated organization of Northwestern (such as RIC, Lurie Children's Hospital, NMH); and the unpaid NU appointment is needed for identification purposes and use of Northwestern resources such as Northwestern email.

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Research Affiliates

Data Definition
Research affiliates are research professionals employed by other institutions formally affiliated with Northwestern University (for example, the Howard Hughes Medical Institute). They are not paid by or employed by Northwestern, although they may be involved in collaborative research with Northwestern investigators in Northwestern facilities. They typically hold the PhD, MD, or equivalent terminal degree in their discipline or have received equivalent professional recognition. Research affiliates may be appointed for a term of up to three years; such positions are always dependent upon their continued employment at the affiliated institution.

Eligibility Checklist	
☑	POSITION TYPE: NON
☑	POSITION CATEGORY : AFF
☑	BENEFITS ELIGIBILITY: No
☑	Paid appointment : No
☑	JOBCODE: 103074 (Research Affiliate)
☑	Can be the primary role.

Rules

- The appointment is approved by the School's Dean's Office. The *Recommendation for Research and Visitor* appointment is approved by the Office for Research.
- Research affiliates are not paid by Northwestern, but the expectation is that the salary paid by the affiliate is at least $23,660 per annum.
- Research affiliates are not used in the Feinberg School of Medicine.
- All research staff and visitors are subject to Northwestern University's policies on intellectual property, including the Patent and Invention Policy, which gives the University rights in inventions and discoveries made under conditions of employment or from use of University facilities, resources, or support. The policies regarding intellectual property are available at the Innovation and New Ventures web site.
- All research staff and visitors are subject to Northwestern University's Conflict of Interest Policy.

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Research Associate/Senior Research Associate

Data Definition
Research Associates and Senior Research Associates are primarily involved in laboratory (rather than clinical) research, although they are not principal investigators except with the written approval of the Vice President for Research. They are not members of the faculty and are ineligible for tenure. Research associates and senior research associates may be appointed for a term of up to three years, with the ability to be renewed. The differences between research associates and senior research associates are based on experience and expertise in their field. Typically **research associates and senior research associates** hold a PhD, MD, or equivalent terminal degree in their field, has received equivalent professional recognition, or has demonstrated exceptional artistic abilities. **Senior research associates** work in the conduct of research and, after receiving the doctoral or equivalent terminal degree and have demonstrated significant research achievements in the form of publications, patents, or other measures of research accomplishment.

Eligibility Checklist	
☑	POSITION TYPE: STF
☑	POSITION CATEGORY: EXM (Exempt) and NEX (Non-exempt).
☑	BENEFITS ELIGIBILITY: Yes
☑	Paid appointment : Yes
☑	JOBCODES: 100011 (Research Associate), 103208 (Research Associate – BIR), 100087 (Research Associate Senior) 103014 (Research Associate Senor –BIR).
☑	CONTRACT PERIOD: 12, exceptions may be made.
☑	SCHEDULED PAY PERIODS: EXM:12 and NEX 26.1
☑	Can be the primary role.

Rules
• The appointment is approved by the School. The *Recommendation for Research Appointment* is approved by the Office for Research. • Appointments are for a fixed term up to three years. The two contingencies are availability of funds and satisfactory performance. Documentation of unsatisfactory performance must be consistent with the Department of Human Resources staff policies. Any termination, layoff, or reduction in salary must be done in accordance with this Research Staff & Visitor Appointments policy and Department of Human Resources staff policies, and must be approved by the school dean or University center director, as well as by the Department of Human Resources. Documentation of lack of funding leading to reduction in effort and/or termination must be consistent with school or center policies and practices. • The minimum salary for full-time exempt research associates, senior research associates, clinical research associates, and senior clinical research associates is $23,660 per annum. Part-time appointments may be pro-rated from this salary amount, based on the percent of effort.

Regardless of the percent of effort, where the annual salary is less than the FLSA minimum of 23,660 per year, the Research Associate or Senior Research Associate is non-exempt, must be paid hourly, and is part-time. In these cases, use the BIR job codes.

- All research staff and visitors are subject to Northwestern University's policies on intellectual property, including the Patent and Invention Policy, which gives the University rights in inventions and discoveries made under conditions of employment or from use of University facilities, resources, or support. The policies regarding intellectual property are available at the Innovation and New Ventures web site.

- All research staff and visitors are subject to Northwestern University's Conflict of Interest Policy.

- Research Associates may hold a separate appointment to teach at the University, typically as a lecturer. It is assumed that when the research associate appointment ends, the teaching (lecturer) appointment would end.

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Visiting Postdoctoral Fellows

Data Definition
Visiting postdoctoral fellows are individuals with recently granted degrees of PhD, MD, or the equivalent professional degree, and they must hold a postdoctoral appointment at another institution. Visiting postdoctoral fellows are not employees of the University and are unpaid. They must receive their funding directly from an external agency. Visiting status is only approved upon receipt of documentation of external support. In some situations such externally supported postdoctoral fellows may be provided with supplemental funding from University or grant funds. Such funding is considered financial aid for living and/or travel expenses and is not tied to services rendered to Northwestern.

Eligibility Checklist	
☑	POSITION TYPE: NON
☑	POSITION CATEGORY : VSC (Visiting)
☑	BENEFITS ELIGIBILITY: No
☑	Paid appointment : Unpaid
☑	Signature required, Home Department
☑	JOBCODE: 103073 (Visiting Postdoctoral Fellow)

Rules
• Visiting postdoctoral fellows may be appointed for a period not to exceed one year. These appointments may be renewed or extended. Requests for extension or renewal must be approved by the School. • These appointments are managed and approved by each individual School.

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Visiting Pre-doctoral Fellows

Data Definition
Visiting pre-doctoral fellows are current degree-seeking graduate students from other institutions who are studying at Northwestern for short periods – working with faculty to learn research techniques or to use specialized facilities. Visiting pre-doctoral fellows are not employees of the University and are unpaid. Under certain circumstances, visiting pre-doctoral fellows may be provided with supplemental funding from University funds. Such funding is considered financial aid for living and/or travel expenses and is not tied to services rendered to Northwestern. In some cases visiting pre-doctoral fellows may be paid from sponsored programs through a subcontract to their home institution. Please see the policy on visiting pre-doctoral students from other US institutions of higher education and Northwestern sponsored programs for additional information.

Eligibility Checklist	
☑	POSITION TYPE: NON
☑	POSITION CATEGORY: VSC (Visiting)
☑	BENEFITS ELIGIBILITY: No
☑	Paid appointment: Unpaid (May receive a scholarship on a separate appointment)
☑	Signature required, Home Department
☑	JOBCODE: 100016 (Visiting Pre-Doctoral Fellow)

Rules
• The appointment is approved by the School's Dean's Office. The *Recommendation for Research and Visitor* appointment is approved by the Office for Research. • All research staff and visitors are subject to Northwestern University's policies on intellectual property, including the Patent and Invention Policy, which gives the University rights in inventions and discoveries made under conditions of employment or from use of University facilities, resources, or support. The policies regarding intellectual property are available at the Innovation and New Ventures web site. • All research staff and visitors are subject to Northwestern University's Conflict of Interest Policy. • In the case that a Visiting Pre-doctoral Fellow receives a scholarship, an additional appointment should be created with the job code 100009 (Scholarship – Taxable), with a zero percent full time value, and pay group of MGW. This appointment will be subject to taxation but not withholdings.

Category –Staff Appointment Type Last update: 08/01/2013

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Visiting Scholars

Data Definition
Visiting scholars are sponsored or employed elsewhere, usually by other universities, industry, or government agencies. Visiting scholars typically hold the PhD, MD, or equivalent terminal degree, or have received equivalent professional recognition. They are at Northwestern for one year or less to study with Northwestern faculty, learn research techniques, use specialized facilities, or collaborate with faculty investigators; this appointment may be renewed. Visiting scholars may serve as co-investigators on grant applications or funded projects, but they may not serve as Northwestern principal investigators. They may not teach in their duties as a visiting scholar and there is no expectation of service for the University. Visiting scholars are not employees of the University and are usually paid by their sponsoring organization. Under certain circumstances visiting scholars may be provided with supplemental funding from University funds. Such funding is considered financial aid for living and/or travel expenses and is not tied to services rendered to Northwestern.

Eligibility Checklist	
☑	POSITION TYPE: NON
☑	POSITION CATEGORY : VSC
☑	BENEFITS ELIGIBILITY: No , should carry insurance from supporting agency or covered by Risk Management
☑	Paid appointment: Unpaid
☑	Signature required, Home Department
☑	JOBCODE: 100007 (Visiting Scholars)

Rules

- The appointment is approved by the School. The *Recommendation for Research and Visitor appointment* is approved by the Office for Research.
- All research staff and visitors are subject to Northwestern University's policies on intellectual property, including the Patent and Invention Policy, which gives the University rights in inventions and discoveries made under conditions of employment or from use of University facilities, resources, or support. The policies regarding intellectual property are available at the Innovation and New Ventures web site.
- All research staff and visitors are subject to Northwestern University's Conflict of Interest Policy.
- Visiting scholars may hold a separate appointment to teach at the University, typically as a lecturer. It is assumed that when the visiting scholar appointment ends, the teaching (lecturer) appointment ends.

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Appointment Attributes

Academic Appointment Type

Data Definition
Academic Appointment Type is an attribute of faculty appointments to designate the degree to which the appointment is associated with a particular department. A faculty appointment may be designated as primary, joint, or secondary. For clarification, please refer to the definitions of these terms.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: not NMF or END or ADF

Rule
Named professorships, administrative faculty appointments, and NMFF Member appointments are not given academic appointment attributes.

Category – Appointment Attributes Last Updated: 05/11/2011

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Annual Renewable checkbox

Data Definition
The Law School and Feinberg have a group of non-tenure eligible faculty whose appointments are reviewed and renewed yearly. These appointments are called *Annual Renewable* appointments. The annual renewable appointments are identified by these two Schools and are tracked in FASIS selecting the annual renewable checkbox. A check in this box indicates that the value 'Y' is stored in Job Data.

Eligibility Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: not NMF, END, RES, or ADF
☑	Non –tenure eligible only

Rules

- Used only in the Law School and Feinberg.
- Currently the Law School procedure for annual renewable appointments is to enter a reappointment transaction on an annual basis. The Feinberg procedure is to enter an 'Indefinite' appointment end date within FASIS and to reappoint these individuals annually in the local Feinberg Faculty Database.
- To indicate an appointment is an annual renewable appointment, check the annual renewable checkbox on the Position & Appointment form.

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Appointment Indicator

Data Definition
The *Appointment Indicator* field provides additional detail about the nature of an appointment.

Rules

- There are no edits related to the appointment indicator field.
- The use of this field is at the discretion of the individual school.
- The default value for this field is blank. Other available choices include:
  - Academic Full-Time (ACAD): This type of appointment is for full-time, tenure-track or non-tenure-track faculty whose salary and benefits are provided, in whole or in part, by an entity other than Northwestern.
    In the most common circumstance, at Feinberg, the faculty member's salary is paid by an affiliated hospital. Similar considerations also apply to full-time faculty paid by outside organizations such as the American Bar Foundation or the Howard Hughes Medical Institute.
  - Academic Part-Time Greater Than or Equal to 50% (APTG): This type of appointment is for part-time faculty members at Feinberg working the full-time equivalent of > = 50%. These faculty members are not eligible for tuition benefits. This indicator is for tracking purposes only.
  - Academic Part-Time Less Than 50% (APTL): This type of appointment is for part-time faculty members at Feinberg working the full-time equivalent of less than 50%. These faculty members are not eligible for tuition benefits. This indicator is for tracking purposes only.
  - Courtesy (COUR): A courtesy appointment is an unpaid secondary appointment. This designation refers to academic appointments outside a faculty member's home department.
  - Instructor – Academy (IACA)
  - Instructor – Accompanist (IACC)
  - Instructor – Chamber Music (ICHA)
  - Instructor—Opera (IOPR)
    These four instructor values are used by the Bienen School of Music.
  - Lecturer – Year to Year (LYTY)
  - Lecturer – Continuing (LCNT)
    The difference between the two lecturer values is the extent of on-going commitment by the school.
  - Teaching Post Doc (TPDC)
    Although there are many other individual examples of teaching post docs, the two most common examples are in Weinberg: Ralph Boas assistant professors and Mellon postdoctoral fellows.
  - Teaching Pre Doc (TPRD)

Setting Up Appointments
The appointment indicator should be specified on the Position/Appointment form.

Category – Appointment Attributes Last Updated: 05/09/2011

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Department Attributes

Center Indicator

Data Definition
A center may be sponsored at the University, school, or department level. The *Center Indicator* specifies the appropriate level. The purpose of this data element is to enhance reporting capabilities.

Rules
Every FASIS DEPTID that represents a center and has been identified with the Center/Institute department classification should be further described as being sponsored by the University, school, or department.

Category – Department Attributes Last updated: 04/16/2010

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Deptid Category

Data Definition
The *Deptid Category* attribute provides a method for grouping and describing departments. This data element was created to enhance reporting capabilities.

Rules

- Every FASIS DEPTID is assigned one of 17 DEPTID CATEGORY values.
- In all Schools except Weinberg and Feinberg, the DEPTID CATEGORY is equal to the name of the School.
- In Weinberg, academic departments are identified as belonging to one of three groupings:
  - -Weinberg Natural Sciences (also known as Division 1)
  - -Weinberg Social Sciences (also known as Division 2)
  - -Weinberg Humanities (also known as Division 3)
- In Feinberg, academic departments are assigned to one of two groupings:
  - -Feinberg Clinical
  - -Feinberg Basic
- FASIS Departments that are not in a school are assigned the DEPTID CATEGORY of 'Not Applicable'.
- When a new FASIS DEPTID is created, the school assigns the appropriate DEPTID CATEGORY.
- The purpose of this data element is to enhance reporting capabilities and also provide for additional edits within the online and self service FASIS components.

DEPTID CATEGORIES* within FASIS

*Value	*Long Name
001	Feinberg Basic
002	Feinberg Clinical
003	Feinberg School of Medicine
004	Weinberg Humanities
005	Weinberg Natural Sciences
006	Weinberg Social Sciences
007	Weinberg College of Arts and S
008	School of Education
009	Kellogg School of Management
010	School of Law
011	McCormick Eng&Appl Science
012	Medill School of Journalism
013	Bienen School of Music
014	School of Communication
015	School of Continuing Studies
016	NU in Qatar
017	The Graduate School
999	Not Applicable

Deptid Class

Data Definition
The *Deptid Class* attribute describes a FASIS DEPTID as one of the following values: Academic Department, Administrative Department, Center/Institute, or Program. This data element was created to enhance reporting capabilities and also to provide for additional edits within the online and self service FASIS components.

Rules
• Every FASIS DEPTID is given one of the four DEPTID CLASS values and this assignment is done by the school or administrative area. • The definitions for the four DEPTID CLASS values are as follows: 1. An *Academic Department* is a division of a school that is responsible for a specific subject(s). 2. An *Administrative Department* is an organizational unit that performs management activities benefiting the entire organization. 3. A *Center/Institute* is an entity whose focus is a research rather than a teaching activity. A center is further described as being sponsored at the University, school or department level. 4. A *Program* is an entity whose focus is a teaching rather than a research activity.

Category – Department Attributes

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Effective date: 04/16/2010

Deptid Group

Data Definition
The *Deptid Group* is a FASIS DEPTID and represents the highest level of FASIS DEPTID roll up. This data element was created to enhance reporting capabilities.

Rules
• Every FASIS DEPTID is assigned a DEPTID GROUP. • The DEPTID GROUP always ends in '00'. • The DEPTID GROUP value differs from the parent DEPTID value only for those divisions in either the Feinberg Department of Medicine or the Feinberg Department of Surgery. For these departments, the DEPTID GROUP provides a way to accumulate all of the divisions within each department. Examples: The DEPTID GROUP for 330198 MCC Office Corporate Relations is 330100. The DEPTID GROUP for 408695 Department of Medicine, Geriatrics Division is 406600 - Department of Medicine, Feinberg School of Medicine.

Category – Department Attributes Last updated: 04/16/2010

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Parent Deptid

Data Definition
The *Parent Deptid* is a FASIS DEPTID and represents the FASIS DEPTID to which another FASIS DEPTID rolls up. This data element was created to enhance reporting capabilities.

Rules
• Every FASIS DEPTID is assigned a PARENT DEPTID. • The PARENT DEPTID always ends in '00'. • In all schools except the Feinberg School of Medicine, PARENT DEPTID is the highest department rollup level. In Feinberg there is an additional rollup (DEPTID GROUP) in the Departments of Medicine and Surgery. Examples: The PARENT DEPTID for 330198 MCC Office Corporate Relations is 330100. The PARENT DEPTID for 408695 Department of Medicine, Geriatrics Division is 408600.

Category – Department Attributes Last updated: 04/16/2010

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Security Node

Data Definition
A FASIS DEPTID is identified as a *Security Node* when that DEPTID has been created for the purpose of controlling FASIS security access. The last two digits of a FASIS department number give an indication of where the number belongs on the FASIS department security tree and what purpose the department number serves from security standpoint.

Rules
• Only a FASIS DEPTID where the last two digits are <u>not</u> '00' is considered a security node. • If the last two digits of a FASIS DEPTID are something other than '00', the security node attribute is defaulted to 'On'. Example: FASIS DEPTID suffixes that qualify as security nodes include: 98 (work study) and 93 and 99 (graduate students).

Category – Department Attributes Last updated: 04/16/2010

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Shared Department

Data Definition
A FASIS DEPTID is identified as a *Shared Department* when that DEPTID has been created for the dual purposes of controlling FASIS security access and allowing for the correct handling of deployed transactions.

Rules
• The shared department checkbox indicator can only be turned 'on' if the last two digits of a FASIS are other than '00'. • If the last two digits of a FASIS DEPTID are '00', this attribute must be 'off'. Example: FASIS DEPTID suffixes that qualify as shared nodes include: 05, 06, 89, 91, etc.

Category – Department Attributes Last updated: 04/16/2010

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Appointment Transactions

Each transaction within the Faculty and Staff Information System (FASIS) is associated with an Action and a Reason. The codes for these transactions may be found at http://www.northwestern.edu/hr/managers-administrators/fasis-administrator-tools/fasis-systems-admin-functions/actionsreasons.pdf. Such transactions must conform to a standard set of rules, listed with the definition of the transaction. Additional information to clarify these transactions is included below the set of rules. If more information is needed, for example budgetary considerations or complex circumstances, an entry may be linked to the Procedures section of this manual.

Emeritus

Data Definition
The distinction of *Emeritus* is given to selected faculty members who retire from Northwestern after reaching age 55, generally after completing 10 or more years of continuous service. Nominations to emeritus status require approval of the dean, the Provost and the Board of Trustees. The emeritus start date is the day after the Retirement Date/Last Date worked.

Rules Checklist	
☑	An Action/Action Reason code of Rehire/Retiree (REH/REW) is used to hire the individual into the emeritus position. The previous row must be a retirement transaction (TER/RTT).
☑	The emeritus start date is the day after the last date worked, or in other words, it must match the retirement effective date.
☑	The word *emeritus* is appended to the beginning or end of the previous JOB TITLE
☑	POSITION CATEGORY: must be emeritus (EME).
☑	Does not change position number .
☑	The HR Department number must end with 97.
☑	The appointment end date is always indefinite.
☑	Signature required, Office of the Provost.
☑	For faculty with multiple appointments, all the paid appointments must include emeritus in the JOB TITLE.

Additional Information
See the paid emeritus procedure for faculty who return to work at Northwestern (Please note: This procedure is currently in development. It will be added to the FASIS Manual upon completion).

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Hire – Additional Appointment

Data Definition
An additional appointment may be set up for a faculty or staff member who is currently active at Northwestern University. This new appointment must be set up on an employee record number greater than zero and greater than the record number of all currently active appointments. For faculty, the new appointment may be in departments or schools other than those corresponding to the primary academic appointment or primary role.

Rules Checklist	
☑	The Action/Action Reason code used is Hire (HIR/ADD).
☑	Employee has a current active appointment (with an existing employee record number).
☑	The additional appointment hire cannot be on record zero.

Additional Information

- There are several other types of hire transactions: hire for an employee new to Northwestern University, hire for a Northwestern Medical Faculty Foundation (NMFF) member (on the record number other than zero) and hire-early start transaction for tenure eligible faculty members.

- For individuals who have previously been hired and are now returning to Northwestern, please process the appropriate rehire transaction.

- If adding an additional appointment for an adjunct faculty member, review the job summary page available in FASIS (WORKFORCE ADMINISTRATION > JOB INFORMATION > JOB SUMMARY). This page will help in determining if the adjunct faculty member currently holds other adjunct appointments in other departments or schools and will assist in identifying the home department. The hiring department should fully inform the home department about the new appointment.

- If adding an additional appointment for an adjunct faculty member, it is important to insure that the total workload for that individual does not equal or exceed 50%. If this happens, the adjunct faculty member will need to be rehired into a benefits-eligible position. The home department is responsible for the coordination and the communication to the other schools of this process.

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Hire - Early Start

Data Definition
Tenure eligible faculty members may be hired into an academic department prior to the academic year (between January 1st and August 31st) when they have not previously worked for Northwestern. The purpose of using an early start is to begin a faculty appointment prior to the start of the tenure clock.

Rules Checklist	
☑	The Action/Action Reason code used is Hire/Early Start (HIR/EST).
☑	POSITION TYPE is always faculty (FAC).
☑	POSITION CATEGORY is always regular (REG).
☑	Available for tenure eligible faculty only.
☑	Signature required, Office of the Provost.
☑	Used for individual and joint appointments only.

Additional Information
• The *Hire Early Start* transaction may be set up differently depending how the budget is set up for the appointment. See the early start procedure for details. • For non-benefits-eligible faculty moving into a tenure eligible position during the early start period (January 1 through August 31st), the non-benefits-eligible appointment should be terminated, and the rehire early start transaction should be used. See the early start procedure for details. • For research staff, such as post-doctoral fellows, moving into a tenure eligible position during the period January 1 to August 31, a transfer to another position is used: Action/Action Reason code of transfer/ early start (XFR/EST).

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Hire - New

Data Definition
An employee is hired for the first time at Northwestern University. Prior to this *New Hire*, the individual has never had any type of job or appointment (faculty, staff, temp, graduate student, etc.) at Northwestern University.

Rules Checklist	
☑	The Action/Action Reason code used is Hire (HIR/HIR).
☑	Signature required, Office of the Provost, for all REG faculty except lecturers.
☑	The employee is hired for the first time at Northwestern University.

Additional Information

- There are other types of hire transactions: A hire for a Northwestern Medical Faculty Foundation (NMFF) member (on the record number other than zero) and a hire-early start transaction for tenure eligible faculty members. Payroll may also use a special pay hire transaction for occasional pay for temporary exempt employees or for faculty who are in unpaid appointments and who need to receive a one time or occasional payment.

- For individuals who have previously been hired and are now returning to Northwestern, please process the appropriate rehire transaction.

- The system will populate the original hire date field based on the effective date of the hire transaction.

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Hire - Northwestern Medical Faculty Foundation (NMFF)

Data Definition
A Northwestern Medical Faculty Foundation (NMFF) member is hired at Northwestern. An NMFF member always has at least one faculty (Northwestern) appointment and one NMFF appointment. The NMFF appointment cannot be on the employee's record zero; the employee's record zero is always a faculty (Northwestern) position. The NMFF appointment is typically on employee record one.

Rules Checklist	
☑	The Action/Action Reason code used is Hire/NMFF Appointment (HIR/NMF).
☑	The JOB CODE is always 100019; NMFF member.
☑	The PAY GROUP is always NMF.
☑	The NMFF appointment is on an employee record other than zero and is typically on employee record one.
☑	The HR Department ID number will always end in 95, unless the NMFF Member is in a shared department; then the dept number will end between 70 – 91, excluding 90).
☑	The appointment end date is always indefinite.
☑	The benefits program is always NFT (NMFF Benefit Program).

Additional Information

- There are several other types of hire transactions: hire for all Northwestern University employees and hire-early start for certain tenure eligible faculty members.
- For individuals who have previously been hired and are now returning to Northwestern, please process the appropriate rehire transaction.

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Leave of Absence (Faculty)

Data Definition
A *Leave of Absence* must be approved by the dean of the school and the Office of the Provost. A leave of absence may be paid or unpaid, granted for academic or professional reasons or for personal reasons. Each type of leave of absence is described by a specific Action/Action Reason code.

Rules Checklist	
☑	The Action code used is either 'LOA' for unpaid leaves of absence or 'PLA' for paid leaves of absence.
☑	The Office of the Provost must approve leaves of absence for all faculty except research faculty for whom leaves are approved by the Dean of the School.
☑	The home department should review all faculty leaves of absence.
☑	The expected leave return date must be entered.

Additional Information

- The payroll status field automatically changes from 'Active' (A) to 'Leave of Absence' (L) or 'Leave with Pay' (P) based the Action code used in the transaction.

- The ABBR (Annual Benefit Base Rate) is frozen when the payroll status is 'Leave of Absence' (L) or 'Leave with Pay' (P).

- If a faculty member with a joint appointment takes a leave of absence from one department/school, that department/school should communicate this information to the other department/ school. The other department/school must also put the faculty member on a leave of absence.

- A separate Position/Appointment form should be sent to the Payroll Office when the individual returns back to the work from a leave of absence. Indicate an Action/Action Reason code of RFL/RFL (Return from Unpaid Leave) or RFL/RPL (Return from Paid Leave). It is ideal that the paperwork should be submitted up to 30 days prior to the time of the return from leave.
  - A query is available to run to obtain a list of individuals on a leave of absence and their expected return date. If a return from leave row has been entered in FASIS, those rows will be excluded from the report. The query is in the reporting database: PUB_LEAVE_EXPECTED_RETURN_DT

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Leave of Absence Extension (Faculty)

Data Definition
The *Leave of Absence Extension* is used when a leave of absence is extended beyond the original date for a faculty member.

Rules Checklist	
☑	The Action/Action Reason code used is Data Change/Leave of Absence Extension (DTA/LOA).
☑	The Office of the Provost must approve all leave extensions for all faculty members except research faculty for whom leaves are approved by the Dean of the School.
☑	The home department should review all faculty leaves of absence.
☑	The faculty member must already be on a leave of absence; the payroll status is either L (Leave of Absence) or P (Leave with Pay).
☑	Please notify the Office of the Provost.
☑	The expected leave return date must be entered.

Additional Information

- The payroll status will remain either an L (Leave of Absence) or P (Leave with Pay).
- The ABBR (Annual Benefit Base Rate) is frozen when the payroll status is 'Leave of Absence' (L) or 'Leave with Pay' (P).
- If a faculty member with a joint appointment extends a leave of absence with one department/school, that department/school should communicate this information to the other department/ school. The other department/school must also extend the faculty member's leave of absence.
- A separate Position/Appointment form should be sent to the Payroll Office when the individual returns back to the work from a leave of absence. Indicate an Action/Action Reason code of RFL/RFL (Return from Unpaid Leave) or RFL/RPL (Return from Paid Leave). It is ideal that the paperwork should be submitted up to 30 days prior to the time of the Return from Leave.
    - A query is available to run to obtain a list of individuals on a leave of absence and their expected return date. If a return from leave row has been entered in FASIS, those rows will be excluded from the report. The query is in the reporting database: PUB_LEAVE_EXPECTED_RETURN_DT

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Promotion (Faculty)

Data Definition
The faculty member has changed JOB TITLE and moved to a higher academic rank (see the faculty career path). Within the *Promotion* transaction, the faculty member most likely will have a change in salary, but it is not required. The promotion starts a new academic appointment and the faculty member may or may not have a change in their appointment end date and/or contract period.

Rules Checklist	
☑	The Action/Action Reason codes used are Change in Classification (POS/CLS) and Promotion (PRO/PRC). Both of these codes are required to process the Promotion transaction.
☑	The POSITION TYPE is faculty (FAC).
☑	The POSITION NUMBER remains the same.
☑	Starts a new academic appointment.
☑	Always changes the JOB TITLE.
☑	Signature required, Office of the Provost, for promotion from lecturer to senior lecturer.
☑	Always moves into a higher academic rank.
☑	If a faculty member has multiple academic appointments, the other academic appointment(s) must be promoted to the same title. Exceptions are research faculty or librarians who have a lecturer appointment.

Additional Information
Promotions effective Sept 1st for paid faculty members should be entered in FASIS via salary planning. Otherwise, a paper Position & Appointment form should be processed to enter the promotion transaction.

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Reappointment

Data Definition
The employee has an active appointment and is *reappointed* on this appointment without a break in service. This transaction signifies a new academic appointment start and end date. The appointment end date is extended, and there may be a change in contract period. A reappointment for tenure eligible faculty is usually 3 years. There is not a change in rank or JOB TITLE unless paired with a promotion.

Rules Checklist	
☑	The Action/Action Reason code used is Data Change/Reappointment (DTA/REA).
☑	The POSITION TYPE is usually faculty (FAC) but may be staff (STF).
☑	The appointment must be active.
☑	Starts a new academic appointment.
☑	The appointment end date must change.
☑	Signature required, Office of the Provost, for regular faculty (except lecturers) and renewals of visiting faculty.
☑	The contract period may change.

Additional Information

- Reappointments effective Sept 1st for paid faculty members should be entered in FASIS via salary planning. Otherwise, a paper Position/Appointment form should be processed to enter the reappointment transaction.
- The Law School and Feinberg (non-tenure eligible faculty) have a group of appointments that are reviewed and renewed yearly called 'Annual Renewable Appointments'. Today, the Law School enters a reappointment transaction yearly in FASIS; however, Feinberg leaves the appointment end date as 'Indefinite' in FASIS and reappoints them yearly in their local IT system.
    - The 'Annual Renewable' field is used to track these appointments. This field appears as a checkbox on the Appointment Form and displays on Job Data and the appointment pages. It is used for reporting purposes and future planning for the payroll deployment project.

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Reclassification (Faculty)

Data Definition

A *reclassification* occurs when:
 	
• A faculty member has changed career paths and maintains the same academic rank (See the faculty career path). The faculty member's JOB TITLE will typically change and the faculty member may or may not get a salary adjustment along with the reclassification.
  o Example one: The faculty member is an assistant professor and moves to a clinical assistant professor.
  o Example two: In the Medical school; the faculty member's POSITION CATEGORY has changed from a regular faculty to contributed services (or vice versa).
 	
• An adjunct faculty member changes JOB TITLE to another adjunct JOB TITLE. In this case, the POSITION CATEGORY of ADJ remains the same.
 	
• An individual moves from staff to faculty. In this case the POSITION TYPE changes from staff (STF) to faculty (FAC).
  o An example is a research associate (STF) who moves to a research assistant professor (FAC) position.

Rules Checklist	
☑	The Action/Action Reason code used is Change in Classification (POS/CLS).
☑	The POSITION NUMBER remains the same, except in the case of moving from staff to faculty which may result in a change of POSITION NUMBER.
☑	Starts a new academic appointment.
☑	Signature required, Office of the Provost, for regular faculty (except lecturers).
☑	Usually changes the JOB TITLE.

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Rehire - Early Start

Data Definition
Tenure eligible faculty members are rehired into an academic department prior to the academic year and start between January 1st and August 31st. Typically the faculty member is moving from a non-benefits-eligible appointment (such as adjunct) into a benefits-eligible position. The non-benefits-eligible position is first terminated and then the employee is rehired as an early start. The purpose of entering a *Rehire -Early Start* is to begin a faculty appointment prior to the start of the tenure clock.

Rules Checklist	
☑	The Action/Action Reason code used is Rehire/Early Start (REH/EST).
☑	POSITION TYPE is always faculty (FAC).
☑	POSITION CATEGORY is always regular (REG).
☑	Available for tenure eligible faculty only.
☑	Signature required, Office of the Provost.
☑	Used for regular and joint appointments only.

Additional Information
The rehire - early start transaction may be set up differently depending how the budget is set up for the appointment. See the early start procedure for detailed information. . There are also two other types of early start transaction: hire – early start and transfer – early start.

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Rehire - Reappointment

Data Definition
The *Rehire/Reappointment* transaction is processed when an active employee has an additional appointment that has been terminated, and is rehired re-using that employee record number. There should not be a break in service. If there is a break in service, use Rehire/Rehire (REH/REH). *Please note, for emeritus faculty, use Rehire-Retiree (REH/REW). Also see the emeritus transaction definition for details.

Rules Checklist	
☑	The Action/Action Reason code used is Rehire/Reappointment (REH/REA).
☑	For faculty, signature required, Office of the Provost.

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Rehire - Rehire

Data Definition
The *Rehire/Rehire* (REH/REH) transaction is processed when a regular employee, who had previously worked at Northwestern University, has had a break in service (of more than 90 days) and has returned to Northwestern. (A break in service of more than 90 days requires termination of employment status.) Rehire after such a break in service may also be used for temporary faculty. Please see the procedure for adjunct faculty. To rehire temporary staff, always use REH/REH; a break in service is not required. If there is no break in service and the employee is not temporary, use rehire/reappointment (REH/REA) except in the case of emeritus faculty where rehire/retiree (REH/REW) should be used. If the break in service is 90 days or less, use rehire/reinstatement (REH/RIN).

Rules Checklist	
☑	The Action/Action Reason code used is Rehire/Rehire (REH/REH)
☑	The Position Type may be FAC (faculty) or STF (Staff). However, this transaction should also be used for temporary employees.
☑	The individual must have worked previously at Northwestern with a break in service of at least 90 days prior to the rehire date (except in the case of temporary employees).

Additional Information
• The original hire date remains that of the original hire at Northwestern. • The rehire date field is populated.

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Rehire - Retiree

Data Definition
There are several scenarios when the *Rehire/Retiree* transaction is processed: 1. A faculty member is returning as emeritus; this transaction is used to initiate the emeritus position. 2. A retiree is returning to a retiree benefits eligible (NU non-benefits eligible) position. 3. A retiree elects to keep their wildcard, NetID, and Northwestern e-mail account. *Please note: use Rehire/Rehire (REH/REH) for a retiree who is returning to work in a benefits eligible position.

Rules Checklist	
☑	The Action/Action Reason code used is Rehire/Retiree (REH/REW).
☑	For faculty members, signature required, Office of the Provost.

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Retirement

Data Definition
A faculty member may *retire* from Northwestern at age 55 or over, after at least 10 years of service. Phased retirement is available to faculty members, 55 years of age or over who have at least 15 years of service at Northwestern University and wish to retire at an age agreeable both to the faculty member and to the administration. Retired faculty members may be distinguished as emeritus. Individuals who retire from Northwestern University are eligible to enroll in retiree benefits including health, dental, and vision. These plans are identical to those of active employees, but there is no University subsidy. Retirees are also eligible to receive tuition benefits.

Rules Checklist	
☑	The Action/Action Reason code used is Termination/Retirement (TER/RTT).
☑	The appointment becomes terminated (Payroll Status is 'T').
☑	The retirement date is the effective date of the retirement. The day prior to the retirement date is the last date worked.
☑	The appointment end date must be updated to the last date worked.
☑	Signature required, Office of the Provost.

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Tenure Award

Data Definition
A faculty member attains tenure. This may or may not be in conjunction with a promotion. The *Tenure Award* comes with an indefinite-end appointment.

Rules Checklist	
☑	In the cases of promotion or reappointment; the job effective date for the promotion or reappointment must match the attained tenure effective date.
☑	The POSITION TYPE is faculty (FAC).
☑	The POSITION CATEGORY is regular (REG).
☑	The appointment end date is always indefinite.
☑	The Office of the Provost updates the tenure status to Attained (A).

Additional Information
The award of tenure is made only upon approval of the dean, the Provost and the Board of Trustees.

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Termination

Data Definition
The active appointment for an individual is *terminated*. The appointment end date is the last date worked and should be updated. If the employee has multiple appointments, he/she still may be active at Northwestern upon termination from one appointment. The individual is considered separated from the University if all appointments are terminated. There are a variety of voluntary and involuntary termination reasons.

Rules Checklist	
☑	The action code used is Termination (TER)
☑	The appointment is terminated (PAYROLL STATUS is 'T')
☑	The appointment end date is the last date worked.

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Transfer - Early Start

Data Definition
Post-doctoral fellows or other research staff members are transferred to a tenure eligible faculty position in an academic department prior to the academic year and start between January 1st and August 31st. Typically the individual is moving from a benefits-eligible, non-tenure eligible position such as a post-doctoral fellowship or a benefits-eligible, non-tenure eligible faculty position, but not from an adjunct or visiting position. The purpose of entering a *Transfer -Early Start* is to begin a faculty appointment prior to the start of the tenure clock.

Rules Checklist	
☑	The Action/Action Reason code used is Transfer/Early Start (XFR/EST).
☑	POSITION TYPE is always faculty (FAC).
☑	POSITION CATEGORY is always regular (REG).
☑	Available for tenure eligible faculty only.
☑	Signature required, Office of the Provost.
☑	Used for regular and joint appointments only.

Additional Information
The transfer - early start transaction may be set up differently depending how the budget is set up for the appointment. See the early start procedure for detailed information. There are also two other types of early start transaction: hire – early start and rehire – early start.

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Compensation

Academic Base Salary

Data Definition
If a faculty member has multiple appointments with different contract periods (9 and 12), and has at least one 9-month appointment, the *Academic Base Salary* is used as the salary for proposal submission and effort reporting. See the Accounting Services for Research and Sponsored Programs web site for related information. A faculty member may apply for sponsored funding based on the difference between the academic base salary and the annual salary. This difference occurs if a faculty member has appointments with different contract periods. The academic base salary is the aggregate of the 9-month salaries from all appointments. If a faculty member has only one appointment or all of the appointments have the same contract period (either 9 or 12), the academic base salary is the same as the annual salary. The academic base salary is used as the base amount for proposal submission and effort reporting. Rules • Academic base salaries are charged to the ACCOUNT CODE 60011. • The academic base salary is calculated on the EMPLOYEE INFO page for faculty members having 9-month appointment(s) or a combination of 9 and 12 month appointments. • To calculate the academic base salary for faculty members with appointments of differing lengths (if at least one appointment is not 9 or 12 months) contact the effort reporting manager. • Awarded appointments (e.g. the Charles Deering McCormick award) are not part of the academic base salary. Example: A faculty member has two appointments • The first appointment is $90,000 for a 9-month contract. • The second appointment is $120,000 for a 12-month contract. Over a 9-month period the faculty member earns $180,000 ($90,000 for the 9-month appointment and $90,000 for 9/12's of the 12-month appointment). $180,000 is the academic base salary.

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Annual Benefits Base Rate

Data Definition
The *Annual Benefits Base Rate* (ABBR) is the amount used to calculate group and optional life insurance and short- and long-term disability coverage. It includes the base salaries from the initial hire, promotion, and annual merit salary increases. The ABBR is the sum of the ANNUAL RATES for all active benefits-eligible appointments. ABBR represents the income that is to be protected in the case of death or disability. Employee contributions for medical coverage are calculated from this field. Contributions to the retirement program are driven by earnings codes, not the ABBR. Earnings from summer salary, both research and teaching, are included in contributions to the retirement fund but are *excluded* from the ABBR. Bonuses, honoraria, awarded appointments, e.g. the Charles Deering McCormick Professor/Lecturers, housing supplements, and tuition supplements are not included in the ABBR nor are they eligible for matching retirement contributions. For an employee with an NMFF appointment there are two separate ABBR calculations: the ABBR for the Northwestern appointment(s) includes only those jobs and excludes NMFF and VA appointments. The ABBR for Northwestern/NMFF includes the Northwestern and NMFF ANNUAL RATES as well as the 3-year average incentive(s), 3-year average variable pay, and any VA salary.
Calculations, in each case this figure is rounded: Biweekly employees: ABBR = 2 *Hourly salary * Scheduled Hours * SCHEDULED PAY PERIODS Monthly employees: ABBR = Total monthly salary(ies) for all benefits-eligible position(s) * SCHEDULED PAY PERIODS ABBR is not calculated for graduate students or temporary employees.

Rules Checklist	
☑	ABBR should be calculated for all benefits-eligible staff and faculty appointments.
☑	Earnings from summer salary, honoraria, awarded appointments, housing supplements, and tuition supplements are excluded from the ABBR.
☑	The calculation of ABBR depends upon the percent full-time assigned to each appointment. For faculty or staff with multiple appointments, percent full-time must be assigned to all appointments which span six months or more.
☑	The Northwestern ABBR excludes NMFF appointments.
☑	The NMFF ABBR includes the Northwestern ABBR, the NMFF ANNUAL RATE(S), NMFF incentives, NMFF variable pay, and any VA salary.

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ANNUAL RATE

Data Definition
The *ANNUAL RATE*, calculated separately for each appointment, is the annualized amount an employee is paid. For faculty and exempt staff the ANNUAL RATE for an appointment equals 12 times the compensation rate for the appointment. For non-exempt staff the ANNUAL RATE for an appointment equals 26.1 times (2*scheduled hours *compensation rate). Example one: on record zero, the person's compensation rate is $10,000; the ANNUAL RATE is $120,000 *The ANNUAL RATE is not displayed on the SALARY pages if an appointment has SCHEDULED PAY PERIODS not equal to 12 (months) or 26.1 (weeks). For example, an adjunct appointment might have SCHEDULED PAY PERIODS of 4 (months). Example two: on record zero, the person's compensation rate is $8,000, the appointment is adjunct, and SCHEDULED PAY PERIODS = 4; then the ANNUAL RATE does not display since it is not applicable. ** The sum of the ANNUAL RATE values for an individual with multiple appointments is referred to as the Institutional Base Salary (IBS). See the IBS definition for more information.

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Compensation Rate (COMP RATE)

Data Definition
Compensation Rate, usually referred to as COMP RATE, is the amount paid each scheduled pay period to an employee for a particular appointment or job. For exempt staff and faculty, the COMP RATE is a monthly rate and is typically paid over 12 SCHEDULED PAY PERIODS. For nonexempt staff, the COMP RATE is an hourly rate and is typically paid over 26.1 SCHEDULED PAY PERIODS. For faculty and exempt staff appointments, the compensation rate is calculated as the monetary value of the appointment divided by the number of SCHEDULED PAY PERIODS for the appointment (usually 12). For nonexempt staff appointments, the compensation rate is calculated as the monetary value of the appointment divided by (2*26.1*number of scheduled hours per week). For appointments with a 12-month contract period, the compensation rate is the same as the monthly contract rate. More generally, if the number of SCHEDULED PAY PERIODS equals the contract period, the compensation rate equals the monthly contract rate. Whenever the contract period is less than the number of SCHEDULED PAY PERIODS, the compensation rate is less than the monthly contract rate.

Example

1) $108,000 for a 9-month appointment paid over 12 months gives a compensation rate of $9,000.
2) $40,000 for a 4-month appointment paid over 4 months gives a compensation rate of $10,000. (For this appointment the number of SCHEDULED PAY PERIODS is the same as the contract period; the compensation rate equals the monthly contract rate).
3) $144,000 for a 12-month appointment gives a compensation rate of $12,000. (Because this appointment is for 12-months, the compensation rate is the same as the monthly contract rate).

Rules
Compensation Rate is used to calculate the ANNUAL RATE.

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FTE Salary

Data Definition
The *FTE Salary*, or Full-Time Equivalent Salary, is the employee's current salary expressed as though the employee were full-time, regardless of his or her actual percent full-time. For faculty this value is usually calculated for a 9-month contract or the full-time equivalent of a 9-month contract if the appointment is less than full-time. FTE Salary calculations are particularly useful for the Office for Institutional Research. Data in this field should be relatively static, primarily changing with annual merit increases. Faculty appointments in addition to the regular 9-month appointment do not generally affect the FTE salary. Faculty leaves of absence and phased retirement are not reflected in the FTE salary and the FTE salary should not be changed for these situations. Faculty with appointments in more than one school may have separate FTE salaries for each of these appointments. For faculty members, the total FTE salary appears on the JOB RECORD corresponding to the primary academic appointment. For staff members, the total FTE salary appears on the JOB RECORD corresponding to the primary role. This field is required for all benefits-eligible employees. The FTE Salary for faculty is entered on the Position/Appointment forms or entered into the online Salary Planning pages. The FTE salary for staff is calculated within FASIS according to the formula: FTE Salary = ANNUAL RATE/FTE See academic base salary, institutional base salary and merit base salary for ways of consolidating salary across appointments. This field is primarily used for reporting purposes such as the surveys done for the AAUP, COFHE, and IPEDS.

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FY Actuals + Encumbrances (FY Actuals + ENC)

Data Definition
The FY *Actuals + ENC*, calculated separately for each appointment, is the amount an employee has been paid in the fiscal year plus any fiscal year encumbrances. This calculation may be different from the values in the Vista Payroll Expense Distribution (PED) reports. When a grant is set up to be funded beyond the end of the fiscal year, the FY actuals + ENC field includes encumbrances only to the end of the fiscal year, whereas the Vista PED reports include encumbrances through the end of the grant. The value in the FY actuals + encumbrances field is refreshed after the GL is run. The FY actuals + encumbrances value is used in the calculation of the FY appointment salary field.* Example One: The position below is funded at 100% from a designated 100 fund account, with a position end date of *indefinite*. The funding start date is 9/1/10 and funding stop date is 8/31/2012. The individual has been paid for September and October 2010. Record 0: — COMP RATE: $5,000; Appt Start Date: 9/1/2010; Appt End Date: indef; FY Actuals + ENC: $60,000 Example Two: The position below is funded at 100% from a grant 600 fund account, with a position end date of 8/31/2012. The funding start date is 9/1/10 and funding stop date is 11/30/2011. The individual has been paid for September and October 2010. Record 0: — COMP RATE: $5,000; Appt Start Date: 9/1/2010; Appt End Date: 08/31/2012; FY Actuals + ENC: $60,000 Please note: In the Vista PED, the YTD total would be $75,000 because it includes encumbrances through the end of the grant. *For biweekly employees the FY appointment salary may be different from the ANNUAL RATE because of the *split payroll* that occurs at the end of every fiscal year. The *split payroll* charges all working days prior to September 1 as the old year, and all working days starting September 1 as the new fiscal year. The number of days charged to the old and new fiscal years depends on the work-day calendar for that year in relationship to the day on which September 1st falls This two week period may have a split of 'old FY days' to 'new FY days' that might be 60/40, 0/100, etc. If there are no pre-encumbrances, this split-payroll difference will be reflected in the FY actuals + encumbrances.

Example tables:

	COMP RATE	Appt Start Date	Appt End Date	FY Actuals + ENC
Record 0:	$5,000	9/1/2010	indef	$60,000

	COMP RATE	Appt Start Date	Appt End Date	FY Actuals + ENC
Record 0:	$5,000	9/1/2010	08/31/2012	$60,000

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FY Appointment Salary

Data Definition
The *FY Appointment Salary*, calculated separately for each appointment, is the amount an employee is paid for the fiscal year. (Please see the end of this definition for details concerning biweekly employees.*) This calculation excludes additional pay and summer salary.

FY Appointment Salary = Actuals + FY Encumbrances + Pre-Encumbrances

The exception to this formula is an early start faculty member for whom the salary is spread over the early start months and the first academic year (see the case of early start below). In this case:

FY appointment Salary = (Actuals + FY Encumbrances + Pre-Encumbrances for previous FY) + (Actuals + FY Encumbrances + Pre-Encumbrances for current FY)

The FY appointment salary is updated after the general ledger (GL) runs in production.

Example One: For record zero, the person's compensation rate is $9,000 and the appointment start and end dates within fiscal year 2010 are 9/1/2009 and 8/31/2010. Therefore the FY appointment salary is $108,000. In this case, the FY appointment salary is the same as the ANNUAL RATE.

Example Two: For record zero, the person's compensation rate is $9,000 and the appointment start and end dates within fiscal year 2010 are 1/1/2010 and 8/31/2010. Therefore the FY appointment salary is $72,000. In this case, the FY appointment salary is different from the ANNUAL RATE of $108,000.

If a faculty member has multiple appointments, a FY appointment salary is calculated for each of the appointments.

	Comp Rate	Appt Start Date	Appt End Date	FY Appt Salary
Record 0:	$5,000	9/1/2009	indef (8/31/2010)	$60,000
Record 1:	$7,000	9/1/2009	8/31/2010	$84,000

An adjunct faculty member may teach a quarter or more within a fiscal year. The adjunct appointment may be set up so that each quarter has separate start and end date values; the FY appointment salary is the sum of the salary for all quarters.

Example Three: For record zero, an adjunct faculty member teaches for the fall and spring quarters. During the winter quarter this appointment is unpaid. For fall quarter the person's compensation rate is $5,000, and the appointment start and end dates are 9/1/2009 and 12/31/2009. For winter quarter the person's compensation rate is $0. For spring quarter the person's compensation rate is $5,000, and the appointment start and end dates are 4/1/2010 and 6/30/2010. The FY appointment salary will sum the quarters ($20,000 for fall and $15,000 for spring), resulting in $35,000 for FY 2010.

In the cases where the salary for an early start appointment is spread out over the early start months and the first academic year (case 1, early start definition); the FY appointment salary includes the salary paid in the early start months. This is an exception as to which dates are included in the fiscal year. The early start transactions will be identified by the Action/Action Reason code of EST.

Using the example in case 1 (the annual salary is spread through the early start months and through the end of the first academic year):

For record zero, the person's compensation rate is $7,000 and the appointment start and end dates for Fiscal Year 2010 (including the early start months) are 7/1/2009 and 8/31/2010. Therefore the FY appointment salary is $98,000. In this case, the FY appointment salary is different from the ANNUAL RATE of $84,000.

The *Total FY Salary* is the sum of the FY appointment salaries for a faculty member.

	Department Name	PAY GROUP	FY Appt Salary
Record 0:	WCAS Economics	MOF	$60,000
Record 1:	MCC Transportation	MOF	$12,000

The **Total FY salary** is $72,000

* For biweekly employees the FY appointment salary may be different from the ANNUAL RATE because of the *split payroll* that occurs at the end of every fiscal year. The *split payroll* charges all working days prior to September 1 as the old year, and all working days starting September 1 as the new fiscal year. The number of days charged to the old and new fiscal years depends on the work-day calendar for that year in relationship to the day on which September 1st falls. This two week period may have a split of 'old FY days' to 'new FY days' that might be 60/40, 0/100, etc..

An additional reason why the FY appointment salary may be different from the ANNUAL RATE is that during a leap year, a biweekly employee works an extra day in the month of February.

Category – Compensation Last updated: 01/25/2012

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Institutional Base Salary

Data Definition
Institutional Base Salary (IBS) is the annual contracted compensation paid by Northwestern University for an employee's appointment(s), whether that individual's time is spent on research, instruction, or administration. For additional information, see the Office for Sponsored Research web site. For faculty in the Feinberg School of Medicine (FSM) who hold both Northwestern and Northwestern Medical Faculty Foundation (NMFF) appointments, this includes the effort which relates to and is required by both the Northwestern and NMFF appointments including research, teaching, administration, and clinical activities. Institutional base salary excludes incentive compensations, additional compensation (e.g. additional pay or compensation for short-term appointments), VA appointments and any income that an individual is permitted to earn outside of contracted duties for Northwestern University. Refer to Effort Reporting Policy #1, b) for detailed explanations: **"The basis for salary requests in proposals does <u>not</u> include:** (1) Any incentive compensation, since the salary base can represent only guaranteed compensation. (2) Any compensation earned as a result of permitted outside professional activities, such as consulting. (3) Any compensation earned from serving as a consultant to NMFF, when that compensation is paid via a separate paycheck from NMFF. (4) Any NU additional pay which is typically provided for non-recurring activity performed outside the scope of the individual's existing appointment(s). ["Non-recurring" is generally associated with activities with duration of less than six months; when activity outside the scope of the individual's existing appointment(s) has a duration of six months or more, a separate/additional appointment should be established and pay for that activity should be provided as regular pay, which then, in most instances, becomes part of the salary base.]"

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Merit Base Salary

Data Definition
The *Merit Base Salary* is coordinated by the individual's home department and is the sum of the annual rates for all appointments, excluding those designated by the home department. Such exclusion appointments may be administrative or other limited-term appointments. The merit base salary is primarily used for the annual Salary Planning process and to assist in keeping track of appointments that contribute to the base for a limited period of time. As a default, all appointments are included in the merit base salary. The home department can choose to exclude an appointment(s) from the merit base salary by selecting a reason for exclusion from the "Exclude from Merit Base Salary" reason list on the Position & Appointment form. * This field is only applicable to faculty and is not tracked for any individuals who do not go through the annual Salary Planning process, for example adjuncts or visiting faculty. *This field will be added to the Position & Appointment form in Summer 2011.

Example:

Rcd	JobTitle	Department Name	Annual Rate
0	Professor	WCAS Chemistry	100,825.00
2	Dir of a Research Center	Ctr of Chemistry	67,375.08
3	Professor	MED-Medicine	20,213.04

In the example above, the home department indicated on the Position & Appointment form that Record 2 (Dir of a Research Center) should be excluded from the merit base salary. Therefore, the merit base salary for this individual is **121,038.04.**

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Monthly Contract Rate

Data Definition
Monthly Contract Rate is the monthly salary based on the contract period for each appointment. This value is only calculated for appointments of greater than or equal to 9 months. For each appointment this value is calculated as the ANNUAL RATE divided by the number of months of the contract (contract period). The monthly contract rate is used to normalize salaries to compare appointments of differing lengths. The monthly contract rate is used to calculate summer salaries: Summer Salary Monthly Rate = Monthly Contract Rate For a faculty member with multiple appointments, the monthly contract rate is calculated for each appointment. These may be summed together into a *Total Monthly Contract Rate*. The total monthly contract rate may be used to calculate the academic base salary for proposal submission and effort reporting. The academic base salary is calculated in FASIS only for combinations of 9- or 9- and 12-month appointments. For all other appointments please contact the Office of Account Services for Research and Sponsored Programs, ASRSP.

Example
1) $108,000 for a 9-month appointment gives a monthly contract rate of $12,000. 2) $126,500 for an 11-month appointment gives a monthly contract rate of $11,500. 3) $144,000 for a 12-month appointment gives a monthly contract rate of $12,000. (Because this appointment is for 12-months, the monthly contract rate is the same as the COMP RATE). Comparing the salaries for examples (1), (2), and (3): 1) 9-month salary is 9*$12,000=$108,000 2) 9-month salary is 9*11,500=$103,500 3) 9-month salary is 9*$12,000=$108,000

Rules
Monthly contract rate is not calculated for bonuses, outside consulting, or VA appointments. The monthly contract rate is typically calculated for appointments with contract periods of 9, 10, 11, or 12 months.

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Pre-Encumbrances

Data Definition
The *Pre-Encumbrances* (Pre-Enc) calculated separately for each appointment, is any unfunded portion encumbered for an individual over the fiscal year. This may be an unfunded percentage or an unfunded time period. The Pre-encumbrance field is refreshed after the general ledger (GL) is run. The Pre-encumbrance value is used in the calculation of the FY Appt Salary field. Example One: The position below is funded at 50% from one chartstring, with a position end date of indefinite. The funding start date is 9/1/10 and funding stop date is 8/31/2012. The individual is paid monthly, has a comp rate of $5,000 and has an indefinite appointment end date. The position is unfunded for 50% of the entire fiscal year. Comp Rate / Appt Start Date / Appt End Date / Pre-Encumbrance Record 0: $5,000 / 9/1/2010 / indef / $30,000 Example Two: The position below is funded at 100% from one chartstring, with a position end date of 8/31/2012. The funding start date is 9/1/10 and funding stop date is 5/31/2011. The individual is paid monthly, has a comp rate of $5,000 and has an 8/31/2012 appointment end date. The position is unfunded for June, July and August. Comp Rate / Appt Start Date / Appt End Date / Pre-Encumbrance Record 0: $5,000 / 9/1/2010 / 08/31/2012 / $15,000

Example One:

	Comp Rate	Appt Start Date	Appt End Date	Pre-Encumbrance
Record 0:	$5,000	9/1/2010	indef	$30,000

Example Two:

	Comp Rate	Appt Start Date	Appt End Date	Pre-Encumbrance
Record 0:	$5,000	9/1/2010	08/31/2012	$15,000

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YTD Calendar Total Compensation

Data Definition

The *YTD Calendar Total Compensation* is the employee's year-to-date gross pay for a calendar year (January 1 through December 31). The following compensation components are a part of this figure:

- Year-to-date earnings for all appointments.
- Earnings from additional pay where the EARNINGS CODE adds to the employee's gross pay.

Example one:
An employee has two appointments and no additional pay records. As of the last time that payroll was processed, his calendar YTD earnings for each of these appointments was $18,425. Therefore, this employee's YTD calendar total compensation is $36,850.

The information below shows the drill down information:

Rcd	Dept Name	Posn #	Earn Code	Earn Code Descr	YTD Calendar Total Comp by Appt
0	WCAS Dept 1	12121	RGM	Regular Monthly	$18,425.00
1	SoC Dept 3	23232	RGM	Regular Monthly	$18,425.00
				YTD Calendar Total Compensation:	$36,850.00

Example two:

An employee has two appointments and several additional pay records for the calendar year. As of the end of May, her calendar total compensation is $67,325.00.

The information below shows the drill down information:

Rcd	Dept Desc	Posn #	Earn Code	Earn Code Descr	YTD Calendar Total Comp by Appt
0	Sr VP for Bus	98798	RGM	Regular Monthly	$31,500.00
0	Sr VP for Bus	45645	SAC	Special Cash Award	1,000.00
0	Sr VP for Bus	12312	SPU	Supplemental	15,500.00
0	Sr VP for Bus	45645	TAM	Temporary Assignment	4,250.00
2	SoC	01233	RGM	Regular Monthly	15,075.00
				YTD Calendar Total Compensation:	$67,325.00

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YTD Fiscal Total Compensation

Data Definition

The *YTD Fiscal Total Compensation* is the employee's year-to-date gross pay for a fiscal year (September 1 through August 31). The following compensation components are a part of this figure:

- Year-to-date earnings for all appointments
- Earnings from additional pay where the EARNINGS CODE adds to the employee's gross pay.

Example one:
An employee has two appointments and no additional pay records. As of the last time that payroll was processed, his fiscal YTD earnings for each of these appointments was $18,425. Therefore, this employee's YTD Fiscal Total Compensation is $36,850.

The information below shows the drill down information:

Rcd	Dept Name	Posn #	Earn Code	Earn Code Descr	YTD Fiscal Total Comp by Appt
0	WCAS Dept 1	12121	RGM	Regular Monthly	$18,425.00
1	SoC Dept 3	23232	RGM	Regular Monthly	$18,425.00
				YTD Fiscal Total Compensation:	$36,850.00

Example two:

An employee has two appointments and several additional pay records for the fiscal year. As of the end of May, her YTD fiscal total compensation is $67,325.00.

The information below shows the drill down information:

Rcd	Dept Desc	Posn #	Earn Code	Earn Code Descr	YTD Fiscal Total Comp by Appt
0	Sr VP for Bus	98798	RGM	Regular Monthly	$31,500.00
0	Sr VP for Bus	45645	SAC	Special Cash Award	1,000.00
0	Sr VP for Bus	12312	SPU	Supplemental	15,500.00
0	Sr VP for Bus	45645	TAM	Temporary Assignment	4,250.00
2	SoC	01233	RGM	Regular Monthly	15,075.00
				YTD Fiscal Total Compensation:	$67,325.00

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Time Periods/Service Dates

Actual Appointment End Date

Data Definition
The *Actual Appointment End Date* is when an appointment ends, perhaps prior to initial expectations. If an appointment ends earlier than originally set up, the actual appointment end date is different from the previously entered appointment end date in FASIS. An appointment can end before the original appointment end date for several reasons: early termination, early promotion, or appointment reclassification. If an employee receives a new appointment on the same record number as a previous appointment, the actual appointment end date of the previous appointment is one day before the effective date of the new appointment. When an appointment is terminated, the actual appointment end date is the last day worked. This field is for faculty and for staff, such as research staff, for whom an appointment end date is relevant. It is not used for adjunct faculty or other employees who are not benefits eligible. Example: An assistant professor is hired with a 3 year contract. The contract dates are 9/1/2006 to 8/31/2009. Two years into the first appointment this person is promoted to associate professor and signs a new 3 year contract for 9/1/2008 to 8/31/2011. The appointment record is:

Job title	Record Number	Department	Effective Date	Appointment Start Date	Appointment End Date	Actual Appointment End Date
Associate Professor	0	Sociology	9/1/2008	9/1/2008	8/31/2011	
Assistant Professor	0	Sociology	9/1/2006	9/1/2006	8/31/2009	8/31/2008

Rules Checklist	
☑	POSITION TYPE: FAC , STF
☑	POSITION CATEGORY : Not adjunct
☑	BENEFITS ELIGIBILITY: Yes, not tracked for those who work < 50%
☑	The actual appointment end date applies to a specific appointment. An employee with multiple concurrent appointments would have actual appointment end dates for each of these appointments.

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Appointment Start and End Dates

Data Definition
Each new appointment has a *Start Date* and an *End Date*. The appointment start date is based on the effective date of specific Action/Action Reason codes (see below). At the initiation of a new appointment, these dates are entered on the Position/Appointment form. The appointment end date may be indefinite for tenured faculty and most staff. However, some staff members such as research associates may have a specific appointment end date.

Rules Checklist	
☑	POSITION TYPE: ALL
☑	POSITION CATEGORY : ALL
☑	These dates apply to a specific appointment. An employee may have multiple concurrent appointments with corresponding start and end dates.

Additional Information

- If a faculty member is tenured, the appointment end date is indefinite.
- If a faculty member has an annual renewable appointment at the Feinberg School of Medicine, the appointment end date is indefinite. Annual renewable appointments are yearly appointments that are automatically renewed, until the department decides to terminate the appointment.
- For Faculty the following Action/Action Reason codes may start a new appointment:
    - HIR/ADD - Additional Appt
    - HIR/EST - Early Start
    - HIR/HIR - Hire
    - HIR/NMF – NMFF New Hire
    - REH/ADD - Additional Appointment
    - REH/REA - Reappointment
    - REH/REW - Retiree
    - DTA/REA - Reappointment
    - POS/CLS Reclassification
    - POS/CLS and PRO/PRC Promotion

  The effective date for these Action/Action Reasons will be the appointment start date on the APPOINTMENT PAGES and in the DATA MART.

- Staff members with appointment end dates will also have specific Action/Action Reason codes to begin new appointments. These codes have not yet been determined.

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Last updated: 02/13/2012

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Benefits Service Date

Data Definition
The *Benefits Service Date* is when the employee becomes benefits eligible. When an employee is rehired into a benefits eligible position, the benefits service date is the rehire date. The benefits service date is not applicable for employees who work at the University less than 50% time.

Rules Checklist	
☑	POSITION TYPE: FAC, STF, NON
☑	POSITION CATEGORY: ALL
☑	BENEFITS ELIGIBILITY: Yes
☑	This date applies to the employee, not just to a specific appointment.

Additional Information
The benefits service date is SERVICE_DT in FASIS.

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Current Hire Date

Data Definition
The *Current Hire Date* is the earliest start date/hire date for an employee based on their active appointment(s). For individuals who have a single appointment, the current hire date is either the original hire date or the rehire date. For individuals who have multiple active appointments, the current hire date is the appointment start date of the active appointment that began first. This date is especially useful in reporting on or doing service calculations for individuals with multiple active appointments. Example: A lecturer is hired into the department of Sociology with an appointment start date of 9/1/2008. A year later, the individual is hired in the School of Communication with an appointment start date of 9/1/2009. ***The Most Recent Start Date is 9/1/2008.***

Job title	**Record Number**	**Department**	**Effective Date**	**Appointment Start Date**	**Appointment End Date**
Lecturer	0	Sociology	9/1/2008	9/1/2008	indefinite
Lecturer	1	School of Communication	9/1/2009	9/1/2009	indefinite

Rules Checklist	
☑	POSITION TYPE: ALL
☑	POSITION CATEGORY : ALL
☑	This date applies to the employee, not just to a specific appointment

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Faculty Hire Date

Data Definition
The *Faculty Hire Date* is when an employee is first hired into a faculty position. This is the same date as the original hire date if a faculty member has not previously worked at the University in another type of position. Examples: 1. A faculty member was first employed by the University in an adjunct position, 9/1/2002, and was then hired as a full-time lecturer 9/1/2008. The faculty hire date would be 9/1/2002. 2. A faculty member was first employed as a research staff member on 12/1/2000, and was later hired as a research faculty member on 9/1/2009. The faculty hire date would be 9/1/2009.

Rules Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: ALL
☑	This date applies to the employee, not just to a specific appointment.

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Original Hire Date

Data Definition
The *Original Hire Date* is when an employee was first hired at the University. The original employment may be as a student, temporary employee, staff or faculty member. Examples: 1. A staff member was first hired by the University when she was an undergraduate student on 9/1/1995. Later she was hired into a staff position on 12/1/2002. The original hire date is 9/1/1995. 2. A faculty member was first hired by the University as an assistant professor on 9/1/1980. She left the University in 1984 to work at another institution, but she returned as a professor at the University on 9/1/1995. The original hire date is 9/1/1980.

Rules Checklist	
☑	POSITION TYPE: ALL
☑	POSITION CATEGORY: ALL
☑	This date applies to the employee, not just to a specific appointment.

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Previous Years as a Faculty Member

Data Definition
Previous Years as a Faculty Member is calculated when a faculty member leaves the University. Years as a faculty member refers to the current appointment; whereas previous years as a faculty member refers to a previous, terminated appointment. This calculation is only relevant if a faculty member leaves the University and later returns to a benefits eligible faculty position. This calculation is currently only done for primary academic appointments. The calculation of previous years as a faculty member is: (LAST DATE WORKED OF THE LAST APPOINTMENT-faculty hire date) expressed in years or portions of years. If a faculty member is rehired, the previous years as a faculty member is displayed on the APPOINTMENT/APPOINTMENT HISTORY pages and is available in the DATA MART. Example: A faculty member worked at Northwestern for 5 years and then resigned to take another position. Later this person is rehired into a faculty position at Northwestern. This activity is represented:

Years of Service	
Years as an Employee:	1 year
Years as a Faculty Member:	1 year
Previous Years as a Faculty Member:	5 years
Benefits Service Length:	1 year

Previous years as a faculty member only applies to benefits eligible faculty members.

Rules Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: not adjunct
☑	BENEFITS ELIGIBILITY: Yes

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Retirement Date

Data Definition
The *Retirement Date* is when an employee retires from the University. If a retired faculty member returns to work at the University, the retirement date remains the same.

Rules Checklist	
☑	POSITION TYPE: FAC or STF
☑	POSITION CATEGORY: not ADJ, VIS
☑	BENEFITS ELIGIBILITY: Yes
☑	This date applies to the employee, not just to a specific appointment.

Additional Information
The Action/Action Reason code is TER/RTT, termination due to retirement.

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Tenure Clock Start Date

Data Definition
The *Tenure Clock Start Date* is when a faculty member becomes tenure eligible. This may be the same date as the faculty hire date and the original hire date.

Rules Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: REG
☑	CAREER PATH: Tenure-Track
☑	This date applies to the employee, not just to a specific appointment.

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Termination from University Date

Data Definition
The *Termination from University Date,* for an employee, is the last day worked, when all appointments have been terminated. This date is the day before the termination action for the last appointment. If two or more appointments are terminated on the same day, then the reason for termination from the University is the Action/Action Reason code on the appointment with the lowest record number. This reason is used for the EMPLOYEE DATE HISTORY PAGE and in the DATA MART. The termination from the university date is maintained only for benefits eligible employees.

Rules Checklist	
☑	Applies to all BENEFITS ELIGIBLE employees.
☑	If multiple appointments exist, all must be terminated by the termination from university date.
☑	This date applies to the employee, not just to a specific appointment.

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Years as an Employee

Data Definition
The calculation *Years as an Employee* determines the number of consecutive years an employee has worked at Northwestern University with a payroll status of active, unpaid leave, or paid leave. This includes all paid employees and faculty members who are academic full-time. For employees who have left the University for more than 90 days and have been rehired, the years as an employee is calculated from the rehire date. For employees with multiple appointments the rehire date is based on the first appointment hire date after the employee returns. (Previous years as an employee calculations are not available.) This field is not relevant for adjunct faculty or for employees who are not benefits eligible.

Rules Checklist	
☑	POSITION TYPE: FAC or STF
☑	POSITION CATEGORY: N/A

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Years as a Faculty Member

Data Definition
The calculation *Years as a Faculty Member* determines the number of consecutive years that a person has been a faculty member at Northwestern University. All years during which the faculty member had a payroll status of active, unpaid leave, or paid leave are included in the calculation. This also applies to academic full-time faculty. For faculty members who left the University for more than 90 days and were rehired into a faculty position, years as a faculty member is calculated from the rehire date. In most cases the faculty hire date and the original hire date are the same (see calculation below). This field is not relevant for faculty members who are not benefits eligible, for example adjunct faculty.

Rules Checklist	
☑	POSITION TYPE: FAC
☑	POSITION CATEGORY: not Adjunct
☑	BENEFITS ELIGIBILITY: Yes

Additional Information
For faculty members with multiple appointments, the primary academic appointment is used to calculate the years as a faculty member. If the primary academic appointment indicator is not set, then the lowest employee record number where the POSITION TYPE = FAC is used. In most cases this is the zero record. The calculation is: Years as a Faculty Member = CURRENT DATE - current hire date expressed in years or portions of years.

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Procedures for Faculty

Calendar of Faculty-Related Events

	Sept	Oct	Nov	Dec	Jan	Feb	March	Apr	May	June	July	Aug
Promotion & Tenure Review												
Hiring Plans												
Salary Planning												
McCormick Awards												
Promotion & Reappointment												
Named Professorship Nominations*												
Emeritus Requests*												
Early Start												
Leaves												
eRecruit												
eOffer												
Faculty Status												

*= Reported quarterly to the Board of Trustees

Category – Procedures

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Effective date: 06/14/2010

Appointments

Adjunct

Overview
Adjunct appointments are held by non-benefits eligible faculty members who typically hold a primary, continuing position at another university or external organization. School or department administrators may set up adjunct appointments in one of two ways (please see the *Procedural Steps* section for details): **1.** An adjunct faculty member is set up with a year-long or multi-year appointment that may be paid or unpaid at different times through the year. During this time, the adjunct faculty member maintains his/her Netid and access to e-mail and Blackboard. **2.** An adjunct faculty member is set up with a paid appointment solely for the duration of the teaching assignment. The home department for all adjunct faculty members is the Office of the Provost. The Office of the Provost monitors adjunct appointments, specifically in regard to the rule that adjuncts cannot be benefits eligible. Adjunct faculty are must be tracked for Affordable Care Act (ACA) benefits eligibility and will be offered ACA benefits if the legal threshold is reached. The Office of the Provost coordinates with the appropriate departments in cases where the faculty member may begin to qualify for employee benefits. **All adjunct Position/Appointment Forms must be routed to the Office of the Provost for approval.** The primary academic appointment typically resides in the department that first hires the adjunct faculty member in the academic year. If there is an adjunct appointment that is a year-long or multi-year appointment, this appointment is always the primary academic appointment. The primary academic appointment may change throughout the academic year. Follow the *Procedural Steps* section for details on the scenarios.

Rules
• Each adjunct faculty member may have only one adjunct appointment per department. • All paid adjunct appointments must have a STANDARD HOURS indicated on the form. • Position & Appointment forms must be routed to the Office of the Provost for approval **unless your department is the first adjunct appointment of the fiscal year**; in this case, it should be routed to Payroll without Office of the Provost approval (see *Procedural Steps* below). • The home department for all adjuncts is the Office of the Provost. • Adjuncts are **not** eligible for employee benefits but are tracked for ACA benefit eligibility. The Office of the Provost will coordinate with the appropriate departments in cases where the adjuncts may qualify for benefits. • In cases where the adjunct faculty member is set up with an unpaid year-long/multi-year adjunct appointment and begins to teach, a salary adjustment must be used to change the pay status. On the same Position & Appointment form, the salary adjustment to change the pay status back to unpaid must be processed (See Step 3 in the *Procedural Steps* section below).

• During the paid appointment, the contract period is required. It can be left blank when the appointment is unpaid.
• Scheduled Pay Periods is blank for adjunct appointments because adjunct appointments are short term and not paid over 12 consecutive months.
• Standard Hours: determined by using the federally-provided formula for adjunct faculty:
  • 2.25 hours to be counted for each "classroom hour" (not credit hour) of time
  • 1.00 office work hour per class

Procedural Steps:	
1	Determine the method of appointment setup you would like to use…
Case One: Year-long or multi-year long appointment setup (including instructions on changing pay status during the year-long/multi-year long adjunct appointment):	
1	Review the Job Summary page to determine if the prospective adjunct faculty member has an existing active appointment at Northwestern. This helps determine which appointment is the primary academic department as well as whether there may be a benefits-eligibility issue. This also determines if you need to route the Position & Appointment form to the Office of the Provost. • **If there are no existing active appointments**, the year-long or multi-year length appointment is the primary academic appointment. • **If there is an existing active year-long/multi-year length appointment**, the existing appointment is and remains the primary academic appointment. • **If there is an existing active short term paid appointment**, the year-long or multi-year length appointment, assuming it begins at the same time, is the primary academic appointment.
2	Determine if the start of the appointment is paid (MOF) or unpaid (OTH). Complete the Position & Appointment form with the appropriate information, paying careful attention to step #3, following.
3	When a faculty member has a change in his/her pay status because of teaching, use Short Term Payment (PAY/SRT) code to start and stop payment. For example, an adjunct faculty member is unpaid Fall quarter and is scheduled to teach during Winter quarter. After Winter quarter, the adjunct faculty member is unpaid again. Submit a Position & Appointment form with **two** sets of actions. Both sets of actions are **required** so that the faculty member's general ledger (GL) encumbrances are calculated correctly: 1) Update the appointment to paid status using the following values(this set of actions is to capture the winter quarter activity): • Action/Action Reason code: PAY/SRT • Effective Date: start of the teaching assignment (or pay status) • Pay Group: MOF • Contract Period: length of the teaching assignment 2) Switch the appointment back to unpaid using the following values (this set of actions is to capture the Spring activity): • Action/Action Reason code: PAY/SRT • Effective Date: the start of when the appointment is unpaid

	• PAY GROUP: OTH • Contract Period: blank
4	Submit a Position & Appointment form with the appropriate values and route to the Office of the Provost for approval.
Case Two: Appointment setup solely for teaching assignment:	

1	Review the Job Summary page to determine if the adjunct faculty member has an existing active appointment at Northwestern. This will help determine the primary academic department.
	• **If there is not an active existing appointment**, the appointment is the primary academic appointment.
	  o ***The Position & Appointment form does not need to be routed to the Office of the Provost before being sent to Payroll division.***
	• **If there is an active existing year-long/multi-year length appointment or an already active existing short term adjunct appointment**, that department is and remains the primary academic appointment.
	  o ***The Position and Appointment form neesd to be routed to the Office of the Provost.***

2	Submit a Position & Appointment form with the appropriate values and route to the Office of the Provost for approval. • Action/Action Reason code: HIR/HIR or REH/REH • Effective Date: start of the teaching assignment (or pay status) • PAY GROUP: MOF • Appointment End Date: end of the teaching assignment (or pay status) • Contract Period: length of the teaching assignment

Alumnae of Northwestern Teaching Professorship

Overview
Every three years one tenured faculty member receives the Alumnae of Northwestern Teaching Professorship. There are two parts of the professorship: the title of distinction is created in the form of an unpaid appointment, produced by the Office of the Provost; the monetary award is paid in one lump sum in the fall quarter through an additional pay form. The first awardee was named on 9/1/2006. For questions regarding Alumnae Awards, contact the Faculty Records and Business Operations office in the Office of the Provost at facultyrecords@northwestern.edu.

Rules
Tenured faculty member receives: ▪ $7,000.00 each year for three years. This award money is not benefits-eligible. ▪ $3,000.00 in discretionary funds each year for three years. ▪ $3,000.00 to the faculty member's home department for one year only for activities that enhance undergraduate education.

Procedural Steps	
☑	In the spring quarter of every third year, the Alumnae award is announced for the upcoming academic year. The nomination is prepared for the Board of Trustees report by the Office of the Provost.
☑	The Office of the Provost sends a communication to each of the awardee's School dean's office. This communication: 1. Outlines the award details. 2. Requests the NU Financials chartstrings for the faculty member's salary, discretionary account and home department (due August 31).
☑	The Office of the Provost notifies the Budget Office of the award details, including amounts and chartstrings. The Budget Office authorizes the transfer of funds into each of the appropriate school chartstrings in the fall quarter.
☑	Office of the Provost prepares the Additional Pay form and creates the appropriate appointment form (with zero pay). Office of the Provost forwards both the appointment form and Additional Pay form to the Payroll office. The award is effective September 1. The award is paid to the recipient in the fall quarter.

Category – Procedures Last update: 05/07/2012

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Appointment Extension due to Tenure Clock Extension

Overview
Independent of a faculty member's taking a leave of absence, Northwestern permits faculty members to request extensions of their tenure probationary period in cases where circumstances have arisen to interfere substantially with the research and/or other projects the faculty member intends to submit as part of his or her tenure review. When the faculty member receives an extension of his/her tenure clock, he/she typically has an extension of academic appointment simultaneously. This extension of appointment does not trigger a new appointment start date; however it always requires a change in appointment end date.

Procedural Steps	
1	The faculty member applies for a tenure clock extension to his/her School.
2	If the School endorses the request, it is forwarded to the Office of the Provost. The Provost reviews and approves the tenure clock extension. The tenure clock extension is entered by the Office of the Provost on the Faculty Tenure page in FASIS.
3	In order to extend the academic appointment in line with the clock extension, the department completes a Position & Appointment form using the following values: • Action/Reason: DTA/RCE (Reappt/Clock Extension). • Appointment End Date: Enter the new appointment end date.

Rules
• Use this procedure only when the appointment is extended due to an extension in the tenure clock. • The appointment start date remains the same. • The appointment end date always changes.

Additional Information
• See Policy: http://www.northwestern.edu/provost/policies/statements/extendprob.html

Category – Procedures Last update: 02/29/2012

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Charles Deering McCormick Professorship of Teaching Excellence (McCormick Award)

Overview
Each year three tenured faculty members receive the Charles Deering McCormick Professorship of Teaching Excellence (McCormick Award), and two full-time lecturer or clinical faculty members receive the Charles Deering McCormick Distinguished Lectureship (also referred to as the McCormick Award). These awarded appointments are set up in the form of an unpaid appointment, produced by the Office of the Provost. The monetary award is paid in one lump sum in the fall quarter through an Additional Pay form. For questions regarding the McCormick Awards, contact the Faculty Records and Business Operations Office in the Office of the Provost at facultyrecords@northwestern.edu.

Rules
Tenured Faculty receive: • $7,000.00 each year for three years. This award money is not benefits eligible. • $3,000.00 in discretionary funds each year for three years. • $3,000.00 to the faculty member's home department for one year only for activities that enhance undergraduate education. Full-time Lecturer or Clinical Faculty receive: • $7,000.00 for one year. • $1,000.00 to the faculty member's home department for one year only for activities that enhance undergraduate education.

Procedural Steps	
☑	In the spring quarter, McCormick Awards are announced for the upcoming academic year. Nominations are prepared for the Board of Trustees report by the Office of the Provost.
☑	The Office of the Provost sends a communication to the Dean's Office of each of the awardees. This communication: 1. Outlines the award details. 2. Requests the NU Financials chart strings for the faculty member's salary, discretionary account and home department (due August 31).
☑	The Office of the Provost notifies the Budget Office of the award details, including amounts and chart strings. The Budget Office initiates the transfer of funds into each of the appropriate school chart strings in the fall quarter.
☑	The Office of the Provost prepares the Additional Pay forms and completes the appropriate appointment forms (with zero pay). The Office of the Provost forwards both the appointment forms and Additional Pay forms to the Payroll office. The appointment is effective September 1. The award is paid to the recipient in the fall quarter.

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Early Start

Overview
Tenure eligible faculty who are hired into an academic department between January 1 and August 31 are considered to have an *Early Start* - employment begins prior to the start of the academic year. The hire date for these faculty is the early start date; the tenure clock start date is September 1, the start of the academic year.*

Rules
• Must be tenure eligible faculty. • This applies to regular and joint appointments only. • Early start appointments must be approved by the Office of the Provost. • For non benefits-eligible faculty (e.g. adjunct faculty) moving into a tenure eligible position during the period January 1 to August 31, terminate the appointment and rehire the faculty member: Action/Action Reason code of rehire-early start (REH/EST). • For research staff, such as post-doctoral fellows, moving into a tenure eligible position during the period January 1 to August 31, a transfer to another position is used: Action/Action Reason code of transfer/ early start (XFR/EST). • For benefits-eligible faculty (such as a visiting faculty member) moving into a tenure eligible position, please contact the Manager of Faculty at the Office of the Provost.

Procedural Steps	
1	Determine how payment will be setup, then follow the appropriate case section below. In determining how to set up payment for early start, keep in mind that the compensation rate at hire drives the benefits for the entire calendar year:
Case 1: the annual salary is spread through the early start months and through the end of the first academic year.	

2	Complete a Position & Appointment form using the following values:
	• Effective Date: Early start date
	    o Example: Early Start is July 1st, then the effective date is July 1st
	• Action/Action Reason: HIR/EST, REH/EST, or XFR/EST.
	• Scheduled Pay Periods: Early start months + academic year
	    o Example: 2 months for early start (July & August) + 12 months for the academic year = 14 Scheduled Pay Periods
	• Contract Period: Does not include early start months.
	• PAY GROUP: MOF

3	The Office of the Provost enters a tenure row in the tenure page to designate the start of the faculty member's tenure clock, effective at the beginning of the academic year.
4	Beginning on 9/1 of the second year of the appointment, complete a Position & Appointment form to change the Scheduled Pay Periods values back to 12.
Case 2: the faculty member is paid for an early start appointment in addition to the regular annual salary (for the academic year). This may include summer salary or additional money.	
2	Complete a Position & Appointment form using the following values: • Effective Date: Early start date

	o Example: Early Start is July 1st, then the effective date is July 1st • Action/Action Reason: HIR/EST, REH/EST, or XFR/EST. • Scheduled Pay Periods: 12 • Contract Period: Does not include early start months. • PAY GROUP: MOF
3	Using the same Position & Appointment form, complete another set of actions: • Effective Date: September 1st o Action/Action Reason: DTA/REA ▪ Update the Appointment End Date and Contract Period o Action/Action Reason: PAY/SAJ ▪ Update the Comp Rate to designate any change in salary at the start of the regular appointment.
4	The Office of the Provost enters a tenure row in the tenure page to designate the start of the faculty member's tenure clock, effective at the beginning of the academic year.
Case 3: the faculty member is unpaid during the early start months.	
2	Complete a Position & Appointment form using the following values: • Effective Date: Early start date o Example: Early Start is July 1st, then the effective date is July 1st • Action/Action Reason: HIR/EST or REH/EST • PAY GROUP: OTH
3	Using the same Position & Appointment form, complete another set of actions: • Effective Date: September 1st o Action/Action Reason: DTA/REA ▪ Update the Appointment End Date and Contract Period o Action/Action Reason: PAY/SAJ ▪ PAY GROUP: MOF ▪ Update the Comp Rate to designate any change in salary at the start of the regular appointment.
4	The Office of the Provost enters a tenure row in the tenure page to designate the start of the faculty member's tenure clock, effective at the beginning of the academic year.

*Early Start is a mechanism to begin a faculty appointment prior to the start of the tenure clock. It should not be used to distribute a NetID or to give access to e-mail; these are available up to 90 days prior to the appointment start date for all benefits-eligible faculty.

Category – Procedures Last update: 09/15/2011
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Emeritus

Overview
After reaching the age of 55, following at least 10 years of continuous service at Northwestern University, any faculty member may request emeritus status to be granted at retirement. This status must be approved by the dean, the Provost and the Board of Trustees. An eligible faculty member who wants emeritus status asks the School dean to make such a recommendation to the Provost. See the emeritus appointment type definition and the emeritus appointment transaction description.

Process	
☑	The School dean nominates the faculty member to the Provost. The nomination packet includes the faculty member's current vitae as well as a nominating paragraph describing contributions to the research or teaching missions of the University.
☑	The Provost reviews the nomination and approves or denies the emeritus distinction.
☑	The Office of the Provost communicates the decision to the School dean's office.
☑	If approved, the emeritus nomination is included in the quarterly report to the Board of Trustees for approval.
☑	Following the Board of Trustees' approval, the individual receives a letter from the Provost acknowledging the title.
☑	The school prepares and submits a Position/Appointment form for Retirement (TER/RTT). This form is sent to the Office of the Provost.
☑	The Office of the Provost prepares a Position/Appointment form to rehire (REH/REW) the individual into the emeritus position.
☑	The Office of the Provost submits the Position/Appointment forms for retirement and emeritus simultaneously to Payroll.
☑	If tenured, the Office of the Provost updates the FASIS tenure page.

Rules
• The emeritus distinction is added to the academic title held by the faculty member at the time of retirement (Professor Emeritus; Senior Lecturer Emeritus, etc.). • Emeritus faculty members are typically unpaid, though they may receive compensation for specific teaching, research or administrative activities. See the paid emeritus procedure for more information about paid appointments. • Tenure is relinquished upon retirement. • Any named professorship title is relinquished upon retirement.

Category – Procedures Last update: 7/14/2011

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Joint or Paid Secondary Appointment

Overview
The *Joint or Paid Secondary Appointment Procedure* is used with the academic appointment type field to distinguish faculty appointments shared across more than one academic department or School. Appointments may be primary (always paid by a single department or School), joint (paid by more than one department or School and meeting all the criteria below), paid secondary (paid by more than one department or School but not meeting the criteria below), or courtesy (unpaid secondary). The designation is often indicated in the faculty appointment letter.

Rules

- Used for all appointments for which the funding is shared across more than one unit (department or School).
- Joint appointments meet the following criteria
    - Promotion and tenure decisions are shared across the units.
    - The faculty member has full voting rights and responsibilities in all units sharing the appointment.
    - Mentoring and disciplinary actions are shared across the units.
    - Short-term and long-term budgetary decisions are shared across the units.
    - With very few exceptions joint appointments cannot be made in a center or institute.
- All other appointments for which the funding is shared across more than one unit are paid secondary appointments.

The following matrix may be helpful:

	Department		Program		Center or Institute	
	Paid	Unpaid	Paid	Unpaid	Paid	Unpaid
Joint	x		x			
Secondary	x	x	x	x	x	x
Courtesy		x		x		x

Steps to determine the academic appointment type	
1	All faculty members must have a single primary academic appointment.
2	If the funding for an appointment is equally split, the two units need to decide which unit will serve as the home department, holding the primary academic appointment. The appointment in the other unit is the *joint* appointment.
3	If the funding is unequally split, generally the department holding the greater portion of the appointment is the home department. Check the rules above to determine whether the appointment in the other unit is *joint* or *paid secondary*.
Additional paid appointments	
4	Check the rules above to determine whether each appointment is *joint* or *paid secondary*.
Unpaid secondary appointments may use the COUR (courtesy) appointment indicator.	

Named Professorships

Overview
A *Named Professorship* is a position/appointment that may be supported by restricted, endowed funds. The named professorship appointment is in addition to the regular academic appointment. A faculty *Awarded Appointment* provides formal, internal recognition of achievement and is a separate position/appointment. Funding for an awarded appointment may go to a School, a department, or directly to the recipient as a stipend. The dean nominates a faculty member to a named professorship. Approval is required by the Office of the Provost and the Board of Trustees. The process for an awarded appointment depends upon the specific award.

Process	
☑	The dean's office prepares a nominating paragraph and supporting documentation for the Provost to review. The nomination packet should include the name of the professorship the faculty member is being nominated for, the faculty member's CV, and the term of the appointment (begin and end dates). A nominating paragraph that will be presented to the Board of Trustees should also be included (see below for criteria).
☑	The nominating paragraph should be written using the approved template. This is done to maintain uniformity in the material that is presented to the Board. The paragraph contains information regarding: current position, educational background and arrival at Northwestern, previous teaching experience, if applicable, a brief description of the nominee's research interests, a brief description of major books, research findings, etc., citation of any major awards received by the nominee, and a brief discussion of the nominee's teaching and service.
☑	The nominating paragraph and supporting documentation is submitted to the Office of the Provost for approval.
☑	Once the Provost approves the nomination, notification of the approval is forwarded to the requesting dean. The Office of the Provost prepares the nomination to be presented at the next available Board of Trustees meeting.
☑	After the Board of Trustees has met and approved the nomination, a letter is sent by the Office of the Provost to the faculty member with congratulations on the distinction. A copy of this letter is also sent to the dean of the School and to the Director of Donor Relations within the Development Office.

Rules
• The faculty member is required to hold a regular or visiting academic appointment in addition to the named appointment. • A named professorship appointment may be for a specific period of time, or it can be for an indefinite time period. • An indefinite appointment ends when the faculty member retires or resigns from the university. • The source of funding may or may not be a gift account. • Faculty may not modify the name of the professorship on publications, letter head, business cards, etc., and they must not use the title until it has been approved by the Board of Trustees.

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Paid Emeritus

Overview
The *Paid Emeritus Procedure* is used when an emeritus faculty member returns to the University to take a part-time or full-time appointment. Emeritus faculty may have short term non-benefits-eligible or longer term benefits-eligible appointments. Appointments in the emeritus member's home department are paid on their primary academic appointment record. Appointments outside the emeritus member's home department are set up on a separate employee record number. The tuition benefits for emeritus faculty do not depend upon active employment.

Rules
• Used for emeritus faculty only. • Before returning to the University in a benefits eligible emeritus capacity, a faculty member must have been retired for at least 31 days. • PAY GROUP is MOF during time of work activity at the university. • The department number must stay in the emeritus node (node 97). • The appointment must be approved by the Office of the Provost. • The appointment may have an end date or indefinite end date. • If the emeritus faculty member returns as a benefits-eligible faculty member, the individual no longer qualifies for the retiree benefit plan, however the individual is eligible to receive employee benefits. Upon termination from benefits-eligible status, the faculty member is eligible to rejoin the retiree benefits program.

Procedural Steps	
Case 1: If the paid appointment is within the emeritus faculty member's home department, is non-benefits-eligible and is an academic appointment:	
1	Complete a Position & Appointment form using the following values: • Effective date: date of the start of the paid appointment. • Action/action reason: PAY/SRT (Pay Change/Short Term Assignment) • PAY GROUP: MOF (changed from OTH) • Contract period: number of contracted months. • Appointment end date: must be updated for the paid period, then switched back to indefinite for the unpaid period. • Scheduled pay periods: If the paid faculty member is teaching one year or more, enter 12, otherwise leave blank. • Funding: Enter the chartstring that funds the appointment.
2	At the same time submit another Position & Appointment form to switch the paygroup from paid to unpaid when the appointment ends: • Effective date: date of the start of the unpaid appointment (emeritus). • Action/Action Reason code: PAY/SRT (Pay Change/Short Term Assignment) • PAY GROUP: OTH • Appointment end Date: indefinite • Scheduled pay periods: blank

Case 2: the paid appointment is a benefits-eligible appointment, and is not the emeritus faculty member's primary academic appointment. Because it is a benefits-eligible appointment it must be on the 0 record. It may be an academic administrative appointment, an academic appointment in another department, or a staff appointment.	
1	Complete a Position & Appointment form using the following values: • Effective date: date of the start of the paid appointment. • Action/Action Reason code: REH/REW • PAY GROUP: MOF • Contract period: number of contracted months. • Appointment end date: the date of the end of the paid appointment. • Scheduled pay periods: if the paid faculty member is teaching one year or more, enter 12, otherwise leave blank. • Funding: Enter the chartstring that funds the appointment. Payroll will terminate the emeritus appointment with an action/action reason of TER/EXP and then add the new appointment using the information from the Position/Appointment form. The emeritus appointment will be added to an existing employee job record as a**n** REH/REW or to a new employee job record with the action/action reason of REH/REH. Please note: the primary academic appointment remains the appointment where the faculty holds emeritus status.
2	At the end of the paid appointment, submit another Position & Appointment form to end the appointment either by terminating or switching the appointment to unpaid status.
Case 3: the paid appointment is within the emeritus faculty member's home department and is a non-benefits-eligible academic administrative or special pay appointment (this is used for one time teaching assignments).	
1	Complete a Position & Appointment form using the following values: • Effective date: date of the start of the paid appointment. • Action/Action Reason code: HIR/ADD or REH/ADD • PAY GROUP: MOF • Contract period: number of contracted months. • Appointment end date: the date of the end of the paid appointment. • Scheduled pay periods: if the paid faculty member is teaching one year or more, enter 12, otherwise leave blank. • Funding: Enter the chartstring that funds the appointment. Please note: the primary academic appointment remains the appointment where the faculty holds emeritus status.
2	At the same time submit another Position & Appointment form either terminating or switching the appointment to unpaid status.
Case 4: the paid appointment is in a department other than the emeritus faculty member's home department.	
1	Complete a Position & Appointment form using the following values: • Effective date: date of the start of the paid appointment. • Action/Action Reason code: HIR/ADD or REH/ADD

	• PAY GROUP: MOF • Contract period: number of contracted months • Appointment end date: the date of the end of the paid appointment. • Scheduled pay periods: if the paid faculty member is teaching one year or more, enter 12, otherwise leave blank. • Funding: Enter the chartstring that funds the appointment. Please note: the primary academic appointment remains the appointment where the faculty holds emeritus status.
2	At the same time submit another Position & Appointment form to switch the paygroup from paid to unpaid when the appointment ends.

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Compensation

Dependent Care Travel Grant & Grant-in-Advance

Overview
Northwestern University offers tenure track (pre-tenure) faculty a taxable grant for qualified short-term dependent care expenses incurred when traveling to attend professional meetings, conferences, workshops and professional development opportunities. The grant is funded at a level intended to provide full compensation for approved incremental expenses, up to a maximum of $500 post-tax per academic year. There are 2 ways to apply: a grant can be given as a grant-in-advance (prior to travel) or as a reimbursement (after travel). Grants are administered as additional compensation included in the monthly paycheck. If expenses are less than $500 for a single travel event, more than one request may be submitted for the academic year, until the maximum post-tax amount of $500 is reached.

Process If you are applying for a Dependent Care Travel Grant reimbursement:	
☑	Complete the Dependent Care Travel Grant Program Reimbursement Form.
☑	Submit form and receipts within 14 days of return (via campus mail, US mail or by hand delivery) to: Dependent Care Travel Grant Program Office of the Provost 633 Clark St., Room 2-154 Evanston campus 1119 (or Evanston, IL 60208)
☑	Requests are reviewed by the Office of the Provost. If the request is approved, the Office of the Provost will either submit an additional pay request to the Payroll Office on behalf of the faculty member, or, will instruct the School on payment instructions.
☑	The faculty member is notified by e-mail with the status of the request.

Process If you are applying for a Grant-in-Advance:	
☑	Receipts must be submitted with the Dependent Care Travel Grant Program Grant in Advance Verification Form within 14 days of return, and if the costs incurred are less than the grant in advance, repayment will be required.
☑	Submit form and receipts within 14 days of return (via campus mail, US mail or by hand delivery) to: Dependent Care Travel Grant Program Office of the Provost 633 Clark St., Room 2-154 Evanston campus 1119 (or Evanston, IL 60208)
☑	Requests are reviewed by the Office of the Provost. If the request is approved, the Office of the Provost will either submit an Additional Pay request on to Payroll Office on behalf of the faculty member, or, will instruct the School on payment instructions.
☑	The faculty member is notified by e-mail with the status of the request.

Rules
Tenure-track (pre-tenure) faculty members are eligible for this grant. Required documentation for fulfillment of the grant may include: • The social security number or federal tax identification number of the child care provider. • Conference information. • Speaker/presenter information. • Airfare reservations and payment information. • Hotel reservations. Eligible faculty members are allowed one $500 grant per academic year. Payments will be paid by no later than the second pay period after submission.

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Other Faculty Procedures

Faculty Hiring Plans

Overview
Every spring the School deans are notified by the Provost of the *Faculty Hiring Plan* Process. The Hiring Plans document faculty, as well as space needs for each school, taking the individual School budgets into consideration. Faculty Hiring Plans document the following: search numbers, department, number of planned searches, faculty rank, specialty/area, funding, space requirements, research material requirements, diversity recruitment. The Faculty Records Office (in the Office of the Provost) will provide a vetted version of the most recent plan. This plan will reflect any hiring which has occurred, as well as any offers currently open or pending (under negotiation), and inactive searches (lines which were previously approved, but not initiated). Each School's current Faculty Hiring Plan and a blank template of the hiring plan spreadsheet are available in the Depot folder for the respective School, within the Provost Office Hiring Plans folder. Depot offers a secure, central repository where users can upload, store, and share files rather than send them back and forth as e-mail attachments. Faculty Hiring Plans must be approved by the Office of the Provost. They are prepared by the School and submitted to the Office of the Provost each May. Faculty Hiring Plans reflect any hiring which has occurred, as well as any offers currently open or pending (under negotiation), and inactive searches. They are available for viewing year-round on Depot.

Process	
☑	Each spring the Office of the Provost provides a Faculty Hiring Plan template to the Schools. The Provost instructs the Schools to review the template and update accordingly. Faculty Hiring Plans are found in the *plan* location on Depot: School Folder: Hiring Plans: FY__: FY__Template.
☑	Each School prepares a proposed Faculty Hiring Plan, pulling forward any previously-approved, unfilled searches (if desired) and adds any new lines which may be vacant, and for which a search is desired.
☑	Once the Faculty Hiring Plan has been completed for the current FY by the School, it should be saved as ***FY__Hiring Plan Proposal*** , and uploaded to Depot.
☑	The School notifies the Office of the Provost that the proposed Faculty Hiring Plan is available for review on Depot.
☑	Once the proposed plan is placed on Depot, there may be further inquiries from the Faculty Records Office for information or details about specifics of the plan. This may require some discussion back and forth, as well as revisions to the plan. The Office of the Provost encourages the use of version numbers for each subsequent proposed plan: ***"FY_ Hiring Plan Proposal 2", "FY_ Hiring Plan Proposal 3", etc.*** The highest number reflects the most recent, edited proposal.
☑	When both the School and the Faculty Records Office are satisfied with the proposal, the Faculty Records Manager forwards it to the Provost. The Provost typically meets with the dean for discussion of the plan before approving it. The current Faculty Hiring Plan is saved and locked as ***"FY_ Hiring Plan Approved."***

Rules
• If the School wants to request modifications to the approved hiring plan, the dean must submit the request in writing to the Provost. If the Provost approves the modification, the hiring plan is updated accordingly by the Faculty Records Office. The School may view the updated plan on Depot. • Please note that approval is for the current FY plan only; advanced FY plans are not considered approved. • It is always important to include any space requirements and/or limitations when submitting the Faculty Hiring Plan to the Office of the Provost for approval.

Category – Procedures Last update: 7/25/2011

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Faculty Status Report

Overview
The *Faculty Status Report*, which is administered by the Office of the Provost, is an accounting of academic year-to-date activity of faculty with appointments of one year or longer. The faculty activity reported is cross-referenced to the approved School Hiring Plan as well as other annual processes, such as promotion and tenure review. The Faculty Status Report is a School-specific, multi-tabbed Excel document housed on the online document-sharing tool, Depot. The School's hiring plan is represented on one of the tabs for reference. Instructions for completing the Faculty Status Report are included on the final tab of the Excel document. Data captured on the Faculty Status Report includes open faculty searches, finalist candidates, and the status of offers; newly hired faculty; those due for promotion and/or tenure review; departures and retention cases, including types of incentives and status of retentions; and anticipated retirements and emeritus status requests. Basic demographic data, rank and tenure information (current and proposed) are included for the faculty and faculty candidates represented on this report.

Process	
☑	At the beginning of each month, a reminder is sent by the Office of the Provost with a due date for the report.
☑	The School administrator logs in to Depot and navigates to the latest Faculty Status Report. This most recent version of the report is stored outside of the subfolders. Note that faculty information may have been updated by the Office of the Provost. Changes made by the Office of the Provost will be highlighted in purple.
☑	The School administrator opens the document, downloading it from Depot.
☑	The report is updated by the School administrator with relevant new or changed information on each tab. Abbreviations used on the Faculty Status Report follow the convention: aP = Assistant Professor, AP = Associate Professor, P = Professor, T = Tenure Track, A = Attained Tenure, NTE = Non Tenure Eligible. The modifications are highlighted in a color of the School's choice.
☑	The report is renamed with the editing date and saved by the School administrator on the local computer.
☑	The report is uploaded to Depot. The School deans' offices submit this report on a monthly, cumulative basis.
☑	The Office of the Provost aggregates the information onto a single master document for review and use by the Provost, the Associate Provost for Faculty Affairs, others within the Office of the Provost, and the Office of Budget and Planning. The Office of the Provost manages the archiving of reports within the Schools' subfolders on Depot. For more information, contact the faculty records division of the Office of the Provost at facultyrecords@northwestern.edu.

Category – Procedures Last update: 02/01/2014

Return to Table of Contents Effective date: 07/25/2011

Leave of Absence (Faculty)

Overview
A *Leave of Absence* must be approved by the dean of the School and the Office of the Provost. A leave of absence may be paid or unpaid, granted for academic, professional, or personal reasons. Each type of leave of absence is described by a specific Action/Action Reason code. See the transactional information in this Manual: Leave of Absence and Leave of Absence Extension.

Process	
☑	Faculty member requests a leave of absence in writing; the request is forwarded to the dean. After approval by the dean, the leave request is sent to the Office of the Provost for approval. The request packet includes: 1. The completed Leave of Absence Office of the Provost form with the dean's signature, 2. Leave of Absence back-up documentation, specific to the type of leave.
☑	Decision of approved/disapproved leave is communicated from the Office of the Provost to the School dean's Office. If the leave request changes (i.e. it is deferred to a future academic year, cancelled, or extended), the School should indicate this on a copy of the approved leave request form and resubmit the form to the Office of the Provost.
☑	Within 90 days of the start of the leave, the School prepares and submits a FASIS Position/Appointment form to place the faculty member on leave in the system. The expected return date is included on this form, but the return from leave action code (RFL) with an effective date is not. The Office of the Provost compares the FASIS Position/Appointment form data with the approved request on file, signs, and forwards it to the Payroll Office.
☑	When the faculty member returns from the leave, a new FASIS Position/Appointment form is prepared by the School with the code RFL/RFL (Return from Unpaid Leave) or RFL/RPL (Return from Paid Leave) and the return effective date. This form is also signed by the Office of the Provost and forwarded to the Payroll Office.

Rules
▪ The Faculty Handbook and the Faculty Family Leave Policy should be consulted for rules regarding eligibility, types, length and timing of leaves. Schools may use specific policies in addition to University policies. ▪ Requests for tenure extension consideration must be made separately from requests for leaves of absence.

Category – Procedures Last update: 02/01/2014

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Promotion Review

Overview
The Provost is responsible for reviewing recommendations from the schools for promotion from a University-wide perspective. Review of a faculty member for promotion may or may not occur in conjunction with review for tenure award. See faculty career path and tenure review. Promotions are made only upon approval of the School dean, the Provost and the Board of Trustees. Consult your School dean's office for a complete list of materials required for a faculty member's consideration for promotion.

Process	
☑	The dossier for every candidate for promotion is prepared by the School and submitted to the Office of the Provost.
☑	The Provost makes his or her decision on granting promotion to the candidate. The decision is communicated to the school.
☑	The Board of Trustees receives a report of faculty promotions. Once approved by the Board, the faculty member receives a letter signed by the Provost in acknowledgement of his or her status.
☑	Promotions usually go into effect on September 1st of the following academic year. See promotion (faculty) for detail on the FASIS transaction.

Additional Resource
Faculty Handbook http://www.northwestern.edu/provost/policies/handbook/handbook.pdf

Category – Procedures Last update: 7/14/2011

Return to Table of Contents Effective date: 07/18/2011

Salary Planning

Overview
The annual salary planning process allows Schools and Administrative Units to enter data directly into FASIS for faculty and staff merit increases, reappointments, and promotions. The administration of faculty salary planning is handled by the Office of the Provost and the Office of Budget and Planning.

Process	
☑	The process is initiated each year with a kick-off meeting in January where representatives from the administrating offices discuss the calendar of activities and other details regarding the process.
☑	Salary planning activities take place throughout the Spring and Summer quarters: • Salary Administration Units (SAUs) are confirmed and assigned. • Performance Evaluation materials are distributed by Compensation. • Planning materials are distributed by the Office of Budget and Planning. • Salary Planning training takes place. • Schools and units perform entry in FASIS for staff and faculty. • Entries are approved. • FASIS loads the new data. • Schools and units run queries to verify data. • Merit letters for staff are distributed.
☑	Increases, reappointments, and promotions go into effect 9/1 of the new fiscal/academic year.

Resources	
	Resources available to faculty and staff salary planners include a calendar of important dates; a procedural manual outlining how to access the FASIS panels, the procedures for staff, faculty and medical faculty, and how to use available queries; and training demonstrations.

Category – Procedures Last update: 4/16/2012

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Tenure Review

Overview
The Provost is responsible for reviewing recommendations from the Schools for tenure award from a University-wide perspective. In considering the award of tenure, Northwestern University seeks to apply the highest standards with respect to professional achievement in the areas of scholarship, research, creative work, and teaching. Review of a faculty member for tenure award may or may not occur in conjunction with review for promotion. See also Tenure-Track Faculty and Promotion Review. Consult your School dean's office for a complete list of materials required for tenure review. The award of tenure is made only upon approval of the School dean, the Provost and the Board of Trustees. If a candidate for tenure award is denied during review by the School, the dossier materials are still required by the Office of the Provost. In the case of a senior hire, tenure review materials are put forth by the School dean to the Provost at the time that the offer is being reviewed and approved.

Process	
☑	Typically, during the final year of a faculty member's tenure clock, he or she is considered by a committee for tenure recommendation. School deans' offices can provide guidelines regarding the academic Home Department's collection of information about the individual's record in teaching, research and service. The School dean's office will also advise on the composition and workings of the Promotion and Tenure Committee.
☑	If the School dean recommends that the faculty member be awarded tenure, the proposed action must be approved by the Provost and the Board of Trustees.
☑	The dossier for every candidate for tenure award is prepared by the School and submitted to the Office of the Provost.
☑	The Provost makes his or her decision on granting tenure to the candidate. The decision is communicated to the School.
☑	The Board of Trustees receives a report of faculty tenure awards. Once approved by the Board, the faculty member receives a letter signed by the Provost in acknowledgement of his or her status.
☑	Tenured status goes into effect on September 1st of the following academic year. See Tenure Award for detail on the FASIS transaction.

Additional Resource
Faculty Handbook http://www.northwestern.edu/provost/policies/handbook/handbook.pdf

Category – Procedures Last update: 7/14/2011

Return to Table of Contents Effective date: 07/18/2011

General Procedures

NetID

Overview
A *NetID* may be obtained for a new faculty or staff member up to 90 days prior to the individual's hire date. This enables the newly hired individual to get a Wildcard, parking permit, Blackboard account, and e-mail account, as long as the paperwork (Personal Data form and Position/Appt form) has been sent to Payroll and entered into FASIS. Keep the following points in mind: 1. Lead time: if the Position/Appointment form requires approval from the Office of the Provost, extra time must be set aside to accommodate this approval. In addition, remember that campus mail takes some time, as does the data entry process. 2. Prioritization: when the forms arrive at Payroll, they are prioritized accordingly. For example, paperwork for paid employees for the current month takes precedence over paperwork for early entry of future hires. It is recommended that departments and Schools work with a "100-day" time frame for the NetID generation (create the form 100 days in advance of the date of hire; then submit it for appropriate approvals and processing). The extra 10 days accommodates both the lead time and prioritization.

Process	
☑	Paperwork is completed and sent to the Payroll Office (Personal Data Form and Position/Appointment form)
☑	The NetID coordinator is notified by email of the new NetID. For information on the NetID coordinator, visit: http://www.northwestern.edu/hr/managers-administrators/fasis-administrator-tools/netid-automation.html
☑	The NetID coordinator notifies the new employee of the new NetID and temporary password.
☑	The new NetID must be activated at http://www.northwestern.edu/facstafflogin.

Additional Information
See http://www.it.northwestern.edu/netid/index.html for additional information on NetIDs

Category – General Procedures | Last update: 02/13/2012

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Short Term Assignments

Overview
Short term assignments, of six months or less, require the action/action reason code (PAY/SRT) to update the PAYGROUP and appointment end date. This action/action reason code is not required if the appointment is solely for the duration of a teaching assignment and would not involve switching back and forth from paid to unpaid. This process is necessary to insure that encumbrances are calculated correctly.

Process	
☑	Used for appointments lasting six months or less.
☑	Appointment examples: adjunct, non-benefits eligible paid emeritus, and occasional lecturers.
☑	Use action/action reason code PAY/SRT (Pay Change/Short Term Assignment).
☑	Include the appropriate appointment end date, PAYGROUP, and percent full time (for adjuncts).
☑	On the same form, another PAY/SRT transaction, effective the day following the previous appointment end date, is entered, changing the percent full time (if it was changed), PAYGROUP and appointment end date back to the previous values.

Examples – **see Position/Appointment forms below**	
1	An adjunct faculty member has an unpaid appointment, start date = 9/1/2010 and end date = 8/31/2013. From 1/1/2012 to 3/31/2012, this individual will be paid .
	The Position/Appointment form is submitted with: • Effective date: 1/1/2012 • Action/Action Reason: PAY/SRT (Pay Change/Short Term Assignment) • PAYGROUP: MOF (changed from OTH) • Appointment End Date: 3/31/2012 • Percent Full Time (e.g. 16%)
	Percent Full Time required for all adjunct positions, even when they are less than 6 months.
	On the same form, another PAY/SRT transaction is effective 4/1/2012, changing the PAYGROUP back to OTH, the Appointment End Date back to the original end (8/31/2013), and the Percent Full Time to zero.
2	An emeritus faculty member is unpaid, with an appointment start date = 9/1/2010 and end date = indefinite. From 1/1/2012 until 3/31/2012, this individual will have a paid administrative position.
	The Position/Appointment form is submitted with: • Effective date: 1/1/2012 • Action/Action Reason: PAY/SRT (Pay Change/Short Term Assignment) • PAYGROUP: MOF (changed from OTH) • Appointment End Date: 3/31/2012
	Percent Full Time is not required for this position because it is less than 6 months.

On the same form, another PAY/SRT transaction is effective 4/1/2012, changing the PAYGROUP back to OTH and the Appointment End Date back to the original end (indefinite).

Department of Human Resource
Northwestern University
720 University Place
Evanston Campus

NORTHWESTERN UNIVERSITY
Appointment Form

Form Print Date: Record Number:

Employee Name: Wildcat, Willie
Print last name first, first name, middle initial

University ID No: 1234567

Job Data

Last Action Effective Date: Action: Reason:

Work Location HR. Status:

Effective Date: (A) 1/1/12 (B) 4/1/12

Action/Reason: PAY (Action) SRT (Reason) PAY (Action) SRT (Reason) (Action) (Reason)

Position Number: 1234 Expected LOA Return Date:

Department: Location: Primary Job:

Job Information Adj. Lecturer

Job Code: Standard Hours: Suite or Room No:

Payroll
Paygroup: (A) MOF (B) OTH

NW Faculty Tenure
Tenure Status:

Compensation
Tenure Review Date:

Compensation Rate: (A) ~~#3000~~ (B) Ø

Expected Tenure Begin Date:

NW Job Data

Appointment End Date: (A) 3/31/12 (B) 8/31/13 OR Check here if Indefinite End to Appointment

Scheduled Pay Periods: Percent Full Time: (A) 16% (B) Ø Annual FTE Salary:

Contract Period: (A) 3 Appointment Indicator:

Benefits
Annual Benefits Base: Primary Appointment Primary Role

Address History
Check Addr Code: Employee Work Phone #: Mailing Record:

NW Reports To
Conflict of Interest Posn#: Performance Evaluation: Posn#:

Approver: Approver:

Training: Posn#: Time Card/Leave Accrual: Posn#:

Approver: Approver:

Comments	Authorization	Phone	Date

Department of Human Resource
Northwestern University
720 University Place
Evanston Campus

NORTHWESTERN UNIVERSITY
Appointment Form

Form Print Date: Record Number:

Employee Name: Wildcat, Willie
Print last name first, first name, middle initial

University ID No: 1234567

Job Data

Last Action Effective Date: Action: Reason:

Work Location HR. Status:

	A		B			
Effective Date:	1/1/2012		4/1/2012			
Action/Reason:	PAY	SRT	PAY	SRT		
	Action	Reason	Action	Reason	Action	Reason

Position Number: 1234 Expected LOA Return Date:

Department: 123497 Location: Primary Job:

Job Information

Job Code: 100041 Standard Hours: Suite or Room No:

Payroll
Paygroup: A MOF B OTH

NW Faculty Tenure
Tenure Status:
Tenure Review Date:
Expected Tenure Begin Date:

Compensation
Compensation Rate: A 5000— B 0

NW Job Data

Appointment End Date: A 3/31/2012 OR Check here if Indefinite End to Appointment B ✓

Scheduled Pay Periods: Percent Full Time: Annual FTE Salary:

Contract Period: Appointment Indicator:

Benefits
Annual Benefits Base: Primary Appointment Primary Role

Address History
Check Addr Code: Employee Work Phone #: Mailing Record:

NW Reports To
Conflict of Interest Posn#: Performance Evaluation: Posn#:
Approver: Approver:
Training: Posn#: Time Card/Leave Accrual: Posn#:
Approver: Approver:

Comments	Authorization	Phone	Date

Quality Assurance

FASIS Manual Information

Feature
Each entry in the FASIS Manual is marked with the *Effective Date* and *Last Update* dates, as this is a working document with continuous revisions. There will be notifications and descriptions in the bimonthly FASIS Newsletter when major changes have been made to the FASIS Manual. You can download a consolidated list of update dates. The material in the Manual has been developed and vetted within the Data Definition and Process Redesign Team and the Functional/Academic/IT School Administrators Task Force. If you have questions about the contents of the Manual, please contact the FASIS team at fasis@northwestern.edu.

Category – Procedures Last update: 01/27/2011

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Notify Button

Feature
At the bottom of many FASIS pages, a yellow *Notify Button* is available to alert the Payroll Quality Assurance Staff of any existing data within FASIS which is questionable, incorrect or confusing. On the same page on which you noticed the questionable data, click the Notify button. The 'To' (Payroll Office) and 'cc' (Office of the Provost) e-mail addresses will be pre-populated. In the Message box, describe the data issue you have found, and for follow-up purposes, please include a contact phone number. The Payroll Quality Assurance Staff will review the data issue and respond within 2 business days of receiving the e-mail. Please limit use of the Notify button to issues concerning data that has already been entered into FASIS.

Category – Procedures Last update: 01/27/2011

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Training

Appointment Overview Page

Overview
Appointment Overview provides a comprehensive snapshot of an individual's appointments at Northwestern; details are provided for all active and terminated faculty, staff, and non-employees (excluding temps, grad students, trustees, NMFF administrators, and Cobra dependents). For additional assistance, please see the job aid at http://www.northwestern.edu/hr/managers-administrators/fasis-administrator-tools/fasis-documentation/CurrentSalary_JobAid.pdf.
Security
Any user with access to at least *one* of an individual's appointments (faculty, staff, or non-employee) will be able to see information for *all* of that person's appointments.
Navigation
Main Menu > Faculty and Staff Information > Appointment Overview

Category – Training Last update: 08/12/2011

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Current Salary Page

OVERVIEW
The *Current Salary Page* provides salary detail for an individual's active appointments at the University. To be visible on this page, the employee must have had at least one active appointment in a *paid* pay group (MON, MOF, BIR, NMF) at some time during the current fiscal year. Temps, grad students, trustees, NMFF administrators, and Cobra dependents are not included. For additional assistance, please see the job aid at http://www.northwestern.edu/hr/managers-administrators/fasis-administrator-tools/fasis-documentation/AppointmentOverview_JobAid.pdf.
SECURITY
Any user with access to one appointment that has been paid (pay group MON, MOF, NMF, or BIR) at *any time* during the current fiscal year will see *all* current salary information for every appointment.
NAVIGATION
MAIN MENU > FACULTY AND STAFF INFORMATION > CURRENT SALARY

Category – Training Last update: 08/12/2011

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Northwestern Scholars

Overview
As an integral part of FASIS, Northwestern Scholars is a web-based, searchable database of expertise across all disciplines at Northwestern University. The database and interface are a combination of SciVal Experts and VIVO. The database includes profiles, publications, and grant data of thousands of scholars within Northwestern. As a research networking tool, Northwestern Scholars links individuals within the SciVal Experts Community and across the national DIRECT and VIVO networks.
Rules
The following groups of faculty are included in Northwestern Scholars: • all tenure-track faculty • all research and clinical faculty with >= 75% full time appointments, at or above the rank of assistant professor • all emeritus faculty who are currently working at Northwestern • all academic full-time faculty at or above the rank of assistant professor • all continuing lecture faculty within the Weinberg College of Arts and Sciences • All librarian faculty with active publications • All contributed services faculty with active grants
Security
At first it will be password-protected, but in the near future Northwestern Scholars will be open to the public and contains only publicly available content.
Navigation
http://experts.scival.com/northwestern/

Category – Northwestern Scholars | Last update: 09/15/2011

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