

**DEPARTMENT OF PEDIATRICS
UNIVERSITY OF ILLINOIS MEDICAL CENTER AT CHICAGO**

POLICIES AND PROCEDURES

SEPTEMBER 2008

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OVERVIEW

A **policy** is any stated principle that requires, guides, or restricts action to achieve the UIMCC Department of Pediatrics' stated objectives. Policies MUST

- ◆ Be clearly stated in writing and properly approved by the UIMCC Department of Pediatrics management.
- ◆ Confirm with applicable state and federal laws and regulations, and consistent with the UIMCC Department of Pediatrics objectives.
- ◆ Be designed to promote the conduct of authorized activities in an effective, efficient, and economical manner and provide a satisfactory degree of assurance that the resources of the University are safeguarded.
- ◆ Be systematically communicated to all officials and employees of the UIMCC Department of Pediatrics.

Procedures will be the methods employed by the UIMCC Department of Pediatrics to carry out its activities in conformity with prescribed policies and their principles. These specify how recurring tasks will be executed and enumerate both the steps and sequence to be followed. Procedures may not be overlapping, expensive, repetitive, and duplicative and coordinated in a way that one employee's work is automatically checked by another who is independently performing separate prescribed duties. This reduces the possibilities of fraud or error.

If Policies and Procedures at the UIMCC Department of Pediatrics are not clear and comprehensive, and effectively communicated to users, the decisions made and actions taken might not be in accordance with University of Illinois policies and procedures, state and/or federal laws etc.

The UIMCC Department of Pediatrics policies and procedures are therefore written specifically for the UIMCC Department of Pediatrics operations and supplement those of the University of Illinois and the College of Medicine's (COM) within which the UIC Department of Pediatrics is a clinical/academic and research unit. These policies and procedures will provide general guidelines for problem-solving and decision-making to the UIMCC Department of Pediatrics management and employees and will ensure that the UIMCC Department of Pediatrics operations are consistent; conform to applicable legislation, regulations, plans, technical/professional and/or ethical standards; and promote achievement of the UIMCC Department of Pediatrics mission, goals, and objectives.

In cases where the UIMCC Department of Pediatrics does not have a policy/procedure, the one set forth by the University and/or College of Medicine will be followed. Please refer to the following web sites for the University's policies and procedures:

University: <http://www.obfs.uillinois.edu/manual/index.html>

The UIMCC Department of Pediatrics Policies and Procedures Manual is divided into six sections:

- Grants and Contracts
- Fiscal
- Human Resources
- Operations
- Gifts
- Information Technology

The policies and procedure manual should be reviewed and updated at least once per year.

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SECTION A

GRANTS AND CONTRACTS POLICIES AND PROCEDURES

A.1. Grants and Contracts Administration

Objective(s)

1. To assemble and prepare proposal packets (Proposal Approval Form, scope of work, budget, and disclosure form) and monitor their progress through the appropriate College and University offices.
2. To ensure completeness and accuracy of all proposal packet information.
3. To act as liaison between University offices, project sponsors, and principal investigators throughout the proposal and project stages.
4. To maintain an up-to-date Grants Log detailing all active proposals and projects in an MS Access file that is on the shared drive in the UIMCC Department of Pediatrics server.
5. To keep principal investigators and others informed of potential sources of revenue for the UIMCC Department of Pediatrics.
6. To maintain an archive of all past UIMCC Department of Pediatrics proposals and projects.

Risk(s)

1. Lack of close monitoring may result in missed deadlines or forgotten and misplaced paperwork.
2. Incomplete or inaccurate paperwork may lead to delays in processing time.
3. Multiple points of contact may be confusing to the Office of Research Services and Grants and Contracts, resulting in missed communications which may lead to delays in processing times.
4. If management is not kept abreast of possible funding, the UIMCC Department of Pediatrics fiscal picture may not be accurately presented.
5. Principal Investigators may miss out on potential funding sources if they are not aware of them.
6. Information on past projects may be required from project sponsors or UIMCC Department of Pediatrics staff at some point in the future. The lack of an appropriate archive system may violate sponsor contract stipulations.

Staff Responsible

Resource and Policy Analyst - Grants and Contracts (RPA)

Policy/Procedure

1. RPA works with PI/Project Coordinator to prepare scope of work. The RPA prepares the Proposal Approval Form (PAF). The Project Coordinator works with the unit Section Managers to prepare a budget based upon the PI/ RPA final scope of work.
2. The RPA prepares/assembles a proposal packet (PAF, scope of work, budget, and disclosure form).
3. RPA enters all proposal information into the Grants Log.
4. RPA ensures all required signatures are obtained from all appropriate UIMCC Department of Pediatrics/College, and University staff. A hard copy of the completed and signed document is maintained in the UIMCC Department of Pediatrics Grants Management Section unit files.

1. RPA delivers the original proposal packet and two copies to the Office of Research Services (ORS).
2. RPA acts as the UIMCC Department of Pediatrics contact person for ORS throughout the contract negotiation. The RPA acts as the contact person for the sponsoring agency.
3. RPA continually updates the Grants Log.
4. If possible, an anticipation account request is submitted to ORS.
5. At least twice a month, sponsors and ORS are contacted for status updates on pending proposals. RPA attempts to resolve any problems that will slow down the contracting process.
6. RPA helps to secure matching funds if necessary.
7. Once contract is executed, the RPA follow the contracting process until a Notice of Award (NOA) and/or Banner fund number is issued.
8. An announcement is sent by the RPA via email at the UIMCC Department of Pediatrics to all unit staff that the proposal has been funded and is active.
9. Update the Grants Log with post-award information.
10. Periodically review project end dates to determine if extensions or other actions are required.
11. Acquire final reports for all projects for the UIMCC Department of Pediatrics archives.

On a continual basis, the RPA is responsible for assisting Principal Investigators in researching new funding opportunities, which may come from calls for proposals, the grants.gov web site, the Community of Science web site, NIH website, private grants and foundations resources, and/or other sources. The RPA will report potential funding opportunities to all private investigators via the monthly UIMCC Department of Pediatrics staff meetings and via email announcements.

For details visit <http://www.obfs.uillinois.edu/manual/index.html#s16>

A.2. Billing Procedures for Sponsored Projects

Objective(s)

To ensure that the UIMCC Department of Pediatrics is reimbursed for all expenditures from Sponsored projects.

Risk(s)

Not billing Sponsors for monies expended imposes the risk that the UIMCC Department of Pediatrics will not be reimbursed for monies related to work on projects. This will lead to deficit spending.

Staff Responsible

Resource and Policy Analyst - Grants and Contracts (RPA)

Policy/Procedure

1. The UIC Grants and Contracts Office is responsible for billing and has a system to automatically bill Sponsors on a monthly basis. However, some Sponsors have specialized forms and require certain documentation and/or billing procedures that only the UIMCC Department of Pediatrics can assist with.
2. Follow the billing procedure specified in the contract. If one is not specified, consult the Sponsor and the Grant's accountant to get an understanding of how reimbursements will be made.
3. If no specialized forms, documentation, or procedures are required, on a monthly basis review the FZIBDET report from Banner to confirm what has been billed and received. Record this data on the summary sheet in the fund's ledger.
4. If specialized forms, documentation, or procedures are required, bill Sponsor accordingly. Send copy of documentation to the Grant's accountant and keep a copy in the fund's file. Follow same procedure as #B.2.

Other Grant and Contract Forms:

Detail Encumbrance Inquiry Form	FGIENCD
Account Index Validation Form	FTVACCI
Grant Organization Query Form	FRIORGH
Organization Budget Status Form	FGIBDST
Grant Agency Inquiry Form	FRIASTG
FOAPAL Attribution Association Query Form	FTIFATA
Organization Budget Summary Form	FGIBSUM
Grant Summary Query Form	FZIGSUM
Grant Inception to Date Form	FZIGITD
Grant Budget Totals Form	FRIBUTG
Grant Payments Entry/View	FZAAREV
Grant Personnel Inquiry	FRIPSTG
Grant Title Search	FRIKGNT
Grant Billing Query	FZIBILL
Indirect Cost Distribution Maintenance	FTMINDD
Grant Transaction Detail	FZIGTRD

A.3. Cost Sharing & Match—Accounting and Reporting

Objective(s)

1. To comply with Sponsors' requirements to account for and document the match to sponsored grants.
2. To report cost sharing (the State dollars used to support sponsored grants) in the ARS system.

Risk(s)

1. Without accurate accounting for match, the University will be subject to losing funding from Sponsors due to non-compliance with grant requirements.
2. Without reporting the cost share in the ARS system, the University will not have an accurate accounting of the amount of State dollars used to support sponsored projects.

Staff Responsible

Resource and Policy Analyst - Grants and Contracts (RPA)

Policy/Procedure

The accounting for the match should be maintained in the ledger of the fund that the match is related to. See the procedures for in A.4 Accounting for Active Funds.

The cost sharing is to be reported in the ARS in August of every year. Follow the instructions at <https://www.dria.uic.edu/ars/default.asp>

A.4. Accounting for Active Funds (Projects)

Objective(s)

1. To verify the accuracy of the Banner generated reports and discrepancies between the ledgers and the Banner reports are detected and corrected so that the Banner reports accurately reflect the Fiscal condition of the UIMCC Department of Pediatrics.
2. To provide Principal Investigators and Project Coordination staff with bi-weekly Fiscal information for the funds for which they are responsible.
3. To comply with the Sponsors and the University's policies on Fiscal record-keeping.

Risk(s)

1. If errors are made in the Banner Fiscal reports and go undetected, the UIMCC Department of Pediatrics could be exposed to Fiscal loss, legal liability, Fiscal mismanagement, and the UIMCC Department of Pediatrics may over or under expend grants or expend them incorrectly etc.
2. Neither Principal investigators nor management will have the Fiscal information necessary to make decisions.
3. If Fiscal records are not kept according to the Sponsors policies, the UIMCC Department of Pediatrics risks the possibility of future funding.

Staff Responsible

Resource and Policy Analyst - Grants and Contracts (RPA)

Policy/Procedure

An electronic ledger should be set up for each fund and be maintained in Excel, Access or similar software.

For sponsored projects, the ledger should contain work sheets for the following:

1. Summary of Budget and Expenditures
2. Detail Ledger with Running Totals for Budget Balances
3. Reconciliation of Ledger to Banner Statement
4. Match Reporting/Cost Sharing
5. Notes/Action Items for the Principal Investigator/Projection Coordination Staff

For non-sponsored projects, the ledgers should contain worksheets, which are most suitable for the fund's monitoring.

The State fund is to be maintained and reported according to the University's policy.

Transactions are to be recorded to the ledger as they occur.

After period close each month (usually on the 6th of the month), download from Banner and copy to the appropriate drive the following Banner Reports for the UIMCC Department of Pediatrics:

1. Detail Operating Ledger Report (for non-sponsored funds)
2. Detail Operating Ledger Report—Inception to Date (ITD)
3. Labor Distribution Report-MN
4. Personnel Encumbrance Statement
5. Operating Ledger Transaction Statement

Bi-weekly, financial reports are distributed to the Principal Investigator and the Project Coordination staff. The reports detail expenditures for the current period and provide a total of budget and costs for the project.

By the 25th of each month, the ledger for each fund is to be reconciled to the Banner statement for the current period close. Reconciling items are to be listed on the Coordinator of Finance's reconciliation sheet for correction. Rogue C-FOAPALS and any other adjustments are to be made before the next accounting period begins.

A hard copy of the ledger for the current period, along with the Banner reports and supporting documentation, are to be filed in the corresponding folder for the fund.

A.5. Accounting for Inactive Funds (Projects)

Objective(s)

To closeout inactive funds on a timely basis.

Risk(s)

1. Leaving inactive funds open poses the risk of additional charges being posted to the fund.
2. Leads to inefficiency as additional manpower has to be used review the funds for accuracy and to correct the postings.
3. Leads to waste of resources as Banner statements will continue to print inactive funds until they are officially closed.

Staff Responsible

Resource and Policy Analyst - Grants and Contracts (RPA)

Policy/Procedure

The authorized personnel will perform the following actions:

1. Confirm in writing from the P.I./Projection Coordination staff that the work for the project has been completed.
2. Make all necessary adjustments to the fund. Eliminate deficits, if any.
3. Confirm balance of fund using Banner form **FZIGTD**.
4. Confirm all funds from Sponsor have been billed and received using Banner form.
5. Request and complete an ROE from the accountant in the Grants and Contracts Office.
6. Grants and Contracts Office is to request and complete a closeout package from the Sponsor.

A.6. Records – Retentions and Storage

Objective(s)

To comply with the Sponsors' and the University's requirements for retention of records.

Risk(s)

If the UIMCC Department of Pediatrics does not maintain required records, it will be subject to adverse outcomes from an audit or other types of reviews and negative publicity to COM.

Staff Responsible

Every staff is responsible for retaining records relating to his/her job.

Policy/Procedure

For Fiscal records relating to grants, refer to the contract for how long records need to be maintained. For non-fiscal records, refer to the University policies.

The University's policies can be found at

http://www.obfs.uillinois.edu/manual/central_p/sec1-4.html

SECTION B

FISCAL POLICIES AND PROCEDURES

B.1. Summary of Daily Transactions Procedures

On a daily basis, the UIMCC Department of Pediatrics process non-payroll transactions that relate to accounts payable (the payment of invoices), accounts receivable (collection of payments), purchases from the use of the Purchase Card and employee reimbursements for travel and small purchases. In all transactions, the UIMCC Department of Pediatrics is to follow the policies set forth by the University where applicable. The policies and procedures for the UIMCC Department of Pediatrics relate to specifically the operations of the UIMCC Department of Pediatrics.

For all transactions, before non-recurring expenditures are actually incurred, the Director of Finance is to be consulted to ensure that funds are available. Once approval is given to incur the expense, the authorized designee encumbers the funds in the appropriate ledger.

B.2. Accounts Payable

Objective(s)

To pay the UIMCC Department of Pediatrics obligations on a timely basis.

Risk(s)

If obligations are not paid on time, the UIMCC Department of Pediatrics subjects itself to interest and penalties, which would result in additional costs as well as unnecessary accumulation of debt.

Staff Responsible

Project Coordinator for Finance.

Policy/Procedure

All vendors and employees must have a Banner Vendor Number in order to receive payment. If a vendor does not have a Banner Vendor Number, complete the "Request for Vendor Number" form from the OBFS web site.

Within three days of receiving invoice or receipts from purchases for employee reimbursement, prepare an Invoice Voucher or Expense Reimbursement form respectively. Download form from the OBFS web site to ensure latest form is used.

Consult with Director of Finance on the correct C-FOAP to use.

Director of Finance or designee is to encumber the funds in the appropriate ledger.

Encumbrance is to be logged in the Transaction log. Electronic copy of the completed form is to be stored on the hard drive in appropriate folder.

Review receipts and invoices for accuracy then tape original receipts to blank sheet of paper or paperclip invoice to form.

For employee reimbursements, have employee review and sign the completed form.

Completed form is to be approved by Director of Finance or designee if signature authority permits. Once approved, originals are sent to OBFS University Payables (809 S Marshfield 4th fl.) for processing and copies are filed in the encumbrance folder. After the transaction shows up in the Banner system as expended, the copies are then filed with the monthly Fiscal report for the month it was expended.

For payment, OBFS makes a deposit into employee's bank account.

For more information visit http://www.obfs.uillinois.edu/manual/central_p/sec8-1.html

B.3. Accounts Receivable

Objective(s)

To collect monies due to the UIMCC Department of Pediatrics. Examples include contractual revenue, overpayments on employee payroll deposits and charges to attend a UIMCC Department of Pediatrics event such as the symposium, and refunds from vendors.

Risk(s)

1. If the UIMCC Department of Pediatrics does not collect payments due, it runs the risk of overpaying an employee or not offsetting expenditures for special events.
2. It also runs the risk of incurring a deficit.

Staff Responsible

Project Coordinator for Finance.

Policy/Procedure

When a payroll adjustment is submitted for an overpayment, Payroll generates a letter to the employee, or former employee, informing them of the money owed. If after a certain amount of time the employee does not respond, Payroll send an email to the Unit stating that it tried unsuccessfully to get a response, and now it will be up to the Unit to collect from the employee.

The Unit then sends a letter to the employee to try to collect the overpayment. If the Unit is unsuccessful, it turns the matter over to UIC Collections department.

In the case of collecting a fee, submit an invoice to the payee.

Within 1 day after receipt of payment, fill out the UIC Report of Cash Receipts form #201106.

Checks are to be deposited to the Revolving fund, if one is in existence.

Give copy of the check and completed form to Director of Finance for signature. Log in the log book. Send original completed form, along with check to OBFS Cashier's Office.

Hold a copy of the form and check in the encumbrance folder. Once receipt has posted in Banner, file the copy of the check & form in the Revolving fund's ledger folder.

The Cashier's office will issue a receipt for the deposit.

B.4. Transaction Log

Objective(s)

The Transaction log is to serve as a reference for all of the UIMCC Department of Pediatrics expenditures by fiscal year. It is maintained as a hard copy for staff to log their transactions daily. Sets of logs are printed at the beginning of each fiscal year for staff to post transactions. The logs are kept in a bound booklet by fiscal year.

Risk(s)

If a transaction is not recorded in the log, there is a possibility that it will be left unpaid, resulting in an overdue bill for the department.

Staff Responsible

Project Coordinator for Finance.

Policy/Procedure

Follow the procedures for section B.2, and then record the pertinent information in the Transaction log.

B.5. Parking Sticker Log

Objective(s)

The Parking Sticker log is to keep inventory and maintain accountability of the parking stickers issued by the UIMCC Department of Pediatrics

Risk(s)

If the Parking Sticker log is not maintained, the UIMCC Department of Pediatrics will undergo financial loss and will lose control over the inventory of parking stickers.

Staff Responsible

Project Coordinator for Finance.

Policy/Procedure

Parking stickers are to be kept in a secure place. The primary purpose for issuance is to accommodate official visitors to the UIMCC Department of Pediatrics and for UIMCC Department of Pediatrics staff to use in the University's parking lots when visiting other buildings. They are distributed at the discretion of the Director of Finance or authorized designee. They are not to be issued to UIC employees on a regular basis but can be issued to accommodate unusual circumstances.

After a sticker is issued, record the pertinent information in the Parking Sticker log.

A physical inventory is to be taken twice a year by the Director of Finance or designee. This is to verify accuracy of the inventory balance.

B.6. Purchase Card Transactions

Objective(s)

1. To ensure that the UIMCC Department of Pediatrics follows reasonable practices in all aspects of the purchase of goods and services.
2. The Purchase card (P-Card) is to be used whenever possible to purchase small miscellaneous items because it involves less time and paperwork than preparing an invoice voucher.

Risk(s)

If the UIMCC Department of Pediatrics does not follow sound purchasing practices, it may violate University rules and regulations.

Staff Responsible

Project Coordinator for Finance.

Policy/Procedure

The UIMCC Department of Pediatrics follows OBFS rules and regulations regarding the use and recordkeeping for all P-card transactions.

The use of the P-card is restricted to cardholders.

Pre-approval for major purchases is required from the Director of Finance

The Coordinator of Finance encumbers the funds for P-Card purchases.

An original receipt is required to substantiate all purchases.

Coordinator of Finance follows the University's P-card policy and reconciles the transaction in the P-card system within specified time limits.

The Director of Finance or designee reviews and approves the P-card purchases in the P-card system.

For details visit http://www.obfs.uillinois.edu/manual/central_p/sec7-6.html

B.7. Contracting for Professional Services

Objective(s)

To ensure that the UIMCC Department of Pediatrics follows reasonable practices in all aspects of the purchase of professional services.

Risk(s)

If the UIMCC Department of Pediatrics does not follow sound purchasing practices, it may violate University rules and regulations.

Staff Responsible

Director of Finance or designee.

Policy/Procedure

The UIMCC Department of Pediatrics follows OBFS rules and regulations regarding the purchase of professional services.

Please refer to the following website for detail instructions

http://www.obfs.uillinois.edu/manual/central_p/sec17-1.html

B.8. Employee Travel

Objective(s)

1. To ensure that there are adequate funds to cover necessary employee travel.
2. To ensure that employees get reimbursed for out-of-pocket travel expenses in a timely manner.

Risk(s)

1. If employee does not fill out a travel request prior to travel, he or she cannot be assured that funding will be available to cover the travel expenses.
2. If employees are not reimbursed within 60 days of travel, the reimbursement becomes taxable income per University policy.

Staff Responsible

Project Coordinator for Finance.

Policy/Procedure

A minimum of 30 days prior to travel, employee is to forward an e-mail to the Director or immediate supervisor requesting travel. The Director or designee review the travel request for approval to travel.

Coordinator of Finance is to encumber the amount approved.

Within five days after travel, employee is to fill out a Travel Reimbursement form, which can be found at http://www.obfs.uillinois.edu/manual/central_p/sec15-1.html

For air, train, or bus travel, employee is to turn in a boarding pass, passenger receipt, or other proof that travel actually took place.

This form, along with original receipts is to be reviewed for accuracy and approval by the Director of Finance or Designee.

The same procedures for B.2 are to be followed for processing.

B.9. Monthly Financial Reports

Items Needed:

1. Log for account to be reconciled (Every accounting document must be entered in the log.)
 2. In transit paperwork (forms, vouchers processed but not listed on Banner/EDDIE Ledger reports:
 - Detail Operating Ledger Statement
 - Operating Ledger Transaction Statement
 3. Ledger(s) for month of report
 4. Detail Operating Ledger Statement – Generated from EDDIE (<https://eddie.ds.uillinois.edu/wijsp/>)
 5. Operating Ledger Transaction Statement – Generated from EDDIE (<https://eddie.ds.uillinois.edu/wijsp/>)
 6. Payroll Labor Distribution (Month End) – Generated from Document Direct (<https://docdirect.ait.s.uillinois.edu/ddrint/bin/ddicgi.exe>)
 7. Payroll Encumbrance Statement – Generated from Document Direct (<https://docdirect.ait.s.uillinois.edu/ddrint/bin/ddicgi.exe>)
 8. Previous month's financial report.
-

- **Reconcile** the log and in-transit paperwork against the Detail Operating Ledger Statement and Operating Ledger Transaction Statement generated from EDDIE. Use log dates from beginning of the month to date financial report is started e.g. September 1 through October 9, 2008. Check log and in transit documents indicating which are paid and which are still in transit.

Payroll distribution and obligation reports should be checked against the change of status forms to make sure the pay rates and pay dates are correct.

- **Reconcile** the previous month's financial report against the Detail Operating Ledger Statement and Operating Ledger Transaction Statement generated from EDDIE, and the payroll ledgers to check off obligations that have been paid.
 - List payroll obligation reductions (month's payments)
 - List amounts paid from Detail Operating Ledger Statement and Operating Ledger Transaction Statement generated from EDDIE on the previous month's financial reports.
 - List new Banner obligations.

REPORT

A. Spreadsheet

Information for Banner Columns will come from the Detail Operating Ledger Statement and Operating Ledger Transaction Statement. Information for the other spreadsheet columns will come from the detail sheets. Please ensure that all line totals listed on the detail sheets are entered on the spreadsheet.

B. Detail Sheets

1. **Banner Obligations**
Delete paid obligations amounts listed on the Detail Operating Ledger Statement and Operating Ledger Transaction Statement generated from

EDDIE **FROM** the PREVIOUS MONTH's financial report and add all new obligations. This should be done by using payroll Encumbrance Statement and Detail Operating Ledger Statement and Operating Ledger Transaction Statement obligation listings.

2. **Obligations in transit**
Delete paid obligations in transit per the Detail Operating Ledger Statement and Operating Ledger Transaction Statement generated from EDDIE **FROM** the previous month's financial report. Keep all obligations in transit that have not been paid, and from the log, **LIST** all new obligations in transit on the current financial report.
3. **Obligation thru 6/30**
Delete obligations thru 6/30 that have moved to obligations in transit or Banner obligations. Add any item that you anticipate processing before the end of the Fiscal Year – 6/30
4. **Enter** all sub-totals for 1-3 on the spreadsheet in the appropriate line items.

B.10. Accounting for Capital Assets

Objective(s)

To account for assets according to the University's policies and procedures

Risk(s)

Without accurate accounting for assets, the University assets will be incorrectly stated

Staff Responsible

Executive Director or Designee

Policy/Procedure

Follow the University policy at http://www.obfs.uillinois.edu/manual/central_p/sec12-2.html

B.11. Annual Operating Budget

Objective(s)

To present an annual Fiscal plan of projected revenues and expenditures that will assist management in making decisions on adjusting staffing levels, making purchases, and incurring other expenditures.

Risk(s)

Without an annual budget, management will not know if a potential operating deficit will occur. The budget will help management deal with potential Fiscal problems before they come into existence.

Staff Responsible

Department Head, Executive Director and Director of Finance

Policy/Procedure

The UIMCC Department of Pediatrics adopts the fiscal year of July 1st through June 30th to be consistent with the University's fiscal year.

In January of each year, the Executive Director and Director of Finance will prepare a draft budget based on historical, current, and future fiscal information.

Department Head will review the budget and make adjustments as necessary.

SECTION C

HUMAN RESOURCES POLICIES & PROCEDURES

C.1. New Employee Benefit Materials

Objective(s)

To familiarize new employees with the benefits that the University provides.

Risk(s)

If employees are not familiar with the benefits, they will risk incurring unnecessary expenses or take unnecessary unpaid time off.

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

It is the responsibility of the Unit to provide benefits materials to prospective and recently hired employees. At the University of Illinois Human Resources web site https://hrnet.uihr.uillinois.edu/dart-cf/index.cfm?Item_ID=1859 the unit will find a Departmental Benefits Orientation Resource Manual. The hiring unit can download information to be given to prospective and recently hired employees.

C.2. New Employee Checklist

Objective(s)

To ensure that new employees have the necessary access to computer systems, physical facilities, office supplies etc. to perform their job.

Risk(s)

If employees do not have the necessary access, they may not be able to perform their duties or even access their job.

Staff Responsible

Department Director of Human Resources and Staff Secretary or designee(s).

Policy/Procedure

Follow the checklist provided by the University.

C.3. Hiring Procedures for New Graduate Research Assistant and Graduate Assistant—Non-resident Aliens

A non-resident alien is someone who is not a permanent resident or a U.S. citizen. A non-resident alien is in the U.S. on a Visa.

Objectives

1. To hire new graduate research assistants and graduate assistants, non-resident alien status, in a timely manner.
2. To verify evidence of identity and employment eligibility of individuals.

Risk(s)

1. If this process is not followed, the employee's job will not be established and the employee will not be paid on the scheduled pay date.
2. Failure to comply with the Immigration Reform and Control Act of 1986 could subject the UIMCC Department of Pediatrics and/or the University of Illinois at Chicago to civil or criminal penalties.

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

1. A letter of offer for a graduate research assistantship is mailed and/or e-mailed to student giving a deadline to accept offer.
2. Once the UIMCC Department of Pediatrics receives the signed letter the hiring process can begin.
3. The UIMCC Department of Pediatrics establishes a position, a position budget and a job in HR Banner system. Positions for Graduate Research and Graduate Assistants in Banner are pooled positions. If a position has been established, the position number for GRA can be used for all GRAs hired and the position number for GA can be used for all GAs hired.
4. Students report to the Office of International Services (OIS) within the first 3 days of their arrival bringing their passport and other visa documents to the office.
5. The following forms need to be completed in person:
 - a. Employee Clearance and Departmental Work Authorization. These forms are completed by HR representative and taken by employee to OIS for approval and start date. Follow instructions set by OIS, click on link <http://www.ois.uic.edu/index.php?section=ifa&page=ifa-gth-ec.pi> and to download the Departmental Work Authorization form go to <http://www.ois.uic.edu/index.php?section=ifa&page=facforms.pi>
 - b. I-9 - Employment Eligibility Verification, OIS gives this form to student when the student brings forms in the Employee Clearance and Departmental Work Authorization. To download form go to <http://www.uic.edu/depts/hr/quicklinks/hrforms/i9.pdf>
 - c. U of I Statement of a Drug-Free Workplace (form given by HR representative). To download form go to http://www.uic.edu/depts/hr/quicklinks/hrforms/Drug_Free_WorkPlace.pdf
 - d. UIC Assistantship Waiver Acceptance (form given by HR representative). To download form, go to <http://www1.cs.uic.edu/CSweb/forms/waiver.acceptance.pdf>
6. A Temporary Control Number (TCN) is given to students by the UIC Admissions when they are admitted to a program. When they report to OIS they are given a University Identification Number (UIN). OIS also gives them a letter to apply for a Social Security Number (SSN). Students should wait 10 days after their arrival to apply for the SSN. OIS will give this and other information to them. Once the student receives the SSN card a Name and Social Security Number (SSN) Change Form needs to be completed by HR

- representative or designee
http://nessie.uihr.uillinois.edu/pdf/personal_info/Name_SSN_changeform.pdf
7. A UIN search is performed in DART. This is important in order to prevent duplicate records of an employee. Enter the student's UIN from his/her current i-card. Students are not required to provide their Social Security Numbers (SSN) before becoming employees.
 8. A new hire logon is created in DART. Go to link http://nessie.uihr.uillinois.edu/pdf/training/DART_CreateNewHireLogon.pdf and follow instructions.
 9. Once item C.3.7 is submitted, student receive logon information, directly by e-mail or from HR representative, they can use the logon ID and password to access their new hire forms in NESSIE New Hire.
 10. Employee fills out all required information in NESSIE New Hire, including emergency contact information, dates for degrees received, etc. and submits information.
 11. The UIMCC Department of Pediatrics HR representative or designee receives e-mail informing that the New Hire information was submitted by employee.
 12. Department Director of Human Resources or Designee fills out a UIC RA Appointment (to download form go to http://www.uic.edu/com/dom/hr/FORM/ASSTFORM/ra_ta_form.doc Completed form is kept in the UIMCC Department of Pediatrics personnel file.
 13. After student brings approved I-9 and Employee Clearance forms to the HR representative or designee the job information submittal process can begin.
 14. HR representative or authorized designee requests a Personnel Information Transmittal Report (PITR) from the UI Enterprise Human Resources Applications <https://apps.uillinois.edu/HumanResources.html>
 15. Follow instructions on how to fill out a PITR https://hrnet.uihr.uillinois.edu/dart-cf/index.cfm?Item_id=2034#PITR Print a copy of the PITR for the UIMCC Department of Pediatrics personnel file.
 16. The PITR is submitted via the Protective Email Attachment Repository (PEAR) (click on link in step Section D.3.14) to the College for approval. College submits PITR to Central HR office for approval and entering information in Banner.
 17. I-9 and Employee Clearance original forms are sent to Academic HR Records along with a Banner Transaction Attachment Transmittal Sheet (to download sheet go to <http://www.uic.edu/depts/hr/quicklinks/hrforms/Banner%20Transaction%20Attachment%20Transmittal%20Sheet.pdf>, copies are kept in the UIMCC Department of Pediatrics personnel file.
 18. Review new hire information in **NZIESUM** (Banner) to ensure process is completed and information is correct.
 19. If the process is not completed prior to the end of the pay period and the payroll calculation date of that pay period, the employee will not be paid on the scheduled pay date. A payroll adjustment will have to be submitted. (See Section C.23-Payroll Adjustments Policy for information.)

C.4. Hiring Procedures for New Graduate Research Assistant and Graduate Assistant

Objective(s)

1. To hire new graduate research assistants and graduate assistants in a timely manner.
2. To verify evidence of identity and employment eligibility of individuals.

Risk(s)

1. If this process is not followed, the employee's job will not be established and the employee will not be paid on the scheduled pay date.
2. Failure to comply with the Immigration Reform and Control Act of 1986, could subject the UIMCC Department of Pediatrics and/or the University of Illinois at Chicago to civil or criminal penalties.

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

1. A letter of offer for a graduate research assistantship is mailed and/or e-mailed to student giving a deadline to accept offer. Once the UIMCC Department of Pediatrics receives the signed letter the hiring process can begin. If this is a College of Medicine student an approved SAEF form is also required. This form is to be approved by the Office of Student Affairs. If you are appointing for the summer term with a salary above 3,000, a Summer Exception Form is also required. A Graduate Assistantship or Research Assistantship (depending on title) and Waiver Acceptance form is required to be completed and sent to PEDS -HR . It is also required to be completed by current graduate assistants every fall. The only exception to this rule is for those who are COM students and have submitted the SAEF form.
2. The UIMCC Department of Pediatrics establishes a position, a position budget and a job in HR Banner system. Positions for Graduate Research and Graduate Assistants in Banner are pooled positions. If a position has been established, the position number for GRA can be used for all GRAs hired and the position number for GA can be used for all GAs hired.
3. The following forms need to be completed in person (form given by Business Manager or designee):
 - a. I-9—Employment Eligibility Verification. To download form go to <http://www.uic.edu/depts/hr/quicklinks/hrforms/I9.pdf>
 - b. U of I Statement of a Drug-Free Workplace. To download form go to http://www.uic.edu/depts/hr/quicklinks/hrforms/Drug_Free_WorkPlace.pdf
 - c. UIC Assistantship Waiver Acceptance. To download form go to <http://www1.cs.uic.edu/CSweb/forms/waiver.acceptance.pdf>
5. A UIN search is performed in DART. This is important in order to prevent duplicate records of an employee. Enter the student's UIN from his/her current i-card. Students are not required to provide their Social Security Numbers (SSN) before becoming employees.
6. A new hire logon is created in DART. Go to http://nessie.uihr.uillinois.edu/pdf/training/DART_CreateNewHireLogon.pdf and follow instructions.
7. Once section C.4.6 is completed, student receives logon information, directly by e-mail or from HR representative, they can use the logon ID and password to access their new hire forms in NESSIE New Hire.
8. Employee fills out all required information in NESSIE New Hire, including emergency contact information, dates for degrees received, etc. and submits information.

9. The UIMCC Department of Pediatrics Department Director of Human Resources or designee receives e-mail informing that the New Hire information was submitted by employee.
10. The Department Director of Human Resources fills out a UIC RA Appointment (to download form go to http://www.uic.edu/com/dom/hr/FORM/ASSTFORM/ra_ta_form.doc). Completed form is kept in the UIMCC Department of Pediatrics personnel file.
11. The job information submittal process can begin by the Department Director of Human Resources or authorized designee requesting a Personnel Information Transmittal Report (PITR) from the UI Enterprise Human Resources Applications <https://apps.uillinois.edu/HumanResources.html>
12. Follow instructions on how to fill out a PITR at https://hrnet.uihr.uillinois.edu/dart-cf/index.cfm?Item_id=2034#PITR. Print a copy of the PITR for the UIMCC Department of Pediatrics personnel file.
13. The PITR is submitted via the Protective Email Attachment Repository (PEAR) to the College for approval. College submits PITR to Central HR office for approval and entering information in Banner.
14. Original I-9 form is sent to Academic HR Records along with a Banner Transaction Attachment Transmittal Sheet (to download sheet. go to <http://www.uic.edu/depts/hr/quicklinks/hrforms/Banner%20Transaction%20Attachment%20Transmittal%20Sheet.pdf>). Copies are kept in the UIMCC Department of Pediatrics personnel file.
15. Review new hire information in **NZIESUM** (in Banner) to ensure process is completed and information is correct.
16. If the process is not completed prior to the end of the pay period and the payroll calculation date of that pay period, the employee will not be paid on the scheduled pay date. A payroll adjustment will have to be submitted. (See C.23-Payroll Adjustments Policy) for information

C.5. Graduate Assistantship Salary Minima

Objective(s)

To assure that the UIMCC Department of Pediatrics' salary rates for graduate appointments meet the Chicago campus stipend minima.

Risk(s)

If this process is not followed, the UIMCC Department of Pediatrics will not be in compliance with University's policies and will not be competitive with other hiring units.

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

The University of Illinois Chicago Campus Salary Minima for Graduate Appointments is at <http://www.uic.edu/depts/hr/ahr/minimagrad.html>

C.6. Hiring of Faculty, Other Academic, and Academic Professional Employees

Objective(s)

To follow search procedures set forth by the University of Illinois, the Office of Access and Equity and College of Medicine to hire Faculty and Academic Professional employees.

Risk(s)

Employees not hired under the proper procedures may be subject to termination. The UIMCC Department of Pediatrics could be subject to legal actions if the EEO is not complied with, resulting in both monetary loss in fines and adverse publicity.

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

The Academic Search Coordinator for UIMCC Department of Pediatrics serves as a liaison between the Office of Academic Human Resources, Access and Equity and academic departments or administrative units that seek to fill faculty and academic staff positions. The Academic Search Coordinator's signature is needed on all Access and Equity forms.

The UIMCC Department of Pediatrics follows policy set by the University of Illinois, the Office of Access and Equity and COM on hiring faculty and academic professional employees. See UIC *Office for Access and Equity Academic Search Manual* at <http://www.uic.edu/depts/oea/Searchmanual.htm> for search process.

Faculty positions are defined as tenure-track, tenured, or "Q" appointments.

<http://www.uic.edu/depts/oea/fachandbook/toc.html>

Other academic positions are defined as non-tenure track instructional, clinical, or research. These include Clinical and Research Faculty, Visiting Faculty, Lecturers, and Post-doctoral Research Associates.

Recruitment & Hiring - Academic Professional

An Academic Professional position must correspond with a matching PAPE. Contact the Department of Pediatrics Human Resources (PEDS-HR) to make sure the position to be filled matches an existing PAPE. Academic Professional positions require a Search. To initiate the Search Process you must forward the following to Pediatrics - HR.

Draft of Ad
Search Committee
PCard # to charge Ad
Where to publicize

The information forwarded will be reviewed and sent to the College of Medicine /Office of Access and Equity (COM/OAE) along with a Position Notice for approval. Once approved the PEDS - HR will advertise the position and send the division a Search Process Summary Form (SPS) form and an Equal Employment Opportunity Form (EEO). The division will complete the SPS and send an EEO to each applicant. The SPS must contain the names of all candidates who were selected for an interview.

The division will forward the SPS and résumés of selected candidates to Pediatrics Human Resources for review. Pediatrics Human Resources will send the SPS to COM/OAE for approval. Once approved the division will be notified that an offer can now be extended to the selected candidate.

To initiate the hire process the division must forward the following to Pediatrics Human Resources :
signed offer letter

FOAPAL # to charge salary
selected candidates CV/Resume
selected candidates social security number
selected candidates e-mail address
3 letters of recommendations
Pediatrics Human Resources will set up an appointment with the selected candidate to complete the following New Hire Transactions:

a. NESSIE Electronic Forms

Employee Info Form; W4; Direct Deposit; Education Loan Default; Orientation Enrollment; Benefit Enrollment

b. Completion of Paper Forms

I9

Drug Free Statement

Staff Directory Form

Education Credentials

c. Health Clearance Appointment

d. ID Letter

Once all information is collected a file is created. A PITR is initiated and submitted to COM. COM will apply the new job to BANNER.

Academic Professional (Visiting)

An Academic Professional Visiting position requires a matching PAPE. Contact the Department of Pediatrics Human Resources (PEDS -HR) to make sure the position to be filled matches an existing PAPE.

Academic Professional (Visiting) positions do not require a Search.

To initiate the hire process the division must forward the following to the PEDS -HR:
signed offer letter (see sample offer letter)

FOAPAL # to charge salary
selected candidate's CV/Resume
selected candidate's social security number
selected candidate's e-mail address
3 letters of recommendations

PEDS -HR will set up an appointment with the selected candidate to complete the following New Hire Transactions:

a. NESSIE Electronic Forms

Employee Info Form
W4
Direct Deposit
Edu Loan Default
Orientation Enrollment
Benefit Enrollment

b. Completion of Paper Forms

I9
Drug Free Statement
Staff Directory Form
Education Credentials

c. Health Clearance Appointment

d. ID Letter

Once all information is collected a file is created. A PITR is initiated and submitted to COM. COM will approve the PITR and enter the new job in BANNER.

Recruitment & Hiring Faculty

Salary Range Reference: AAMC Report on Medical School Faculty Salaries

Recruitment & Hiring for Junior Faculty (Instructor / Asst. Professor)

Instructor / Assistant Professor

A Junior Faculty position does not require a PAPE. Junior Faculty positions include: Instructor, Research Assistant Professor, Assistant Professor, Assistant Professor of Clinical Medicine.

Junior Faculty positions require a Search unless they are being hired under visiting status. To initiate the Search Process you must forward the following to PEDS-HR.

Request to Open Position (PEDS-HR will forward for Dept. Head approval)

Draft of Ad

Search Committee

PCard # to charge Ad

Where to publicize

The information forwarded will be reviewed and sent to the College of Medicine /Office of Access and Equity (COM/OAE) along with a Position Notice for approval. Once approved the PEDS -HR will advertise the position and send the division a Search Process Summary Form (SPS) form and an Equal Employment Opportunity Form (EEO).

The division will complete the SPS and send an EEO to each applicant. The SPS must contain the names of all candidates who were selected for an interview.

The division will forward the SPS and résumés of selected candidates to PEDS-HR for review. PEDS-HR will send the SPS to COM/OAE for approval.

Once approved the division will be notified. Before extending an offer to the selected candidate an

Offer Letter and a Request to Extend Offer form must be completed and sent to PEDS-HR for review. PEDS-HR will forward the information along with the candidates CV to Faculty Affairs for approval. If this position involves patient contact a credentialing packet must be complete before the effective date of the appointment.

Once the Request to Extend Offer has been approved an offer may be extended to the candidate. To initiate the hire process the division must forward the following to PEDS-HR:
signed offer letter

If applicable: (Chancellor's (BOT) Briefing Document) (instructions)

FOAPAL # to charge salary

selected candidates CV/Resume

selected candidates social security number

selected candidates e-mail address

3 letters of recommendations

completed credentialing packet if applicable.

PEDS-HR will set up an appointment with the selected candidate to complete the following New Hire Transactions:

- a. NESSIE Electronic Forms
- b. Completion of Paper Forms
 - Employee Info Form
 - W4
 - Direct Deposit
 - Education Loan Default
- c. Review of credentialing packet if applicable
 - I9
 - Drug Free Statement
 - Staff Directory Form
 - Education Credentials
 - If applicable: Service Towards Probationary Forms
- d. ID Letter/Health Clearance Appointment

Once all information is collected a file is created. A PITR is initiated and submitted to COM. COM will approve and apply the PITR information to BANNER.

Recruitment & Hiring for Faculty (Associate Professor / Professor)

A Faculty position does not require a PAPE.

Faculty positions require a Search. To initiate the Search Process you must forward the following to PEDS-HR. Confirm if this position qualify for a Search Waiver with OAE.

Request to Open Position (PEDS-HR will forward for Dept. Head approval)
Draft of Ad
Search Committee
PCard # to charge Ad
Where to publicize

The information forwarded will be reviewed and sent to the College of Medicine /Office of Access and Equity (COM/OAE) along with a Position Notice for approval. Once approved the PEDS-HR will advertise the position and send the division a Search Process Summary Form (SPS) form and an Equal Employment Opportunity Form (EEO).

The division will complete the SPS and send an EEO to each applicant. The SPS must contain the names of all candidates who were selected for an interview.

The division will forward the SPS and résumés of selected candidates to PEDS-HR for review. PEDS -HR will send the SPS to COM/OAE for approval.

Once approved the division will be notified. Before extending an offer to the selected candidate an Offer Letter and a Request to Extend Offer form must be completed and sent to PEDS -HR for review. PEDS -HR will forward the information along with the candidates CV to Faculty Affairs for approval. If this position involves patient contact a credentialing packet must be complete before the effective date of the appointment.

Once the Request to Extend Offer has been approved an offer may be extended to the candidate. ***Does this position require Appointment, Promotion & Tenure Committee approval? If so, the initial offer should reflect a "visiting" position.***

To initiate the hire process the division must forward the following to PEDS -HR:
signed offer letter
If applicable (Chancellor's (BOT) Briefing Document) (instructions)
e-mailed justification
account # to charge salary
selected candidates CV/Resume
selected candidates social security number
selected candidates e-mail address
3 letters of recommendations
completed credentialing packet if applicable.

PEDS -HR will set up an appointment with the selected candidate to complete the following New Hire Transactions:

a. NESSIE Electronic Forms

Employee Info Form
W4
Direct Deposit
Education Loan Default

Orientation Enrollment

Benefit Enrollment

b. Completion of Paper Forms

19

Drug Free Statement

Staff Directory Form

Education Credentials

If applicable: Service Towards Probationary Forms

c. Review of credentialing packet if applicable

d. ID Letter/Health Clearance Appointment

Once all information is collected a file is created. A PITR is submitted to COM. COM will apply the job to BANNER.

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C.7. Hiring of Civil Service Employees

Objective(s)

To follow search procedures set by the University of Illinois, the Office of Access and Equity and COM to hire Civil Service employees.

Risk(s)

Employees not hired under the proper procedures, may be subject to termination. The UIMCC Department of Pediatrics could be subjected to legal actions if the EEO is not complied with, resulting in both monetary loss in fines and adverse publicity.

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

The UIMCC Department of Pediatrics follows policy set by the University of Illinois, the Office of Access and Equity and COM on hiring Civil Service employees.

The hiring division must first open a position. To open a Civil Service position the division must submit the following to the Department of Pediatrics Human Resources (PEDS -HR)

Title of Civil Service Position

Civil Service Requisition

Job Description

PEDS -HR will forward an electronic requisition via DART to the College of Medicine (COM) for approval. COM will approve the requisition and forward it to Campus HR/Compensation.

Compensation will approve the requisition and send it to the appropriate Employment Officer.

The Employment Officer will contact the division to schedule interviews. The division will be able to interview the top 3 candidates on the positions specific register. If the division has a preferred candidate it is important to make sure that the preferred candidate has tested and is one of the top 3 candidates on the register before submitting any requests to PEDS -HR. For information on how to apply and test for a Civil Service position please visit U of I's on-line Employment Center.

When a candidate is selected and interviewed by the division the division should notify PEDS -HR. PEDS HR will initiate the hiring process.

Schedule appointment with Employment Officer to complete hire transactions.

Create NESSIE New Hire log-on

Provide ID Letter

After the candidate has meet with an Employment Officer, completed NESSIE transactions and attended orientation A PITR is initiated and submitted to the Campus Employment Office for entry into BANNER.

HR Banner Employment—Civil Service New Hire Process can be found at

<http://www.uic.edu/depts/hr/employment/HR%20BANNER%20EMPLOYMENT%20FLOWCHART3-New%20Hire.pdf>

C.8. Hiring of Student Employees

Objective(s)

1. To ensure that the UIMCC Department of Pediatrics follows proper procedures when hiring student employees, which include the Federal Work Study program and Regular Student Employment program.
2. To ensure that the departments pay only 25% of the student's earnings for FWS students while the Federal government pays the remaining 75%.
3. To submit all the paperwork required by the Student Employment Office correctly and in a timely manner.

Risk(s)

If this process is not followed the hiring process could be delayed. Also, for the payments of earnings to a FWS student, the UIMCC Department of Pediatrics will undergo financial loss by losing the 75% share borne by Federal Government and will have to pay 100% of the student earnings instead of 25%.

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

The UIMCC Department of Pediatrics follow procedures set by the UIC Student Employment for hiring student employees: <http://www.vcsa.uic.edu/MainSite/home/>

1. If you do not have a preferred candidate you may contact PEDS -HR to post an advertisement on the UIC Student Careers site.
2. If you have a preferred candidate please submit the following to the PEDS -HR.
Student Employee Requisition
Candidates Resume
3. PEDS -HR will approve the requisition and send the candidate to Student Employment for Work Clearance. Work Clearance is then emailed to PEDS -HR by the Student Employment Office.
4. Once the work clearance is received by PEDS –HR, a PITR is initiated and submitted to the Student Employment Office.
5. Student Employment will enter the new job in BANNER.

Student Employment is located at 2200 SSB (mc 335), (312) 996-7140.

Banner and Related Applications Guide to Hiring UIC FWS/Non FWS Student Employees

Definitions

Electronic Personnel Action Form (EPAF) for changes in labor distribution & time entry method for student employees.

FOAPAL The FOAPAL is the account string. Most units use only Fund, Org., Acct, & Program codes.

- **Fund** (Represents the funding source). It represents both the Income Statement (SL) and Balance Sheet (GL). Funds that have similar characteristics are combined into FUND TYPES, which are two digit alphanumeric codes and represent summary totals on a report. The Fund Type represents the source of funding: State, ICR, Self-Supporting, etc.
- **Organization** code is used to track financial activities by functional reporting unit such as campus, college, school, department, division, and cost center. The six digit for our unit is “**905000**”.
The three digit Department Organization code is used in other segments of the C-FOAPAL string to identify codes created for specific departments. Program codes, Activity codes, and Index codes begin with the 3-digit Department Organization code (except for most grant and some gift programs).
- **Account** The Account codes are used to classify and record accounting events, assets, liabilities, and fund balances. Account codes must be established in Banner before they can be used. For student employees there are two account codes:
 - 215100 for *non*-Federal Work Study funds and
 - **218100** for Federal Work Study (**FWS**) funds.
- **Program** The Program code designates the NACUBO functional classifications such as instruction, research, public service, and sub-classifications. Codes used to identify departmental programs begin with the three-digit department number / Organization code, followed by unstructured numbers assigned by OBFS (except for grant and some gift programs). NOTE: For FWS, the Program Code is **19100** for “**instruction**”.

Position: A budgeted slot approved by the unit, for which an employee can be recruited or hired. Positions can be filled or vacant. A position must exist within the unit's budget before an employee can be appointed to a job in Banner. The position budget is linked to the Finance portion of the system based on COA information.

Position Number are six (6) character alphanumeric codes. The first character is the Campus (C-Chicago). Characters 2-6 are assigned on a Univ.-wide basis in numeric descending order beginning with all nines. Student position numbers are pooled, & created centrally in Student Employment.

Position Class The third level in the Banner hierarchy, is defined as a position title or classification that groups similar positions together. The Position Class allows common data to positions such as the Employee Class and salary guidelines to default allowing less data entry.

Employee Class Or the “E-Class” for student employees is “**SA**”.

PEAR The Protected Email Attachment Repository is web based system used for transmitting the PITR.

PITR The Personnel Information Transmittal Report (PITR) is an EXCEL spreadsheet, downloaded from a secure web site that units complete to process certain employee data changes. The form is

then routed internally (within the dept. or college) for approval; & submitted to Central HR unit to be entered into Banner.

Suffix “00” for most employees. The only time a student will have a different suffix is when a unit wishes to employ a student employee under the **same title** but use **different FOAPAL** strings to track hours separately.

Introduction

The Banner system is a modulated system at the University of Illinois combining student data, finance data, Human Resource and payroll data all in one system.

In an attempt to allow the University to have position control, the Banner system utilizes position numbers, which can be either single or pooled. Student Employees are pooled which means a unit can have one position number under each Organization code (see definition) for each student title.

Please note, Federal Work Study (FWS) position numbers are unique and different than non-FWS position numbers. In order to have updated information in the Financial Aid modules of Banner, FWS position numbers must be identifiable and unique. What this means for units is if a student is hired as a General Office Aide under a FWS FOAPAL, the position number is different for the students being paid under the same title from non-FWS FOAPALS.

At the Chicago campus, the hiring process for student employees is centralized. Student Employment is responsible for entering the data directly into the Banner system. The Unit’s role in the hiring process is external to Banner. Units will be primarily using an electronic report called the Personnel Information Transaction Report (PITR) to submit the hire information and subsequent employment transactions.

Position Numbers

Viewing current position numbers:

Before hiring a student employee, a unit must first determine whether it has a position number to use. This can be done by viewing the NBIORG**/NBAPOSN form in Banner.

If a unit has a position number that tracks to the appropriate position title, then there is no need for further action to obtain a new number. Since it is a pooled position number, it can be used for more than one student employee. Simply use the same position number. The first 3 characters in the title will also denote whether the position is a Federal Work Study (FWS) position or not.

Creating a New Position Number:

If after viewing the NBAPOSN form you find an appropriate position number is not available, units will need to request the creation of a new number. Call Student Employment for the “New Position Number Request form”. Complete form & return to Student Employment, who will create a new position number within 2 working days. Please note, a position number must be created before an employee can be hired under the position number. For example, if unit submits a request on Feb. 23rd & the position is created for Feb. 23rd, any student hired under that position number must have same **effective date** of Feb. 23rd, or after.

Job Posting:

When units **post** a job for a vacant position, it is best to determine, at this point, if a position number is available. If after viewing Banner and you find a number is **not** available, follow the steps in “Creating a New Position Number” to avoid any delays. Also, timing is an important factor with the Banner system.

Hiring Student Employees

Hiring:

1. Once you have hired a student employee, please complete the front side of the Student Employee **Requisition form**. This form is available on-line on the Student Employment website (<http://jobs.studemp.uic.edu>). Make sure to provide appropriate **Position Number & FOAPAL**.
2. The backside of the Requisition form contains additional information, which the student will need to provide upon hire.
3. Once completed by the unit, the **student must bring that form to the Student Employment**, who will initiate the Dart process to create the student employee’s NESSIE logon ID.
4. Student Employment will complete the required I9 form. If needed, a criminal background check and/or physical will be arranged.
5. Once the student has completed all of the required employment process, Student Employment will forward an **electronic Checklist**. This Checklist will be sent to the person who has been indicated on the Requisition form as the Pitr Initiator.
6. When the Checklist is received, **unit can initiate the Pitr** to submit the additional information.

Personnel Information Transaction Report (Pitr)

The Pitr was created by the University to allow units to forward transactions for hiring & current employee maintenance to the appropriate HR area. The Pitr is an Excel spreadsheet containing current Banner information regarding an employee. All Pitr’s for student employees should be forwarded to the Student Employment Office. A Student Employee Group Account is available and must be used when forwarding Pitr’s. As mentioned earlier, a student employee must be **cleared** by the Student Employment Office prior to working. Once cleared, an electronic Checklist will be forwarded to the hiring unit. Once this Checklist is received, the unit will need to initiate the Pitr.

Retrieval of Pitr

Since the Pitr contains **confidential** personal information, only **authorized** personnel can retrieve a Pitr. To retrieve a Pitr you must open up a web browser.

1. Go to **<https://apps.uillinois.edu>**
2. Select **“Administrative Applications”**
3. Select “Human Resources” link.
4. Then Click the “Personnel Information Transmittal Report” (Pitr) link.
5. **Log in** with your **enterprise ID & password**.
6. Scroll down further and click on **“Edit Values”**.
7. Underneath the Parameter Value column, complete 2 empty fields:

- Banner ID: **type in the UIN** of the student employee, and
 - In the Enter email address, type in **your email address** including the @uic.edu.
8. Click “Schedule on Stack” to generate a PITR.
 9. You will receive an email notification with a direct link to the PITR or otherwise you can log directly into the PEAR system and view the PITR in your InBox.

Protected Email Attachment Repository (PEAR)

Viewing of the PITR in the PEAR system:

The Protected Email Attachment Repository (PEAR) is a secure means of sending & receiving PITRs. Only authorized personnel have access to the PEAR system. UIC is requiring PITR’s to be channeled through the PEAR application rather than email. Since PEAR is a secured environment, any PITR forwarded to another person by mistake will require the person to log in first; whereas conventional email will allow the PITR, containing confidential information, to be opened and viewed.

There are 2 ways to access the requested PITR. The first way will be through the email you will receive when you generate the PITR. By clicking on the link, it will automatically open up a web browser asking for your enterprise ID and lead you into the PEAR system. The second way, which will be addressed here, is to log into the PEAR system directly:

Go to the URL: <https://apps.uillinois.edu> and select the “Administrative Applications” link; select “Human Resources”; Click “Protected Email Attachment Repository (PEAR)” link, and Log in with your enterprise ID & password. The screen will be displayed welcoming you. Click the “InBox” Link. You will see the PITR that was generated by the system.

Notice the four (4) columns: From, Date Sent, Subject and the Attachment. Click either the From, Subject or on the attachment file itself. This will open up the below message. Note: Comments indicated in the body section of the email will not be in the PITR itself. Go ahead and click the attachment link. The PITR will open as an Excel spreadsheet. **This PITR is on the server and is not on your hard drive. It will need to be saved to your local machine or on a secured shared drive.**

Naming convention:

The first thing to do is to save the Excel spreadsheet to a secure local or network drive. When saving the file, rename the file with the following format.

***Lastname_firstname_YYYYMMDD_nn** (nn is the version number of the specific file).*

*For example: **Sharma Suresh 20081409 1.***

When saving for the first time, nn will be ‘1’. NOTE: If the same PITR transaction is returned for corrections, then save the corrected file to have an **nn of ‘2’**. Using the above is important to Student Employment. By having all PITRS named in the same fashion, it will be easier for to locate your PITRs if questions arise.

Forwarding a PITR:

When forwarding a PITR to Student Employment, log into the PEAR system.

1. Click "New Message" on the left bar.
2. Click on "Recipient Lookup".
3. Click "Group account" and type in "****UIC*PITR****".
4. Click "Search Now" All group PITR accounts will populate.
5. Click "**select**" button on left: UIC Student Employment PITR Processors and then
6. Click "**add selected**" at the top of the column to transfer the Group Account Name to the right side of the screen.
7. Click "Return", you'll be back to original new message screen with the **TO:** address populated.

The **three** remaining sections should be filled out.

1. **Subject:** Type the type of transaction being requested. Please do not indicate "sending PITR" or "PITR" in the Subject line. A more helpful subject would be to indicate the type of transaction. For a brand new employee, type "New Employee" in the subject field or if you are requesting a salary change, type "Salary Increase". This helps Student Employment to identify and process time sensitive transactions such as new hires and employment group changes faster. Some common transaction types are:
 - New Hire
 - Additional Job
 - Separation
 - FWS account change
 - Salary change
 - Group Change
2. **Body:** Type additional information in the body section. Please note, the information that is typed here will not be indicated in the PITR itself. When you send a PITR to be approved by another person and that same PITR is forwarded on to Student Employment, your message in the Body section will not be retained. Therefore if you need to have permanent comments, please indicate that in the MEMO section of the PITR.
3. **Attachments.** Click "**Browse**". The next step is to attach the PITR file.
 - a. You can forward more than one PITR at a time, however please forward the same type of transactions under one message. So if you are forwarding new hires, please do not forward a separation or salary change in the same message.
 - b. Note: if you are requesting a higher salary you can attach a **Word** Document to support the request.

Once you have attached the file(s), **click "Send Message"**. The PITR will then be forwarded to Student Employment for processing.

- c. Units can view the **NZIESUM** form in Banner to see if the PITR is processed.
- d. If time needs to be submitted and the current pay calculation has already closed, units will be able to submit a Payroll Adjustment Form (**PZAADJT**), **via Banner**.

Processing a New Hire by completing the Pitr:

The Pitr form can look very complicated, but for a brand **new student employee hire**, **only** certain fields need to be populated. The Pitr for a brand new student employee will contain information in the "Employee Information" section only. It is updated once the student employee completes the NESSIE New Hire information. **Employee Information Section:** student's name, UIN, & Home Org. code will populate at the top of the Report.

The MEMO section is at the top. **Indicate** what transaction you are performing, i.e. "New Employee" or "Additional Job". This helps approvers & HR staff to search for specific information. Some units enter name/initials. NOTE: If you are requesting a **salary beyond step A** or above the ceiling cap, put your "justification" in this section or you can submit an additional Word attachment through the PEAR system.

New Hire- Pitr Transaction:

Job Information: The Position Number Section is the primary area needing updating for a brand new employee. The following fields will need to be updated in the NEW row field

1. **Position/Suffix.** You will need to type in the 6 digit position number, which begins with a C.
2. **Job Begin Date.** This is the start date of the student employee. start date must be in Compliance with the date the employee provided his/her employment documents.
3. **Job Title:** should match the title in the Position Number, ie: General Office Aide. Do not use "Student Employee", as this is the e-class and not the title.
4. **Job Change Reason.** For a brand **new hire**, the Job Change Reason is **HR001**.
5. **COA-Timesheet Org.** This COA = 2 plus the unit's Org. code number (2-905000)
6. **Job E-Class.** Student employee's e-class is always **"SA"**.
7. **Job Salary Info.** For brand new employees there are only 2 fields that needs to be populated.
 - **Hourly Rate** field is the hourly salary that you are requesting to pay. This salary should match the salary group in which the position number was created for. The employee must be eligible for the salary step. Make sure to submit a letter of justification when requesting a salary beyond Step A or above the ceiling cap. The letter must be included in the MEMO section or as an additional attachment in the PEAR system.
 - **Time Entry Method:** default value is web time entry (W). If your unit is submitting hours via dept. time entry, you can indicate a **"D"**. (Future changes done via EPAF form in Banner.)
8. **Job Labor Distribution:**
 - COA. This is the Chart of Accounts. Chicago campus is '2'. Univ. Administration is '9'.
 - Fund. This can be changed from default Fund # that was mapped at the Position level.

- Organization. Matching the organization number that is mapped to the Position Number.
 - Account. Matching the account number that is mapped to the Position Number.
 - i. Non-Federal Work Study employees should be '215100' and
 - ii. Federal Work Study employees should be **218100**.
 - Program. Can be changed from default Program # that was mapped at the Position Number level. The Program number that is tied to a FWS Position must remain as **191000**.
9. The next sections of the PITR can be **left blank** for student employees: Job Service Dates & Anniversary Date Information, Job Leave of Absence Information.
10. **Approvals:** The next area that needs to be completed is the Approvals Section. Complete all areas: Your Name, Department Name, Phone Number, Email Address, Date Approved, & Approver comments.

Depending on your individual unit and college, some units will need to forward student employee PITRS to their college to obtain college level approval. Once all approvals are obtained, the PITR must be forwarded to Student Employment through the PEAR system.

11. Follow the instructions under “**Forwarding a PITR**”.

Processing an “Additional Appointment” via PITR

The steps to process an **additional** appointment are similar to the steps as a New Hire with some minor Changes: Since the employee is currently working on campus, more information will already be populated on the PITR: The student’s name, UIN & Home Org. code will populate at the top of the Report. Note: The Home Dept. will be the Org. Code that holds the primary position.

The **MEMO** section at the top of the PITR should be completed. **Indicate** what transaction you are performing, ie ‘Additional Job’. For some units, this is where the data enterer will put in their name/initials. If your unit is requesting a salary beyond step A or above the ceiling cap, you can put your justification in this section or you can submit an additional attachment through the PEAR system.

Since the student is currently working on campus, the first Position Info section will already be populated. If the student is working in 5 different jobs, the employee will have 5 different Position Info Sections repeated. **Do not overtype** existing lines if they do not belong to your unit.

To add the new information, scroll down to the section called “Additional Job Information”. It is this area that needs to be updated for an additional job. The following fields will need to be updated.

Additional Job Information

1. **Position/Suffix.** You will need to type in the 6 digit position number which begins with a C.
2. **Job Begin Date.** This is the start date of the student employee. Please make sure the start date is in compliance with the date the employee provided his/her employment documents.
3. **Job Title.** This title should match the title in the Position Number.

4. **Job Change Reason.** For an additional job, the Job Change Reason is JB001. The additional Job Information Job Change Reason will already have this defaulted in.
5. **COA-Timesheet Organization** e.g. Dean's Office (2-905000)
6. **Job E-Class.** Student employees' e-class is always **SA**.
7. **Additional Job Salary Information** Only two fields need to be populated in this section:
 - a. **Hourly Rate**, or hourly salary requesting to pay & matching the salary group in which the position number was created for. The employee must be eligible for the salary step. Make sure to submit a letter of justification when requesting a salary beyond Step A or above the ceiling cap. The letter must be included in the MEMO section or as an additional attachment in the PEAR system.
 - b. **Time Entry Method.** The default value is web time entry. If your unit is submitting hours via departmental time entry, you can indicate a "D" for departmental time entry. Once an employee is entered into Banner, units can make changes via the EPAF form.
8. **Additional Job Labor Distribution** Section:
 - a. COA is '2'.
 - b. Fund. This can be changed from the default Program number.
 - c. Org code. Matching the org number that is mapped to the Position Number.
 - d. Account. Non-FWS is '215100' and FWS is 218100.
 - e. Program. FWS Program number is always 191000.
9. The next sections can be left **blank**: Job Serv. Dates & Anniversary; Leave of Absence Info.
10. **Additional Approval**, Complete all areas: Your Name, Department Name, Phone Number, Email Address, Date Approved. You can add additional comments under the Comments section. Depending on your individual unit and college, some units will need to forward their student employee PITRS to their college to obtain college level approval.
11. Once all approvals are obtained, the **PITR must be forwarded** to Student Employment via PEAR.

10.0 Salary Increase Request via PITR Processing for a Salary Change

Salary increases are processed differently depending on the type of increase being given.

A. Merit/Anniversary Increase

Merit and Anniversary increases are increases that occur to a student employee's current title. To start the process for this type of increase, first initiate the PITR. Since the employee is currently working for your unit, the student's position and job information will already be populated on the PITR. Again, the student's name, UIN # and Home Org code will populate at the top of the Report.

Memo Section at the top of the PITR should be completed. Student Employment highly recommends to indicate what transaction you are performing, ie: 'Merit Increase' or 'Anniversary Increase'. For some units, this is where the data enterer will put in their name/initials.

Job Salary Section

1. Go to the "Job Salary" Section to the Position Number that belongs to the position in which you would like to give the student an increase. Be careful to go to the correct position number - **do not overtype** existing lines if they do not belong to your unit.

2. To make the salary change, indicate the **effective date** for the salary change in the Personnel Change Date field and the new hourly salary in the Hourly Rate field.
3. In the **Job Change reason**, one of the following codes can be used:
 - a. SA003 All-Merit Increase
 - b. SA005 CS & Student – Market Increase
 - c. SA008 Annual Increase

Everything else can be left alone, except for the **Approval Section** information,

Complete all areas:

Your Name, Department Name, Phone Number, Email Address, Date Approved.

You can add additional comments under the approval “Comments” section.

Depending on your individual unit and college, some units will need to forward the student employee PITRS to their college to obtain college level approval.

Once all approvals are obtained, the **PITR must be forwarded to Student Employment** through the PEAR system.

B. Reclassification Increase

A “Reclassification” is an increase that changes the student **employee’s current title**. Since student employees are pooled positions, you cannot make a change to the position number itself.

You must actually (1) **end the current job** and (2) **add a new position number**. Therefore the position number must be available for use in under the right organization number.

If you had a student employee previously existing in the title that you would like to reclassify the student to, simply use the same position number that belongs to the new title.

If you do not have an existing number to use, units will need to first request a new Position Number following the steps in Creating a New Position Number.

1. To start the process for this type of increase, **first initiate the PITR**. Since the employee is currently working for your unit, the student’s position and job information will already be populated in the PITR. The student’s name, UIN and Home Org # will populate at the top of the Report.
2. **Memo** section at the top of the PITR should be completed: Units can submit the letter of justification for the reclassification in this section or submit an additional attachment through the PEAR system. For some units, this is also where the data enterer will put in their name/initials.
3. **Job Information Section**
 - a. Go to the job info section to the position number for which you would like to give the student the reclassification. In the New line row, type **the new Position/Suffix #'s**.
 - b. Type in the **effective date** for the increase in the Job Begin Date in the New row.

- c. Also type in Job Change Reason, indicate **RC001 Reclassification**.
4. **Job Salary Information** indicate the new Hourly Rate in the **New** row. Since this is technically a new job, indicate the COA-Timesheet Org as well. Everything else can be left alone. Except for the Approval Section information. Complete all areas:

Your Name
Department Name
Phone Number
Email Address
Date Approved

You can add additional comments under the Comments section.

Depending on your individual unit and college, some units will need to forward their student employee PITRS to their college to obtain college level approval.

5. Once all approvals are obtained, the PITR must be forwarded to Student Employment through the PEAR system.

Account Change via PITR

Account Changes with two (2) exceptions should not be processed through a PITR. They should be processed as a Labor Distribution Change through the NOAEPAF form in Banner. For more information, please see HRPEA 111 instructions on the EPAF form.

A. Change in Organization Code:

Units will need to submit a PITR in situations where the organization number changes in the FOAPAL. Since student employees are pooled positions, you cannot make a change to the position number itself. You must actually end the current job and add a new position number. Therefore the position number must be available for use under the right organization number. If you have a student employee who previously existed in the same position, simply use the same position number. If you do not, Units will need to first request a new Position Number following the steps in Creating a New Position Number.

B. Non FWS to FWS (and vice versa):

The second scenario for when a PITR needs to be submitted is when a student switches from a FWS account to a nonFWS account and/or the reverse. This is required since FWS position numbers are different from nonFWS position numbers and earnings need to be reported to Financial Aid.

To start the process for this type of increase, **first initiate the PITR**. The student's name, University Identification Number (UIN) and Home Org. # will populate at the top of the Report. Since the employee is currently working for your unit, the student's original position and job information will already be populated on the PITR.

The MEMO section at the top of the PITR should be completed. Indicate a labor distribution change is being made where the organization code is being changed. For some units, this is also where the data enterer will put in their name/initials.

Units have an option of keeping a nonFWS appointment active while appointing the student employee to a FWS position. This is suggested in case the student's FWS award has run out and the unit needs to pay the student beyond the awarded amount. Again, this is just a suggestion as some units, due to budgetary reasons, are unable to have students under nonFWS accounts.

1. To completely switch from a nonFWS to FWS acct: **go to job information** section of the position # in which you would like to **end** the nonFWS position. In the **New line row**, type in the **date to end** the appt. in Job End Date field. Then go to "Job Change Reason" and type in LD001 Labor Distribution Change.
2. To just add a FWS appointment in addition to a nonFWS appointment, you would fill out the Additional Job Information section. Please see Processing an Additional Appointment PITR.

Everything else can be left alone, except for **the Approval Section** information.

Complete all areas: Your Name, Department Name, Phone Number, Email Address, & Date Approved.

You can add additional comments under the Approval Comments section. Depending on your individual unit and college, some units will need to forward the student employee PITRS to their college to obtain college level approval.

Once all approvals are obtained, the **PITR must be forwarded to Student Employment** through the PEAR system.

Time Entry Method There are two (2) ways for a department to **submit time** for student employees.

- A. The default value is web time entry. This is where the employee would initiate the process and submit the hours to an approver through a secured website.
- B. The second method is dept. time entry, where a dept. staff member would initiate the process & submit the hours to an approver.

Once an employee's appointment has been added to the Banner system and it's not in the method you want, it is the Unit's responsibility to change it directly in the Banner system. It can be easily be changed back and forth for each employee by using the NOAEPAF form.

- 1) Open up the NOAEPAF form in Banner.
- 2) Type in the **student's UIN**
- 3) In the Query Date Field, type in **today's date**.
- 4) In the Approval Cat Field, Select **TIMECG**
- 5) Type in student's position no. & suffix or click on the magnifying glass to search employee's current job.
- 6) Control+page down or "**next block**". It will prompt you "do wish to save", Select **Yes**.
- 7) Under new value column, type in the **Effective Date** of the change
- 8) Under new value column, type in the same date for the **Personnel Date**.
- 9) Under new value column, type in "W" (web time entry) or "D" for Dept. Time Entry; press "save".
- 10) Under Options, select **Routing**
- 11) Click "User ID" for the CNTRAP (Central Applier) & the field populates with the ID for automatic Applier.
- 12) If additional unit/college level approvers are needed, double-click "Level Code" field in the next available row & select the appropriate Approval level from the list of values; and press "save".

13) Under **Options**, click the **Submit Transactions**

NOTE 1: If you receive an error message, you need to review the transaction and fix the error (if applicable), then under Options, select Complete Submit.

NOTE: EPAF's are centrally applied by the HR-Urbana & batch processed on a nightly basis. **DO NOT** forward the EPAF to the Student Employment Office.

Separation PITRS

Separations

When a student is no longer working for your unit under a certain position number, a separation needs to be submitted. This is important for two reasons. First, external agencies request employment verification on student employees either for employment or financial reasons. The second is to remove an employee's access to the web time entry portion or to remove the student's name from the dept. time entry in Banner.

1. To start the separation, first initiate the PITR. The student's name, UIN & Home Org # will populate the Report. Since the employee is currently in your unit, the position & job information will already be in PITR.
2. The MEMO section at the top of the PITR should be completed. Student Employment highly recommends to indicate the type of transaction being requested, ie separation, student resigned or end job. For some units, this is also where the data enterer will put in their name/initials.
3. Go to the job information section to the position number in which you would like to end the job. In the Job End Date, in the New line row, indicate the student employee's last work day. Type in the Job Change Reason. The available change reasons are:
 - a. EJ001 (End Job)
 - b. EJ002 (Student Resigned)
4. Everything else can be left alone. Except for the **Approval Section**, complete all areas: Your Name, Department Name, Phone Number, Email Address, Date Approved; and add additional comments.
5. Once all approvals are obtained, the PITR must be forwarded to Student Employment through the PEAR system.

Employment Group Change

Processing an Employment Group Change:

An employment group change occurs when a student employee is transferring to another unit in a capacity other than a student employee. Before the PITR is initiated, please make sure the employee has completed the appropriate HR forms and has been approved for employment by the appropriate HR area.

The process for an employment group change will require the involvement of both Student Employment and the appropriate Human Resources area in addition to all units who have an active appointment that needs to be ended, and the unit in which the employee is being hired in. The Home Department plays an important role in the employment group change. They must authorize the transaction, which will end the student job. The home department should be the Unit which initiates the PITR to end their student employee's job. If there are no other existing student

positions, the home department should forward the same Pitr to the new department. The new position will need to be added under the Additional Position/Job Section. Once all of the student's jobs have ended, the new job has been added and all the appropriate approvals have been obtained, the Pitr should be forwarded to the Student Employment Office first. Student Employment will end the student employee's job(s) and terminate the student. Student Employment will then forward the same Pitr to the appropriate HR area for the group change to occur.

The reverse routing will occur for an employee who is becoming a student employee. The Pitr should be forwarded to the appropriate HR area to end the current job and then HR will forward the same Pitr to be processed as a student employee.

NOTE: For e-classes in which direct entry is allowed, please submit the Pitr that ends all student jobs to the Student Employment Pear Group account. Units must wait until the jobs are ended in Banner before they update the employee's information to the new e-class.

Graduate Students Hired as Student Employees

Graduate Students holding Student Jobs:

Graduate students, even those who hold a graduate assistantship, can now hold a student employee job, as long as the work is consistent with Student Employment guidelines. They will be paid on a monthly basis for the graduate assistantship and biweekly for the student employee position. This is one of the advantages of the Banner system.

In order to hire the student, follow the procedures as if it is a New Hire or as an additional job if the graduate student has worked on campus before. Prior to the hire, please contact Student Employment to determine if the employee is eligible, or whether it would detrimentally affect the assistantship. Below are some examples that would prevent a student to hold both a graduate assistantship and student position:

- International student holding a 50% graduate assistantship would not be eligible for additional employment during periods of enrollment;
- A domestic student holding a 67% graduate assistantship with an additional job over the 67% would affect the tuition waiver during periods of enrollment.

Students enrolled at UI sister campuses

Students Enrolled at University of Illinois Sister Campuses:

Students who attend Illinois state-funded universities can be employed through the Student Employment Office. Prior to Banner, University of Illinois students who attended campuses besides UIC had to be employed through the campus they were enrolled at as a student. Banner has consolidated the payroll databases allowing the UIC campus to easily employ students who attend either the University of Illinois at Urbana- Champaign (UIUC) or the University of Illinois at Springfield (UIS).

UIC departments who wish to hire UI students can now employ the student employees through the UIC

Student Employment Office through the steps under New Hire or Additional Jobs. The salaries would be consistent with UIC Student Employment Guidelines. If the student employee does work at more than one campus at the same time, the check would be combined in one check. As in the past, proof of enrollment will be required on a semester basis.

Common HR Banner Forms

Below are common Banner forms used in the HR/Payroll process. Access to these forms is dependent on an individual's security rights – access might not be available to all.

Form Name & Use

NBAPOSN (view only) Depts. can view this form to see which position numbers are currently available.

NBIPORG to view position numbers in the org., & lists the number of active FTEs tied to each position #.

NBIPINC to view employees who currently hold an active position number.

NOAAPSM used by college-level approvers to complete the EPAF processes.

NOAEPAF used to change the FOAPAL information and/or Time Entry Method for their student employees.

NZIESUM This form is used to see all the active jobs a student employee currently has.

PHATIME This form is used to initiate and submit hours for student employees.

PHIETIM (view only) to see what hours were submitted for Dept. employees per pay period.

PZAADJT to submit hours for a student employee after the pay calculation has closed for a pay period.

PZAREDS to submit labor distribution (earning) transfers for payment received through Banner.

RJASEAR (view only) if a student has received FWS, any earnings under FWS, and remaining balance.

C.9. Hiring of Other Employees (Academic Hourly, Graduate Hourly, Academic Unpaid, and Extra Help Non-clerical)

Objective(s)

To ensure that the UIMCC Department of Pediatrics follow proper procedures when hiring employees.

Risk(s)

Employees not hired under the proper procedures, may be subject to termination.

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

The UIMCC Department of Pediatrics follows UIC policy and procedures for hiring other employees.

An Academic Professional Hourly position requires a matching PAPE. Contact PEDS -HR to make sure the position to be filled matches an existing PAPE.

Academic Professional (Hourly) positions do not require a Search.

To initiate the hire process the division must forward the following to PEDS -HR:

signed offer letter (see sample offer letter)

account # to charge salary

selected candidate's CV/Resume

selected candidate's social security number

selected candidate's e-mail address

3 letters of recommendations

PEDS -HR will set up an appointment with the selected candidate to complete the following New Hire Transactions:

a. NESSIE Electronic Forms

Employee Info Form

W4

Direct Deposit

Edu Loan Default

b. Completion of Paper Forms

I9

Drug Free Statement

Staff Directory Form

Education Credentials

c. Health Clearance Appointment

d. ID Letter

Once all information is collected a file is created. A PITR is initiated and submitted to COM. COM will apply the new job to BANNER.

Extra Help - 900hr.

To initiate the hiring process to hire an Extra Help employee the hiring division must submit the following to the Department of Pediatrics (PEDS -HR):

Completed Extra Help Requisition Form

e-mailed justification

Candidate's CV

PEDS -HR will forward the e-mailed justification to the College of Medicine (COM). COM will then forward it to the Provost for approval.

Once the justification is approved PEDS -HR will send an electronic requisition to Campus Extra Help Services and schedule an appointment for the candidate to complete hire paperwork. Once all required paperwork is complete PEDS -HR will initiate a Pitr and forward it to Campus Extra Help Services for entry into BANNER.

C.10. Hiring of Postdoctoral Research Associate

Postdoctoral Research Associate positions do not require a Search.

To initiate the hire process the division must forward the following to the PEDS -HR:

- signed offer letter (see sample offer)
- e-mailed justification
- account # to charge salary
- selected candidate's CV/Resume
- selected candidate's social security number
- selected candidate's e-mail address
- 3 letters of recommendations

PEDS -HR will set up an appointment with the selected candidate to complete the following New Hire Transactions:

a. NESSIE Electronic Forms

- Employee Info Form

- W4

- Direct Deposit

- Edu Loan Default

- Orientation Enrollment

- Benefit Enrollment

b. Completion of Paper Forms

- I9

- Drug Free Statement

- Staff Directory Form

- Education Credentials

c. Health Clearance Appointment

d. ID Letter

Once all information is collected a file is created. A Pitr is initiated and submitted to COM. COM will apply the the new job to BANNER.

C.11. Reappointments

Objective(s)

To ensure that there is no unnecessary break in employee's service.

Risk(s)

If employees are not reappointed in a timely manner, they may not get paid on time and an unnecessary break in service can occur that may affect other benefits such as insurance.

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

1. Faculty, Civil Service and Academic Professional employees are reappointed through Salary Planner by the Department Director of Human Resources (for instructions see https://hrnet.uihr.uillinois.edu/dart-cf/index.cfm?Item_id=2474) if their positions are budgeted. The contract beginning date is August 16.
2. Staff on Visiting or hourly appointments are reappointed by submitting a PITR.
3. Research Assistants (RAs) are reappointed by semester (Aug 16-Dec 31 or Jan 1-May 15).
4. RAs reappointment may be processed on NOAEPAF in Banner or PITR.
5. All 9-month or 10-month employees being appointed in the summer for more than 2 months are required to fill out a Request for Exception to the Limit on Summer Appointment form.
6. After five days of submitting, check daily in **NZIESUM** to make sure appointment is in the system. Review to ensure information is correct.
7. If the process is not completed prior to the end of the pay period and the payroll calculation date of that pay period, the employee will not be paid on the scheduled pay date. A payroll adjustment will have to be submitted. (See C.23-Payroll Adjustments Policy for information)

C.12. Academic Notices of Non-reappointments/Terminal Contracts

Objective(s)

To ensure that the UIMCC Department of Pediatrics issues non-reappointments according to the University's policies and by the deadlines set by the Board of Trustees Office.

Risk(s)

If non-reappointment policies are not followed in a timely manner, the UIMCC Department of Pediatrics risks paying employees beyond the availability of funding, which may result in deficit spending.

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

The UIMCC Department of Pediatrics follows the policies and procedures set by the University of Illinois and COM. Any questions regarding notice of non-reappointment or terminal contracts may be directed to Director for HR in COM Dean's office.

University Policy outlines guidelines and procedures regarding the notice of non-reappointment required for each group of academic employees. The most recent guidelines were issued by Academic Human Resources on January 6, 2003. Included in this departmental policy are the rights and restrictions involved in the notice of non-reappointment.

Notices of non-reappointment from the Board of Trustees must be sent prior to the beginning of the non-reappointment notice period. Therefore, required forms and documents are to be submitted to Academic Human Resources approximately three weeks before the beginning date of the non-reappointment notice period.

For all positions where no formal notice of non-reappointment is required, the department will do its utmost to ensure a reasonable period of notice if an employee's contract will not be extended. In cases where such notice is possible, this period will not be less than two months.

The Department of Pediatrics will require that all employees earning benefits use such benefit time no later than the final day of their non-reappointment period. Employees will receive reasonable notice of such requirements, and will be given reasonable flexibility in how they choose to use this time. Employees will cease to accrue any benefits on the first day of the period of non-reappointment. Any benefits that voluntarily remain on the final day of any terminal contract will be forfeited by the employee.

Notices of Non-reappointment for Academic Professional Employees can be found at <http://www.uic.edu/depts/oa/index.html>

Notice of Non-reappointment/Terminal Contract for Tenure-Track and Non-tenured Faculty can be found at <http://www.uic.edu/depts/oa/index.html>

For more information please visit <http://www.uihr.uillinois.edu/>

C.13. Resignations

An employee must resign from a position by submitting a resignation letter to their supervisor. The resignation letter should indicate last day worked and should also indicate reason for leaving (example: accepted an offer from another department/institution, moving to a different state, etc.) If the person resigning is on a visa, a Departure Form will need to be completed.

The division head is responsible for forwarding the resignation letter, time-sheets, departure form (if applicable) and the separation checklist to the Department of Pediatrics, Human Resources Office (PEDS -HR).

If the resignation letter is not completed by calc date, there is a possibility of the employee being over paid. To avert this, resignation letters, wherever possible, should be forwarded to PEDS -HR immediately after receipt.

The division head is responsible for referring the employee to their Benefit Counselor to discuss how this will effect their benefits.

Once all the information has been received by PEDS -HR a PITR is initiated and submitted to COM. COM will end the job in BANNER. Once completed a benefit pay-out will be processed if applicable.

C.14. Employee Exit Checklist

Objective(s)

1. To ensure that the termination of an employee is valid.
2. The employee's final paycheck is issued accurately.
3. The reason for separating from the University is accurately documented.

Risk(s)

1. Unauthorized individuals will initiate a termination.
2. A termination will be initiated and approved by the same individual.
3. A terminated employee is not entered into the Banner HR system as being terminated and paychecks continue to be issued for the employee. Former employees may continue to have unauthorized access to computer systems and physical facilities.
4. An employee's final paycheck is incorrect. University/COM/Department of Pediatrics property held by the terminated employee is not deducted from the employee's final paycheck.
5. An employee's vacation payout is incorrect.
6. An employee's direct deposit status will remain active.
7. An employee's final paycheck is not issued during the first subsequent pay period date. (biweekly/monthly)
8. An employee's liabilities to the university are not correctly deducted from the employee's final paycheck. Former employees may continue to possess University and the Department of Pediatrics property such as the I-card, P-Card, computer and office keys.
9. The University does not properly notify the employee of their COBRA benefits.

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

Follow the University's policy, which can be found at <http://www.uic.edu/depts/hr/quicklinks/hrforms/ExitChecklistfinal.pdf>

Be sure to collect items of importance such as computers and keys and cancel access to computer system and the building.

C.15. Employee Attendance

Objective(s)

To ensure that the UIMCC Department of Pediatrics establishes policies for attendance so that the unit operates at maximum capacity with existing manpower.

Risk(s)

Failure to follow attendance policy will adversely affect production and performance.

Staff Responsible

Department Director of Human Resources or designee(s) and employee's immediate supervisor

Policy/Procedure for Daily Attendance

Employees are expected to work 8 hours a day starting no later than 8:30 a.m., unless other scheduled time is pre-approved by the Division Head. Employees must inform supervisor if arriving later than expected start time. If unable to report to work, inform supervisor at least 1 hour before starting time and specify the type of time taking (sick, vacation, or floating holiday). The supervisor will be informed via e-mail or telephone. Employees must also notify supervisor if leaving before scheduled time and specify the type of time taking.

Policy/Procedure for Working from Home

In order to work from home, an employee has to have pre-approval from the Division Head or his/her supervisor prior to the day of working at home.

Policy/Procedure for Taking Classes During Office Hours

Employees taking classes during working hours need pre-approval of the Division Head and his/her supervisor. Employee should submit a plan of make-up time for those hours away from work or take vacation time.

Research assistants taking time off beyond scheduled holidays, must obtain written approval from supervisor and present a schedule of make-up time or submit a written request for a reduction in pay.

C.16. Employee Time Reporting

Objective(s)

To ensure employees follow the University and the UIMCC Department of Pediatrics on recording vacation, sick, holiday, and other time off.

Risk(s)

If this process is not followed, employee vacation and sick time balances will be inaccurate and the University may be subject to paying out a higher vacation balance when employee leaves.

Employees may take more vacation or sick time that they are entitled to.

Staff Responsible

Department Director of Human Resources or designee(s) for collecting the timesheet. Every employee is responsible for filling out a timesheet.

Policy/Procedure

For bi-weekly employees, including civil service, hourly and student employees, timesheets must be submitted to their supervisor for approval by Monday of each week by 9:00 a.m. Time is processed through Departmental Time Entry. Time is entered by the Department Director of Human Resources or Designee.

C.17. Unit Reporting of Academic Vacation and Sick Leave

Objective(s)

Payroll information for all employees (i.e. hours, leave, etc.) at the UIMCC Department of Pediatrics is accurately entered and updated into Banner – HR twice a year in accordance with University policy.

Risk(s)

Improper compensation could result from inaccurate vacation/sick leave record keeping, which could cause individual employee balances to be overstated or understated.

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

The units reporting of academic vacation and sick leave occurs twice a year—in May and August, to the Human Resources office by the Department Director of Human Resources or Designee. For additional information, visit the following web sites.

Vacation leave: https://nessie.uihr.uillinois.edu/cf/leave/index.cfm?Item_ID=1403&rlink=1194

Sick leave: https://nessie.uihr.uillinois.edu/cf/leave/index.cfm?Item_ID=1366&rlink=1194

C.18. Other Types of Time Off and Leaves

Objective(s)

To ensure that the UIMCC Department of Pediatrics employees are familiar with the other types of time off, such as FMLA, VESSA, etc.

Risk(s)

Employee could be subject to termination for being absent without being on an appropriate leave.

Employee may use vacation or sick time instead of appropriate leave time.

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

All these leaves should be reported on the timesheet as described in Section C.14. The UIMCC Department of Pediatrics follows the University of Illinois and COM policies and procedures on the following leaves:

1. *Family and Medical Leave*

The Family and Medical Leave Act (FMLA), enacted in 1993, is designed to help employees balance the demands of the workplace with the needs of families and to promote stability and economic security of families. It gives employees the right to a 12-week paid or unpaid leave for each consecutive 12-month period for which eligibility criteria have been met for the following events:

- [Birth or placement of a child for adoption or foster care.](#)
- [Serious health condition of an employee.](#)
- [Serious health condition of a spouse, child or parent.](#)

For specific information on the family and medical leave go to:

https://nessie.uihr.uillinois.edu/cf/leave/index.cfm?Item_ID=1288&rlink=1194

2. *Victims Economic Security and Safety Leave*

The Victims Economic Security and Safety Act (VESSA), enacted in 2003, is designed to promote the State's interest in reducing domestic violence, dating violence, sexual assault, and stalking by enabling victims of [domestic or sexual violence](#) to maintain the Fiscal independence necessary to leave abusive situations, achieve safety, and minimize the physical and emotional injuries from domestic or sexual violence, and to reduce the devastating economic consequences of domestic or sexual violence to employees. It gives employees the right to a 12-week paid or unpaid leave for each consecutive 12-month period for which eligibility criteria have been met.

For specific information on the victims economic security and safety leave go to

https://nessie.uihr.uillinois.edu/cf/leave/index.cfm?Item_ID=2594&rlink=1194

3. *Parental Leave*

Parental leave grants eligible employees up to two weeks of paid leave following the birth of a child, or upon the initial placement or legal adoption of a child under age 18.

For specific information on parental leave go to

https://nessie.uihr.uillinois.edu/cf/leave/index.cfm?Item_ID=1343&rlink=1194

4. *Pregnancy Leave*

Pregnancy leave may be granted for the purpose of pregnancy unless there is sufficient justification to deny the request, and is based upon disability or incompatibility between an employee's pregnant state and the regularly required duties of her position.

For specific information on pregnancy leave go to
https://nessie.uihr.uillinois.edu/cf/leave/index.cfm?Item_ID=1350&rlink=1194

5. Disability Leave

Disability leave is used for employees who have been absent because of an occupationally incurred disability, or who have been on leave for illness, injury, or disability including pregnancy using accumulated sick leave, family and medical leave, or State Universities Retirement System disability payments.

For specific information on disability leave go to
https://nessie.uihr.uillinois.edu/cf/leave/index.cfm?Item_ID=1279&rlink=1194

6. Holidays

The Board of Trustees determines the University recognized holidays and delegates authority to the President of the University to determine other such days to be designated.

The President shall determine or may delegate to the campus Chancellors the authority to determine the facilities to be open for the University recognized holidays.

For specific information on holidays, go to
https://nessie.uihr.uillinois.edu/cf/leave/index.cfm?Item_ID=1309&rlink=1194

7. Military Leave

A leave of absence shall be granted to an eligible employee who is a member of any reserve component of the United States Armed Forces or of any reserve component of the Illinois State Militia for any period actively spent in military service, in accordance with State and Federal law.

For specific information on military leave go to
https://nessie.uihr.uillinois.edu/cf/leave/index.cfm?Item_ID=1334&rlink=1194

8. Special Leave

Special leaves may be granted for the purpose of continuing employment for individuals whose performance warrants it and who request such leave for sufficient cause.

For specific information on special leave go to
https://nessie.uihr.uillinois.edu/cf/leave/index.cfm?Item_ID=1377&rlink=1194

9. Shared Benefits

A pool has been established that will provide eligible employees who have exhausted all accumulated sick leave and, if applicable, vacation leave with the opportunity to receive additional leave days when a disability claim is pending before the State Universities Retirement System (SURS) or when experiencing a catastrophic injury or illness, depending on the type of employee.

Employees must donate to the pool to receive leave from the pool.

For specific information on shared benefits go to
https://nessie.uihr.uillinois.edu/cf/leave/index.cfm?Item_ID=1358&rlink=1194

10. Jury Duty

Employees are granted leave with pay to satisfy jury duty obligations within their civic jurisdiction.

For specific information on jury duty, go to
https://nessie.uihr.uillinois.edu/cf/leave/index.cfm?Item_ID=1317&rlink=1194

The UIMCC Department of Pediatrics requires that employees bring a copy of the jury summons, and a copy is retained in the employee's personnel file.

11. Funeral Leave

Funeral leave grants employees paid time to attend the funeral and for travel and bereavement time, upon the death of an employee's immediate family or certain other relatives.

For specific information on funeral leave go to
https://nessie.uihr.uillinois.edu/cf/leave/index.cfm?Item_ID=1301&rlink=1194

C.19. Ethics Training

Objective(s)

To ensure that the UIMCC Department of Pediatrics employees follow the University of Illinois policy regarding proper professional conduct when representing it.

Risk(s)

Employees that do not complete the annual ethics training are subject to a fine of up to \$5,000.

The Ethics Office also will report those who fail to do their training to the respective chancellors, provosts and vice presidents to take into account during annual evaluations and for consideration of University disciplinary action.

Staff Responsible

Department Director of Human Resources keeps track of employees that have completed the training and reporting ones who have not complied.

All employees are responsible for completing the training on their own.

Policy/Procedure

As determined by state law all University of Illinois employees must be trained annually, based on the calendar year.

UNIVERSITY ETHICS OFFICE – ETHICS QUESTIONS & OFFLINE TRAINING:

The University Ethics Office should be contacted with any questions related to the content of the training or to schedule offline training for individuals who cannot use or do not have access to a computer.

Toll-free Help Line: 866-758-2146

E-Mail: ethicsofficer@uillinois.edu

Web site: www.ethics.uillinois.edu

Address: University Ethics Office

Public Affairs Center, Room 590

One University Plaza, PAC 591

Springfield, IL 62703-5407

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C.20. Sexual Harassment

Objective(s)

To ensure that the UIMCC Department of Pediatrics employees know that the University of Illinois will not tolerate sexual harassment of students or employees and will take action to provide remedies when such harassment is discovered. The University environment must be free of sexual harassment in work and study.

Risk(s)

Sexual harassment

- ◆ Creates a hostile working environment.
- ◆ May be imposed fines and penalties for federal violations.
- ◆ Cause adverse publicity

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

The UIMCC Department of Pediatrics follows University of Illinois policy and procedures on sexual harassment. For policy go to <http://www.uic.edu/depts/oe/Consultation.html>

C.21. Occupational Injury or Illness Report

Objective(s)

To ensure that the UIMCC Department of Pediatrics reports injuries and illnesses as required by the University.

Risk(s)

If this process is not followed, the University may be subject to fines from governmental agencies and lawsuits.

Staff Responsible

Department Director of Human Resources or designee(s) and the injured employee.

Policy/Procedure

The UIMCC Department of Pediatrics follows UIC's policy and procedures to report an on-the-job accident.

As soon as possible after an on-the-job accident occurs, an employee must complete a University of Illinois Employee's Injury Report. Employees should fill out the accident report form as completely as possible, sign the form at the bottom and give the form to their supervisor to complete and sign.

To report work-related incidents the employee should:

1. Immediately contact your supervisor to report the incident
2. Complete a University of Illinois Employee's Injury Report Form
3. Promptly seek medical care if appropriate.

More information and procedures on reporting an injury is available on the Office of Claims Management Workers' Compensation web site: www.legal.uillinois.edu/wc/index.html

C. 22. Employee Training and Development

Objective(s)

To ensure that the UIMCC Department of Pediatrics employees stay abreast of the latest policies, updated software, the University's Banner system, etc.

Risk(s)

Employees will not be able to perform their duties efficiently and effectively.

Staff Responsible

All employees

Policy/Procedure

Subscribe to the OBFS News Services e-mailing list for upcoming events, classes and training sessions. Go to http://apps.obfs.uillinois.edu/news/dsp_newsservice.cfm to subscribe and to www.obfs.uillinois.edu/obfshome.cfm?level=1&Path=training&XMLData=training1 for information on training, job aides and course registration.

The UIC Office of Human Resources Development (HRD) offers training workshops and development program to faculty, staff, students, alumni and the public. For more information go to www.uic.edu/depts/hr/develop/index.html.

The Research and Development Services offers campus-wide workshops on the various aspects of grant development. For more information go to http://tigger.uic.edu/depts/ovcr/research/funding/workshops_training/index.shtml

C.23. Payroll Adjustments and Labor Redistributions

Objective(s)

To ensure the UIMCC Department of Pediatrics follows procedures on processing payroll adjustments, i.e. overpayments or underpayments and earnings transfers.

Risk(s)

In case of an underpayment, payment that is due to employee will be delayed more. In case of an overpayment, the UIMCC Department of Pediatrics will have to wait longer to get the money that the employee owes.

Staff Responsible

Department Director of Human Resources or designee(s).

Policy/Procedure

The UIMCC Department of Pediatrics follows University of Illinois and Office of Business and Fiscal Services policy and procedures for payroll transactional processing.

Employees of the University are paid either on a bi-weekly or a monthly basis. Monthly employees are paid based on jobs information. Bi-weekly employees are paid via departmental time entry.

University Payroll publishes a payroll schedule to help units meet important deadlines to ensure timely payment to employees.

If job record or time entry information is incorrect at the time of payroll calculation, an overpayment or underpayment may occur. For instructions on how to process an adjustment go to <http://www.obfs.uillinois.edu/banner/> . For more information on payroll transaction processing go to www.obfs.uillinois.edu/obfshome.cfm?level=2&Path=earnings&XMLData=transaction

Payroll adjustments need to be submitted and approved through Banner Workflow by noon on Tuesday in order for the payment to occur on the Friday of same week. For processing, follow the link: <https://apps.uillinois.edu/HumanResources.html>.

Adjustments that comply with University policy and are submitted by Tuesday at noon will be paid that Friday. However, when a large volume of adjustments is received by the University's Payroll Office, some adjustments may be processed for payment on the following Wednesday.

C.24. How to process Personnel Information Transaction Report (PITR)

The PITR was created by the University to allow units to forward transactions for hiring & also current employee maintenance to the appropriate HR area. The PITR is an Excel spreadsheet containing current Banner information regarding an employee.

Retrieval of PITR

Since the PITR contains **confidential** personal information, only **authorized** personnel can retrieve a PITR. To retrieve a PITR for UIMCC Department of Pediatrics employee open up a web browser.

10. Go to **<https://apps.uillinois.edu>**
11. Select “**Administrative Applications**”
12. Select “Human Resources” link.
13. Then Click the “Personnel Information Transmittal Report” (PITR) link.
14. **Log in** with your **enterprise ID & password**.
15. Scroll down further and click on “**Edit Values**”.
16. Underneath the Parameter Value column, complete 2 empty fields:
 - Banner ID: **type in the UIN** of the employee, and
 - In the Enter email address, type in **your email address** including the @uic.edu.
17. Click “Schedule on Stack” to generate a PITR.
18. You will receive an email notification with a direct link to the PITR or otherwise you can log directly into the PEAR system and view the PITR in your Inbox.

Protected Email Attachment Repository (PEAR)

Viewing of the PITR in the PEAR system:

The Protected Email Attachment Repository (PEAR) is a secure means of sending & receiving PITRs. Only authorized personnel have access to the PEAR system. UIC is requiring PITR’s to be channeled through the PEAR application rather than email. Since PEAR is a secured environment, any PITR forwarded to another person by mistake will require the person to log in first; whereas conventional email will allow the PITR, containing confidential information, to be opened and viewed.

There are 2 ways to access the requested PITR. The first way will be through the email you will receive when you generate the PITR. By clicking on the link, it will automatically open up a web browser asking for your enterprise ID and lead you into the PEAR system. The second way, which will be addressed here, is to log into the PEAR system directly:

Go to the URL: <https://apps.uillinois.edu> and select the “Administrative Applications” link; select “Human Resources”; Click “Protected Email Attachment Repository (PEAR)” link, and Log in with your enterprise ID & password. The screen will be displayed welcoming you. Click the “InBox” Link. You will see the PITR that was generated by the system.

Notice the four (4) columns: From, Date Sent, Subject and the Attachment. Click either the From, Subject or on the attachment file itself. This will open up the below message. Note: Comments

indicated in the body section of the email will not be in the Pitr itself. Go ahead and click the attachment link. The Pitr will open as an Excel spreadsheet. **This Pitr is on the server and is not on your hard drive. It will need to be saved to your local machine or on a secured shared drive.**

Naming convention:

The first thing to do is to save the Excel spreadsheet to a secure local or network drive. When saving the file, rename the file with the following format.

***Lastname_firstname_YYYYMMDD_nn** (nn is the version number of the specific file).*

*For example: **Sharma Suresh 20080913 1.***

When saving for the first time, nn will be '1'. NOTE: If the same Pitr transaction is returned for corrections, then save the corrected file to have an **nn of '2'**. Using the above it is easier for any authorized employee to locate the Pitr's if questions arise.

Forwarding a Pitr:

When forwarding a Pitr to COM or Campus HR, log into the PEAR system.

8. Click "New Message" on the left bar.
9. Click on "Recipient Lookup".
10. Click on the required account and type in **"*UIC*Pitr*"**.
11. Click "Search Now" All Pitr accounts will populate.
12. Click **"select"** button on left and then
13. Click **"add selected"** at the top of the column to transfer the selected Account Name to the right side of the screen.
14. Click "Return", you'll be back to original new message screen with the **TO:** address populated.

The **three** remaining sections should be filled out.

4. **Subject:** Type the type of transaction being requested. **DO NOT** indicate "sending Pitr" or "Pitr" in the Subject line. A more helpful subject would be to indicate the type of transaction. For a brand new employee, type "New Employee" in the subject field or if you are requesting a salary change, type "Salary Increase". Some common transaction types are:
 - New Hire
 - Additional Job
 - Separation
 - Salary change
 - Group Change
5. **Body:** Type additional information in the body section. Please note, the information that is typed here will not be indicated in the Pitr itself. When you send a Pitr to be approved by another person and that same Pitr is forwarded on to Campus HR, your message in the Body section will not be retained. Therefore if you need to have permanent comments, please indicate that in the **MEMO section of the Pitr.**

6. **Attachments**. Click “**Browse**”. The next step is to attach the PITR file.
 - a. You can forward more than one PITR at a time, however please forward the same type of transactions under one message. So if you are forwarding new hires, please do not forward a separation or salary change in the same message.
 - b. Note: if you are requesting a higher salary you can attach a **Word** Document to support the request.

Once you have attached the file(s), **click “Send Message”**. The PITR will then be forwarded to its destination email address for processing.

- c. Units can view the **NZIESUM** form in Banner to see if the PITR is processed.
- d. If time needs to be submitted and the current pay calculation has already closed, units will be able to submit a Payroll Adjustment Form (**PZAADJT**), **via Banner**.

Processing a New Hire by completing the PITR:

The PITR form can look very complicated, but for a brand **new employee hire**, **only** certain fields need to be populated. The PITR for a brand new employee will contain information in the “Employee Information” section only. It is updated once the employee completes the NESSIE New Hire information. **Employee Information Section**: employee’s name, UIN, & Home Org. code will populate at the top of the Report.

The MEMO section is at the top. **Indicate** what transaction you are performing, i.e. “New Employee” or “Additional Job”. This helps approvers & HR staff to search for specific information. NOTE: If you are requesting a **salary** above the ceiling cap, put your “justification” in this section or you can submit an additional Word attachment through the PEAR system.

New Hire- PITR Transaction:

Job Information: The Position Number Section is the primary area needing updating for a brand new employee. The following fields will need to be updated in the NEW row field

12. **Position/Suffix**. You will need to type in the 6 digit position number, which begins with a C.
13. **Job Begin Date**. This is the start date of the employee. Start date must be in Compliance with the date the employee provided his/her employment documents.
14. **Job Title**: should match the title in the Position Number.
15. **Job Change Reason**. For a brand **new hire**, the Job Change Reason is **HR001**.
16. **COA-Timesheet Org**. This COA = 2 plus the unit’s Org. code number (2-905000)
17. **Job E-Class**. Enter employee’s e-class.
18. **Job Salary Info**. For brand new employees there are only 2 fields that need to be populated.
 - **Hourly Rate** field is the hourly salary that you are requesting to pay. This salary should match the salary group in which the position number was created for. Make sure to submit a letter of justification when requesting a salary above the ceiling cap. The letter must be included in the MEMO section or as an additional attachment in the PEAR system.

- **Time Entry Method**: default value is web time entry (W). If your unit is submitting hours via dept. time entry, you can indicate a “D”. (*Future changes done via EPAF form in Banner.*)

19. **Job Labor Distribution**:

- COA. This is the Chart of Accounts. Chicago campus is ‘2’.
- Fund. This can be changed from default Fund # that was mapped at the Position level.
- Organization. Matching the organization number that is mapped to the Position Number.
- Account. Matching the account number that is mapped to the Position Number.
- Program. Can be changed from default Program # that was mapped at the Position

20. The next sections of the PITR for employees: Job Service Dates & Anniversary Date Information, Job Leave of Absence Information needs to be filled.

21. **Approvals**: The next area that needs to be completed is the Approvals Section. Complete all areas: Your Name, Department Name, Phone Number, Email Address, Date Approved, & Approver comments.

Employee PITRS are forwarded to COM to obtain college level approval. Once all approvals are obtained, the PITR must be forwarded to Campus HR through the PEAR system.

22. Follow the instructions under **“Forwarding a PITR”**.

SECTION D

OPERATIONS POLICIES & PROCEDURES

D.1. Emergency Evacuation/Building Safety and Access

Objective(s)

To ensure staff evacuates the premises in a safe, timely, and orderly manner in the event of an emergency.

Risk(s)

Physical injury/death as well as significant property damage can result from failure of the UIMCC Department of Pediatrics to provide a safe environment and proper training to evacuate the premises in event of emergency. Furthermore, the UIMCC Department of Pediatrics could be subject to fines from regulatory enforcement action and negative publicity.

Staff Responsible

All staff

Policy/Procedure

For emergency preparedness follow UIC policies at www.uic.edu/index.html/emergency_preparedness.shtml

D.2. Office Operations

Objective(s)

To ensure that the UIMCC Department of Pediatrics office operates with adequate supplies, office machinery, etc. to carry out the day-to-day functions of the Unit.

Risk(s)

If the procedures are not followed, the UIMCC Department of Pediatrics may not meet its objectives in delivering the research products and services as required by the Sponsors and the University.

Staff Responsible

All staff

Policy/Procedure(s)

Mailing

In accordance with university practices, mail usually arrives twice daily at approximately 10:30 a.m. and 2:30 p.m. The UIMCC Department of Pediatrics mailbox is located on the 12th floor in room number 1226.

The UIMCC Department of Pediatrics frequently sends larger mailings via USPS. These mailings should be submitted in accordance with University and USPS guidelines: www.uic.edu/depts/avcad/mail/index.htm. Mail should be counted, bundled, and sorted by zip code.

Office Keys

A spreadsheet is to be maintained on keys assigned to the UIMCC Department of Pediatrics staff. Staff should have no more keys than necessary. Staff should sign for keys when issued and returned.

Office Machines

The UIMCC Department of Pediatrics maintains machines for copying, faxing, printing and mailing. Maintenance issues should be addressed to the respective vendor.

Office Supplies

All office supplies are to be ordered by the Staff Secretary or designee(s).

Computer Supplies/Equipment

All computer supplies/equipment are to be ordered by approval of the Director of Finance or designee.

SECTION E

GIFTS POLICIES & PROCEDURES

E. Gifts

E.1 Gift Acceptance and Accounting

Objective(s)

To assure that all private, and non - sponsored foundation funds pertaining to UIMCC Department of Pediatrics are properly accepted and administered.

To accurately record the gift/donation amount and date within 24 hours of receipt into the University's Foundation a/c.

To assure that the gifts receipting process at UIMCC Department of Pediatrics protects the interests of both the institution and its donors.

To assure that adequate documentation is in place for all gifts accepted by UIMCC Department of Pediatrics

To accurately post the gift/donation deposits in UIF/Banner Finance.

Risk(s)

Donations will not be accurately accounted for in UIF system leading to inaccurate financial reporting/position of the University.

Contributions are not acknowledged contemporaneously after the gifts are entered in UIF System.

If gifts valuations are done inaccurately, University's assets may be overstated/understated.

Inadequate documentation leads to inadequate record of ownership of assets as well as no aid in recovery from theft, litigation, insurance settlements etc.

All gift/donation transactions do not post accurately to Banner Finance.

Policy/Procedure

- (1) Gift solicitations determined by the Department Head and Division Heads must be approved in writing by the designated COM/UIC authority to assure that these support the University's campaign priorities.
- (2) Promptly acknowledge the gifts after they are entered in Banner development module in the appropriate gift account established by the OBFS for recording gifts to depict proper stewardship responsibilities to donors. The Director of Advancement at COM may verify that the documentation and the date in which gifts are received (noted from the preserved postmarked envelope in which gifts received by mail are delivered) match with the kind of gift (real property, stocks etc) and the gift date recorded in Banner system and with the acknowledgement date of the gift mailed to the donor.
- (3) Obtain valuations only from IRS certified valuers.
- (4) The department trains employees to accept gifts that are only contributions made to the University for which the provider receives no direct benefit and requires nothing in exchange beyond a general assurance that the intent of the contribution will be honored in compliance with University's published policies and procedures.
- (5) The Coordinator of Finance verifies that all deposits posted on UIF/Banner Finance are reconciled to development accounts and resolves any discrepancies within 30 days of detection.

SECTION F

INFORMATION TECHNOLOGY POLICIES AND PROCEDURES

A.1. Information Technology—Operations & Maintenance

Objective(s)

1. To assure that the logical controls (which are not physical and focus on the data, systems, file organization etc.) within the UIMCC Department of Pediatrics are in place.
2. To assure that the physical information systems resources are secured against theft, physical damage etc.
3. To assure that management protect the data sensitive to the UIMCC Department of Pediatrics operations.
4. To assure that all software on the UIMCC Department of Pediatrics computers have proper licenses and that use of software adheres to all licensing agreements.
5. To assure that environmental controls provide a conditioned environment to the information systems assets at the UIMCC Department of Pediatrics.
6. To assure that a recovery plan is in place for the timely recovery of the information systems.

Risk(s)

1. Without proper logical security access including segregation of duties, the integrity of the system, data, and availability of the system may be compromised. Such compromise may result in
 - ◆ Theft of proprietary data
 - ◆ Unauthorized (malicious, nonmalicious, or accidental) disclosure, modification, or destruction of information.
 - ◆ Nonmalicious errors and omissions
 - ◆ Unauthorized access to other network systems and devices through a compromised system.
2. Without proper physical security access the information systems assets may not be properly controlled and identified. The campus unit may
 - ◆ Incur loss due to theft, and intentional or unintentional misuse
 - ◆ Have the software stolen and/or counterfeited.
3. Data sensitive to the UIMCC Department of Pediatrics operations may be compromised or lost due to poor data stewardship and may
 - ◆ Pose adverse affects on the business operations, competitiveness, and public relations, and
 - ◆ Result in monetary loss if the compromise is severe.
4. Commercial software vendors are becoming aggressive in enforcing their rights under the copyright laws. Virtually all software products are licensed to the user under the copyright laws of the United States. The unauthorized duplication, operation on machines other than for which licensed or other piracy is a violation of the federal law and may expose the individual and the UIMCC Department of Pediatrics to legal actions, which could lead to monetary loss and adverse publicity.
5. If environmental concerns are not addressed properly, the information systems assets and data may be lost because of
 - ◆ Fire damage
 - ◆ Water damage, and
 - ◆ Hardware failure

6. Information systems play a vital role in the UIMCC Department of Pediatrics's operations. Even a minor glitch in power can cause operations to be interrupted. Such interruptions can cause
- ◆ Hardware damage
 - ◆ Software corruption of proprietary systems
 - ◆ Loss of productivity
 - ◆ Loss of proprietary data and
 - ◆ Loss of information resources.

Staff Responsible

IT Staff

Policy/Procedure

The UIMCC Department of Pediatrics follows the following IT policies and procedures to protect its computer systems and operations.

- ◆ Password Policy
- ◆ E-mail Use Policy
- ◆ Guidelines on Anti-Virus Process
- ◆ Physical Security Policy

Password Policy

1.0 Overview

Passwords are an important aspect of computer security. They are the front line of protection for user accounts. A poorly chosen password may result in the compromise of entire network. As such, all UIMCC Department of Pediatrics employees are responsible for taking the appropriate steps, as outlined below, to select and secure their passwords.

2.0 Purpose

The purpose of this policy is to establish a standard for creation of strong passwords, the protection of those passwords, and the frequency of change.

3.0 Scope

The scope of this policy includes all personnel who have or are responsible for an account (or any form of access that supports or requires a password) on any system that resides at any UIMCC Department of Pediatrics facility, has access to the UIMCC Department of Pediatrics /UIC network, or stores any non-public UIMCC Department of Pediatrics /UIC information.

4.0 Policy

4.1 General

- All system-level passwords (e.g., application administration accounts etc.) may be changed on at least a quarterly basis.
- All user-level passwords (e.g., email, web, desktop computer, etc.) may be changed at least every 90 days.
- Passwords must not be inserted into email messages or other forms of electronic communication.
- All user-level and system-level passwords should conform to the guidelines described below.

4.2 Guidelines

A. General Password Construction Guidelines

Passwords are used for various purposes at UIMCC Department of Pediatrics /UIC. Some of the more common uses include: user level accounts, web accounts, and email accounts. Poor, weak passwords have the following characteristics:

- The password contains less than eight characters
- The password is a word found in a dictionary (English or foreign)
- The password is a common usage word such as:
 - Names of family, pets, friends, co-workers, fantasy characters, etc.
 - Computer terms and names, commands, sites, companies, hardware, software.
 - Birthdays and other personal information such as addresses and phone numbers.
 - Word or number patterns like aaabbb, zyxwvuts, 123321, etc.
 - Any of the above spelled backwards.
 - Any of the above preceded or followed by a digit (e.g., secret1, 1secret)

Strong passwords have the following characteristics:

- Contain both upper and lower case characters (e.g., a-z, A-Z)
- Have digits and punctuation characters as well as letters e.g., 0-9, @#\$%^&*()_+|--=\`{}[]:"'<>? /)
- Are at least eight alphanumeric characters long.

- Is not a word in any language etc.
- Are not based on personal information, names of family, etc.
- Passwords should never be written down or stored on-line. Try to create passwords that can be easily remembered. One way to do this is create a password based on a song title, affirmation, or other phrase. For example, the phrase might be: "This May Be One Way to Remember" and the password could be: "TmB1w2R!" or "Tmb1W>r~" or some other variation.

NOTE: PLEASE do not use either of these examples as passwords!

B. Password Protection Standards

Do not use the same password for UIMCC Department of Pediatrics accounts as for other non-UIMCC Department of Pediatrics access (e.g., personal ISP account, etc.). Where possible, don't use the same password for various UIMCC Department of Pediatrics access needs.

Do not share UIMCC Department of Pediatrics/UIC passwords with anyone, including administrative assistants or secretaries. All passwords are to be treated as sensitive, Confidential UIMCC Department of Pediatrics /UIC information.

Here is a list of "don'ts":

- Don't reveal a password over the phone to ANYONE
- Don't reveal a password in an email message
- Don't reveal a password to the supervisor.
- Don't talk about a password in front of others
- Don't hint at the format of a password (e.g., "my family name")
- Don't reveal a password on questionnaires or security forms
- Don't share a password with family members
- Don't reveal a password to co-workers while on vacation

If someone demands a password, refer them to this document or have them call someone in the Information Security (AITS) Department.

Do not use the "Remember Password" feature of applications (e.g., Eudora, Outlook, etc.) Again, do not write passwords down and store them anywhere in your office. Do not store passwords in a file on ANY computer system without encryption.

Change passwords at least once every six months (except system-level passwords which must be changed quarterly).

If an account or password is suspected to have been compromised, report the incident to UIMCC Department of Pediatrics Technical staff and change all passwords.

5.0 Enforcement

Any employee found to have violated this policy might be subject to disciplinary action.

Email Use Policy

1.0 Purpose

To prevent tarnishing the public image of UIMCC Department of Pediatrics:

When email goes out from UIMCC Department of Pediatrics /UIC the general public will tend to view that message as an official policy statement from UIMCC Department of Pediatrics.

2.0 Scope

This policy covers appropriate use of any email sent from UIMCC Department of Pediatrics /UIC email address and applies to all employees, and agents operating on behalf of UIMCC Department of Pediatrics /UIC.

3.0 Policy

3.1 Prohibited Use.

The UIMCC Department of Pediatrics/UIC email system shall not to be used for the creation or distribution of any disruptive or offensive messages, including offensive comments about race, gender, hair color, disabilities, age, sexual orientation, pornography, religious beliefs and practice, political beliefs, or national origin. Employees who receive any emails with this content from any UIMCC Department of Pediatrics/UIC employee should report the matter to their supervisor immediately.

3.2 Personal Use.

Using a reasonable amount of UIMCC Department of Pediatrics /UIC resources for personal emails is acceptable, but non-work related email should be saved in a separate folder from work related email. Sending chain letters or joke emails from a UIMCC Department of Pediatrics /UIC email account is prohibited.

4.0 Enforcement

Any employee found to have violated this policy might be subject to disciplinary action.

Guidelines on Anti-Virus Process

Recommended processes to prevent virus problems:

- Always run the University of Illinois at Chicago's standard, supported anti-virus software available from the University's download site. Download and run the current version; download and install anti-virus software updates as they become available.
- Delete spam, chain, and other junk email without forwarding, in accordance with UIMCC Department of Pediatrics **Acceptable Use Policy**.
- Never download files from unknown or suspicious sources.
- Avoid direct disk sharing with read/write access unless there is absolutely a university business requirement to do so.
- Back-up critical data and system configurations on a regular basis and store the data in a safe place.

Physical Security Policy

1.0 Overview

Physical security refers to the protection of equipment (and all other information and software contained therein) from theft, vandalism, natural disaster, manmade catastrophes, and accidental damage (e.g., from electrical surges, extreme temperatures, and spilled coffee). It requires solid building construction, suitable emergency preparedness, reliable power supplies, adequate climate control, and appropriate protection from intruders.

UIMCC Department of Pediatrics intentions for publishing physical security policy is to ensure that the security concerned with physical measures is designed to prevent unauthorized access to equipment and information, installations, material, and documents; and to safeguard against espionage, sabotage, damage, and theft.

2.0 Purpose

The purpose of this policy is to ensure that:

- Security measures are commensurate with the criticality of the data, as well as the risk of loss of confidentiality, access or integrity of the data.
- Environmental safeguards are in place to protect the integrity of all primary source of information assets, and
- Make all people associated with UIMCC Department of Pediatrics (employees, contractors, consultants, student workers, other temporaries etc) aware that physical security is an essential part of a security plan and that it forms the basis for all other security efforts, including data security.

3.0 Scope

This policy applies to employees, contractors, consultants, temporaries, and other workers at UIMCC Department of Pediatrics, including all personnel affiliated with third parties. This policy applies to all equipment that is owned or leased by UIMCC Department of Pediatrics.

4.0 Policy

This policy will include:

Physical safeguards:

- Appropriate physical safeguards must be implemented to ensure the confidentiality of all data regardless of physical location.
- Physical safeguards must be implemented for portable computing devices i.e. laptops etc. and media storage devices i.e., USB mini-drive, CD, diskette etc.

Technical Safeguards

- System Owners responsible for applications and devices are responsible for ensuring that appropriate technical safeguards consistent with University of Illinois and UIMCC Department of Pediatrics, policies are implemented. Technical safeguards include, for example, use of antivirus software or activating login-tracking procedures where appropriate.

Recommended safeguards:

4.1 Equipment Security and Data Security Safeguards

4.1.1 The primary purpose for using the equipment is UIMCC Department of Pediatrics work.

4.1.2 Lock laptops in secure cabinet when not in use.

4.1.3 Store computer equipment in places that cannot be seen or reached from windows and doors, and away from radiators, heating vents, air conditioners, or other work.

4.1.4 Protect cabling, plugs, and other wires from foot traffic.

4.1.5 Keep a secure inventory of equipment and peripheral equipment, with up-to-date logs of manufacturers, models, and serial numbers.

4.1.6 Electronic storage devices (diskettes, CDs, zip drives, external drives, video/audio tapes, USB drives, etc) should be kept in secure locations when not in use. Locked cabinets, closets and offices can provide this protection.

4.1.7 Establish procedures for laptop sharing. Each user should have a separate password.

4.1.8 Password protected screen savers should be used to minimize unauthorized access from non-authenticated personnel.

4.1.9 Designated Anti-virus Programs will be used at all times. Programs will be enabled at all times and virus lists will be updated on a designated schedule.

4.2 Equipment Maintenance Safeguards

4.2.1 Keep equipment information, contact and technical support numbers readily available at the computers.

4.2.2 When computers containing sensitive information are being maintained or repaired be sure that sensitive data is properly passworded, encrypted, or removed from the computer before maintenance or repair.

4.2.3 Establish a schedule for regular computer maintenance

4.2.4 Provide spare equipment for use when computers are being repaired or maintained.

4.3 Equipment labeling Safeguards

4.3.1 Identify all equipment in overt and covert ways to make unauthorized tampering or use difficult.

4.5 Safeguards for adding of New Users to the System

4.7.1 When new users are added to the system, they may receive and acknowledge receipt of UIMCC Department of Pediatrics policies related to the use of equipment and accompanying software.

5.0 Enforcement

Any employee found to have violated this policy may be subject to disciplinary action.