TAND, UNA
953335

secretaries

Date: 7-1-76

Would you mind using a few minutes of your time to make some minor changes in your Manual of Business Procedures? It will save about $100 in printing costs. Some of the changes are left over from last year, and you may already have made them.

Green Section

1-A-1 page 1:	In paragraph three change room A29-7 to room G-254.
1-A-1 page 5:	Last paragraph, line one, change or to and.
1-A-2 page 9:	In line four of the NOTE, change Payroll Department to Business Office. In the last line of this NOTE, change Civil Service to Personnel.
1-A-4 page 6:	In paragraph one change room 314 to room 407 Johnston Hall.
1-A-4 page 7:	In paragraph five, add miscellaneous before payroll.
1-A-4 page 10:	Under number five, add & 25 for the following months: September, December, and March.

Black Section

2-C-1 page 3:	In the first paragraph under E change Exhibit III to II.
2-G-2 page 2:	In both underlined subheadings of "C" change $200 to $100.
2-G-2 page 3:	In paragraph two cross out "or $200".
2-L-2 page 1:	Add room number B78 after Coffman Union, Lost and Found.
2-M-3 page 1:	In paragraph three letter "E" change Production Services to Photographic Services.
2-O-1 page 1:	In paragraph one add the word copiers, after typewriters. In paragraph three change two years to three years.
2-R-1 page 2:	In paragraph two under C, change University Scheduling Committee to Twin Cities Calendar Committee.
2-R-2 page 3:	Under number six, change Public Examiner to Legislative Auditor.
2-T-1 page 6:	At the end of paragraph one add, Receipts are needed.
2-T-1 page 7:	In the last paragraph line two delete the word all.
2-T-1 page 8:	Center of page, change Duluth, Aztec time to 45 minutes.
2-T-1 page 9:	In paragraph two delete reduced fare.

Blue Section

3-B-1.3 page 6:	In paragraph four line four change Whenever possible to Always.
3-B-1.3 page 7:	In paragraph two, change Field Auditor to Department of Audits.
3-C-1 page 3:	In paragraph five, change the Police Department extension to 3-3550.

LET'S LOOK INSIDE THE "U"

This Manual of Business Procedures is a key to the administrative workings of the University. It opens our business policies and procedures to full view.

The Manual was written for all University personnel who need to know how to interpret and apply policies and use procedures. It covers only those policies and procedures which are standard for the University as a whole and are used by most departments.

The University of Minnesota is committed to the policy that there shall be no discrimination on the basis of race, creed, color, sex, age, or national origin. Illustrations and grammatical references that may be discriminatory are being corrected or eliminated as annual revisions of the manual are made. Remaining references to either sex mean the opposite sex also.

A MANUAL OF THREE SECTIONS

The Manual is made up of three books, or sections, one for each broad type of University administrative procedure or service:

> The Personnel Section (green cover) covers personnel policies and procedures.
>
> The Equipment, Supplies and Services Section (black cover) tells how to get and use University equipment, supplies, and services.
>
> The Fiscal Section (blue cover) describes budgeting, accounting, and related procedures.

PROCEDURES IN ALPHABETICAL ORDER BY SECTIONS

Within each of the main sections, the procedures are arranged in alphabetical order by name of subject. For example, in the Personnel Section, the procedures are arranged in alphabetical order from ACCIDENTS AT WORK to VACATION LEAVE.

The first page of every procedure in the manual carries the heading, "University of Minnesota Manual of Business Procedures." Just under this heading you will find the name of the section of the manual in which the procedure has been placed, and below this is the title of the particular procedure to be described. This fourth line, or subject title, is the one by which the procedure is alphabetized. For example, the procedure, LEAVES OF ABSENCE (Civil Service) will be found under "L" in the Personnel Section of the manual.

THE CODE IS EASY TO BREAK

An index code, given at the upper right-hand corner of each procedure, makes it easy to find what you are looking for. The code is made up of three parts separated by hyphens.

The first part is a number indicating one of the several main sections of the manul:

1- Personnel Section (green cover)
2- Equipment, Supplies and Services Section (black cover)
3- Fiscal Section (blue cover)

The second part of the code is the first letter of the first word in the title of the particular procedure being described.

The third part of the code numbers the procedures whose titles begin with the same letter.

For example, the procedures with the title

FISCAL SECTION
BUDGET BOOKKEEPING

is classified as 3-B-1. The Fiscal Section (blue book) is number three among the sections; Budget Bookkeeping is alphabetized under "B"; and the number, "1", indicates that this is the first procedure listed under "B". When two procedures are alphabetized under the same letter, the code number of the first procedure listed will end with "1", the second with "2", and so on.

When one policy or procedure is divided into two phases, this last number is followed by a decimal point and another number to the right.

For example, BUDGET BOOKKEEPING was listed as 3-B-1. However, the procedures BUDGET BOOKKEEPING, Budget Making, is also a part of 3-B-1. So the two procedures are listed as 3-B-1 and 3-B-1.1, respectively.

The date that each page of a procedure last required revision is given as the "Date" in the upper right-hand corner of the page, along with the index code and page number. It is easy to revise the procedures because of the manual's semi-loose leaf binding and the page numbering-coding system used.

Sample forms and charts are attached as "Exhibits" and are identified by Roman numerals so that they can be referred to in the text of the procedures.

An alphabetical subject index is provided at the end of each section of the manual. It shows the index code and the page number where the subject can be found.

ANY CHANGES? SUGGESTIONS ARE WELCOME

These procedures have been established with administrative approval, and represent the official method of transacting the University's business. However, they are not permanent. The procedures and also the rules and policies on which they are based, are undergoing continuous revision.

Employees who use these procedures frequently have ideas on how they might be improved. If you have any suggestions on how to simplify these procedures or make them easier to understand, please get in touch with the Training Division of the University Personnel Department. Your ideas are appreciated, and if they are workable, they will be included when the manual is next revised.

THIS IS NOT TOP SECRET

<u>These procedures are not confidential. Department heads and supervisors should make the manual readily available to employees and should encourage them to become thoroughly familiar with its contents</u>.

ATTENTION: SUPERVISORS

These procedures do not necessarily apply to employees covered by a negotiated contract. Consult your contract first.

The University of Minnesota adheres to the principle that all persons shall have equal opportunity and access to facilities in any phase of University activity without regard to race, creed, color, age, sex or national origin. Under this principle, educational, cultural, social, and employment opportunities are available to all on an equal basis.

THE PERSONNEL SECTION...

...of the Manual of Business Procedures gives basic information on University personnel policies and procedures. It was published in 1949, and has been revised every year since then. If you know of new or revised procedures which should be included in this manual, please call the Human Resources Development Division of the University Personnel Department. This section of your manual was brought up to date in July, 1976.

AN EQUAL RIGHTS NOTE: Whenever in the Manual of Business Procedures "man", "men" or their related pronouns may appear, either as words or as parts of words, they have been used for literary purposes and are meant in their generic sense (i.e., to include both male and female sexes).

SOURCES OF INFORMATION...

...about subjects not included in the Manual of Business Procedures:

Emergencies.	Operator (0)
Health Service Plan.	Boynton Health Service
Hospitalization Plan.	Employee Benefits Division
Life Insurance.	Employee Benefits Department
Memorial Funds.	Director of Development
Parking Space.	Parking Facilities
Pictures for your office.	University Gallery
Regents' Scholarships.	Human Resources Development
Retirement Plans.	Employee Benefits Division

Refer to these publications for other information:

Budget Index
Civil Service Rules
College Bulletins
Faculty Handbook
General Information Bulletin
Handbook for New Employees
Minnesota Daily
Office Practices Manual
Principal Investigator's Manual
Staff Entertainment Guide
Statesman (Duluth)
Storehouse Catalogs
Student-Staff Directory
Vanguard (Morris)
Your Retirement Handbook

ACCIDENTS AT WORK (Civil Service and Academic)

A. ACCIDENT PREVENTION

No work is so urgent that you can't take the time to do it safely. You risk an accident every time you take dangerous short-cuts or use defective equipment on the job. Disabling injuries are costly to both the employee and the University.

Technical advice on accident prevention...

...may be obtained from the Department of Environmental Health and Safety in the University Health Service. You can discuss your special safety or health problem with the Safety Engineer, the Occupational Health Engineer, the Health Physicist, or the Public Health Engineer.

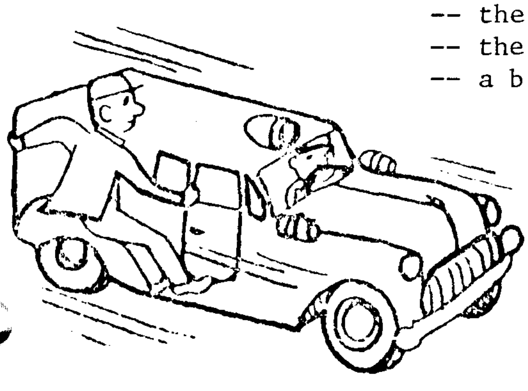
B. IF AN EMPLOYEE IS INJURED AT WORK

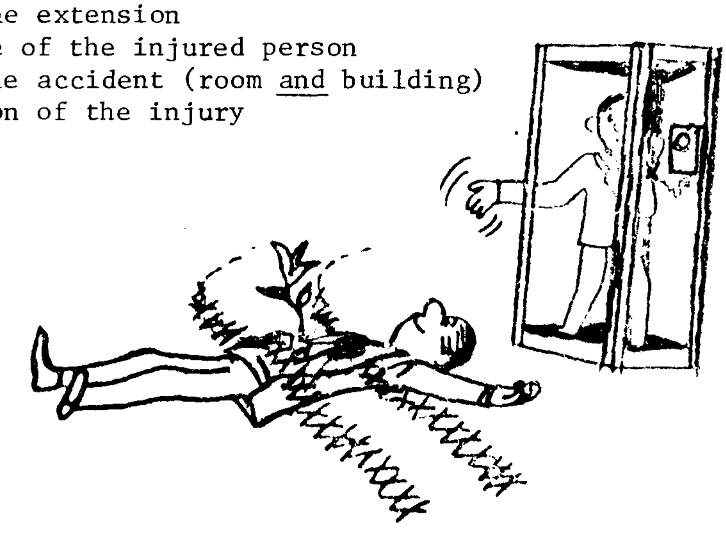
On the Minneapolis campus

If the injury is minor, send the employee to the Emergency Receiving Department of University Hospitals, room ~~A-29-7~~ G-254. If the employee comes by car he can drive into the Mayo Garage: Call Emergency Receiving to arrange for an attendant to meet the employee in the garage and direct him from there. Then tell the employee's supervisor what happened. The employee may choose to go to his own physician or hospital if he wishes.

If the injury is serious, and requires a doctor, an ambulance, or emergency first aid, dial "0": Say, "This is an emergency call --personal injury". Tell the dispatcher your situation and be sure to include the following points:

- -- your name and phone extension
- -- the name and title of the injured person
- -- the location of the accident (room and building)
- -- a brief description of the injury





On the St. Paul Campus

If the injury is minor, send the employee to the St. Paul Campus Health Service. In summer, the Health Service is closed so the employee should be sent to Emergency Receiving. Be sure to notify the hospital and the employee's superivsor.

If the injury is serious, follow the same procedure for reporting as on the Minneapolis Campus. If necessary, call the St. Paul Campus Health Service for emergency first aid while the accident victim awaits transportation to the hospital.

The foregoing procedures apply only to employees hurt on the job. An employee may be treated by his/her personal physician instead of by the hospital if he/she wishes.

If a student is injured...

...he/she should be sent to the Health Service, or after 7 p.m., to the Emergency Receiving Department of University Hospitals. During the summer months, St. Paul Campus students should be sent to the Boynton Health Service. Dial "0" if the injury is serious.

If a visitor is injured on campus...

...follow the same procedure as for employees. In case of sudden illness of an employee, visitor or student, follow the same procedure as for reporting accidents.

On Coordinate Campuses and Outstate Facilities...

...follow similar procedures for employees, students and visitors, using the Campus Health service where available and designated local hospitals. Obtain emergency phone numbers from administrative offices and post near office phones.

C. REPORT ALL ACCIDENTS...

...involving students or visitors to the Employee Benefits Department on the University of Minnesota Personal Accident Report (B.A. form 165--Exhibit II). The information requested on this form is important in case a claim results from an accident. One copy is forwarded to the Safety Engineer, who follows up with the necessary accident prevention measures. Better yet, call the Safety Engineer if the accident was serious so he/she can take immediate steps.

Minnesota State Law requires that where death or serious injury occurs to an employee during the course of employment, the employer shall report the injury within 48 hours after its occurrence. Where any other injury occurs which wholly or partly incapacitates the employee from performing labor or service for three days or longer, the employer shall report the injury within fifteen days from its occurrence. Where an injury has once been reported but subsequently death ensues, the employer shall report the death within 48 hours after receiving notice of such fact.

In order to comply with this law departments must report every employee accident in writing to the Employee Benefits Department and to the Department of Environmental Health and Safety within 48 hours. Call the Employee Benefits Department to obtain the proper report form. In most cases, it will be State of Minnesota form First Report of Injury (Exhibit I). Send the original and four copies to Employee Benefits Department and one copy (be sure it is legible) to Environmental Health and Safety within two days. Minnesota Occupational Safety and Health Act (OSHA) requires the completion of every item on the form.

When an accident results in an employee death or requires the hospitalization of five or more employees, this must be reported to the Employee Benefits Department and the Department of Environmental Health and Safety by telephone within 24 hours.

The Employee Benefits Department has a Physicians' Report and a Verified Claim of Expense prepared. The department should be notified immediately of the way the employee is to be paid during the time the injury keeps the employee from working.

All employees must report every injury, no matter how slight it may be, to the supervisor.

D. WORKER'S COMPENSATION...

...provides payments as a substitute for salary to employees who are injured or disabled at work, and takes care of their hospital and doctor bills as well.

The State Industrial Commission administers the Worker's Compensation Act, and the University repays the cost of cases involving University employees.

The Commission pays injured employees two-thirds of their regular pay--not to exceed $197 a week--after the first three working days of absence. Doctor and hospital expenses are paid in full.

Employees are paid for the day of injury

Employees are paid their full wages by the employer for the day when the accident occurred, regardless of the number of hours worked. Do not charge the day of the accident to sick leave or vacation leave.

What about the first three working days?

An injured employee can use accumulated sick leave or vacation time for the first three days of absence. If the employee has no leave credit, a leave of absence without pay will have to be taken.

If the employee is absent more than 10 days, retroactive Worker's Compensation for the first three working days will be given.

It is possible to combine sick leave and vacation leave with Compensation

An employee may choose to supplement Worker's Compensation payments with paid sick leave and vacation leave(if available). However, the total amount paid may not exceed the regular salary of the employee. For information on using the combined payment option, contact the Employee Benefits Department.

A leave is required

If an employee decides to use sick time and vacation time, but this time runs out before it is possible to return to work, a Leave of Absence form (B.A. form 234) must be sent to the University Personnel Department as soon as it's known that the employee is to be removed from the payroll.

The form should give the date of the accident, how much sick leave or vacation time was used, and the date on which the employee's salary stops.

There'll be some question, of course, about the ending date of the leave, since it usually isn't possible to predict how long the absence will last. Use the maximum period of absence estimated by the employee's physician in determining the ending date. If necessary the leave of absence can be extended by submitting another leave. If the employee returns to service earlier than anticipated, send in a Leave of Absence form showing the exact dates of the leave.

If a combination of paid leave and Worker's Compensation is used, call Employee Benefits for information on how to prepare the Leave of Absence form.

There is no Leave of Absence form for persons on the Miscellaneous Payroll. Cross out the person's name on the Miscellaneous Payroll sheet if the leave will be for a full pay period. If the employee is absent for a portion of the pay period, make a salary adjustment on the payroll sheet.

Returning to work

When the employee returns to work, be sure to notify the Employee Benefits Department so that any compensation payment can be adjusted. Any compensation payment made to an employee who has returned to work must be paid back. Notify the Department of Environmental Health and Safety because they must maintain an accurate record of employee days lost from work.

Returning to work with restricted activity

When an injured employee returns to work but cannot perform full regular duties, the OSHA law requires a record of this period of restricted activity. In such instances, notify the Employee Benefits Department and the Department of Environmental Health and Safety by memo or telephone on the date that the employee is able to assume full duty status.

Service credit toward retirement...

...keeps on accumulating for employees even though they are absent from work and receiving Worker's Compensation.

Termination of Employment

When an injured employee's services are terminated before he/she returns to work on a full-time basis, report the date of termination to the Department of Environmental Health Safety.

E. OCCUPATIONAL DISEASES

An employee who is disabled because of an occupational disease is entitled to the same Worker's Compensation benefits as one who has been injured at work.

The procedure for reporting the disease and the payroll procedures are the same as those described above for injured employees.

A copy of this report must be sent to Environmental Health and Safety and if the occupational disease results in death or requires the hospitalization of five or more employees it must be reported by telephone within 24 hours.

F. FIRES CAN BE PREVENTED...

...by employees if they observe good housekeeping practices. Avoid these common fire hazards:

* careless disposal of lighted cigarettes
* makeshift extension wiring
* accumulations of waste paper and rubbish
* improper storage of flammable liquids

Acquaint yourself with the location and proper use of fire extinguishers and fire hoses.

G. WHAT TO DO IF YOU DISCOVER A FIRE

Confine it by closing doors and windows in the immediate area of the fire if possible.

Activate the nearest fire alarm "pull" box (if available) and use the nearest safe telephone, dial "0" and report the location of the fire. The dispatcher will call the fire department.

Assist injured or handicapped persons from the immediate area of the fire.

Fight the fire with a fire extinguisher or fire hose if either is available and if you won't endanger yourself.

Direct firemen to the scene of the fire, or station someone outside the building to do so.

Send a report of the fire to the Safety Engineer, including details such as time of discovery, whether or not fire department was called, location, and cause.

Have fire extinguishers recharged by calling the Physical Plant Shops and reporting their locations.

EXHIBIT I INDEX 1-A-1

Employee's Social Security Number

468-66-5343

Date of Claimed Injury

3/28/78

Employer's Identification Number

9000001

DEPARTMENT OF LABOR AND INDUSTRY
WORKMEN'S COMPENSATION DIVISION
SPACE CENTER BUILDING, FIFTH FLOOR
444 Lafayette Road
St. Paul, Minnesota 55101

PLEASE RETURN REPORT TO:

University of Minnesota
Department of Employee Benefits
2642 University Avenue
St. Paul, Minnesota 55114

FIRST REPORT OF INJURY
(See Instructions on Reverse Side)

EMPLOYEE

1. Employee name (Last) Smith (First) John (M.I.) A. Tel. No. 786-2140
2. Employee's street address 3340 23rd Avenue South
   City Minneapolis State Minnesota Zip Code 55404
3. Birth date 3/21/48 Sex M ☒ F ☐ Occupation Secretary
4. Marital status: Single ☐ Married ☐ Separated ☐ Divorced ☐
5. Type of employment: Full-time ☒ Part-time ☐ Seasonal ☐ Volunteer ☐ If other, specify
6. Type of work program, if applicable: Apprentice ☐ GI ☐ If other, specify
7. Average earnings per week $ 177.50. Check if earnings are based on piece work.
8. Straight time worked: Hours per day 8 Number of days worked per week 5
9. Average over-time worked: Hours per day none Number of days worked per week none
10. Straight time rate: $ ______ per hour. Over-time rate: $ ______ per hour.
11. If part-time worker, state total amount earned, total number of days worked and total number of weeks worked in the last 26 weeks. $ ______ For ______ Days ______ Weeks.
    Number of hours normally worked by full-time employees per week 40 hours
12. If furnished in addition to wages, state weekly value of: Board $ none ; Lodging $ none ; Other $ none
13. Did employee have other regular employment at time of injury? If yes, where? no

FUND ______

DEPT. ______

EMPLOYER

14. Employer University of Minnesota Personnel Department Tel. No. 373-4366
15. Employer's address 2651 University Avenue
    City St. Paul State Minnesota Zip Code 55114
16. Worksite address, if different from mail address:
    City ______ State ______ Zip Code ______
17. Name of supervisor who first received knowledge of injury Charles R. Collins
18. Date when notice was received 3/28/78 Time of day injury occurred 10:00 A.M. ______ P.M.
19. Location where injury occurred steps in office

NATURE AND EXTENT OF INJURY OR DISEASE

20. Nature of claimed injury or disease Injured knee
21. Did claimed injury or disease cause loss of time? Yes ☒ No ☐ If yes, last day worked? 3/28/78
22. Were full wages paid for last day worked? Yes ☒ No ☐
23. Has employee returned to work? Yes ☐ No ☒ If yes, when
24. If injury or disease resulted in death to employee, complete the following: Date of death
    Name of dependent or next-of-kin ______ Relationship ______
    Address

MEDICAL AND HOSPITAL

25. Name of treating physician University Hosp., Emergency Rec. Tel. No. 373-8000
    Address A-297 Mayo
26. Hospital ______ Address ______
27. Did employer authorize medical treatment? Yes ☒ No ☐

SAMPLE
7-1-78

CAUSE OF INJURY

28. Describe how injury occurred Tripped going down stairs
29. Machine, tool or appliance causing injury
30. Did any employee physical handicap contribute to cause of injury? Yes ☐ No ☐ If yes, how?
31. What action has been taken to prevent recurrence? Notified Physical Plant--repaired tile on step.

Dated 3/31 19 78 Signed by Russell Henderson

Official Position Senior Personnel Representative Tel. No. 373-4366

WC/SR 100 August 1973

INSTRUCTIONS

1. Where death or serious injury occurs to any state employee during the course of his employment, the Workmen's Compensation Division shall be notified by phone within 48 hours, to be followed by this report within seven days.

2. This report must also be filed with the Workmen's Compensation Division within seven days from date of knowledge of any claimed injury or disease that may be related to state employment.

3. The report should be typewritten in an original and six copies. Answer all questions fully to avoid unnecessary correspondence and delay in payment of the employee's claim.

4. Forward all copies to the employee's department for review.

5. A designated department representative shall indicate his opinion on whether employee's injury or disease was, or was not, related to his state employment as follows:

   ☐ Was related to his state employment

   ☐ May not be related to his state employment

   ☐ Unknown at this time

   Signed ______________________________

   Official Title ______________________________

   Department ______________________________

   Telephone No. ______________________________

6. Retain one copy for department personnel records. Send one copy to the Department of Environmental Health and Safety. Send the original and four copies to the Department of Employee Benefits, 2642 University Avenue, St. Paul, Minnesota 55114.

Bus. Adm. Form 165
S92040

University of Minnesota

PERSONAL ACCIDENT REPORT

Medical Emergencies — Minneapolis Campus

Students — Go to University Health Service (Nights and weekends, go to University Hospitals, Emergency Receiving).

Employees and General Public (not students) — Go direct to University Hospitals, Emergency Receiving.

For transportation of injured or to secure a doctor, dial O — University Operator.

INSTRUCTIONS

Prepare this report in quadruplicate. Retain 4th copy for departmental files. Send 3 copies immediately to Director of Insurance and Retirement, 2642 University Avenue, St. Paul, Minnesota 55114. This form does not replace the Industrial Commission First Report of Injury which must be submitted for employees injured on the job.

Name ________________ Last ________________ First ________________ Middle ________________ Place of Accident ________________

Address ________________ Date ________________

Telephone ________________ Age ________ Time ________________

Student ☐
Employee ☐ (check one)
Public ☐

Witnesses:
Name ________________
Address ________________
Name ________________
Address ________________

The Accident — (describe what happened, exactly where, and what caused it):

Extent of Injuries — (include comments of injured, if pertinent):

Care Provided — (First aid given? Treated by doctor? Taken to hospital?)

Prevention of Similar Injury (action taken or needed) ________________

SAMPLE
7-1-75

Date ________________ Signed ________________ Title ________________

80708

APPOINTMENT AND RECRUITMENT (Civil Service)

A. WHEN A DEPARTMENT HAS A VACANCY...

...in an established position (one that has been classified by the Personnel Department), it works through the Employment Representative assigned to that department.

The department head requests applicants for the job by sending a Personnel Requisition (B.A. form 465--Exhibit I) through the dean or administrative officer to the Department of Civil Service Personnel. This should be done as soon as it becomes known that a vacancy will exist.

Be sure to give ALL the information the form requests. Fill in the data called for in the top section of the form. It's especially important to give the name and classification of the last employee in the position.

The bottom half of the form should contain information on job duties and the MINIMUM qualifications required to perform the duties. Job duty descriptions should emphasize the functions of the job rather than personal qualities of applicants. The minimum qualifications must conform to the specifications (copies available from the Personnel Department) of the classification in which the opening is occurring.

Setting up a new job

Department heads use the same form--the Personnel Requisition--to set up a new job and to request applicants for it.

The information you put on the form will be used by the Personnel Department both in classifying the job and in finding applicants to refer to you.

When the pink copy is returned to you, you may consider this as official notice of establishment of the position.

B. RECRUITING

The Personnel Department starts recruiting applicants as soon as it has received the Personnel Requisition and has reviewed the classification of the vacant position. If there are special recruiting needs required for a specific position these should be communicated to a member of the Employment Staff either on the Requisition or by phone call before the Requisition is submitted to Personnel.

Within the University

Present University employees are considered first. The Personnel Department looks for applicants on layoff lists and lets employees know about vacancies by posting a notice of vacancy for each opening.

The notice is posted on the official Civil Service bulletin board on the ground floor of Morrill Hall, at the Personnel Office, 2651 University Avenue, in Blegen Hall, and in Coffey Hall. To receive information about a specific opening, employees should contact a member of the Employment Staff.

After approval of the requisition, departments should post the vacancy too, in locations where employees can see it.

Outside the University

When an adequate supply of qualified applicants is not available within the University, they are solicited through newspaper and radio advertising, the State Department of Employment Services, commercial agencies, schools, and other organizations and services that refer applicants to jobs.

Employment Representatives...

...screen and interview applicants to see if they are eligible for University employment and have the qualifications and abilities required for the job. Those who meet the job requirements as listed on the Requisition may be given a Referral Card and sent for an interview with the department that has the vacancy.

The Referral Card is the only official evidence that an applicant has been certified by the University Personnel Department as qualified for a position. All applicants must be certified before their appointments can be approved and before their checks can be released.

No promise of employment can be made to an applicant until the Notice of Vacancy for the job has been posted five work days. During that time, all qualified people must be given a chance to apply.

Please notify your Employment Representative as soon as possible when you have made a hiring decision.

What to do with Referral Cards

When an applicant is selected, attach the department copy of the Referral Card to the Appointment form. Give him/her the applicant copy that gives instructions to report to room 200 Boynton Health Service for health clearance during the first week of work.

Who comes first?

In filling vacancies, applicants should be considered in this order for non-bargaining unit jobs:

1. the incumbent of a position which has been reclassified.

2. former employees whose names appear on the layoff list.

3. current University employees.

4. all other applicants.

Complete President's form 18 (Exhibit XII) when required and send to University Personnel Department before offering a position or appointing an individual.

C. APPOINTMENT

After selecting a person for the job, the department must appoint him/her officially. This is done by sending the proper forms to Personnel Records, with the pink copy of the Appointment sent directly to Payroll.

The form to be used depends on which payroll the employee is to be paid from and whether the person hired is new to the University or is being promoted or transferred from another University job. This information will be found beginning on page 4.

When to submit the form

The Appointment should be sent in immediately when a new employee is hired. This is necessary so that the employee may be put on the payroll as soon as possible. Any delay in sending in the Appointment will cause unnecessary delay in paying the employee.

<u>Four different forms</u>...

...are used in appointing people to University jobs. Documents should be completed immediately and must be in the Personnel Department two days before a payroll period begins in order for the employee to receive a check for that pay period. The pink copy of the Appointment should be sent <u>directly</u> to Payroll. These forms are available at the General Storehouse:

1. Appointment--Regular, B.A. form 351--exhibit IV, usually called "Regular Appointment."

2. Appointment on Miscellaneous Payroll, B.A. form 323--exhibit V, usually called "Miscellaneous Appointment."

3. Salary Adjustment, Promotion, or Change in Status, Regular Payroll Employees, B.A. form 496--exhibit VI, usually called "Regular Change in Status."

4. Salary adjustment or Change in Status, Miscellaneous Payroll Employees, B.A. form 327--exhibit VII, usually called "Miscellaneous Change in Status."

Change in Status forms, both regular and miscellaneous, are also used for other purposes besides appointments, promotions, and transfers. For instance, see procedure 1-S-1 for the use of forms in making salary increases.

<u>Each form</u>...

...gives instructions telling how to use it. The information in this procedure only adds to these instructions.

The chart on the next page shows which form to use in specific situations.

Type of Action	Form to Use
1. Regular payroll employee whose name is not on the printed budget and will not appear on it is to be continued into a new fiscal year.	Regular Change in Status (B.A. 496)
2. Regular payroll employee whose appointment shows a termination date other than the end of the fiscal year and who is being kept beyond that terminating date.	Regular Change in Status (B.A. 496)
3. Regular payroll employee changing to a full time or part time miscellaneous payroll position, either within a department or from one department to another.	Termination (B.A. 326) and Misc. Appointment (B.A. 323)
4. Regular payroll employee changing to a student status.	Termination (B.A. 326)and Student Referral (B.A.349)
5. Present employee promoted or transferred from one regular payroll job to another regular payroll job, either within a department or from one department to another. (Includes funding changes within a department)	Regular Change in Status (B.A. 496)
6. Present employee promoted or transferred from a miscellaneous to a regular payroll job.	Regular Appointment (B.A. 351)
7. Present employee being promoted or transferred from a miscellaneous payroll job in one department to a miscellaneous payroll job in another department.	Miscellaneous Change in Status (B.A. 327)
8. Present employee promoted or tranferred from one miscellaneous payroll job to another in the same department. (Includes funding changes within a department)	Miscellaneous Change in Status (B.A. 327)
9. New or former employee appointed to a regular payroll position.	Regular Appointment (B.A. 351)
10. New or former employee appointed to a miscellaneous or daily report payroll position.	Miscellaneous Appointment (B.A. 323)
11. Miscellaneous payroll employee whose appointment indicates a terminating date and is being kept beyond that terminating date.	Miscellaneous Change in Status (B.A. 327)
12. Miscellaneous payroll employee changing from student to non-student status when transferring to a new department or within the same department	Miscellaneous Change in Status (B.A. 327)

Type of Action	Form to Use
13. Name changes because of marriages, court orders, etc. (Require filing of W4 Employees Withholding Exemption Certificate, B.A. form 416 and Request for Change in Social Security Records Form available from Payroll Department.)	
Regular payroll employees	Regular Change in Status (B.A. 496); also staff directory card
Miscellaneous, daily report payrolls	Miscellaneous Change in Status (B.A. 327); also staff directory card
14. Regular payroll employees transferring from a non-hospital department to hospital bi-weekly. (Employee must be removed from the regular payroll on the former department by noting on the Regular Payroll Sheet that employee is on bi-weekly payroll as of effective date. No termination form is necessary.)	Regular Change in Status (B.A. 496)
15. Miscellaneous payroll employees transferring from a non-hospital department to hospital bi-weekly. (Employee must be removed from the miscellaneous payroll on the last day of work in the former department by noting on the miscellaneous payroll sheet that employee is on the bi-weekly payroll as of effective date.)	Miscellaneous Change in Status (B.A. 327)
16. Employee on Miscellaneous Payroll temporarily (i.e. during summer months) transferring to Regular Payroll	a. Regular Change in Status if previously on Regular Payroll (prior to temporary appointment on Miscellaneous Payroll) b. Regular appointment if not previously on Regular Payroll (prior to temporary Miscellaneous Payroll Appointment)
17. Student Referrals (See procedure 1-A-4) (Including undergraduate teaching and research assistants)	
a. Student employee hired for miscellaneous payroll position.	Student Referral (complete new appointment side)
b. Miscellaneous payroll employee changing from a non-student to a student in the same department or transferring to a different department.	Student Referral (complete former status and new status)
c. Student employee whose appointment shows a termination date and who is being kept beyond that date.	Student Referral (complete former status and new status)

d. Student employee being promoted or transferred from one payroll job in one department to another payroll job in another department or the same department,	Student Referral (complete former status and new status)
e. Student employees with change of names because of marriage, court orders, etc., (Required to file W4 Employees Withholding Exemption Certificate, B.A. 416), and a change of name card for Social Security Records.	Student Referral (complete new appointment or new status)

* Student Referrals are given to student by the Student Employment Service. Student Change in Status must be requested through Student Employment Service.

D. HOW TO FILL OUT A REGULAR APPOINTMENT

The Regular Appointment is filled out in the department and sent in five copies to the dean or administrative officer and then to Personnel Records. The pink copy should be sent <u>directly</u> to Payroll. Here is information on how to fill out specific items:

1. NAME IN FULL--It is important that an employee's full name be entered here. The full name is the given, birth, and marriage names. A complete full name will guarantee that Social Security contributions go into the correct account. If the employee goes by a name other than a given name, enter it and underline it. This will insure that the paycheck is made out the way the employee will endorse it.

2. SOCIAL SECURITY NO.--Check the employee's social security card. Copy the number directly from this card to the appointment document. Employees without Social Security numbers should be sent out to Payroll with their birth certificate or, if foreign national, their passport.

3. STUDENT--Check "no." (No students on Civil Service.)

4. RANK OR TITLE (
CLASSIFICATION NO. (from the Referral Card

5. PERIOD OF APPOINTMENT--"From" should designate the date employee will begin working. "Through" should designate the last day of the term assigned to the position. (See paragraph 8.)

6. ANNUAL FULL-TIME SALARY BASE--Show how much the job would require for a full-time term year, <u>not</u> from the time of appointment to the end of the term.

For example: For someone appointed on January 1 as a Secretary ($644), "A" term, show the annual full-time salary base as $7,728 (12 x $644)--not as $3,864 (6 x $480).

The term as indicated on the same line as the annual full-time salary base should be the same as the term given in the line above.

The total basic salary for someone hired to do a four-month job as a Secretary at $644 a month would be shown as the 12-month salary of $7,728.

7) BASIC TERM--If the employee is replacing someone else, the term designation will be the same as that of the preceding employee.

Appointment period symbols (Regular Payroll)

A--12 months (July 1-June 30)
B--academic year (September 16-June 15)
E--nine months (October 1-June 30)
G--nine and one-half months (September 1-June 15)
K--August 16-June 15
M--nine months (September 1-May 31)
S--Civil Service Staff
H--part-time

8) PERCENT OF FULL-TIME--Show the percentage of full-time that an employee's term actually is. For example, the percent time for an employee who works 20 hours a week would be 50 (based on 40 hours as full time).

9) TERM CODE FOR THIS APPOINTMENT--Give the complete term code. The term code may consist of three letter designations. The appointment period symbol (shown in 8), the staff letter S, and the part-time (H) symbol. Following the letter designation show the percent of time (100 for full time, 50 for half-time, and so on). The complete code will appear as: AS 100, which indicates A 12 months, S for staff, and the percent of time indicated numerically as 100 percent. BSH 50 indicates nine months, S for staff, H for part-time followed by the percent of time.

10) ACTUAL SALARY--Show how much salary the employee will actually draw from the day he/she starts working until the end of the term during the current fiscal year.

For example: If someone is hired November 1 for an "A" term position as a Secretary ($480 a month), the actual salary would be shown as $3840 (8 x $480). See 3-P-1, PAYROLLS, page 6, in the Fiscal Section of the Manual of Business Procedures for information on how to compute a part of a month's pay.

Under "Charge to the following account(s):"

12. DATE (From/Thru)--Show the actual date when the employee will start. Use the last day of the term as the ending date, unless the job will definitely terminate sooner. Our fiscal year is from July 1 through June 30.

13. ITEM--Ordinarily, replacements take the item number of the vacant position. However, if there's a change in class title and the item has been used before during the current fiscal year for another class, then it's necessary to add a new item. The new items are assigned by using the next number following the last existing item number in the department or sub-section of the department. (Refer to the department's master copy of budget to control the item numbers and place positions in proper sections of the department's budget.) See 3-B-1 BUDGET BOOKKEEPING, in the Fiscal Section of the Manual of Business Procedures.

14. TOTAL BASIC SALARY x PERCENT TIME gives the annual full-time salary base which would be paid to the appointee if appointment is for the full term period. Enter the figure which results when the multiplication is done. The figure need not be the same as the Actual Salary.

15. TRANSFER OF FUNDS--This part of the Appointment form is used if you don't have enough money in an existing item to cover the cost of the position, or if you are setting up a new position (item) on the Regular Payroll. To cover these situations it is necessary to transfer funds from other items, usually from a Miscellaneous Payroll item. Indicate the item and account number (fund, department, budget) under #1 and the amount of money transferred under #2.

    NOTE: If a transfer of funds from one item to another is necessary to appoint the new employee, you will have to fill out a "Request for Transfer of Funds" form (see 3-B-1.4, Exhibit I) and send it directly to the Business Office after it is signed. Do <u>not</u> send it to the Personnel Department.

16. BUDGET DESIGNATION OF EMPLOYMENT at University immediately preceding this appointment--This item refers to the person being appointed. You may obtain the information needed from your own files (if the person worked in your department) or by a phone call to the appropriate department.

17. RELATIVES EMPLOYED BY THE UNIVERSITY--List here the relatives presently employed by the University. The University will not employ relatives in the same department when there are immediate supervisory or administrative relations between positions held by relatives.

18. PERSONAL INFORMATION--This section of the Appointment form is to be completed with information gained from the employee's application form (or previous Appointment form) and from the employee directly.

19. REQUISITION NUMBER--This is taken from the Requisition used to post the vacancy.

E. ALONG WITH APPOINTMENTS...

...what do I send?

1. The Referral Card is submitted to Personnel Records with each new appointment or change involving promotion or transfer. It shows that the employee has been certified by Personnel as qualified to fill the position.

2. Employee's Withholding Tax Exemption Certificate (B.A. form 416, known as the W4 form) is sent in with the Appointment (stapled to the pink copy) when an employee starts working for the University. If the employee's address or exemption number changes, a new certificate must be sent directly to Payroll. A change in name requires a Change in Status form (send to Personnel) as well as a new Exemption Certificate.

3. A Minnesota State Retirement System Information Sheet (Exhibit VIII) must be submitted for all non-student employees except those eligible employees who select the faculty retirement plan. A Change of Beneficiary Form (Exhibit XI) is submitted when a member wishes to change beneficiary.

4. Send new employees with no Social Security number to the Payroll Department with their birth certificates (or passports if foreign national). Form OAAB-7003--Exhibit X is submitted to the Business Office when an employee changes name by marriage.

5. Submit Ethnic Group Identification (President form 20--Exhibit VI) for all new Civil Service and student employees.

6. If the position is temporary, the employee must be notified of the temporary nature of the appointment by a letter with a carbon copy attached to the appointment document.

7. A request for Transfer of Funds is submitted to the Business Office whenever a fund transfer is involved. (See Fiscal Section of this manual.)

   The Staff Directory Card must be filled out by new employees in any of the following groups and sent directly to the Development Services Office, 109 P and GA.

   * all non-student academic positions;
   * all student appointments for Teaching Assistant, Research Assistant, Administrative Assistant, Clinical Assistant, Medical Fellow, Medical Fellow Specialist, and Dormitory Residence Counselor;
   * all non-student Civil Service employees employed on a continuing basis, both regular and miscellaneous.

   It is the responsibility of the employee to keep his/her department informed of any changes in the information recorded on the card.

The department in turn must keep the Development Services Office informed of all changes by submitting a revised card at the time a change occurs. Cards are available from the General Storehouse without charge.

F. MISCELLANEOUS APPOINTMENTS...

...are filled out in the department. The instructions given under Paragraph D for the Regular Appointment also apply whenever this information is called for on the Miscellaneous Appointment form.

A terminating date is not necessary on a Miscellaneous Appointment form unless the job is temporary: the department knows when it will end.

G. CHANGES IN STATUS

Regular Change in Status (B.A. form 496--Exhibit VI) is filled out in the department and sent in six copies to Personnel Records. In the "Proposed Appointment" half of the split upper section, only those entries which are being changed should be entered.

Miscellaneous Change in Status (B.A. form 327--Exhibit VII) is sent to Personnel Records in four copies. As with the Regular Change in Status, only the changed entries should be shown under "Proposed Appointment."

IMPORTANT: When preparing Change in Status forms which are retroactive and cover a period during which there was a cost of living salary adjustment, be sure the present salary you insert on the left hand side is up to date since it wasn't documented.

The petition form and complete instructions for filing may be obtained from the Office of the Adviser to Foreign Students.

The new immigration law allows an individual with a Master's degree and two years experience in the field in which the Master's degree was achieved to file for a third preference petition in his own behalf, without support of the Univeristy. In a number of instances, this will allow an individual whom you might like to support to take action in his own behalf when he does not meet the requirements set forth in this memorandum. The individual should be referred to the Office of the Adviser to Foreign Students for instructions on the action he may take.

EXHIBIT I

INDEX 1-A-2

UNIVERSITY OF MINNESOTA

CIVIL SERVICE PERSONNEL REQUISITION

BUS. ADM. FORM 485
7-77

* THE CLASSIFICATION OF THIS POSITION IS SUBJECT TO THE AVAILABILITY OF DEPARTMENTAL FUNDS. CALL YOUR PERSONNEL SERVICES REPRESENTATIVE IF YOU HAVE QUESTIONS. NO OTHER NOTICE OF CLASSIFICATION WILL BE SENT.

PERSONNEL DEPARTMENT COMPLETES THIS SECTION

DATE POSTED	DATE RECEIVED	REQUISITION NUMBER
*APPROVED CLASS ___AS REQUESTED ___OTHER	CLASS #	ACTION: ___PP ___FORM 18 ___COLLECT ___SES ___BU ONLY ___DNR ON___ BY___ ___REPOST FROM DNR ON______BY______
REVIEWED BY (PSR)	(ER)	
APPROVED BY	DATE APPROVED	

DEPARTMENT COMPLETES SECTIONS BELOW AND ON BACK OF WHITE PAGE

Instructions: Fill out in duplicate. NO CARBON PAPER IS REQUIRED. After administrative approval, send both copies to the Personnel Department, 2651 University Ave., St. Paul. The pink copy will be returned to the department at the address you indicate at the bottom of this form.

REQUESTED CLASS: Office Assistant	CLASS #: 1212F	CAN USE STUDENT: ___YES X NO	TYPE OF POSITION: ___NEW X REPLACEMENT
DEPARTMENT NAME: Mechanical Engineering	CAMPUS OF POSITION: East Bank	DEPT. CODE:	NUMBER OF PERSONS WANTED: One; STARTING DATE: August 18,1978
COLLEGE OR UNIT: Institute of Technology	FUND—DEPT. #: 0635-5351	(REFER TO RULE 6, SECTION 6, CIVIL SERVICE RULES) DURATION: X CONTINUING ___TEMPORARY, UNTIL:	
PERSON(S) APPLICANT SHOULD SEE: Dr. Lynn Henderson or Bob Dicks		SUPERVISOR OF POSITION: Betty Swanson	
WHERE TO SEND APPLICANT: 132 or 137 Mechanical Engineering	PHONE #: 3-7091	PHONE # OF POSITION: 3-6243	ROOM & BUILDING OF POSITION: 137 Mechanical Engineering
HOURS OF WORK: 8-5 Monday 1-9 p.m.; DAYS OF THE WEEK: Monday-Friday	HOURS PER WEEK: 40	LAST PERSON IN POSITION, IF ANY: Steve Smith	CLASS # AND TITLE OF LAST PERSON:
MONTHLY RATE: 630 MIN.— MAX.; HOURLY RATE:	PAYROLL: X REG; TERM OF APPT; ___MISC ___MECH	REASON PERSON IN POSITION IS LEAVING: Promoted	
NUMBER OF WORK DAYS APPLICATIONS ACCEPTED BEYOND 5 DAY POSTING REQUIREMENT________		RECRUITING METHOD REQUESTED (SEE DEFINITIONS ON BACK): APPLICANT SCHEDULING ☐ COLLECT APPLICATIONS ☐	

MINIMUM EMPLOYEE QUALIFICATIONS REQUIRED High School Graduate or equivalent

TRAINING— in bookkeeping or mathematics

EXPERIENCE in record keeping (preferred but not essential)

DESCRIPTION OF POSITION TO BE FILLED: To help in classifying this position and in recruiting qualified applicants, describe in detail the duties and responsibilities of this position. This must be done before the requisition can be processed by the Personnel Department. (Refer to Procedure 1-C-1, Manual of Business Procedures.)

This person will be the only clerical worker in an office where many research records are maintained. Duties will consist of:

- Answering telephones.
- Sorting and distributing incoming mail.
- Preparing outgoing mail (stuffing, sealing, and stamping envelopes; wrapping packages).
- Assisting with sorting, classifying, and filing correspondence, reports, business forms, etc.
- Performing simple numerical calculations, and posting to ledgers, control records, and master sheets.
- Assist Dr. Henderson in preparing and setting up materials for extension classes on Monday evenings.
- Messenger work.
- Related duties as required.

SAMPLE
7-1-78

If more space is needed, continue your description on a separate page.

APPROVED: DEPT. HEAD	DATE 7/31/78	APPROVED: DEAN OR ADMINISTRATIVE OFFICER	DATE 7/31

RETURN DEPARTMENT COPY TO: NAME: ADDRESS:

All personnel requisitions must be approved by Personnel Department prior to any referrals or employment of personnel.

EXHIBIT II INDEX 1-A-2

UNIVERSITY OF MINNESOTA
BUSINESS ADM. FORM 351
S91850—4-78—6250 (O)

APPOINTMENT

Administrative, Academic, Civil Service

Regular Payroll Employees

White — Personnel Records
Pink — Payroll
Blue — Personnel Records
Yellow — Dean
Grey — Department
Goldenrod — Insurance and Retirement

Instructions: Send all copies, except the Pink (duplicate), to your dean or administrative officer who will forward Academic documents to Academic Personnel Records at Rm. 2, Morrill Hall, and Civil Service documents to University Personnel at 2651 University Avenue, St. Paul. The PINK copy must be sent by the originating department directly to the Central Payroll Office, Rm. 249, Administrative Services Bldg.

Retirement (MSRS) applications for eligible, civil service appointees must be sent with the appointment.

If the appointee is *new*, please furnish an Employee's Withholding Allowance Certificate (B.A. FORM 416) which must be stapled to the pink copy of the appointment.

If the appointee does not have a Social Security Number, he must file an "Application for Social Security Number" on Form SS-5. It must be accompanied by documents for proof of age, identity and citizenship status, and be forwarded to the Payroll Dept. with the pink copy of the appointment.

A Staff Directory Card should be prepared and sent directly to the Department of University Relations.

Pres. Form 20, Ethnic Group Identification, must be completed and attached to this appointment for all new employees, except those appointed without salary.

If the present address of an academic appointee is not available, notify the office of the President when it is obtained.

In addition for academic appointments, attach:

1) Letters of endorsement and other evidence of the candidate's fitness for the position.
2) Faculty Information Form.
3) Insurance applications if eligible.
4) Notice of Appointment Form, B.A. 352C, for appointees who will not appear in the printed budget.

Name in full Mary M. Larson — Employee No. — Soc. Sec. No. 517 - 46 - 6792

Rank or title General Mechanic — Classification No. 5352 — Student - Yes ___ No X

Department School of Mineral and Metallurgical Engineering — College Institute of Technology

Period of Appointment: From August 18, 1978 — Thru June 30, 1979

Annual Full Time Salary Base $ 12168 — Basic Term (A, B, E, G, K, M) A — Per Cent of Full Time 100 % — Term Code for This Appointment (Including Tenure Code) AS100 — Actual Salary $ 10647

Charge to the following account(s):

Date From	Date Thru	Item	Fund	Dept. or Project	Budget	Class	Annual Full Time Salary Base X Per Cent Time
8/16/78	6/30/79	17	0100	2122	01	5352	12168

1. Previously employed at the University? Yes X No ___
2. When an individual is employed in more than one department or paid from more than one fund indicate the distribution of the basic salary. If the per cent of time varies from one period to another, make separate distribution and indicate the period on the left.

Indicate here the source and amount of funds being transferred to cover this appointment:

1. Item and Account No. 2. Amount $

PLEASE NOTE: Any "Request for Transfer of Funds" Documents, type 02, needed to cover this appointment, should be sent *directly* to the Business Office, 3rd Flr., Adm. Svs. Bldg., 2610 University Ave., St. Paul. *Do not* send these documents to the University Personnel Office!

CIVIL SERVICE ONLY: Indicate the Civil Service Personnel Requisition # 378126 (B.A. Form 465) for the proposed appointment.
Is the proposed appointment to a temporary position or a continuation of a temporary position? Yes___ No___. If yes, attach the Personnel Department copy of letter of notification to employee (See Rule 6, Section 6, para. 4).

Budget designation of employment at the University preceding this appointment -- title

Term — Item 401 — Fund 0643 — Dept. or Project 5952 — Date 1970-71 — Base salary $4870

Predecessor Melvin Richardson

Reason for appointment or basis of award and nature of duties

Predecessor retired

Graduate work to be undertaken

Relatives employed by the University – Name — Relationship — Department

Addresses: Present 4327 Cleveland Ave. N.E., Mpls. — Home same

Marital Status: Single ___ Married X — Spouse's Name — No. of Children 2

Sex: ☐ Male ☒ Female. — Birthplace Milwaukee, Wisconsin — Birth Date 3/11/41

Citizen of U.S.A.: Yes X No ___. — No. of years Minnesota Resident 6

Education: School — Degree — Date — Previous Employment and Experience:

High School Lincoln High School, Milwaukee, 1959 — Minneapolis Gas Company 1963-1978

College Dunwoody Institute, Minneapolis, 1962

Graduate

FOR QUESTIONS CONTACT	TEL. NO.	Type of Employee: Civil Service	Type of Employee: Academic	Type of Insurance	MSRS	BUDGET APPROVED
Tom Andrews	35766					
CAMPUS ADDRESS 132 Chemical Engineering	DATE 8/4/78	E	F			

RECOMMENDED – HEAD OF DEPARTMENT	DATE 8/7/78	APPROVED – SAMPLE	DATE
RECOMMENDED – DEAN OR ADMIN. OFFICER	DATE	APPROVED – BOARD OF REGENTS 7-1-78	DATE

EXHIBIT III — INDEX I-A-2

UNIVERSITY OF MINNESOTA
BUSINESS ADM. FORM 323
S91780
11-76—7500 (O)

APPOINTMENT
on Miscellaneous Payroll

ORIGINAL — FOR PERSONNEL RECORDS

Instructions: Send all copies, except the Pink (duplicate), to your dean or administrative officer who will forward Academic documents to Academic Personnel Records at Rm. 2, Morrill Hall, and Civil Service documents to University Personnel at 2651 University Avenue, St. Paul. The PINK copy must be sent by the originating department directly to the Central Payroll Office, Rm. 249, Administrative Services Bldg.
Retirement (MSRS) applications for eligible, civil service appointees must be sent with the appointment.
If the appointee is new, please furnish an Employee's Withholding Exemption Certificate (B.A. form 416) which must be stapled to the pink copy of the appointment.

If the appointee does not have a Social Security Number, he must file an "Application for Social Security Number" on Form SS-5. It must be accompanied by documents for proof of age, identity and citizenship status, and be forwarded to the Payroll Dept. with the pink copy of the appointment.

A Staff Directory Card should be prepared and sent directly to the Department of University Relations.

Pres. Form 20, Ethnic Group Identification, must be completed and attached to this appointment for all new employees.

Name in full James Green — Employee No. — Soc. Sec. No. 123-45-6789

Rank or Title Clerk Typist — Classification No. 1222 — Student — Yes ____ No x

Department Library — College Academic Administration

Period of Appointment: From September 1, 1977 — Thru ____ (If a Limited Appointment)

ITEM	FUND	DEPT	BUD	CLASS
401	0100	4700	01	1222

RATE OF PAY: $____ SEMI-MONTHLY (100%) — PERCENT TIME: ____%
$ 3.36 HOURLY
$____ OTHER

NATURE OF DUTIES:

Previously employed at the University — Yes____ No x
Budget designation of any employment at the University *preceding* this appointment.

Rank or Title

Term____ (If on Reg. P.R.) Item No.____ Fund No.____ Dept. No.____ Bud. No.____ Class No.____ App't. Dates____ Salary Info: $____ Annual Base $____ Hourly Rate

Relatives employed by the University — Name — Relationship — Department

PERSONAL INFORMATION

Addresses: Present 1019 Sixth St. S.E., Minneapolis, MN — Home Slayton, MN

Marital Status: Single ____ Married x — Spouse's ~~Husband's~~ Name Marie Dubois — No. of Children 0

Sex: ☒ Male ☐ Female — Birthplace Slayton, MN — Birth Date 9-12-48

Citizen of U.S.A.: Yes X No____

Education:	School	Degree	Date
High School	Slayton, MN		1966
College	University of Minnesota		
Graduate			

Previous Employment and Experience:

SAMPLE 7-1-77

PREPARED BY	TEL. EXT.	DATE	Type of Employee: Civil Service	Academic	Type of Insurance	MSRS
Donna Brown						
CAMPUS ADDRESS 499 OMWL	3-2731	8-15-77	E	F		

RECOMMENDED — HEAD OF DEPARTMENT	DATE	APPROVED —	DATE
	8-18-77		
RECOMMENDED — DEAN OR ADMIN. OFFICER	DATE	APPROVED — BOARD OF REGENTS	DATE
	8-18-77		

UNIVERSITY OF MINNESOTA
BUSINESS ADM. FORM 496
3-78—20,000 sets(O)
S92020

SALARY ADJUSTMENT, PROMOTION, OR CHANGE IN STATUS

Regular Payroll Employees

White: Personnel Records
Pink: Payroll Department
Blue: Personnel Records
Yellow: Dean
Gray: Department
Gold: Employee Benefits

Instructions: Use this form to: (1) Change present rate of pay, class title, class number, percent of time, or department. (2) Extend the appointment beyond the original terminating date. (3) Redistribute fund charges. (4) Change name. Include a new Employee Withholding Allowance Certificate (B.A. Form 416). In "Proposed" section, fill out only the items changed from the "Present."

A new Staff Directory Card should be completed and sent directly to the Department of University Relations whenever an employee changes name, address, department, or classification.

Send all copies, except the Pink (duplicate), to your dean or administrative officer, who will forward Academic documents to Academic Personnel Records at Rm 2 Morrill Hall, and Civil Service documents to University Personnel at 2651 University Avenue, St. Paul. The PINK copy must be sent by the originating department directly to the Central Payroll Office, Rm 249, Administrative Services Bldg.

For further instructions, refer to procedure 1-A-2 in the Personnel section of the Manual of Business Procedures.

Soc. Sec. No. 321 - 54 - 7986

	Present Appointment	Proposed Appointment
Name in full	Jean Lea Black	
Employee No.	21897	
Student	Yes ___ No X	Yes ___ No X
Rank or Title	Instructor	
Class No.	9404	
Dept.	Sociology	
College	Liberal Arts	
Date: From	9/16/78	12/16/78
Thru	6/15/79	6/15/79
Annual Full Time Salary Base $	11,000	11,000
Basic Term (A, B, E, G, K, M)	B	B
Percent of Full Time %	50	100
Term Code This Appt.	BTH	BT
Actual Salary $	5500	8021

Charge to the following account(s) — Present:

Dates From	Dates Thru	Item	Fund	Dept. or Project	Budget	Class	Annual Full Time Salary Base × Percent Time
9/16	6/15	8	0100	2026	01	9404	5500

Charge to the following account(s) — Proposed:

Dates From	Dates Thru	Item	Fund	Dept. or Project	Budget	Class	Annual Full Time Salary Base × Percent Time
12/16	6/15	8	0100	2026	01	9404	5500
12/16	6/15	502	0610	5803	01	9404	5500

If this is a temporary change, indicate the date of return to the status of the present appointment. Date

Marital Status: Single____ Married____ Citizen of U.S.A.: Yes X No____

Indicate here the source and amount of funds being transferred to cover this appointment:

1. Item and Account No. 0610-5803-02 to 502-0610-5803-01
2. Amount $ 5500

Please Note: Any "Request for Transfer of Funds" documents, Type 02, needed to cover the Proposed Appointment, should be sent DIRECTLY to the Business Office, 3rd Floor, Adm. Svs. Bldg. Do Not send these documents to the University Personnel Office!

Relatives employed by the University: Name Relationship Department

Reason for change and nature of duties

For 50% additional time during the Winter and Spring Quarters to make a special study for the Department of Sociology under a Rockefeller Foundation grant.

CIVIL SERVICE ONLY: Indicate the Civil Service Personnel Requisition #____ (B.A. Form 465) for the proposed appointment.
Is the proposed appointment to a temporary position or a continuation of a temporary position? Yes____ No____. If yes, attach the Personnel Department copy of letter of notification to employee (See Rule 6, Section 6, para. 4).

PREPARED BY	CAMPUS ADDRESS	TEL. EXT.	Type of Employee: Civil Service	Type of Employee: Academic	Type of Insurance	MSRS	BUDGET APPROVED
Ted Smith	1110 Social Science	3-4901	E	F			

RECOMMENDED — HEAD OF DEPARTMENT	DATE	APPROVED —	DATE
	12/6/78	SAMPLE 7-1-78	

RECOMMENDED — DEAN OR ADMIN. OFFICER	DATE	APPROVED — BOARD OF REGENTS	DATE
	12/6/78		

UNIVERSITY OF MINNESOTA BUSINESS ADM. FORM 327 S91810 10-76—8750(132-2)	**SALARY ADJUSTMENT or CHANGE IN STATUS** **Miscellaneous Payroll Employees**	**Original Personnel Records**

Instructions: Send all copies, except the Pink (duplicate), to your dean or administrative officer who will forward Academic documents to Academic Personnel Records at Rm. 2, Morrill Hall, and Civil Service documents to University Personnel at 2651 University Avenue, St. Paul. The **PINK** copy must be sent by the originating department directly to the Central Payroll Office, Rm. 249, Administrative Services Bldg.

In proposed section, fill out only the items changed from the present.

A new Staff Directory Card should be completed and sent directly to the Department of University Relations whenever an employee changes name, department, or classification.

Use this form to:

1) Change present rate of pay, percent of time, or classification within the department or between departments.
2) Change from hourly rate to monthly rate or vice versa.
3) Change from student to non-student status. If Civil Service employee, also furnish a retirement application (MSRS).
4) Change name. Include a new Employee Withholding Exemption Certificate (B.A. form 416).

Soc. Sec. No. 469 - 28 - 2856

Present Appointment

Name John Smith   Employee No. 84825

Student: Yes____ No X (if a limited appointment)

Rank or Title Office Assistant   Class No. 1212

Department Business Office   College

Period of Appointment: From   Thru (if a limited appointment)

Item	Fund	Dept.	Bud.	Class
401	0100	1104	01	1212

Rate of pay:

$ 323.00 Semi-monthly (100%)   Percent Time____%

$______ Hourly

$______ (other)

Proposed Appointment

Name   Employee No.______

Student: Yes X No____ (if a limited appointment)

Rank or Title   Class No.

Department   College

Period of Appointment: From   Thru (if a limited appointment)

Item	Fund	Dept.	Bud.	Class

Rate of pay:

$______ Semi-monthly (100%)   Percent Time____%

$ 3.72 Hourly

$______ (other)

If this is a temporary change indicate the date of return to the status of the present appointment. Date

Marital status: Single____ Married X   Citizen of U.S.A.: Yes X No____

Relatives employed by the University:

Name   Relationship   Department

Reason for change and nature of duties:

John Smith is enrolling as a student at the University, and will continue to work in the same position on a part-time basis after September 1, 1978.

PREPARED BY Norman Lowell	TEL. EXT. 3-7431	DATE 8/21/78	Type of Employee: Civil Service E	Academic F	Type of Insurance	MSRS
CAMPUS ADDRESS						

RECOMMENDED—HEAD OF DEPARTMENT Stephen Craig	DATE 8/22/78	APPROVED— SAMPLE	DATE
RECOMMENDED—DEAN OR ADMIN. OFFICER Clara Forsythe	DATE 8/25/78	APPROVED— 7-1-78	DATE

University of Minnesota
President Form 20
S91377
Revised: 8/77

EXHIBIT VI

INDEX 1-A-2

UNIVERSITY OF MINNESOTA

RACIAL/ETHNIC GROUP IDENTIFICATION

THIS FORM MUST BE COMPLETED (BY THE EMPLOYEE, IF POSSIBLE) AND ATTACHED TO THE APPOINTMENT DOCUMENT FOR ALL NEW ACADEMIC, CIVIL SERVICE, AND STUDENT EMPLOYEES EXCEPT THOSE APPOINTED WITHOUT SALARY. Definitions of the five racial/ethnic groups have been provided by the Equal Employment Opportunity Commission. An employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging to. No person should be counted in more than one category.

To meet the requirements of the Federal Executive Orders 11246, 11375 and Revised Order No. 4, Title IX and the EEO-6 reporting format, the University is placing racial/ethnic group and sex data into its computer for statistical use. After the data have been entered into the computer, this form will be destroyed. The data will be used to meet reporting requirements and other requirements for the Federal Government as outlined in the University's Affirmative Action Program. Each use of the data will require specific authorization by the Office of the University President. The collection, storage, and above uses of these data have been reviewed by: 1) University Executive Officers and 2) the University Equal Opportunity Officer.

_____ - _____ - _____
Social Security Number

____
Department Name

SEX (Check one)

M _______ Male
F _______ Female

RACIAL/ETHNIC GROUP (Check one)

0 _______ White
1 _______ Black
2 _______ Asian or Pacific Islander
3 _______ American Indian or Alaskan Native
4 _______ Hispanic

U.S.A. CITIZEN/RESIDENT STATUS (Check one)

Y _______ Citizen
R _______ Resident Alien
_______ Non-Resident Alien

RACIAL/ETHNIC CATEGORIES

WHITE: Persons having origins in any of the original peoples of Europe, North Africa, or the Middle East (not of Hispanic origin).

BLACK: Persons having origins in any of the Black racial groups of Africa (not of Hispanic origin).

ASIAN OR PACIFIC ISLANDER: Persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent (including India and Pakistan), or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa.

AMERICAN INDIAN OR ALASKAN NATIVE: Persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.

HISPANIC: Persons of Mexican, Puerto Rican, Cuban, Central or South America, or other Spanish culture or origin, regardless of race.

SAMPLE
7-1-78

UNIVERSITY OF MINNESOTA
BUSINESS ADM. FORM 327M
MPLS.—10-69—3,750 (518-2)

SALARY ADJUSTMENT or CHANGE IN STATUS
Miscellaneous Payroll Employees

Original for Personnel Records

Instructions: Send in triplicate to **Personnel Records, Room 4 Morrill Hall.** Rate of pay and class must conform to the "Class Specifications for Positions in the University Civil Service." Use only (1) to increase the present rate of pay in the department, (2) to employ beyond minimum beginning rate, or (3) for change from student to non-student status or vice versa or (4) for change in name. If employee changes to a non-student status this form must be accompanied by a State Retirement Fund application.

Do not use when an employee has an **active employee number** indicating previous employment in the University with **earnings during current year and/or previous calendar year,** and is being re-employed at the normal beginning rate of the class.

Do not submit a recommendation for a rate in excess of the class maximum. In general recommendations for rate changes should be made to be effective only at the beginning of the fiscal year.

If a change in name, file an EMPLOYEES WITHHOLDING EXEMPTION CERTIFICATE.

Name Susan Ann Smith

Employee No. 84825

Present Appointment	Proposed Appointment
Student (Yes or No) — No	Student (Yes or No) — Yes
Department—Name Business Office	
Fund No. 0100	
Department—No. 1104 Item 401	Rate of pay—$1.90 per hour Item
Rate of Pay—$329 per month	Class Title
Class Title Clerk	Class No.
Class No. 1212	Effective date 9/1/69

If this is a temporary change indicate the date of return to the status of the present appointment. Date

Relatives employed by the University None

Name

Relationship

Department

Reason for the recommendation

Susan Smith is enrolling as a student at the University, and will continue to work in the same position on a part-time basis after September 1, 1969.

SAMPLE
7-1-70

PREPARED BY	TEL. EXT.	DATE			Insurance Year	Insurance Type	Retirement	Group Hosp.	BUDGET APPROVED
Norma Lowell	3-7431	8/22/69	E / F						
RECOMMENDED—HEAD OF DEPARTMENT: Stephen Craig		DATE 8/23/69	APPROVED—						DATE
RECOMMENDED—DEAN OR ADMIN. OFFICER: James Forsythe		DATE 8/25/69	APPROVED—						DATE

EXHIBIT VIII INDEX I-A-2

EMPLOYEE INFORMATION SHEET

(Complete with typewriter or pen and ink, sign with pen and ink)

FOR MSRS USE
Registry No.
Dept. Code
Type entry

RETURN TO: MINNESOTA STATE RETIREMENT SYSTEM
529 JACKSON STREET AT 10th
ST. PAUL, MINNESOTA 55101

TO BE COMPLETED BY EMPLOYING DEPARTMENT

Employee Name *(last, first, middle)*			Soc. Sec. Number
Department	Division or Institution	Position Title	Date of Appointment

Salary	Check One		Check One				Check One				
	Classified ☐	Unclassified ☐	Unlimited ☐	Temporary ☐	Trainee ☐	Emergency ☐	Inter-mittent ☐	Pro-visional ☐	Sea-sonal ☐	Full Time ☐	Part Time ☐

CHECK APPROPRIATE RETIREMENT PLAN

Administered by MSRS								
MSRS	Corrections	Unclassified	Hwy. Patrol	Judges	TRA	PERA	Other	None

Signature of Appointing Authority	Date	Title

TO BE COMPLETED BY EMPLOYEE

(Accurate and complete information is essential to insure that deductions taken from your salary for the Retirement Fund will be correctly credited to your individual account.)

Present Address *(Street, City, State, Zip Code)*

Maiden Name	List former name*(s)* from previous marriages or name changes.	Birthdate: Month, Day, Year

Birth Place: City	State	Country	Sex: Male ☐	Female ☐	Marital Status: Single ☐	Married ☐	Widowed ☐	Divorced ☐

Have you ever been employed in a position covered by any of the following Minnesota public retirement plans? Yes ☐ No ☐
If yes, indicate dates of coverage and whether or not you accepted a refund of retirement deductions, forfeiting service credit.

SAMPLE 71-77

	Dates of Coverage From	To	Service Forfeited by Refund Yes	No
Teachers Retirement Assn.	______	______	☐	☐
Public Employees Retirement Assn.	______	______	☐	☐
Public Employees Police & Fire	______	______	☐	☐
Mpls. Municipal Employees	______	______	☐	☐
Mpls. Teachers	______	______	☐	☐
St. Paul Teachers	______	______	☐	☐
Duluth Teachers	______	______	☐	☐

Signature of Employee *(Do not print)* First, Middle, Maiden, Last	Date

Note: If you have previous state employment see other side.

MSRS 33 6/75

PREVIOUS STATE EMPLOYMENT

List previous state employment below:	Dates of Employment	
DEPARTMENT	FROM	TO

CANCELLATION OF BENEFICIARY DESIGNATION

Please sign below if you desire that upon your death your retirement monies are paid to your survivors in the following sequence as provided by law: to your surviving spouse, or if none, to your surviving children in equal shares, or if none, to your surviving parents in equal shares, or if none, to the representative of your estate. (Note: Employees first covered by MSRS after May, 1975 are automatically covered by this provision. If you want a different designation please contact the retirement system.)

I HEREBY REVOKE any and all designations of beneficiaries made by me which appear on the records of the MSRS, and I hereby direct that upon my death any moneys payable under M.S. Chapter 352 be paid in accord with said chapter.

____________________ ____________________________________

Date Signature (Please Use Pen and Ink - Do not sign with initials or nicknames)

EXHIBIT IX

APPLICATION FOR SOCIAL SECURITY AND TAX ACCOUNT NUMBER
(Or Replacement of Lost Card)
Information Furnished On This Form Is CONFIDENTIAL

DO NOT WRITE IN THE ABOVE SPACE

Read Instructions on Back Before Filling in Form. Print in Dark Ink or Use Typewriter.

1 Print FULL NAME YOU USE IN WORK OR BUSINESS — (First Name) (Middle Name or Initial -- if none, draw line ——) (Last name)

2 Print FULL NAME GIVEN YOU AT BIRTH

3 DATE OF BIRTH — (Month) (Day) (Year)

4 PLACE OF BIRTH — (City) (County) (State)

5 AGE ON LAST BIRTHDAY

6 SEX: MALE ☐ FEMALE ☐

7 COLOR OR RACE: WHITE ☐ NEGRO ☐ OTHER ☐

8 MOTHER'S FULL NAME AT HER BIRTH

9 FATHER'S FULL NAME (Regardless of whether living or dead)

10 HAVE YOU EVER BEFORE APPLIED FOR OR HAD A SOCIAL SECURITY OR RAILROAD RETIREMENT NUMBER? YES ☐ NO ☐ DON'T KNOW ☐ — IF ANSWER IS "YES" PRINT THE STATE IN WHICH YOU FIRST APPLIED AND WHEN — (State) (Date)

PRINT YOUR ACCOUNT NUMBER IF YOU KNOW IT — (Account Number)

11 ARE YOU NOW— EMPLOYED ☐ SELF-EMPLOYED ☐ UNEMPLOYED ☐

12 YOUR MAILING ADDRESS — (Number and Street) (City) (Zone) (State)

13 TODAY'S DATE

14 Write YOUR NAME AS YOU USUALLY WRITE IT. (Do Not Print or Type—Use Dark Ink)

TREASURY DEPARTMENT Internal Revenue Service
Form SS-5 (Revised 8-62)

Return completed application to nearest SOCIAL SECURITY ADMINISTRATION DISTRICT OFFICE

EXHIBIT X

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
Social Security Administration
Bureau of Old-Age and Survivors Insurance

Form Approved Budget Bureau No. 72-R 121.6

REQUEST FOR CHANGE IN SOCIAL SECURITY RECORDS

Read Instructions On Back Before Filling In Form. Print in dark ink or use typewriter.

SOCIAL SECURITY ACCOUNT NUMBER

DO NOT WRITE IN THIS SPACE
☐ DUP ISSUED
☐ EMPLOYEE CORRES.

1 IF REQUESTING NAME CHANGE Print NEW NAME HERE EXACTLY AS YOU WILL USE IT AT WORK — (First Name) (Middle Name or Initial – if none, draw line ——) (Last Name)

2 Print YOUR NAME AS SHOWN ON YOUR LAST CARD — (First Name) (Middle Name or Initial – if none, draw line ——) (Last Name)

3 DATE OF BIRTH — (Month) (Day) (Year)

4 BIRTH DATE PREVIOUSLY REPORTED (if different from Item 3)

5 PLACE OF BIRTH — (City) (County) (State)

6 SEX: MALE ☐ FEMALE ☐

7 COLOR OR RACE: WHITE ☐ NEGRO ☐ OTHER ______

8 MOTHER'S FULL NAME AT HER BIRTH

9 FATHER'S FULL NAME (Regardless of whether living or dead)

10 HAVE YOU LOST YOUR CARD? YES ☐ NO ☐ — IF "YES," AND IF YOU KNOW YOUR ACCOUNT NUMBER, ENTER IT IN THE SPACE IN THE UPPER RIGHT CORNER AND COMPLETE ITEM 11.

11 WHERE AND WHEN DID YOU GET YOUR FIRST CARD? — (State) (Year)

12 PRESENT MAILING ADDRESS — (Number and Street) (City) (Zone) (State)

13 TODAY'S DATE

14 Write YOUR NAME AS YOU USUALLY WRITE IT (Do Not Print or Type - Use dark ink.)

Form OAAN-7003 (10-58)

SAMPLE

MSRS Form 8
(8/68)

EXHIBIT XI

INDEX I-A-2

Minnesota State Retirement System

CHANGE OF BENEFICIARY FORM

Reg. No. ____________________

IMPORTANT: Use pen and ink or typewriter. Submit this form in duplicate signed by 2 witnesses. Use full names, not initials. Use given names of married women; do not use their husband's given name. See examples on reverse side if you want to designate more than one beneficiary.

To: Executive Director
Minnesota State Retirement System
530 North Robert Street
St. Paul, Minnesota 55101

I hereby revoke any and all designations of beneficiaries made by me which appear in the records of the Minnesota State Retirement System, and I hereby designate as my beneficiary(ies):

BENEFICIARY(IES)	ADDRESS	RELATIONSHIP *Age if a minor*

I WISH MY BENEFICIARIES NAMED ABOVE TO SHARE AND SHARE ALIKE, SURVIVOR OR SURVIVORS TO HAVE ALL. IF NONE OF THE ABOVE ARE LIVING, THEN I WISH PAYMENT TO BE MADE TO THE BENEFICIARIES NAMED BELOW, IF ANY, WHO ARE TO SHARE AND SHARE ALIKE, SURVIVOR OR SURVIVORS TO HAVE ALL.

BENEFICIARY(IES)	ADDRESS	RELATIONSHIP *Age if a minor*

SIGNATURE OF TWO WITNESSES TO EMPLOYEE'S SIGNATURE *(Beneficiaries or members of immediate family may not be witnesses)*

SIGNATURE ____________________

ADDRESS ____________________

SIGNATURE ____________________

ADDRESS ____________________

Original filed in MSRS Office	________
Duplicate returned to Employee	________

EMPLOYEE'S SIGNATURE *(Sign with pen and ink)*

SIGNATURE ____________________

ADDRESS ____________________

____

SOC. SEC. NO. ____________________

DATE ____________________

Examples of designating more than one beneficiary.

EXAMPLE I

BENEFICIARY(IES)	ADDRESS	RELATIONSHIP	*Age if a minor*
Ann Mary Jones	100 Main Street, Anytown, Minn. 55101	Wife	

I WISH MY BENEFICIARIES NAMED ABOVE TO SHARE AND SHARE ALIKE, SURVIVOR OR SURVIVORS TO HAVE ALL. IF NONE OF THE ABOVE ARE LIVING, THEN I WISH PAYMENT TO BE MADE TO THE BENEFICIARIES NAMED BELOW, IF ANY, WHO ARE TO SHARE AND SHARE ALIKE, SURVIVOR OR SURVIVORS TO HAVE ALL.

BENEFICIARY(IES)	ADDRESS	RELATIONSHIP	*Age if a minor*
Donald Henry Jones	100 Main Street, Anytown, Minn. 55101	Son	12
Edith Ruth Jones	100 Main Street, Anytown, Minn. 55101	Daughter	14

EXAMPLE II

BENEFICIARY(IES)	ADDRESS	RELATIONSHIP	*Age if a minor*
Mary Hazel Brown	232 Circle Avenue, Anytown, Minn. 55101	Mother	
John Ralph Brown	232 Circle Avenue, Anytown, Minn. 55101	Father	

I WISH MY BENEFICIARIES NAMED ABOVE TO SHARE AND SHARE ALIKE, SURVIVOR OR SURVIVORS TO HAVE ALL. IF NONE OF THE ABOVE ARE LIVING, THEN I WISH PAYMENT TO BE MADE TO THE BENEFICIARIES NAMED BELOW, IF ANY, WHO ARE TO SHARE AND SHARE ALIKE, SURVIVOR OR SURVIVORS TO HAVE ALL.

BENEFICIARY(IES)	ADDRESS	RELATIONSHIP	*Age if a minor*
Herbert George Brown	232 Circle Avenue, Anytown, Minn. 55101	Brother	

If you have any questions, call 221-2761 or write the Minnesota State Retirement System.

University of Minnesota
President Form 18
August, 1977

Original	Personnel Department
Duplicate	Department Head
Triplicate	Equal Opportunity Officer
Quadruplicate	Unit Equal Opportunity Officer

MONITORING FORM FOR CIVIL SERVICE POSITIONS DESIGNATED FOR AFFIRMATIVE ACTION

This form must be properly completed and the top three copies (original, duplicate, triplicate) forwarded to the Assistant Vice President for Administration and Personnel, 317 Morrill Hall, for approval before a position designated for affirmative action can be filled. In addition, a copy of the job requisition, copies of the applications of all rejected minorities and females, and a copy of the application of the person selected must be attached.

DO NOT OFFER A POSITION UNTIL THE DEPARTMENT'S COPY HAS BEEN APPROVED AND RETURNED.

The Personnel Department is charged with the responsibility of recruiting and screening job applicants for referral to hiring departments. The Personnel Department monitors compliance with the hiring provisions of the University's Affirmative Action Policy. If, in its judgment, a good faith effort to comply with those provisions has not clearly been demonstrated by the hiring department, the Personnel Department will contact the department head and discuss the matter and attempt to resolve any problems. At the conclusion of such discussions, if the compliance problems cannot be fully resolved, the matter will be turned over to the University's Director of Equal Opportunity and Affirmative Action for further action. Such action may include withholding any appointment to the position in question until the problem is resolved by the Director of the Office of Equal Opportunity and Affirmative Action and the appropriate Vice President.

Requisition #______ Department Name______

Job Title ______ Class # ______ Posting Date ______

Indicate the number of applicants **referred** to you in each category below:

WHITE		BLACK		HISPANIC		AMERICAN INDIAN		ASIAN/PACIFIC ISLANDER		UNKNOWN	
M___	F___	M___	F___	M___	F___	M___	F___	M___	F___	M___	F___

Indicate the number of applicants **interviewed** by you in each category below:

WHITE		BLACK		HISPANIC		AMERICAN INDIAN		ASIAN/PACIFIC ISLANDER	
M___	F___	M___	F___	M___	F___	M___	F___	M___	F___

Name of Applicant You Propose To Hire______

Proposed Starting Date ______ Sex of Applicant: Male ___ Female ___

Applicant's Ethnic Background: WHITE ( ) BLACK ( ) HISPANIC ( ) AMERICAN INDIAN ( ) ASIAN/PACIFIC ISLANDER ( )

Please state **explicit** reasons for rejecting each of the minority and female candidates referred by the Personnel Department. (Use back of form or separate sheet if necessary.)

SAMPLE
7-1-78

What are your departmental affirmative action goals related to this position?

Recommended-Head of Department	Date	Approved-Personnel Department	Date
Recommended-Dean or Admin. Officer	Date	Approved-Office of Equal Opportunity and Affirmative Action	Date

APPOINTMENT (Faculty)

A. EACH ACADEMIC DEPARTMENT...

... selects its own faculty in cooperation with the dean of the college, whose approval is an essential first step in appointing a faculty member, and in accordance with the University's equal opportunity and affirmative action policies. A description of the position, P.R. form 16 (Exhibit I) should be filed with the Office of the Vice President for Academic Affairs as soon as it is known to be available. After choosing a candidate, the department submits an Appointment form to the President. All academic appointments (excluding student classifications, e.g., teaching associate, teaching assistant, research assistant, administrative fellow) must include the Summary of the Affirmative Action Process, P.R. form 17 (Exhibit II), completed and signed by the department head and the unit equal opportunity officer. For all appointments except student classifications, a Faculty Information Form, P.R. form 9 (Exhibit III) must be attached together with at least three letters of recommendation and other evidence of the candidate's fitness for the position such as research activities or publications in professional journals.

The Regular Appointment form (B.A. form 351) and all accompanying documents should be routed through the dean or administrative officer to Academic Personnel Records. Paragraph C lists the forms required and paragraph D tells how to complete the Appointment form.

Every appointment has to be approved by the President and the Board of Regents before it can become effective. A department therefore cannot indicate that an appointment is final, or give out any publicity regarding an appointment, until the Board of Regents has approved it.

Appointments and promotions to the rank of professor and associate professor require the concurring recommendation of the Dean of the Graduate School, in addition to the recommendation of the Vice President for Academic Affairs.

B. GETTING IN TOUCH WITH CANDIDATES

When a department begins to negotiate with a candidate for a vacant position, it sends the candidate the Faculty Information Form--Exhibit III. On this form, the candidate supplies personal information and indicates education, experience, and achievements.

The department may also send the candidate the Faculty Information Bulletin, available from University Relations.

Formal offers of appointment must be made by the dean's office.

C. REGULAR PAYROLL APPOINTMENTS

B.A. form 351 (Appointment--regular) must be submitted for all regular payroll appointments. This form is Exhibit IV to procedure 1-A-2. Pages 6-8 of that procedure tell you how to complete the form. Read this information carefully.

The personal information you need in order to fill out the form can be obtained mainly from the Faculty Information Form (see paragraph B). This form, dated and signed by the appointee, must be attached to the Appointment form when it is submitted, along with at least three letters of endorsement (original letters, not copies) and other evidence of the candidate's fitness.

Check with your college office to see how many copies of the letters of endorsement and Faculty Information Form are required. Be sure to attach the proper number of college credit transcripts, as requested on the Faculty Information Form.

Forms which must be completed and submitted with the Appointment:

1. Description of Available Academic Positions Form 16 (Exhibit I).
2. Summary of the Affirmative Action Process Form 17 (Exhibit II).
3. Faculty Information Form (Exhibit III). Include a transcript if a degree was completed within prior five years or if a degree is being completed. Appointments at the ranks of associate professor and professor should include a curriculum vitae and publications list.
4. Three letters of recommendation and, if available, other evidence of the candidate's fitness.
5. Notice of Appointment (B.A. form 352C--Exhibit IV).
6. Employees Withholding Exemption Certificate (B.A. form 416), stapled to the pink copy of the appointment.
7. Application for Faculty Group Insurance for eligible staff members (B.A. form 152F--Exhibit V).
8. University of Minnesota Ethnic Group Identification (President form 20), to be completed by the candidate.
9. Send Staff Directory Card directly to Development Services, 109 P&GA Office.
10. If employee does not have a Social Security card, send him/her to Payroll with birth certificate, or if foreign national, passport.

Note: Employee Benefits will contact new staff members regarding state-paid hospitalization and insurance.

Where to send the forms

Send the Appointment form (B.A. form 351) and related documents through the dean or administrative officer to Academic Personnel Records. Personnel Records refers all major appointments and those requiring affirmative action review to the Vice President for Academic Affairs. Complete the Appointment document as far in advance of the effective date as possible so that the appointee will be paid on the first payroll in which his/her term begins. The appointment must be on file in payroll two days before the beginning of the payroll period to assure payment in the payroll period in which the appointment begins.

D. HOW TO FILL OUT A REGULAR APPOINTMENT

Fill out the Regular Payroll Appointment Form in six copies. The first sheet on each new pad of forms is filled out with sample entries. This procedure gives you additional information on how to fill in specific items on the form. If you have further questions, please refer them to Academic Personnel Records.

1) NAME IN FULL--It is important that an employee's full name be entered here. The full name is the given, birth, and marriage names. A complete full name will guarantee that Social Security contributions go into the correct account. If the employee goes by a name other than a given name, enter it and underline it. This will insure that the paycheck is made out the way the employee will endorse it.

2) SOCIAL SECURITY NO.--Be complete and accurate. Ask to see the employee's card for positive verification. If employee doesn't have Social Security number, send employee to Payroll with birth certificate (if U.S. born) or passport (if foreign born).

3) STUDENT--For payroll purposes, check student status (Yes X) for classes under Instructor and Research Fellow level but indicate non-student for Instructor and Research Fellow. Where the form asks "Graduate work to be undertaken," indicate the graduate program if known, or Yes if unknown.

4) RANK AND TITLE--Rank as applied to faculty refers to academic classification (for example: Professor, Associate Professor, etc.). Title is the administrative designation given within the department (for example: Dean, Director, Chairman, Head). Faculty members may have both rank and administrative title. The one mentioned first on the appointment form determines what rights the employee has under the tenure regulations.

6) CLASSIFICATION NO.--Classification numbers for academic positions can be found in the Budget Index and Account Listing. The series is: Administrative 93XX, Instructional and Research Staff 94XX, Student Academic Classes 95XX, Agricultural Extension Assistants 96XX, and Miscellaneous 97XX. Faculty and graduate student classifications are:

9401--professor*	9407--research fellow*
9402--associate professor*	9501,2--teaching associate I,II
9403--assistant professor*	9511--teaching assistant I
9404--instructor*	9521--research assistant
9406--research associate*	9531,2--administrative fellow I,II

*Faculty ranks may be preceded by one of the following prefixes: Adjunct, Visiting, or Clinical. For use of these prefixes, see definitions for tenure identification symbols under 9) BASIC TERM.

7) PERIOD OF APPOINTMENT--Show the payroll date that the appointment begins, not the date that the staff member will begin teaching. For example, the beginning date of an appointment for winter quarter would be December 16, not January 1.

The date that the appointment will end depends on the appointee's rank and on whether his appointment is regular or non-regular. Example: the first regular appointment of an assistant professor is for two academic years, and instructors are appointed for one year. More complete information about the length of faculty appointments can be found in procedure 1-T-3.

8) ANNUAL FULL TIME BASE--Show how much salary the position requires (or would require) for a full time term year, not from the time of appointment to the end of the term.

For example: For an instructor appointed on December 16 to a B term position at a salary of $10,530 show the total basic salary as $10,530 not as $7,020 (6 x $1,170 a month).

9) BASIC TERM--The department must use the correct term for a new faculty member's appointment. If the appointee is replacing someone else, his term designation may be the same as the former faculty member's except where he may be assigned a "T" symbol showing that he is temporarily assigned to the position or that the position is temporary. Use the "T" symbol for instructors or research fellows who are registered in graduate school.

Three symbols are required for the basic term in the order in which they are listed below.

First is the--Appointment period symbols (Regular Payroll)

A--12 months
B--academic year (September 16-June 15)
C--special dates as noted
E--nine months (October 1-June 30)
G--nine and one-half months (September 1-June 15)
K--ten months (August 16-June 15)
M--nine months (September 1-May 31)

Second is the--Employment identification symbols (Regular Payroll)

P--those who have achieved indefinite tenure.
N--faculty on probationary appointment leading to a decision concerning tenure.
T--those holding non-regular appointments--this includes all non-faculty titles: lecturer; teaching/research specialist; faculty less than 67% time; faculty designated as visiting, adjunct, or clinical; faculty paid on funds which are limited in duration; and instructors and research fellows who are registered graduate students.
C--contract-special probationary or term contracts signed by employee and academic administrators and appended to the appointment. For more information call the Office of the Vice President for Academic Affairs.
E--special employment designation for administrative 93XX appointments only. These may also be "T."
R--those receiving retirement allowance only.

Third is the--Part-time symbol (Regular Payroll)

H--appointment is less than 100% time.
O--appointment is 100% time.

10) PERCENT OF FULL-TIME--This figure must be calculated according to the actual number of hours the staff member will serve in proportion to full-time. The percentage must conform to the actual salary and the salary base.

11) TERM CODE OF THIS APPOINTMENT--Show the complete term code: the appointment period symbol, tenure identification symbol, part-time symbol, and percent of full-time for this appointment. Examples: BTH50, which means a nine-month term, in a temporary position, working half-time; BN100, which means a nine-month term, in a probationary status leading to a tenure decision, at 100% time. Note that a complete term code has two letters and three digits.

12) ACTUAL SALARY--Show how much salary the faculty member will actually be paid from the time he/she starts until the end of his/her current period of appointment. You can find the actual salary for someone serving a complete term by multiplying the annual full-time salary base by the percent time. The actual salary for a faculty member serving less than a full term may be calculated by using the monthly salary rate times the number of months actually worked.

    For example: If a faculty member is hired December 16 on a B term appointment, the amount that will actually be paid for the six months should be shown. If the annual full-time salary base is at, say $11,610 (or $1,290 per month), the faculty member's actual salary would be $1,290 x 6 months or $7,740--if he/she works full time.

13) DATE--(the first two columns in the box at the center of the form). These dates will ordinarily be the same as the "Date from...through...." (see number 7 in this list of instructions) unless the percent of time served in any particular period differs or unless the salary is charged to different budgets for different periods.

14) ITEM--Ordinarily, replacements take the item number of the vacant position. However, if the item number of the vacant position has already been used during the current fiscal year for another classification, it's necessary to add a new item.

    The new items are assigned by using the next number following the last existing item number in your department (or subsection of a department). See your department's copies of annual printed budget pages to control item numbers and to place new positions in the proper sections of your department's budget.

    (Further information on item numbers will be in the Fiscal Section of the Business Procedures Manual.)

15) ACCOUNT NUMBERS, CLASS--(the next four columns in the box). Give your account numbers. The class number is the same as the "classification number" filled in above (see number 6 in this list).

16) TOTAL BASIC SALARY x PERCENT TIME--(the last column in the box). The result may or may not be the same as the Actual Salary. For a part-time faculty member, the result will show the total salary which would be paid <u>if</u> he/she were appointed for the full-term period.

17) SOURCE AND AMOUNT OF FUNDS BEING TRANSFERRED--A transfer of funds within your department may be necessary if you do not have enough funds in the item set up for the position which the appointee will fill. If you transfer funds from one item to another, note on the appointment form the 1) item and account number, 2) amount $. Tell where the funds came from and the amount being transferred. When necessary, a Transfer of Funds document must be completed and sent directly to the Payroll Department. Transfers are explained in the Fiscal Section of this manual.

18) BUDGET DESIGNATION of employment at the University immediately preceding this appointment--If the appointee has been teaching in your department, this information will be in your files. If the employee has been in another department, a phone call to that department should give you the information. (See paragraph L, "Changes in Status.")

The Appointment form must be signed by your department head and dean or administrative officer (if any), but do not fill out the lower right hand corner of the form. Your name, address of your department, and telephone extension should appear in the space "prepared by."

E. NOTICE OF APPOINTMENT--Academic and General Administrative Personnel

The University provides confirmation of appointment to all regular payroll academic employees about the type of appointment held and its terms and conditions. It is essential that at the time of appointment the faculty member understands the term, salary and tenure status and any special provisions which concern the appointment.

When completing academic Appointments and Changes in Status documents as post-budget actions, prepare a Notice of Appointment, B.A. form 352C, Exhibit IV. Notices should be forwarded to the dean of the college, or on campuses other than Minneapolis and St. Paul, to the provost's for authorized signature. The completed document should then be sent to the Academic Personnel Records Office for submission to the Vice President for Academic Affairs.

How to Complete the Notice of Appointment

1. NAME, HOME ADDRESS AND SOCIAL SECURITY NUMBER should be completed in the same order as listed on the Regular Appointment form.

2. TITLE--Indicate the complete position title and rank--for example: Professor and Head.

3. DEPARTMENT--Show the department in which the appointment is held.

4. COLLEGE--This is the main unit in which the department is located.

5. DEPARTMENT IN WHICH TENURE IS HELD--If the department in which tenure is held is the same as the department in which the appointment is held, write Same. If not, fill in the department in which tenure is held. If the individual has not achieved tenure, or is not on a tenure track, write None.

6. ANNUAL SALARY BASE--Show how much salary the position requires for full-time term year, not from the time of the appointment to the end of the term.

7. PER TERM--Three letter designations may be used for the complete term. Box 1--show the appointment period symbol which is appropriate; A--12 months, B--academic year (September 16-June 15), etc. Box 2--Tenure Identification symbol. Box 3--Part-time/full-time symbols. For explanation of letters see paragraph D, number 9 of this section.

8. a) TEMPORARY AUGMENTATION--This is an additional amount given while assuming administrative responsibility. The two figures, Annual Salary Base and Temporary Augmentation should be totaled and shown on the TOTAL line.

   b) Commutation allowances which are paid in lieu of professional fees to certain staff in the Health Sciences area must be noted. Indicate this and other special provisions which might apply to the appointment on the form in the area immediately below Period of Appointment.

9. PERIOD OF THE APPOINTMENT--Show the payroll date that the appointment begins, not the date that the staff member will begin teaching. For example, the date of an appointment for fall quarter would be September 16-December 15, winter quarter December 16-March 15, spring quarter March 16-June 15.

10. The document must be signed by the head of the department and the dean or administrative officer. Include your name and the date the document was completed.

F. PHYSICAL EXAMINATIONS ARE NECESSARY

Each individual must take a physical examination when he receives his first faculty appointment. Newly appointed instructors or assistant professors must take this examination during their first eight weeks of service.

Those individuals being considered for appointment to a rank carrying permanent tenure, must have taken a physical examination within the preceding six months. The results of the examination must be available before a dean or department head can recommend an appointment.

The President's Office will notify the staff member when he is required to take a physical. The staff member should then make an appointment directly with the Health Service by calling the Staff Physicals Department. Examinations are given without charge.

After the examination, the Health Service sends the results to the President's Office. It also sends the dean a memo stating that the examination has been completed.

G. GRADUATE SCHOOL APPOINTMENTS

If a department intends to have a new staff member teach courses for which graduate credit is to be given, the department head or dean must fill out either the Nomination to the Graduate Faculty form (G.S. form 74 Rev.--Exhibit VI) or Nomination to Limited Teaching Status (G.S. form 90--Exhibit VII) and submit the nomination to the Graduate School Dean. This may be forwarded at the time the appointment is made.

The appointee cannot teach graduate courses until the recommendation has been approved by the Dean.

H. SUMMER SESSION APPOINTMENTS

Procedures for appointing staff members who will teach during the Summer Session are different from those already described. For information call the Summer Session Office. (See paragraph I, procedure 3-P-1.)

I. CONTINUING EDUCATION AND EXTENSION APPOINTMENTS

Procedures for appointing staff members to teach or assist with credit courses in Continuing Education and Extension are handled through the Miscellaneous Payroll. These appointments must have the written approval of the department in which the credit is granted. Such appointments are initiated either in the department or in the dean's office according to your college's procedures.

J. PAYMENT FOR EXTRA SERVICES FOR UNIVERSITY AND NON-UNIVERSITY EMPLOYEES

Procedures for initiating payments for extra services are described in 3-B-1.3. Depending on the type of services, length of time, and the total payment amount, different methods are used.

K. MISCELLANEOUS PAYROLL APPOINTMENTS

B.A. form 323 (Exhibit V of procedure 1-A-2) is submitted to Academic Personnel Records for appointments to positions on the Miscellaneous Payroll. Most University departments submit three copies. Call your college office to find out how many copies to submit.

New Staff members on the Miscellaneous Payroll fill out the Withholding Tax Exemption Certificate. If employee does not have Social Security number, send employee to Payroll with birth certificate if U.S. born or passport if foreign born. Be sure to complete an Ethnic Group Identification (President form 20). The Staff Directory Card is filled out and sent directly to Central Mail List Services.

The instructions given under D (How to Fill Out a Regular Appointment) concerning name, employee number, classification number and other information called for on the regular appointment form also apply whenever this information is called for on the miscellaneous appointment form.

Appointments for less than one month should be on the Miscellaneous Payroll.

L. SALARY "FLOORS"

The salary to be paid a prospective faculty member is an individual matter which the department head and the individual agree upon, with the approval of the dean. But salaries for assistant professors (and research associates), instructors (and research fellows), research and teaching specialists, cannot go below the "floors" established each year.

The floors are announced in a letter sent out by the President's Office when budget preparation begins.

M. CHANGES IN STATUS

The Regular Change in Status form (B.A. form 496--Exhibit VI of procedure 1-A-2) should be sent in five copies to Personnel Records when you wish to make one of these changes:

* to adjust a faculty member's salary
* to adjust the percentage of time a faculty member works
* to change department or class or title (promotions in faculty rank and conferral of indefinite tenure require prior approval by the Vice President of Academic Affairs and action by the Board of Regents)
* to redistribute funds
* to continue appointment beyond the original termination date
* to change a name
* to correct an appointment document previously submitted

In the split upper part of the form, fill out the left side, "Present Appointment" section completely. In the right side, "Proposed Appointment" half, fill in only those entries that are being changed.

Information called for on the form is similar to that called for on the Regular Appointment form, explained under paragraph D.

If the percent of time varies, make a separate distribution of the time and indicate the periods during which it varies. If the change will make the faculty member eligible for the Insurance Plan, the applications should be attached to B.A. form 152A--Application for Faculty Group Insurance.

A physical examination must be taken and the results available before a decision is made on promotion to a rank granting indefinite tenure. See paragraph "F."

Be sure to fill in the "reason for change," which your department head should give you. The Change in Status form must be signed by the department head and the dean or administrative officer. The change cannot become fully effective until approved by the President and the Board of Regents.

Temporary reductions in the percent of time that a staff member serves may best be handled in some cases by submitting a part-time leave of absence. (See procedure 1-L-2.)

<u>Miscellaneous payroll changes</u>

For changes in status on the Miscellaneous Payroll, send three copies of the Miscellaneous Change in Status (B.A. form 327--Exhibit VII to procedure 1-A-2) to Academic Personnel Records. Fill in all of the left-hand side of the split upper section of the form, but only the changed entries on the right-hand side. The form must be signed by your department head and dean or administrative officer.

N. FACULTY MEMBERS PERFORMING OUTSIDE SERVICES...

...are required to obtain administrative approval before making any commitments. Outside services include research or testing (regardless of whether University facilities are used or not). Consulting services include professional or advisory services to local or national agencies, groups, etc. Permission to perform outside work is requested on B.A. form 39--Request for Permit for Outside Work (Exhibit IX). This form is submitted by the dean to the Assistant Vice President for Business Administration. Questions concerning the outside work policy may be directed to the Assistant Vice President for Business Administration.

Permission to perform outside consulting or service is requested on B.A. form 14--Request for Consultant or Outside Service Agreement (Exhibit X) prior to initiation of the service. While policies regarding consulting are published in the Faculty Information Bulletin, questions concerning the policy may be directed to the Office of the Vice President for Academic Affairs.

University of Minnesota
President Form 16 (Revised 2/77)
(S91373)

EXHIBIT I

Original
Academic Affairs **INDEX I-A-3**

DESCRIPTION OF AVAILABLE ACADEMIC POSITION AT THE UNIVERSITY OF MINNESOTA

This action is required pursuant to federal and University of Minnesota regulations of Equal Opportunity. This form is to be completed for all available academic positions. **The original and duplicate for the Affirmative Action Office are to be forwarded to the Vice President for Academic Affairs** (217 Morrill Hall 373-2449) **prior to** instituting the recruiting and selection procedures.

Department ______________________ (Name and Number) College ______________________ Campus ______________________ (U of M)

Type of Position:

Faculty
- ☐ Professor
- ☐ Associate Professor
- ☐ Assistant Professor
- ☐ Research Associate
- ☐ Instructor
- ☐ Research Fellow

Instructional and Research Support Staff:
- ☐ Lecturer
- ☐ Research Specialist
- ☐ Teaching Specialist

Administrative:

____
(93XX series title)

Type of Appointment:

- ☐ Probationary or tenure faculty appointment
- ☐ Non-regular term (annual) appointment
- ☐ Special contract terms
- ☐ E appointment (93XX series only)

Brief description of teaching, research, development and/or administrative responsibilities:

Minimum Academic Preparation ______________________ Desired Academic Preparation ______________________

Minimum Experience ______________________ Desired Experience ______________________

Salary Range ______________________ Term and percent time of appointment ______________________

Beginning Date of Appointment ______________________

Dates for Recruiting: From ______________ To ______________ Last day for receipt of application: ______________

Specify the search procedures to be utilized by the search committee in locating qualified candidates (e.g., advertising, professional associations):

SAMPLE
7-1-77

Person to whom application should be made:

Name ______________________

Department ______________________

Room No. & Bldg. ______________________

Telephone No. ______________________

____
Recommended-Department Head — Date

____
Unit Equal Opportunity Officer — Date

____
Approved-Dean or Admin. Office — Date

(DO NOT WRITE BELOW THIS LINE)

REVIEWED BY: ______________________ **POSITION DESCRIPTION NO:** ______________________

University of Minnesota
President Form 17 (Revised 6/74)
S-91374—181-(1)
12-75—4500

EXHIBIT II INDEX I-A-3 Original Academic Administration

SUMMARY OF THE AFFIRMATIVE ACTION PROCESS ASSURING EQUAL EMPLOYMENT OPPORTUNITY IN ACADEMIC APPOINTMENTS

This action is required pursuant to federal and University of Minnesota regulations on Equal Opportunity. This form is *be completed by the department head and unit Equal Opportunity Officer and must accompany all academic appointment papers.* (Use back, or extra sheet, if necessary)

Department ____________ Name of Candidate ____________ Position ____________

A. SEARCH PROCEDURE

1. **Search Committee:**

	Race	Sex
Appointed by: ____________	____	____
Members: ____________	____	____
____________	____	____
____________	____	____
____________	____	____

2. If no Search Committee, indicate selection process:

3. Female and minority candidates were sought by: (answer in detail)

   Advertisements?

   Contacting professional organizations?

   Other?

B. RESULTS OF SEARCH AND SELECTION PROCESS:

1. **Pool of applicants:**

White	*Black*	*Hispanic*	*Asian*	*Amer. Indian*	*Unknown*	*Total*
M___ F___	M___ F___	M___ F___	M___ F___	M___ F___	M___ F___	M___ F___

2. **Seriously considered:** (interviewed)

White	*Black*	*Hispanic*	*Asian*	*Amer. Indian*	*Unknown*	*Total*
M___ F___	M___ F___	M___ F___	M___ F___	M___ F___	M___ F___	M___ F___

3. **Individual selected:**

White	*Black*	*Hispanic*	*Asian*	*Amer. Indian*	*Unknown*	*Total*
M___ F___	M___ F___	M___ F___	M___ F___	M___ F___	M___ F___	M___ F___

C. If candidate selected was white male, give reasons for non-selection of each female and minority candidate **seriously** considered:

D. If position was offered to female or minority candidate who declined, state reasons given:

SAMPLE
7-1-77

I hereby certify that this individual has been nominated for appointment in accordance with University Equal Opportunity and Affirmative Action policies.

Department Head ____________ Unit Equal Opportunity Officer ____________

(Do not write below this line)

Reviewed: ____________ Date: ____________

EXHIBIT III

INDEX I-A-3

President Form 9 (O)
S91300

UNIVERSITY OF MINNESOTA

OFFICE OF THE PRESIDENT

Faculty Information Form

BIOGRAPHICAL AND EDUCATIONAL INFORMATION

Social Security No. ______________

Name: ______________________________ Sex: Male____ Female____
last first middle

____

Present address: ______________________________
street and number city state zip code

Permanent address: ______________________________
street and number city state zip code

Date of birth: ______________________ ______________________
month day year

Citizenship: ____United States ____Resident Alien ____Non-immigrant visa

Previous employment:

Please list all positions held in **educational institutions,** beginning with your present position. For teaching positions indicate subjects taught under "Type of Work." Indicate summer employment by an * and part-time employment by a **.

Name and Location of Employer	Dates From To	Type of Work	Rank	Salary

Please list all positions held within the past **five** years in **other institutions or agencies.** Indicate summer employment by an * and part-time employment by a **. (Note: Feel free to indicate other significant positions that you regard as important professional experiences.)

Name and Location of Institution	Dates From To	Type of Work	Salary

SAMPLE
7-1-77

(NOTE: This is only the first page of a six page form.)

EXHIBIT III CONT

Educational history:

Please list name and location of high school attended and year of graduation:

name	location	year

Please list colleges and universities attended, beginning with the one first attended.

Name and Location of Institution	Dates From To	Major(s)	Degree	Year Conferred

Undergraduate honors: Please list honors and awards received as an undergraduate student.

Nature of Honor or Award	Institution or Organization Conferring Award

Graduate and/or professional honors: Please list honors and awards received as a graduate and/or professional student. (Note: Honors and awards received since you obtained your doctorate degree are to be listed on page five.)

Nature of Honor or Award	Institution or Organization Conferring Award

Courses best qualified to teach: Please list specific types of courses you feel you are qualified to teach.

SAMPLE
7-1-77

EXHIBIT III CONT

Languages: Please list below those languages, other than English, in which you have competence and indicate each type of competency by writing the appropriate code number(s) after each language. (Note: If you have no language competency other than English, please write NONE.)

Codes

1. Can serve as an interpreter
2. Can lecture in the language
3. Can use the language in general conversation
4. Can translate English publications into the language
5. Can translate publications in the language into English
6. Can read a newspaper in the language
7. Present competency in the language limited, but could be regained with some review

Language	Code Number(s)	Language	Code Number(s)

Military record: Please list your military record.

Transcripts:

Scholastic record: Please attach transcript(s) of your scholastic record (to be submitted only by those who have received a baccalaureate, graduate or professional degree within the past five years or are in the process of completing a graduate or professional degree).

SAMPLE
7-1-77

Publications:

Please attach your bibliography.

EXHIBIT III CONT

PROFESSIONAL INFORMATION, SPECIAL ACTIVITIES AND RECOGNITION

Professional organizations and honor societies: Please list below the organizations in which you are now a member and indicate offices held.

Name	Offices Held	Year

Community organizations: Please list below the organizations (e.g., service clubs, fraternal or veteran groups, PTA, Community Chest, etc.) in which you are now a member and indicate offices held.

Name	Offices Held	Year

Special professional activities:

Please list agencies, committees, and advisory groups with which you were active during the **past** academic year. (Note: Include agencies, committees, and advisory groups sponsored by both governmental and non-governmental agencies at the local, state, national, and international level.)

Name of Committee	Sponsoring Agency

SAMPLE
7-1-77

Please list "invitational conferences, symposia, etc." that you participated in during the **past** academic year. (Note: List only those in which you were a program participant or which you helped plan.)

Conference or Activity	Nature of Participation	Sponsoring Agency

EXHIBIT 111 CONT

Post-doctoral honors and awards: Please list honors and awards received since you obtained your doctorate degree (e.g., post-doctoral fellowship, honorary degrees, etc.).

Nature of Honor or Award	Year Awarded	Institute or Organization Conferring Award

Biographical references: Please list references in which your biography appears.

Residence and travel outside of the United States:

Residence: Please list below the countries in which you have resided for at least three months during the past five years.

Country	Year	Length of Residence in Months	Reason for Residency

Other countries with which you are familiar: Please list the country and indicate source of familiarity. (Note: If you are well acquainted with the country but could not list it in the section above, please use the space below to list the country and source of familiarity; e.g., military service, place of birth, residence more than five years ago, study, etc.)

Country or Region	Year	Length of Residence in Months	Source of Familiarity

SAMPLE
7-1-77

EXHIBIT III CONT

Research Interests: Please define and list briefly your special research interests, include projects currently in progress and those merely contemplated; if these research interests have any international or foreign area focus, please indicate this (i.e., comparative demographic studies on the relationship of migration and economic development; foreign area focus: Europe, Latin America).

Description of Research Interests	International or Foreign Area Focus (i.e., global, Latin American, Antarctic, etc.)

References: Please list five references to whom letters of further inquiry may be sent. (Note: It is the responsibility of the department head to obtain and attach no less than three references prior to the submission of this blank.)

Name	Address

SAMPLE
7-1-77

General remarks: Please list any additional information that you consider important.

Date

Signature

EXHIBIT IV

UNIVERSITY OF MINNESOTA
BUSINESS ADM. FORM 352C
8M—5-73—(O)

NOTICE OF APPOINTMENT

Academic and General Administrative Personnel

INDEX 1-A-3

1—Appointee
2—Acad. Pers. Records
3—Department
4—College
5—Vice President

Instructions: This form is to be completed by the department and is to accompany all non-student academic appointments and changes in status. Notices for staff who are appointed on the printed budget must be sent forward with the printed budget worksheets.

Name: Caroline P. Sweeneys **Social Security Number** 046-21-1250

Home Address: 86 Seymour Ave. S.E. Minneapolis, Minnesota 55414

It is a pleasure to advise you that the Board of Regents confirms your status in the academic staff as follows:*

Title: Associate Professor & Head **Department:** School of Chemistry

College: Institute of Technology **Department Where Tenure is Held:** (If untenured, write none) School of Chemistry

Annual Salary Base: $ 23,250 Per term (1 2 3***) A P O

Temporary Augmentation: $ 1,200

Total: $ 24,450

****Period of Appointment:** from 7/1/73 to 6/30/74 for 1 0 0 per cent of time

The academic year ("B" Term) is September 16-June 15. Full payment of salary for this term shall be made in 18 equal semi-monthly paychecks. The academic staff member is required to be available to render services as directed by his department head during the entire "B" Term, September 16-June 15. However, a staff member may be released from further duty at any time after Spring Commencement, for the purpose of rendering service in the first term of Summer Session, a summer institute or other program on which the starting date conflicts with the academic year, if the department head considers the academic year responsibilities of the staff member to be complete. No pay adjustment will be made in such cases.

* Subject where applicable to satisfactory completion of the physical examination prescribed by the Board of Regents.
** All T appointments on research contracts or special funds are subject to availability of funds and need for continuance of the position.
*** Appointment term designations are as follows:

1 — Appointment Period Symbols

A—12 months
B—Acad. year (Sept. 16-June 15)
C—Special dates as noted
D—Six months (Oct. 1-March 31)
E—Nine months (Oct. 1-June 30)
F—Seven months (Sept. 16-Apr. 15)
G—Nine and one-half months (Sept. 1-June 15)
K—Ten months (Aug. 16-June 15)
M—Nine months (Sept. 1-May 31)

2 — Tenure Identification Symbols

P—Persons with tenure
C—Contract—Special Contracts
T—Temporary or non-regular
N—Probationary period toward tenure
E—Special Employment
R—Retired Persons receiving retirement allowances only

3 — Part-time Full-time Symbols

H—Appointment is less than 100 percent time
O—Appointment is 100 percent time

Vacation: Members of the academic staff on regular payroll on A base full-time appointments are entitled to annual vacation of one calendar month (i.e. 22 working days) each year, with pay. General Administrative Officers, Deans and Directors are entitled to at least one calendar month.

Tenure: For regulations governing tenure see special pamphlet, *University of Minnesota Regulations Concerning Faculty Tenure* (Revised July 9, 1970).

Staff Insurance and Retirement Benefits—Please see reverse side of this form.

Prepared By Susan Anderson	6/12 Date	Approved—Vice President	
Recommended: Head of Department	Date	Approved—President	
Approved: Dean Administrative Officer	Date		

SAMPLE
7-1-77

STAFF INSURANCE AND RETIREMENT BENEFITS

Group Insurance: Full-time members of the academic staff (including AT or BT appointees) of the rank of instructor or research fellow or above (not including lecturers and "visiting" appointees) serving not less than nine months during the academic year are eligible for and covered by the following group programs:

Group Life and Disability Insurance.
Group Income Disability Insurance.
Both coverages are without cost to the academic staff member and are effective on the first date of pay.

Retirement: Opportunity to participate in the Faculty Retirement Plan will be given to each academic staff member covered by the above group insurance at the completion of a specified waiting period.

Social Security: Full-time members of the teaching and research staff of the rank of assistant instructor and above (including lecturer and "visiting" appointees) are required at once to have payroll deductions made for Federal Social Security. This includes full-time "T" appointees. (D and F appointee members in the Minnesota State Retirement System (MSRS) are also covered by Federal Social Security.)

Hospitalization:
Surgical-Medical-Obstetrical:
Major Medical:
Basic Life Insurance:

A staff member holding an appointment of not less than 75 per cent time is eligible to receive his own health benefits and his own basic life insurance without cost; any requested premium for dependent health benefit coverage would be paid by the staff member through payroll deduction.

A newly appointed or newly eligible staff member's coverage (including dependent coverages, if any) shall become effective on the first day of the first payroll period beginning on or after the 28th day following the first day of eligible employment.

(Individuals who do not make application for dependent coverage within two months after their date of eligible employment may insure such dependents only by furnishing satisfactory evidence of good health.)

EXHIBIT V INDEX I-A-3

UNIVERSITY OF MINNESOTA BUSINESS ADM. FORM 152 F 9-76 (177) S-91620	APPLICATION FOR FACULTY GROUP INSURANCE	APPLICATION NUMBER

Instructions: Applications on this form in triplicate typewritten must accompany the regular appointment form (President's Form No. 2) for all staff members eligible.

Eligibility: Full-time members of the staff of the rank of Instructor or Research Fellow and above (not including Lecturers) and the holders of such other positions as the Regents may designate, are eligible with coverage to begin on the first date of pay.

Amounts of Coverage:
1. $20,000 Group Life Insurance.
2. Group Income Disability Insurance — a monthly income disability not to exceed 60% of salary and not to exceed $1,000 per month.

Cost: Without cost to the eligible staff member.

My full name is __________ Sex — Male ☐ Female ☐
Last First Middle

I was born (place of birth) __________ Date of birth __________
Month Day Year

My appointment becomes effective __________ Employee No. __________

as __________ Social Security No. __________
Rank or title

in __________ Department No. __________
Department College

I hereby apply for the amount of insurance to which I am entitled under the University plan of group insurance with The Minnesota Mutual Life Insurance Company of St. Paul, Minnesota and the Northwestern National Life Insurance Company of Minneapolis, Minnesota and direct that my policy of Group Life Insurance be made payable to the following beneficiary or beneficiaries:

(Full names of beneficiaries such as "Grace Marie Smith" not "Mrs. John H. Smith" and "William H. Jones" not "W. H. Jones" should be used.)

Individuals related and not related and (or) institutions, educational, religious, or charitable, may be named as beneficiaries.

Beneficiary and Relationship

If living, otherwise (If you wish to name your child or children as secondary beneficiaries, simply insert "To children equally" below)

(The word "children," as used herein shall be construed to refer to the persons, who, by written evidence satisfactory to the Insurers, appear to be the lawful children living at the time concerned; reference is to the first generation only.)

Date __________ 19____

SAMPLE
7-1-77

__________ Witness

__________ Signature of Applicant

Recommended

__________ Dean or Department Head

Approved

__________ Director of Insurance and Retirement

For Insurance Company's Use Only

CERTIFICATE NO.	AGE	AMOUNT OF INSURANCE	EFFECTIVE DATE	PREMIUM CHARGE

UNIVERSITY OF MINNESOTA
GRADUATE SCHOOL **Nomination to the Graduate Faculty**

Graduate School use only
Rec'd: **Inactive:**

Other appointments

PLEASE SUBMIT NOMINATIONS IN ACCORDANCE WITH ARTICLE III, SECTION 2.~ OF THE GRADUATE SCHOOL CONSTITUTION (see reverse side). REFER, /), TO THE ADDITIONAL CRITERIA FOR GRADUATE FACULTY MEMBERSHIP WHICH HAVE BEEN ESTABLISHED BY THE POLICY AND REVIEW COUNCIL UPON WHICH YOUR PROGRAM IS REPRESENTED. NO ITEM SHOULD BE LEFT BLANK. IF APPROPRIATE, INDICATE "NONE," "NONAPPLICABLE," OR "SEE ATTACHED." PLEASE RETURN FORM TO ROOM 415 JOHNSTON HALL.

1. Name (last) (first) (middle)	2. Date of birth	3. Sex ☐ F ☐ M

4. Department (budgetary)	College	Campus mailing address	5. Academic rank

6. Major field of this nomination	7. Nominee's area(s) of specialization within the major field of nomination (e.g., Elizabethan drama)

8. Education, including college, professional school, and foreign study

Name of institution	Dates attended	Degree — year	Major field of highest degree

9. Previous academic appointments at the University of Minnesota or elsewhere

Name of institution	Rank	Dates

10. Previous appointments to the graduate faculty and/or to limited teaching status: ____ Yes ____ No
Status: Major field:

SAMPLE
7-1-77

11. If this nomination is for a limited period, indicate the termination date: ______________ .

12. Advising experience here or elsewhere (co-adviser, major adviser, etc.). Indicate degree level and number of advisees.

GS 74 (REV. 9/76)

NOMINATION FORM CONTINUED ON REVERSE SIDE

13. Publications, research (exhibits, productions, etc.). Specify work published and work accepted for publication (since last nomination, if previously appointed). Identify refereed publications. Distinguish among books, chapters in books, review articles, abstracts, etc. Give co-authors, title, volume, number, inclusive pages, dates.

14. Nominee's anticipated role in the graduate program: ____advising; ____ examining; ____teaching.

15. Proposed appointment (check one)

___ Associate Membership: to teach graduate level courses, serve on examining committees, advise candidates for the master's degree, and co-chair doctoral programs with a full member of the graduate faculty.

___ Full Membership: to teach graduate level courses, serve on examining committees, and advise master's and doctoral candidates.

___ Examining Membership (E): to teach graduate level courses and serve on examining committees but not as adviser. NOTE: Examining membership is an option available only to programs which have been authorized to use it by the appropriate Policy and Review Council. It is not intended as a preliminary step to associate membership.

16. A letter of transmittal which indicates the VOTE of graduate faculty members eligible to make nomination at the level specified in item 15 (or of a duly designated committee representative of such members) and which SUMMARIZES THE VIEWS expressed about the nominee's qualifications must be attached to this nomination.

Signed (Nominator) ______________________________ ______________
(Signature) (Date)

Signed (Director of Graduate Studies) ______________________________ ______________
(Signature) (Date)

Signed (for the Policy and Review Council). For ___ Associate; ___ Full; ___ E Membership

______________________________ ______________
(Signature) (Date)

Signed (for the Graduate School). For _____ Associate; ____ Full; ____ E Membership

______________________________ ______________
(Signature) (Date)

Graduate School Constitution, Article III, Section 2.c, Nominations and Appointments

A member of the University faculty may be nominated for associate or full membership in the faculty of the Graduate School, to serve in a designated graduate program, by any persons who hold membership status in the faculty of that program equal to or higher than that for which the individual is nominated. The nomination shall be submitted to the appropriate Director of Graduate Studies. The Director of Graduate Studies shall submit it for review to the members of the faculty of the graduate program eligible to [illegible] a nomination to that status, or to a committee representative of those members designated for the purpose, shall after their review attach to the nomination the vote of the members of the faculty or the committee with a summary of the views expressed about the nominee's qualifications, and shall forward these materials with appropriate documentation concerning the nominee's teaching, advising, research, and service to the Graduate School for submission to the appropriate Policy and Review Council. The Council shall review the nomination and forward the file with its recommendation to the Dean, who shall decide whether to grant a status in the graduate faculty.

UNIVERSITY OF MINNESOTA
GRADUATE SCHOOL

Nomination to Limited Teaching Status

Graduate School use only
Rec'd: **Inactive:**

Other appointments

PLEASE SUBMIT NOMINATIONS IN ACCORDANCE WITH ARTICLE III, SECTION OF THE GRADUATE SCHOOL CONSTITUTION (see reverse side). REFER, ALSO, J THE ADDITIONAL CRITERIA FOR LIMITED TEACHING STATUS WHICH HAVE BEEN ESTABLISHED BY THE POLICY AND REVIEW COUNCIL UPON WHICH YOUR PROGRAM IS REPRESENTED. NO ITEM SHOULD BE LEFT BLANK. IF APPROPRIATE, INDICATE "NONE," "NONAPPLICABLE," OR "SEE ATTACHED." PLEASE RETURN FORM TO ROOM 415 JOHNSTON HALL.

1. Name (last) (first) (middle)

2. Date of birth

3. Sex ☐ F ☐ M

4. Department (budgetary)

College

Campus mailing address

5. Academic rank

6. Major field of this nomination

7. Nominee's area(s) of specialization within the major field of nomination (e.g., Elizabethan drama)

8. Education, including college, professional school, and foreign study

Name of institution	Dates attended	Degree -- year	Major field of highest degree

9. If the nominee is a graduate student, indicate the institution and the candidate's progress in the degree program (e.g., all but dissertation; if other, please specify).

10. Previous academic appointments at the University of Minnesota or elsewhere

Name of institution	Rank	Dates
	SAMPLE 7-1-77	

Previous appointments to the graduate faculty and/or to limited teaching status: ____Yes ____ No
Status: Major field:

GS 90 (9/76)

NOMINATION FORM CONTINUED ON REVERSE SIDE

12. Publications, research (exhibits, productions, etc.). Specify work published and work accepted for publication (since last nomination, if previously appointed). Identify refereed publications. Distinguish among books, chapters in books, review articles, abstracts, etc. Give co-authors, title, volume, number, inclusive pages, dates.

13. Graduate courses appointee will teach (departmental designation, number, and title): Quarter, Year:

This appointment will terminate following completion of the last term listed above.

14. NOTE: Individual Policy and Review Councils may require that supplementary documents be attached to this nomination form. Directors of Graduate Studies are asked to review the criteria established by the Council upon which their program is represented to determine if additional materials must be enclosed.

Signed (Director of Graduate Studies) ______________________ ____________

(Signature) (Date)

Signed (for the Policy and Review Council). For limited teaching status to terminate as of ______________.

______________________ ____________

(Signature) (Date)

Signed (for the Graduate School). For limited teaching status to terminate as of ______________.

______________________ ____________

(Signature) (Date)

Graduate School Constitution, Article III, Section 3, Limited Teaching Status

Limited authorization may be given on a temporary basis to teach one or more graduate courses or parts of courses. The term of such limited teaching status shall in each case be stipulated, and it shall not constitute membership in the faculty of the Graduate School. In order to obtain such authorization an individual shall be recommended, with supporting documentation, to the appropriate Policy and Review Council by the Director of Graduate Studies of the nominee's program after such consultation with members of the graduate faculty of that program as it may prescribe. Further review shall be conducted by the Policy and Review Council, which shall make recommendations to the Dean for his action.

INDEX I-A-3

EXHIBIT VIII

Original
Academic Administration

SUMMARY OF THE AFFIRMATIVE ACTION PROCESS ASSURING EQUAL EMPLOYMENT OPPORTUNITY IN ACADEMIC APPOINTMENTS

This action is required pursuant to federal and University of Minnesota regulations on Equal Opportunity. This form is *to be completed by the department head and unit Equal Opportunity Officer and must accompany all academic appointment papers.* (Use back, or extra sheet, if necessary)

Department ____________ Name of Candidate ____________ Position ____________

A. SEARCH PROCEDURE

1. **Search Committee:**

	Race	Sex
Appointed by: ____________	____	____
Members: ____________	____	____
____________	____	____
____________	____	____
____________	____	____

2. If no Search Committee, indicate selection process:

3. Female and minority candidates were sought by: (answer in detail)

   Advertisements?

   Contacting professional organizations?

   Other?

B. RESULTS OF SEARCH AND SELECTION PROCESS:

1. **Pool of applicants:**

White	*Black*	*Amer. Indian*	*Span-Surname*	*Asian-Amer*	*Other*	*Total*
M___ F___	M___ F___	M___ F___	M___ F___	M___ F___	M___ F___	M___ F___

2. **Seriously considered:** (interviewed)

White	*Black*	*Amer. Indian*	*Span-Surname*	*Asian-Amer*	*Other*	*Total*
M___ F___	M___ F___	M___ F___	M___ F___	M___ F___	M___ F___	M___ F___

3. **Individual selected:**

White	*Black*	*Amer. Indian*	*Span-Surname*	*Asian-Amer*	*Other*	*Total*
M___ F___	M___ F___	M___ F___	M___ F___	M___ F___	M___ F___	M___ F___

C. If candidate selected was white male, give reasons for non-selection of each female and minority candidate seriously considered:

D. If position was offered to female or minority candidate who declined, state reasons given:

SAMPLE
7-1-75

I hereby certify that this individual has been nominated for appointment in accordance with University Equal Opportunity and Affirmative Action policies.

____________ Department Head

____________ Unit Equal Opportunity Officer

(Do not write below this line)

Reviewed: ____________ Date: ____________

UNIVERSITY OF MINNESOTA
Bus. Admin. Form 39
4-66-3M

REQUEST FOR PERMIT FOR OUTSIDE WORK

Original for Bursar
NO.

Instructions for Use: Prepare this form in triplicate, signed by the applicant, the head of the department, and the dean. Forward to the controller. The original and triplicate will be numbered and returned to the applicant. Upon completion of the work the original copy should be sent with remittance by the applicant to the bursar.

Date:

For

(Name of person or firm for whom work is to be done)

Address

Nature of service

Date to be completed

University equipment required (List)

University supplies required (List major items and cost)

Service to be performed by (Indicate name, position and time required)

Total charge for service $

Percentage to be credited to Dept.__________ Budget__________ ______% amount $

The applicant, head of department and dean in submitting and approving this application agree that the outside work requested may and will be performed without violating the "Restrictions on the political and professional activities of members of the academic and administrative staffs" (Laws and Regulations 1931, University of Minnesota, page 232).

Requested

SAMPLE
7-1-77

proved

Dean

Recommended for approval

Head of Department

Approved

Controller

EXHIBIT X INDEX I-A-3

University of Minnesota President Form 14 (1-77)	REQUEST FOR CONSULTANT OR OUTSIDE SERVICE AGREEMENT	ORIGINAL for President

Instructions for use: This form should be used to request advance approval of all consultantship arrangements. Approval, unless otherwise indicated, covers the current fiscal year only. If exclusively on campus using University equipment, the Request for Permit for Outside Work (B.A. Form 39) should be submitted.

Name Rank or title

Department College

Basic University Salary per term (A, B, or E) Per cent time

Consultant to, or services for

(NAME OF PERSON, AGENCY, ORGANIZATION, COMPANY, ETC.)

Address

Nature of services

Check anticipated compensation:

___ None
___ Expenses only
___ Compensation in excess of expenses

Period of services: Beginning Date— Terminal date, if any—

What time will be involved (indicate commitment by number of days per month)

On the campus

Off the campus

University equipment or supplies involved (list)

Do you contemplate signing a patent agreement under this consultantship?

Present consultantships (those now in effect)—Indicate commitment by number of days per month and beginning and ending dates.

SAMPLE
7-1-77

Requested—Staff Member	Date	Approved—President	Date
Recommended—Head of Department	Date	Approved—Board of Regents	Date
Recommended—Dean or Admin. Officer	Date		

APPOINTMENT (Student)

A. APPOINTMENTS GIVE AID TO STUDENTS

A large number of graduate and undergraduate students receive help in financing their education through appointments in University departments. This assistance may be given in one or more of the following ways:

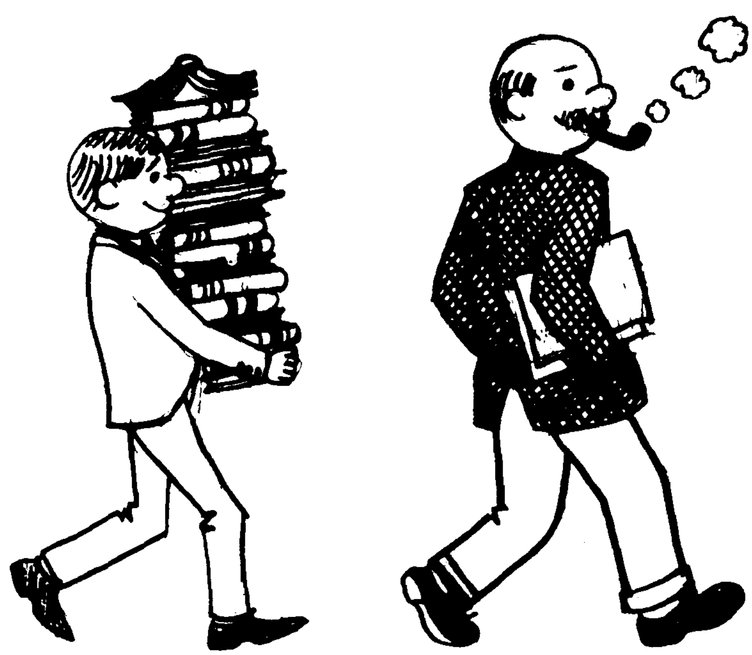
<u>Part-time Civil Service appointments</u> (see paragraph B).

<u>Assistantships</u>, both graduate and undergraduate, pay students for their assistance in teaching or research. A majority of these awards go to graduate students (see paragraphs C and D).

<u>Fellowships</u> may or may not require the student's service in return for compensation. Usually, these awards are given to graduate students (see paragraphs E and F for more information).

<u>Scholarships and grants</u> are primarily awards to undergraduate students. However, some are also available to graduate students. For example, some awards equivalent to graduate non-service fellowships are also called scholarships (paragraph G gives further information).

Foreign students appointed to academic assistantships must clear with the Foreign Student Adviser's Office. You cannot employ a foreign student for any other kind of work unless he has the permission of the U.S. Immigration Service or the Foreign Student Adviser (see paragraph H).



B. NON-ACADEMIC JOBS FOR STUDENTS

Departments list with the Student Employment Service all part-time openings except those for graduate academic positions. These may be listed also if departments want help in recruiting. Applicants are recruited, interviewed, certified and referred to departments by the Student Employment Service.

You can telephone your requests for students to fill jobs that require no special skills or experience. Those job classifications are listed on the back of the Student Employment Requisition.

Send a Student Employment Requisition (B.A. form 464 Rev.--exhibit I) to the Student Employment Service if you are requesting approval of any classification not listed on the back of the Requisition. The job will be reviewed and classified the same as full time staff positions (see procedure 1-C-1).

The Service refers students

When the Student Employment Service receives a Student Employment Requisition or a phone call requesting applications, and the job has been classified, the job will be posted as required by the University's policy on non-discrimination and equal employment opportunity. All jobs must be posted for a minimum of three days or have a minimum of five applicants for referral and consideration before the posting is removed from the official bulletin boards of the Student Employment Service. The department is limited in its choice to students certified by the Service.

Students who apply directly to departments for work should be sent to the Student Employment Service to apply. If a department has a vacancy and wishes to recommend a particular student with specialized skills, he/she will be considered for referral along with other students. Departments must not make definite commitments to students who have not been certified by the Student Employment Service. In no case will students from other schools or colleges be certified as long as qualified University of Minnesota students are available.

Payroll appointments

Except for graduate academic appointments, all students are appointed to the miscellaneous, the daily report, or the Hospital bi-weekly payroll, always at an hourly rate. This procedure is followed:

The Student Employment Service fills out the referral section of the Student Payroll Document (B.A. form 349 Rev.--exhibit II).

The student takes all three copies of the Payroll Document to the department that has the part-time job opening.

If your department accepts the student, follow the instructions on the form.

Complete the upper half of the Payroll Document and check to make sure an authorized signature appears in the left hand corner. Then, either release the payroll (white) copy of the document directly to the Miscellaneous Payroll Department or send all copies together with a completed Employer's Withholding Exemption Certificate and an Ethnic Group Identification (President form 20) to Student Employment. After final approval and processing, the document is sent to Personnel Records. They will retain one copy, send one to Payroll, and one will be returned to your department for its records. Do not use the Regular or Miscellaneous Appointment forms for any student employees except graduate assistants.

The new student employee may be included on your next departmental payroll provided you have received your copy of the Student Payroll Document from Personnel Records.

If any dean's or administrative office desires a copy of the student appointment for its records, a copy may be made by the department when the student appointment section is typed. This copy should be forwarded directly to the dean's or administrative office.

<u>Three exceptions</u>

1. After completing the <u>College Work-Study</u> payroll document, sign and return <u>all copies</u> to work study, 105 Armory.

2. Graduate academic appointments on the <u>College Work-Study Program and Foreign Student Work Opportunity Program</u> are made by using the Student Payroll Document form issued by the Student Employment Service rather than by using the appointment form initiated by the department.

3. If it becomes necessary to hire a <u>student who attends high school or a college other than the University of Minnesota</u> (permitted only if Student Employment Service reports a qualified University of Minnesota student is unavailable), the department must appoint him/her as a non-student by using the Miscellaneous Appointment form. First, however, the person must be certified and referred by the Student Employment Service. The non-student appointment is used because Social Security and Unemployment Compensation coverage is required for all University employees except our own students. However, the student employee does <u>not</u> contribute to the Minnesota State Retirement System.

C. ASSISTANTSHIPS

Teaching and research assistantships, like fellowships and scholarships, are regarded as financial aids for students and as valuable education experience. Students appointed to assistantships receive compensation in return for their services.

Graduate assistants may hold appointments for up to 75 percent time; they may not be employed for more than 75 percent time during any academic quarter unless the Dean of the Graduate School gives approval. (See paragraph D.) Graduate assistants may work 100 percent time during the summer with no prior approval needed.

Schedules of the current rates of pay for graduate and undergraduate assistants are announced in a letter sent out by the President's Office when budget preparation begins.

Applying for graduate assistantships

Students apply for most graduate assistantships by submitting Graduate School form 70 to the head of the department in which they wish to be appointed. Some colleges and departments, however, have their own application forms. Students receive a G.S. form 70 when they apply for admission to the Graduate School. The forms are also available in departmental offices and at the Graduate School.

The students submit to the department in which they wish to be appointed application forms with transcripts of their college credits and other certificates or papers they may choose to submit. They must also ask that three letters of recommendation be sent to the department head.

In most cases, applications for appointments beginning fall quarter must be submitted by February 15.

Students in the Graduate School who wish to apply for teaching assistantships in the laboratory departments of the School of Medicine may also use form 70. They may use G.S. form 71 if they hold an M.D. degree.

Residence Hall Counselors

Application blanks may be obtained from the Director of Housing. These positions are available for graduate students qualified as counselors. They provide room and board and a stipend in return for 50 percent time service.

Students must be registered in the Graduate School or in certain professional colleges and pay tuition each academic quarter they hold assistantship appointments. Students do not need to be registered when holding an assistantship appointment during the summer. Applicants are selected by the department head and a committee within the department.

Undergraduate applications for assistantships may be made by contacting the professor or department in which the student wants to work. Frequently, departments will contact outstanding students and offer them the opportunity to assist with instruction or research. The Student Employment Service also lists such vacancies.

D. APPOINTING ASSISTANTS

Graduate assistants

The Regular Appointment form (B.A. form 351) should be submitted for all Regular Payroll appointments of graduate assistants, as explained in paragraph D, procedure 1-A-3.

Graduate assistants may hold appointments up to 75 percent time per academic quarter. When the appointment form has been signed by the department head, send it to your dean or administrative officer. From there it will be sent to Personnel Records, where it is checked for accuracy of details. Personnel Records will send the appointment to the Graduate School for approval.

No graduate students may be on the University payroll more than 75 percent of full-time except by special permission of the Dean of the Graduate School.

If you wish to employ an assistant for more than 75 percent time, attach a letter to the appointment, addressed to the Dean of the Graduate School, requesting approval and giving the reasons for the proposed appointment. The Dean may approve the appointment on a temporary or emergency basis.

It is the department's responsibility to verify student enrollment at the beginning of each quarter by requesting to see the paid fee statement before releasing any checks. Students are urged to use the convenient payroll deduction plan for payment of fees.

Undergraduate assistants...

...are referred and appointed in the same manner as students in Civil Service positions. The position must be listed at the Student Employment Service and the student referred and appointed by using the Student Payroll Document.

Undergraduate, like graduate students, must of course be enrolled at the University to be employed on assistantships.

E. INFORMATION ON FELLOWSHIPS...

...is available in the Graduate Fellowship Office, 422 Johnston Hall. This office has information and material on local, national and international fellowship opportunities. Individual academic departments may also have information on fellowships for students in their particular academic field.

How to apply for fellowships

Students should obtain information and/or application forms from the office that awards and administers the fellowship (the Graduate Fellowship Office or the individual academic department).

Medical fellowships

A large number of graduate medical fellowships in laboratory branches of medicine and in clinical fields are available on campus and at the Mayo Foundation in Rochester.

Information on these fellowships can be found in the Graduate School Announcement of Graduate Work in the Medical School and the Mayo Foundation. Application blanks for fellowships on campus may be obtained at the Graduate School. Requests for application blanks for Mayo Foundation fellowships should be addressed to the Director of the Mayo Foundation, Rochester.

Applications for graduate fellowships in medicine on the Minneapolis campus and at the Mayo Foundation are made out on G.S. form 71, which can be obtained in departmental offices or at the Graduate School.

F. APPOINTMENTS TO FELLOWSHIPS...

...such as administrative and clinical positions are made on the Regular Payroll with President form 2. See paragraph D above and the instructions on filling out the form in paragraph D of procedure 1-A-3. These students will receive checks twice a month.

Appointments to other fellowships are usually made with the Scholarship, Prize, and Award Appointment (B.A. form 325--Exhibit IIIA). Form 325 must be filled out in four copies, signed by the department head (or fellowship committee chairman) and dean, and sent to the Business Office.

The Business Office will stamp a requisition number in the upper right hand corner of the form. One copy of the form will be sent back to the dean's office and another to the department office.

This appointment form encumbers or sets aside a portion of the general fund for the student. The terms of payment are determined when the fellowship is established. Most students who are on fellowships administered by the Graduate School receive their stipend on the 15th of each month.

Computer scholarship payments made to students for all scholarships that have been assigned should be made out on B.A. form 325 (Exhibit IIIA). A code number system has been set up for computerization of payments and for charging to specific budgets. Follow the procedure as outlined in 1-A-4, pages 8-10.

The Business Office will send the checks with the Regular or Miscellaneous Payroll checks for distribution in the department.

G. SCHOLARSHIPS AND OTHER AWARDS

During every academic year, numerous scholarships, prizes, and awards are given to both graduate and undergraduate students chosen by the Office of Student Financial Aid and by special college scholarship committees. These scholarships and awards do not require the student's service.

Scholarships open to all University students are awarded by the Office of Student Financial Aid. Scholarships and other awards open only to students registered in specific departments and colleges are usually awarded by special committees within the departments and colleges, but are generally cleared through the Office of Student Financial Aid.

Information for students who would like to apply for a scholarship or loan may be obtained from a counselor in the Office of Student Financial Aid.

How scholarship appointments are made:

I. Single appointment from a given fund.

For every undergraduate or graduate student who is to receive a scholarship or other award which does not require the student's service, a Scholarship, Prize and Award Appointment (B.A. form 325--Exhibit IIIA) must be filled out in four copies, signed by the dean of the college, and sent to the Business Office.

Most of the information called for on the form is self-explanatory, but here are some things to watch:

1. In the upper right hand corner of the form, give your department subaccount number (and the account number) of the scholarship or other award.

2. Above the requisition number type the code number "24." Code 24 is used by all branches of the University for payment of scholarships, grants and awards.

3. Type in last name, first name and middle initial. The last name must be followed by a comma. The comma is used to turn the name around for the face of the check.

4. Check the requisition for clarity as to whether amounts are to be paid quarterly or monthly.

5. Include your name and phone number for reference.

Quarterly amounts

Any number or combination of quarters may be paid so be sure to indicate this under the "Schedule of Payments" column (Exhibit VI).

Monthly amounts

As long as the amount is to be paid monthly and the months are consecutive, one card may be punched for the computer. Each requisition must be coded with from and to inclusive or pay period numbers.

Month numbers are as follows:

Month	Numbers
July	01
August	02
September	03

October	04
November	05
December	06
January	07
February	08
March	09
April	10
May	11
June	12

If the amounts to be paid are different or the months are not consecutive, then multiple-tab cards are necessary.

For appointments which are to be paid monthly, indicate this in the section labeled Schedule of Payments. For example, payments of $200 per month from July to June can simply be indicated as follows:

01-12 - $200.00

Payments of $200.00 for July and August and $150.00 a month from September to June can be listed as follows:

01-02	$200.00
03-12	$150.00

Fiscal Year Coding

The first digit of the code will be the fiscal year. If the payment is for the fiscal year 1972-73 use code 3.

Examples of monthly coding of payments

a) Monthly payments of $160.00 from September through May:

3-03-11	$160.00

b) Monthly payments from September through May: $160 for September through February and $152.00 for March through May:

3-03-08	$160.00
3-09-11	$152.00

c) Monthly payments for September of $238.37 and $238.33 for each month October through August:

3-03-03	$283.37
3-04-12	$283.33
4-01-02	$283.33

NOTE: This example covers two different fiscal years.

5. Terms of Payments (distribution dates)

Quarterly runs	September December March

Monthly runs are on the second and fourth Tuesday of each month. The first run is for all payments due in a given month. Any new appointments submitted each month will be paid on the second run.

The Business Office will send departments a schedule for computer payments each year. Departments will be responsible for notifying the Business Office of any changes in the appointment. Checks will be run automatically as indicated on the original appointment unless the Business Office is notified of a change.

6. Terms of payment must be indicated on the form and these should be consistent with the terms established by the donor.

7. For "Basis of award," indicate the specific standards which apply in selecting the recipient.

Send all copies of the form to the Business Office. This office stamps each copy with a Requisition number, sends one copy back to the dean's office and another to the departmental office.

II. Multiple appointment from a given fund

When several scholarships are granted from the same fund and are paid quarterly, submit all names of the recipients on B.A. form 25 as shown in Exhibit III. List them alphabetically and be exact in giving the method of payment for each individual. If payment is made by coding instead of using the Type 32 Invoice, be sure to include the subaccount number and code number. Call the Business Office for answers to questions.

In special cases...

...such as late payments, a Type 32 Invoice (B.A. form 13) must be filled out and sent to the Business Office. Give the student's name and address where checks are to be sent, the Requisition number, sub-account and account numbers (same as on the Appointment form), and the amount to be withdrawn from the fund.

In the body of the Invoice identify the name of the scholarship and what payment is being authorized.

For example: Consolidated Vultee Aircraft Scholarship
Third payment, Spring quarter, 1974.

When several students are to be paid from the same fund, all the names may be listed alphabetically on the same Invoice, as shown in Exhibit IV. Be sure to double space between each name listed.

The Business Office sends all checks as directed on the Type 32 Invoice.

Returning money to the fund

If the recipient of a scholarship, award, or prize should leave the University before using all of the funds set aside for him/her by his/her appointment, or if the appointment is to be cancelled for any other reason, a Termination of Service form (B.A. form 326) must be filled out in six copies and sent through administrative channels to the Business Office. Call 373-2780 to let the clerk know you are sending a termination. This will eliminate issue of unnecessary checks.

Insert the following on the form where indicated:

Type "SCHOLARSHIP PRIZE AND AWARD APPOINTMENT" and the Requisition number from the original Appointment directly under the instructions (for example: 06-875410).

NAME IN FULL--Show the name of the award recipient.

RANK OR TITLE--Use the name of the awarding agency.

DEPARTMENT--Give your department's official name.

COLLEGE--This is the academic unit to which your department belongs.

DATE OF LAST DAY WORKED--Indicate the date of termination of the award.

PRESENT APPOINTMENT STATUS:

Annual full-time salary base--show the total amount of the award.

Date--From/Thru--show the period of time from the beginning to the ending of the award period.

Item--indicate here the subaccount number identifying your department (for example 1932 is the subaccount number for the Graduate School).

Fund--Dept. or Project--identifies where the money will be coming from.

Total Basic Salary x Percent of Time--is the total amount of the award.

REASON--A brief explanation of why the award is being terminated should be given here; also show here any stipend checks you are returning.

If a check is issued after the termination date, it should be returned to the Business Office on a Cash Receipt Voucher (B.A. form 110--Exhibit VII) within 30 days after the date of the check.

Adjusting type 06 scholarship appointments

To adjust or supplement a scholarship, use the same form as was used for the original appointment (Exhibit VI). Type the word SUPPLEMENT at the top of the form. Fill in the requisition, subaccount, fund, department, and budget numbers that appear on the original appointment. Indicate what you are changing, such as name, effective dates, or total. When increasing or decreasing the total amount, show only the amount of the increase or decrease, not the new total.

H. EMPLOYING FOREIGN STUDENTS

If you wish to hire a foreign student for part-time work, first list the job with the Student Employment Service. The student may be referred for consideration for a position, but may not begin work until permission is obtained. If the student is a non-resident alien, he/she should be sent to the Office of the Adviser to Foreign Students for help in obtaining permission to work. The only students who are not referred by the Student Employment Service are graduate students receiving academic appointments of 50% time or less.

EXHIBIT I INDEX I-A-4

BA Form 464 Rev.
S92008 (219)
Office Use Only

Job #______ Category #______

Date Rec'd______

Class App'd______ By______

Date Posted______ Time______

Position must be posted for a minimum of 3 days or 5 applicants.

No carbon required—Please Type

University of Minnesota

STUDENT EMPLOYMENT REQUISITION

DATE CLOSED	DATE CHECKED	TIME	BY
REFERRED			
PLACED			
CANCELLED—WHY?			BY

TO BE COMPLETED BY DEPARTMENT (See reverse side of top copv before proceeding).

Class Title Laboratory Technician Class No. 4435 Rate 3.94/hr.

No. of Openings 1 Job Begins 12/3/77 Job Ends______

Work Schedule (hours & days) 15 hours/week, 1:00 to 4:00 pm Mon thru Fri

New Position x Replacement______, Last person in position______

Employee **Qualifications** Desired:

Training— Requires a background of at least 2 years of chemistry and biolobical science
Experience—courses including laboratory procedures

Description of position to be filled:

Prepare chemical solutions, make cultures, perform standard laboratory tests and analyses, do tissue sectioning and prepare slides.

Whom to See R. J. Parker Phone 373-3546 Dept. School of Physics and Astronomy

APPLICANT
☐ CALL FIRST
☐ GO DIRECT

Location 148 Physics Dept. Signature R. L. Parker Date 11/19/77

SAMPLE 7-1-77

TO LIST A VACANCY:

For any classification in the column on the right, you may list a vacancy either by telephone (373-3674) or by using this form. For all other classifications this form must be used. Complete this Student Employment Requisition and send to 30 Wulling Hall. The classification and rate will be reviewed and approved according to University standards.

POSTING POLICY:

Public posting of student job vacancies is required by the University's policy on non-discrimination and equal employment opportunity. Student jobs are posted on the Student Employment Service bulletin boards. All jobs must be posted for a minimum of 3 days or have a minimum of 5 applicants for referral and consideration before the posting is removed from the official boards of SES.

Departments may also publicize vacancies on their own bulletin boards or by class announcements, when those vacancies require special qualifications, provided they are simultaneously posted with Student Employment.

This posting is to be done before any commitment to hire is made. Its purpose is to assure fair, equal, and non-discriminatory employment opportunity for all interested students.

Official SES posting of a student job may be waived due to reclassification, promotion, transfer, or rehire in the same department. Before commitments are made to any student, the classification must be approved and the student certified and referred by the Student Employment Service.

Selection of an employee is to be made with no prejudice due to race, color, creed, sex, age, or national origin of the applicants.

THESE CLASSIFICATIONS MAY BE LISTED BY TELEPHONE.
(373-3674)

Actor Technician
Artist Assistant
Ass't Communication Technician
Ass't Radio Announcer
Attendant
Building and Grounds Worker
Clerk
Clerk Stenographer
Clerk Typist
Creamery Worker (trainee)
Custodial Worker
Data Entry Operator
Engineering Assistant (trainee) —IT & Physical Plant dept. only
Experimental Plot Supervisor (trainee)—IA dept. only
Farm Animal Technician (trainee)—IA dept. only
Food Service Worker
Hospital Carrier
Hospital Clinical Laboratory Attendant
Hospital Custodian
Hospital Station Food Service Worker
Junior Cashier
Laboratory Attendant
Laborer
Laundry Worker
Licensed Practical Nurse
Lifeguard
Musician
Nursing Assistant
Parking Attendant
Photography Assistant
Public Events Attendant
Residence Hall Proctor
Senior Attendant
Senior Custodial Worker
Senior Food Service Worker
Senior Laboratory Technician (trainee)—IA dept. only
Senior Laborer
Senior Public Events Attendant
Student Intramural Official
Survey Interviewer
Telephone Operator

Undergraduate Academic Classifications

Research Assistant
Teaching Assistant

EXHIBIT 11A

NO CARBON PAPER REQUIRED

UNIVERSITY OF MINNESOTA
STUDENT PAYROLL DOCUMENT
To be used for all student-status employment except graduate-level academic appointments

INDEX 1-A-4

Yellow Copy — Personnel Records
White Copy — Payroll
Pink Copy — Department

Bus. Adm. Form 349 (Rev.)
CS-SE-1 — 20M

I.D. Card Imprint

INSTRUCTIONS: Please type. Complete ALL appropriate items. The student named above may be hired or have her/his status changed at the class and rate given below. For an APPOINTMENT, use the "New Appointment" space on the right. For a CHANGE IN STATUS, use BOTH sides, giving both old and new status. Attach an Employee's Withholding Exemption Certificate (W-4) to the Payroll copy if the employee has not been on University Payroll in the last year. Attach a President Form 20, Ethnic Group Identification, if this is a new employee. Sign and release the white copy directly to Miscellaneous Payroll, 249 Administrative Services; return remaining copies to Student Employment, 30 Wulling Hall. After final approval, your copy will be returned to you.

UNIVERSITY OF MINNESOTA — AN EQUAL OPPORTUNITY EMPLOYER

TO BE COMPLETED BY EMPLOYING DEPARTMENT

Social Sec. No. 476-68-1781 Birth Date 04/23/53 Male XX Female ____

Student's Name Johnson, (Last) William (First) Robert (Middle)

Previous Name (for name change only) ____ (Last) ____ (First) ____ (Middle)

OLD STATUS TO BE CANCELLED						NEW STATUS OR NEW APPOINTMENT					
Item	Fund	Dept.	Bud.	Class	Pay Rate	Item	Fund	Dept.	Bud.	Class	Pay Rate
					$	403	0100	1132	01	1214	$
					$						$
					$						$

Old status: Class Title ____ Date: From ____ Thru ____ Dept. Name ____

New status: Class Title Senior Office Assistant Date: From 7/1/78 Thru* ____ Dept. Name Student Employment

Reason for CHANGE IN STATUS ____
*STUDENT STATUS TERMINATES WHEN A STUDENT GRADUATES OR LEAVES SCHOOL.

Department payrolls prepared by Angie Campus Address 2561 University Ave. Tel. 373-2262

COMPLETED BY STUDENT EMPLOYMENT SERVICE

The student named above is:
- [x] Applying for the position listed below.
- [ ] Certified for a Change in Appointment Status.

Class Title Senior Office Assistant Class No. 1214 Rate ____

Whom to see Pat Masanz Brown Tel. 373-3674

Department Student Employment Location Room 6, Morrill Hall

Referred by Mel Dario Date 5/31/78 Job No. C1 13526 Req. No. 13526

College CLA Major Journalism Year in School Sr. When expect to leave School or graduate F '78

Present Address 803 9th Ave. S.E. #1 Present Tel. 331-6834

Do you have a relative in a position supervisory to this one? Yes ____ No XX Relationship ____

U.S. Citizen Yes X No ____ Perm. Res. Immigrant ____ Work Permit: Hrs./Wk. Acad. yr. ____ Vac. ____ Su. ____ Expiration Date ____

OTHER UNIVERSITY EMPLOYMENT

On U of M payroll: Never X Prev. (latest yr.) ____ Currently ____ Dept. ____ Hosp. ____ Acad. ____

NOTE: University employment may not exceed 40 hours per week, whether in one job or a combination of jobs.

Recommended—Authorized Department Signature	Date	Dean's Approval If Required	Approved—Student Employment Service, Personnel Dept.	Date
			SAMPLE 7-1-78	

EXHIBIT 11B

I.D. Card Imprint

NO CARBON PAPER REQUIRED

STUDENT PAYROLL DOCUMENT
UNIVERSITY OF MINNESOTA
An Equal Opportunity Employer

INDEX
1-A-4

Yellow Copy — Personnel Records
White Copy — Payroll
Pink Copy — Department
Blue Copy — Work-Study
Bus. Adm. Form

INSTRUCTIONS: Please type. Complete ALL appropriate items. The student named above may be hired or have his status changed at the class and rate given below. For an APPOINTMENT, use the "New Appointment" space on the right. For a CHANGE IN STATUS, use BOTH sides, giving both old and new status. Attach an EMPLOYEE'S WITHHOLDING EXEMPTION CERTIFICATE (W-4) if the employee has not been on University Payroll in the last year and attach a PRESIDENT FORM 20, ETHNIC GROUP IDENTIFICATION, if this is a new employee. SIGN and return ALL COPIES to Work Study, 105 Armory. After processing it will be sent to Student Employment, 30 Wulling Hall. After final approval, your copy will be returned to you.

TO BE COMPLETED BY EMPLOYING DEPARTMENT
WORK-STUDY

Social Sec. No. 389-48-4709 Birth Date 9/18/56 Employee No. ____

Student's Name Diedring, Barbara Angela
(Last / First / Middle)

Previous Name (for name change only) ____
(Last / First / Middle)

OLD STATUS TO BE CANCELLED						NEW STATUS OR NEW APPOINTMENT					
Item	Fund	Dept.	Bud.	Class	Pay Rate	Item	Fund	Dept.	Bud.	Class	Pay Rate
					$	438	0902	4644	11	1214	$ 4.06
					$						$
					$						$

Old status — Class Title ____ Date: From ____ Thru ____ Dept. Name ____

New status — Class Title Senior Office Assistant Date: From 6/1/78 Thru* ____ Dept. Name Student Employment

Reason for CHANGE IN STATUS ____

PERSONAL DATA:
Male ____ Female XX Address 516 5th Street S.E. #10 Mpls, MN Tel. 378-2499

Department payrolls prepared by Terry Campus Address 2651 University Ave Tel. 3-2262

COMPLETED BY STUDENT EMPLOYMENT SERVICE

The student named above is:
- XX Applying for the position listed below.
- ☐ Certified for a Change in Appointment Status.

Class Title Senior Office Assistant Class No. 1214 Rate 4.06 *

Whom to see Pat Masanz Brown Tel. 37 3-3674

Department Student Employment Location Room 6, Morrill Hall

Referred by Art Gardner Date 5/22/78 Job No. S-11426 Req. No. 11426

College UC Major ICP Year in School Sr. When expect to leave School or graduate SSII '78

Relatives employed by U: Name ____ Relationship ____ Dept. ____

OTHER UNIVERSITY EMPLOYMENT
On U of M payroll: Never XX Previously (latest year) ____ Currently ____ Dept. ____

***Note:** The student's earning allotment for this certification period is $500 summer, or $1000 academic year. A work schedule should be planned when the student is hired that will not allow earnings to exceed this amount. Student status terminates when a student graduates or leaves school.

Recommended—Authorized Department Signature	Date	Date CWSP Approved	Approved—Student Employment Service, Personnel Dept.	Date
			SAMPLE 7-1-78	

EXHIBIT IIIa   INDEX 1-A-4

BUSINESS OFFICE ACCOUNTING COPY	SCHOLARSHIP, PRIZE, AND AWARD APPOINTMENT TYPE 06	SUB. ACCT.	FUND	DEPART-MENT	BUD-GET	NO.
		2023	0609	6798	06	87654

Instructions: Use this form for all scholarships, prizes, and awards. Send in sextuplicate to the Business Office. This recommendation must be in and approved before payment can be made and one week before the Cap and Gown Day announcements are prepared. When payment is due department must prepare regular invoice forms (Business Administration Form 13) in quadruplicate and forward to Business Office.

Name of Recipient Richards (Last) Dick (First) B. (Middle) Sex Male [x] Female [ ]

Classification Graduate School (College) Psychology (Department) (Class) (Date of Graduation)

Home Address 2010 Main Street (Street) Clover City, (City) 55713 (Zone) Minnesota (State or Country)

University Address 614 Delaware St. S.E., (Street) Minneapolis, MN (City) 55455 (Zone) or 109 Centennial Hall (Dormitory)

Date of Birth 2-10-53 Place of Birth Clover City, MN Residence status

Has academic degree of B.A. 1975 granted by University of Minnesota

Name of Fund NDEA Title IV (academic year)

Total Amount 3900.00

Scholarship [ ]
Fellowship [X]
Prize [ ]
Medal [ ]
Grant in Aid [ ]

Effective from 7/1/78 to 6/30/79

Terms of payment once a month, starting 7/1/78 and ending 6/30/79

SCHEDULE OF PAYMENTS

Invoice Number	Amount
9-01-12	325.00
TOTAL	3900.00

Basis of Award

SAMPLE
7-1-78

Remarks

Name of Sponsor Department of Health, Education and Welfare
Office of Education
Address of Sponsor Washington, D.C. 20202

	DATE	CARD PUNCHED
RECOMMENDED Stephen Craig FOR THE COMMITTEE	3/28/78	
RECOMMENDED James Forsythe DEAN	4/1/78	
UNIVERSITY OF MINNESOTA Bus. Adm. Form 325 8-61—5M (254-2) BUDGET APPROVED	DATE	

EXHIBIT IIIB INDEX 1-A-4

BUSINESS OFFICE COPY TABULATING DEPARTMENT	SCHOLARSHIP, FELLOWSHIP, AND GRANT-IN-AID APPOINTMENT TYPE 06 CODE 24	Sub-Acct.	Fund	Dept. or Project	Bud-get	No.
		2023	0850	8008	02	

Instructions: Use this form for scholarships, fellowships, and grants-in-aid when two or more assignments are made from the same fund. Send in sextuplicate to the Business Office. This recommendation must be in and approved before payment can be made and one week before the Cap and Gown Day announcements are prepared. When payment is due department must prepare regular invoice forms (Business Administration Form 13) in quadruplicate and forward to the Business Office.

Scholarship ☒
Fellowship ☐
Grant-in-Aid ☐

Name of Fund: Walter D. Boutell Memorial Scholarship

Name and Address of Sponsor:

Basis of Award:

Appointment Effective From: to **Payment of Grant**

Student Home Address	Coll.	Class	Amount of Grant	How: J.V.	How: Check	When: F	When: W	When: S
Aoe, Jane L.			900.00		x	300.00	300.00	300.00
Boe, John E.			900.00		x	300.00	300.00	300.00
Coe, Jane L.			600.00		x	0	300.00	300.00
Doe, John E.			300.00		x	0	0	300.00
Eoe, Jane L.			300.00		x	0	0	300.00
Foe, John E.			600.00		x	0	300.00	300.00
No. of Pages 1	**TOTALS:**		$3600		Total of Req. $3600	600 total	1200 total	1800 total

SAMPLE
7-1-78

Amount encumbered by this requisition

PREPARED BY rm, 107 Armory, 15 Church St. S.E., Mpls., MN 55455 TEL. EXT. 3-3121	DATE 7-1-77	CARD PUNCHED
RECOMMENDED Signature of authorizing person	DATE 7-1-77	
RECOMMENDED Signature of authorizing person DEAN	DATE 7-1-77	
UNIVERSITY OF MINNESOTA Bus. Adm. Form 25 7-77—2500 (65-2) S-91390 — APPROVED BUSINESS OFFICE	7-1-77	

EXHIBIT IV INDEX 1-A-4

UNIVERSITY OF MINNESOTA
BUSINESS ADM. FORM 13
S 91350
25M — 10-73 (O)

INVOICE
TYPE 32

CHECK NO.

INVOICE NO.	REQUISITION NO.
	SEE BELOW

SUB-ACCT.	FUND	DEPT.	BUD-GET	CLASS
1230	0850	8008	02	

ORDER NO.

APPROVED FOR PAYMENT

Date 7-1-77

Payee SEE BELOW

St. and No. c/o Office of Student Financial Aids
107 Armory
Town and State 15 Church St. S.E.
Minneapolis, MN 55455

UNIVERSITY OF MINNESOTA

Dr.

WALTER D. BOUTELL MEMORIAL SCHOLARSHIPS
Payments for fall quarter, 1977

Student	Req. No.	Amount	
Perry L. Keller		66	00
Jordan W. Nielsen		66	00

SAMPLE
7-1-78

FOR TRAVEL ADVANCE ONLY
Revolving Fund
Received Payment

CHECK #__________

Prepared by Miriam Wilson

Phone 3-6392

Total 132.00

UNIVERSITY OF MINNESOTA
BUSINESS ADM. FORM 326
3-78—3750 (50-2)
S91800

TERMINATION OF SERVICE

Administrative, Instructional, Fellowship, and Civil Service Employees

White: Personnel Records
Pink: Payroll Department
Blue: Personnel Records
Yellow: Dean
Gray: Department
Gold: Employee Benefits

Instructions: Prepared in sextuplicate for all Regular Payroll terminations, retirements, or in case of death. Send all copies to the office of your dean or administrative officer. The forms are then to be forwarded to University Personnel Dept. (2651 University Ave., St. Paul). If employee will have a new address, attach Employee's Withholding Exemption Certificate (B.A. Form No. 416) in order to be sure that his withholding tax receipt, Form W-2, will reach him at the end of the calendar year.

Name in Full John A. Jones

Employee No. 06-875410

Soc. Sec. No. ______-______-______

Rank or Title NDEA Title IV Fellow

Classification No.

Department Psychology

College Graduate School

Date of Last Day Worked: 3 30 78

No. of Days Unused Vacation* 0

*FOR CIVIL SERVICE STAFF: Attach the Employee's Record of Vacation and Sick Leave (Bus. Adm. Form 426), also Record of Overtime (Bus. Adm. Form 76), if any.

Present Appointment Status:

Annual Full Time Salary Base $ 3,000

Basic Term (A,B,E,G,K,M) ______

Per Cent of Full Time ______%

Term Code for this Appt. (including Tenure Code) ______

Date		Item	Fund	Dept. or Project	Bud-get	Class	Annual Full Time Salary Base X Per Cent Time
From	Thru						
9-1-77	8-31-78	3200	0904	4072	06		$3,000

Reason

Mr. Jones has completed all the requirements for the Ph.D. degree.
The April check is being returned on a Type 21.

Position to be taken by resigner

SAMPLE

7-1-78

Future address

If Address Is Changed, File Revised Withholding Tax Form (Bus. Adm. No. 416)

PREPARED BY	TEL. EXT.	DATE	
Donna Alexon CAMPUS ADDRESS 307 Johnston Hall	3-7925		
RECOMMENDED — HEAD OF DEPARTMENT	DATE	APPROVED	DATE
Stephen Craig	4-15-78		
RECOMMENDED — DEAN OR ADMIN. OFFICER	DATE	APPROVED — BOARD OF REGENTS	DATE

EXHIBIT VI INDEX 1-A-4 CODE 24

BUSINESS OFFICE ACCOUNTING COPY	SCHOLARSHIP, PRIZE, AND AWARD APPOINTMENT TYPE 06	SUB. ACCT.	FUND	DEPART-MENT	BUD-GET	NO.
		2023	0609	6798	06	87654

Instructions: Use this form for all scholarships, prizes, and awards. Send in sextuplicate to the Business Office. This recommendation must be in and approved before payment can be made and one week before the Cap and Gown Day announcements are prepared. When payment is due department must prepare regular invoice forms (Business Administration Form 13) in quadruplicate and forward to Business Office.

SUPPLEMENTAL

Name of Recipient: Richards (Last) Dick (First) B. (Middle) Sex: Male [x] Female [ ]

Classification: Graduate School (College) Psychology (Department) (Class) (Date of Graduation)

Home Address: 2010 Main Street (Street) Clover City, (City) 55713 (Zone) Minnesota (State or Country)

University Address: 614 Delaware St. S.E., (Street) Minneapolis, MN (City) 55455 (Zone) or 109 Centennial Hall (Dormitory)

Date of Birth: 2-10-53 Place of Birth: Clover City, MN Residence status:

Has academic degree of: B.A. 1975 granted by: University of Minnesota

Name of Fund: NDEA Title IV (academic year)

Total Amount: Increase $500

Scholarship [ ]
Fellowship [ ]
Prize [ ]
Medal [ ]
Grant in Aid [ ]

Effective from January 15, 1977 to June 15, 1977

Terms of payment

SCHEDULE OF PAYMENTS	
Invoice Number	Amount
8-07-07	500.00
TOTAL	

Basis of Award

SAMPLE
7-1-78

Remarks

Name of Sponsor: Department of Health, Education and Welfare
Office of Education
Address of Sponsor: Washington, D.C. 20202

RECOMMENDED	DATE	CARD PUNCHED
Stephen Craig FOR THE COMMITTEE	7/24/76	
RECOMMENDED James Forsythe DEAN	DATE 7/24/76	
BUDGET APPROVED	DATE	

UNIVERSITY OF MINNESOTA
Bus. Adm. Form 325
8-61—5M (254-2)

CLASSIFICATION OF POSITIONS (Civil Service)

A. WHAT IS THIS PLAN?

The Classification Plan is a system of job titles and descriptions of work. It groups together in separate "classes" of work jobs which have substantially similar duties and responsibilities. (See The Job Review Process, a brochure available from the Personnel Department, for more details.)

There are over 700 classes of work in Civil Service at the "U." The Classification Plan gives each of them a title and a written description. Individual class descriptions may be obtained by calling the Personnel Department.

The 700 titles listed in the plan are used for the payroll and for all personnel records. The descriptions of classes are for vacancies. They're also used in training, promoting, transferring and counseling employees.

A class is...

...a common title given to a group of jobs with just about the same duties and responsibilities. Each job in the class has the same experience, knowledge and ability requirements. The same pay range applies to each job in the class.

B. CLASS SPECIFICATIONS

The descriptions of the classes of work are grouped into the following job families to provide a more representative structure:

Schedule A--Administrative, Professional and Supervisory

Schedule B--Maintenance and Trade

Schedule C--Clerical, Support and Service, and Technical

Schedule MSP--Management

The descriptions include an outline of the duties and responsibilities of each kind of work, with emphasis on the difficulty of the work. Each description contains several sections; examples are Typical Tasks and Required Qualifications.

Typical Tasks are examples of the kind of work. They don't list all the duties of any specific job, and they don't limit a supervisor in making other duties a part of the job.

Required Qualifications include knowledge, abilities, and skills required.

C. THE UNIVERSITY PERSONNEL DEPARTMENT...

...is responsible for determining the correct class title for all Civil Service jobs.

To classify new jobs, the Personnel Department needs a written description of the duties to be assigned (see paragraph D).

To keep the classification of old jobs up to date, employees may be asked to write new descriptions of their work for periodic review (see paragraph E).

D. TO SET UP A NEW JOB...

...a department head submits a Personnel Requisition (B.A. form 465--Exhibit I to procedure 1-A-2). The requisition serves two purposes. The information you submit on the Requisition will be used by the Personnel Department in classifying the job and in finding applicants to refer to you.

A position is classified on the basis of the duties and responsibilities assigned to it. However, this classification is not necessarily permanent. It remains in effect only as long as the job remains basically the same. You will be notified about the classification of a new position by the duplicate copy of the Personnel Requisition. Notification of any future reclassifications will be made on a Notice of Classification and Pay Range Assignment (Exhibit II).

E. HOW TO HAVE A JOB REVIEWED

When the duties and responsibilities of a job have changed significantly, the employee or department head may ask the Personnel Department to review the job to see if it should be reclassified. This is how a job review is requested.

The employee writes an up-to-date description of the duties and responsibilities of the job on a Job Review Questionnaire (Exhibit I). The form must be signed by the department head and then sent to the dean or administrative officer. The dean's office will send the questionnaire to the University Personnel Department. A copy of the entire Job Review Questionnaire will be sent to the employee by Personnel.

Page four of the questionnaire calls for comments of the employee's immediate supervisor, the department head and the dean or administrative officer. They may comment on the employee's statements, but they may not change them.

F. STUDENT JOBS...

...are entitled to the same treatment as all other University positions. The procedures and forms used in classifying student jobs are described in procedure 1-A-4.

G. THE CLASSIFICATION PROCESS

When the questionnaire arrives at the Personnel Department, it is given to the Personnel Services Representative responsible for your particular department.

After careful study of the questionnaire, the Personnel Services Representative calls on the employee and discusses further the specific duties of the position. The Personnel Services Representative may want to see samples of the work being done and perhaps get a chance to "look around" the work place. After talking with the employee, the Personnel Services Representative will then talk to the supervisor and department head for additional comments to help him/her understand the relation of this position to the work of the entire department.

After the interviews, the job is compared with other similar job descriptions on file in the Personnel Department. Each aspect of the position is compared with the general class specifications as well as with similar positions in the same department and in other departments at the University. Depending on the classification, various Evaluation Inventories may also be used. (See part B of this procedure for specific job factors that are considered.)

After this detailed study, a decision is made as to the proper classification of the job. If the reclassification is approved, a Notice of Classification (B.A. form 438--Exhibit II) is sent to the department and the employee. If the reclassification is not granted, a letter will be sent to the employee and the department explaining why a change was not approved.

H. DATE RECLASSIFICATION IS EFFECTIVE

The Personnel Department (under Civil Service rules) will rule on requests for reclassification as soon as possible. Employees will be notified in writing of the decision.

This means that a reclassification will normally go into effect the first day of the payroll period following receipt of the Job Review Questionnaire by the Personnel Office.

<u>For example</u>:

> The Personnel Department receives a questionnaire on July 10. If the review process is delayed by the Personnel Office so that action can't be taken until August, the effective date is July 16.

EXHIBIT I--INDEX I-C-I

UNIVERSITY OF MINNESOTA
PERSONNEL DEPARTMENT

Job Review Questionnaire

(Return completed questionnaire, typed, if possible, to the University Personnel Department, 2651 University Ave. See the Business Procedures Manual 1-C-1 for information on the classification process.)

DO NOT WRITE IN THIS SPACE

N. C.	CLASS #	J R Q #	
CLASS		DATE REC'D	
MIN-MAX		NOTICE #	
RATE	STEP #	APPROVED FOR NOTICE OR LETTER	
E. D.		TYPED	MAILED

1. NAME (LAST) (FIRST) (MIDDLE)	☐ MISS ☐ MRS. ☐ MR.	ROOM, BUILDING OR PLACE OF WORK		TELEPHONE
2. DEPARTMENT	FUND AND DEPT. NO.		TERM OF APPT.	STUDENT ☐ Yes ☐ No
3. PRESENT CLASS TITLE	CLASS NO.	MIN.–MAX. PAY RATE	PRESENT RATE	STEP NO.
4. SUPERVISOR	TITLE			TELEPHONE
5. How long have your duties and responsibilities been substantially as shown below?				
6. What change in classification, if any, are you requesting for your position?				

7. Using your own words, describe *in detail* the work you do. Use additional sheets if necessary. Under the column "% of time" estimate *approximately* the time you devote to duties listed. Star (*) the tasks, duties, and responsibilities which have been added to your position since you were appointed to it.

% OF TIME (Approximately)	DESCRIPTION OF DUTIES
	a. Regular Duties

SAMPLE
7-1-77

CS-PS-7

% OF TIME (Approximately)	DESCRIPTION OF DUTIES (Continued)
	b. Periodic Duties (Duties performed at recurring fixed intervals)
	c. Occasional Duties

8. a. Do you supervise other employees? ________ (Yes or No) If "yes," list the number of individuals by class that you supervise.

b. How do you supervise the work of these employees?

9. a. From whom do you receive instructions?

b. How frequently do you receive instructions?

c. How are instructions received? (Orally, written, blueprint, etc.)

d. How is your work checked or reviewed?

10. State the nature, extent, and frequency of contacts you have with, or assistance rendered to

a. Students

b. Staff

Within own Dept.

Outside own Dept.

c. Public

11. What equipment, machines, and tools do you use in your work? i.e., typewriter, calculator, lathe, milling machine, etc. (List brand names)

12. What reports do you prepare? (Do not include reports which you merely type from copy)

13. Have the duties and responsibilities assigned to your job changed? If so, how?

14. This space is for any additional information that you feel has an important bearing on the classification of your job.

SAMPLE
7-1-77

Certification: I certify that the foregoing answers are my own and, to the best of my knowledge, are accurate and complete.

Date ____________________ Signature ______________________________

STATEMENT OF IMMEDIATE SUPERVISOR

15. Please comment on employee's statement: any modification, addition, or difference in emphasis?

16. What do you consider the most important duties and responsibilities of this position?

17. How do you supervise the employee in this position?

18. What classification do you propose for this position?

19. Indicate the qualifications which you think should be required in filling a *future vacancy* in this position. *Keep the position itself in mind,* rather than the qualifications of the individual who now occupies it.
   a. Education and special training: Years and kind
   b. Experience: Years and kind
   c. Licenses or certificates required
   d. What other qualifications beyond those indicated above are desirable?

Signature ____________________
Certification of Immediate Supervisor

Date ____________________

Location ____________________

DEPARTMENT HEAD

20. Are the extra funds needed for the reclassification available in your department?

21. General Comment (use additional sheets if necessary)

Signature ____________________

Date ____________________

Location ____________________

DEAN OR ADMINISTRATIVE OFFICER

22. General Comment (use additional sheets if necessary)

Date ____________________ Signature ____________________

EXHIBIT II   INDEX I-C-I

B.A. Form 438
2-74—6M
CS-PS-6
(P-214)

UNIVERSITY OF MINNESOTA
PERSONNEL DEPARTMENT

Notice of Classification and Pay Range Assignment

No.

Copy to:
Employee
Supervisor
Department
Business Office
Personnel Records

Name: Date:

Department	Fund No.	Dept. No.

☐ Reclassification ☐ New Class ☐ Class Number Change

☐ Pay Range Change ☐ Class Title Change ☐

Present Classification, Pay Range, and Salary:

Class No.	Class Title	Pay Range	Step No.	Salary

New Classification, Pay Range, and Salary:

Class No.	Class Title	Pay Range	Step No.	Salary

__________ Effective date of action

New Probationary Period: Yes ☐ No ☐
New Starting Date in Class: Yes ☐ No ☐

NOTE: This change is not automatic. Department must submit the appropriate appointment form or change in status document as soon as possible. If you have any questions regarding this action, call the Personnel Services Representative assigned to your department.

Comments:

SAMPLE
7-1-77

Position studied by:____________________

________(Questionnaire) (Survey) Number

____
Personnel Services Manager

30112

DISCIPLINARY ACTION (Civil Service)

A. ONE OF THE FIRST THINGS...

...a worker in a new job needs to know is how he/she is supposed to conduct himself/herself. No two employers have exactly the same standards of conduct. Therefore it's the supervisor's responsibility to let employees know what's expected of them. Once they understand the rules, most workers will try to live up to them.

B. WHAT DO WE EXPECT?

Both employers and employees pretty generally agree that there is a basic code of conduct that is inherent in every job. Here at the University we expect workers to...

...help build a spirit of harmony and teamwork

...carry out their supervisors' work requests willingly

...contribute to good student, faculty, and public relations

...protect University property from misuse and misappropriation

...improve work skills and knowledge

...look for better ways to do their work

...work steadily at specified standards of quality and quantity

...dress in a manner that meets health and safety standards

...conduct their personal lives in ways that do not adversely affect the department or the University

...plan work well and use work time efficiently

...get to the job on time and begin work promptly

...be present at all assigned work times unless absence is excusable under University rules

...request approval of intended absence from immediate supervisor as far in advance as possible

...protect the health and safety of themselves and others

...report work injuries, no matter how minor

...learn and follow University and department rules at all times

C. ABOUT THE RULES

The Civil Service Rules are the guidelines which govern the employment of every worker in University Civil Service. They cover the benefits, privileges, rights, and obligations of employees and insure fair and equal treatment for everyone. Every employee should have an up to date copy of the rules.

Department rules are the "shop rules" set up by the department head to meet the operating needs of the department. They supplement the Civil Service Rules and may range all the way from when to take work breaks to how to report injuries.

There's often a great deal for a new worker to learn. The supervisor or department head must see to it that a new employee is fully informed about the rules and conditions of employment. The supervisor who explains the rules clearly and applies them fairly will have few discipline problems.

D. HOW TO DISCIPLINE AN EMPLOYEE

Occasionally a worker breaks a rule and may have to be corrected. Punishing, threatening or "laying down the law" won't accomplish much except to make the offender hostile. You have to get at the reason for his/her action. You also have to help him/her keep it from happening again.

Get the facts

You can't depend on hunches or past experience when you're deciding what to do. First you have to figure out why a rule was violated. Don't rely on hearsay. Get the worker's side of the story, too. Maybe you'll discover he/she didn't know about the rule at all. Perhaps he/she has a physical defect or a personal problem that bothers him/her. A careful investigation sometimes throws an entirely different light on the matter so don't jump to conclusions.

Decide and act

What you decide to do depends on the nature of the offense. Tardiness, loitering, profanity or unexcused absence may be considered minor offenses. Insubordination, intoxication, theft, immoral conduct, or destroying University property may be major offenses. Since no two situations are exactly identical, the circumstances surrounding the violation must be considered too.

You can make a fair decision only after you've weighed all the evidence. Discuss the problem and disciplinary action with your Personnel Services Representative. Keep in mind that any disciplinary action you take should be constructive rather than punitive. Here are several suggested approaches:

1. Warnings--The main purpose of a warning is to inform the employee of the offense and to let him/her know what is expected in the future. Warnings can be either oral or written. They should always be given in private. You may warn an employee repeatedly or possibly only once or twice. Immediate dismissal without warning might even be necessary if the violation was extremely serious.

   Make a record of a written warning in the form of a letter to the employee, with a copy to the Director. A completed Service Rating form may be used instead. See Civil Service Rule 13.

   Oral warnings are not formally recorded. You may, however, note the warning on your calendar for future reference.

2. Suspension without pay is an effective disciplinary measure. The length of a suspension depends on the seriousness of the violation. If a second suspension is warranted, it may be longer. Notify the employee in writing (with a copy to Personnel) of the specific reasons for the suspension, and of the right to appeal. See Civil Service Rule 13.

3. Reduction in pay is normally used only until action is taken by the employee that adequately clears up the situation or problem.

4. Dismissal--When these actions fail to have any corrective effect, the only disciplinary action remaining is dismissal. If the offense was extremely serious, the worker may be discharged without first being suspended. See Civil Service Rule 13.

Disciplinary action becomes effective when the action is communicated to the employee.

Department heads who plan to discipline an employee should have strong supporting evidence of the offenses on record. A statement like "unsatisfactory performance" is not enough. The record should also show all the warnings given to the employee, and what he/she was told to do to correct the situation.

E. AN EMPLOYEE MAY APPEAL...

...a disciplinary action after receiving notice of his/her supervisor's action. He/she makes this appeal according to the grievance procedures explained in detail in procedure 1-G-1 and in Civil Service Rules 13 and 14.

GRIEVANCES (Civil Service)

A. THE UNIVERSITY EXPECTS...

...a great deal from its employees. The teaching-research-service mission of the University requires workers who are willing, capable, and have high standards of performance. In order to help employees give their best, the University tries to provide agreeable working conditions and a friendly harmonious atmosphere.

Although department heads and supervisors want to treat their employees as fairly as possible, misunderstandings do come up now and then. When dissatisfactions arise, workers want to feel free to discuss them with the boss. And they expect him to take quick action in settling them.

B. MOST EMPLOYEE COMPLAINTS...

...can be settled right in the department. The University has a formal procedure for solving grievances too. It gives the employee an opportunity to discuss his grievance with his supervisor, his supervisor's superior, and a personnel representative. It provides an opportunity for the employee to present his case to a review panel and to an arbitrator if necessary.

C. A SYSTEMATIC APPROACH

Grievances can't be solved by ignoring them or by assuming that the employee is wrong. Making snap decisions without getting all the facts is pretty risky too. It's a good idea to follow an organized plan of action in order to come up with an effective solution. A supervisor has only five days in which to do this.

These steps may be useful as a guide for supervisors in working out solutions to most grievance problems:

1. Define the problem. It isn't always what seems obvious. Sometimes the complaint is an indication of a more deep-seated problem.

2. Examine the facts. Look at the problem from every point of view. Be sure to get the worker's side of the story.

3. Think of all possible solutions. Try to project what the effect of each one would be.

4. Select the best solution, the one you think would work out best for everyone. Get the opinion of your department head. Also consult with your Personnel Services Representative.

5. Act on it. If you don't have the authority to act, follow up until you find someone who does.

D. WHO MAY FILE A GRIEVANCE:

1. All non-temporary employees with appointments of 50 percent or more of full-time who have passed probation and all part-time non-student employees who have completed 260 work hours in one department. (Employees on the layoff list may grieve only with respect to their layoff status and layoff rights.)

2. Full-time probationary employees and part-time student employees who have not completed 260 work hours in a department; except termination may only be grieved under Rule 2.

E. THE FOUR STEPS

Step One: Oral Resolution: the employee and the supervisor

The employee and/or his/her representative take up the grievance with the supervisor informally no later than 30 days after the aggrieved condition occurred. The supervisor gives the employee his/her decision on disposition of the grievance within five days.

Step Two: Formal Resolution: the employee, supervisor's boss, and Personnel Services Representative

If the supervisor fails to act or if the employee is dissatisfied with the supervisor's decision, the employee may call his/her Personnel Services Representative to request further action.

Within five days the Personnel Services Representative arranges to meet with the employee and his/her supervisor's boss. The Personnel Services Representative records the proceedings at this meeting and attempts to mediate the dispute.

The supervisor has five days after this meeting to respond to the employee in writing, with a copy to the Personnel Representative.

Step Three: Grievance Review Hearing: The employee, supervisor, and Grievance Review Panel

If the employee is still dissatisfied, he/she has five days in which to call his/her Personnel Representative to request further action. Within 10 work days after this request, the Personnel Department will schedule a hearing to review the case before a Review Panel.

The Review Panel...

...is composed of the unit Vice President, the Personnel Director or their designees, and a member of the Grievance Review Board, selected by the employee.

The Grievance Review Board...

...consists of Civil Service employees representing a cross section of the University, selected from a group of volunteers by the Civil Service Committee.

All parties involved in the grievance may present written and oral testimony from previous meetings. The Panel may request additional testimony from other employees.

Decisions of the Review Board are binding upon the University.

<u>Step Four</u>: Arbitration: the employee, the supervisor, and the arbitrator

If the employee is dissatisfied with the decision of the Panel, he/she or his/her representative may within 10 work days, notify the Director in writing of his/her intent to appeal the decision to arbitration.

The appeal shall be a written stipulation stating the issues and on which issue or issues the employee is basing his/her appeal. Only these issues will be considered by the arbitrator.

Within three work days after filing of the appeal, the employee or representative and the Board of Regents shall appoint an arbitrator. If no agreement on an arbitrator can be reached within 10 days after filing of the appeal, one shall be appointed from a list of five provided by the State Labor Mediator. The parties shall alternate in striking names from this list, with the employee striking the first name. The last remaining name on the list shall be the arbitrator. Half of the cost will be paid by the Board of Regents and half by the employee.

The arbitrator shall schedule a hearing to be held within 45 calendar days of the receipt of the stipulation. The arbitrator shall notify the Director and the parties involved of the time and place of the hearing.

At the hearing, the parties shall submit their oral and written arguments. The arbitrator reaches a decision on the basis of this evidence, considering also whether both parties have made a good faith effort to present all relevant information during steps one, two, and three.

Within 30 calendar days after the hearing ends, the arbitrator shall make a decision and send written copies to the employee, his/her representative, if any, the supervisor, the department head and the Director. This decision is final and binding on both parties.

Copies of the grievance and the decision will be placed in the personnel files of each of the parties involved in the grievance.

(Further details on the grievance procedures may be found in Civil Service Rule 14.)

HOLIDAYS (Civil Service)

A. HOLIDAYS WITH PAY

The University grants Civil Service employees on a monthly salary nine paid holidays each fiscal year. Employees on an hourly salary do not receive holidays with pay. Employees in departments that operate seven days a week receive the same number of holidays as those who work Monday through Friday.

Holidays are always celebrated Monday through Friday. Major Saturday holidays are recognized on the preceding Friday and major Sunday holidays on the following Monday.

Six of these holidays are major holidays:

New Year's Day

Memorial Day

Independence Day

Labor Day

Thanksgiving Day

Christmas Day

The other three are "floating" holidays. Three floating holidays are scheduled each fiscal year by the Regents on days such as:

Friday before Labor Day

The day after Thanksgiving

The day before Christmas

The day before New Year's

President's Day

The day after Easter

Floating holidays are scheduled on the above days only if there are no classes held on those days and if they fall on Monday through Friday. Whenever possible, they will be scheduled on Mondays or Fridays. If scheduled floating holidays would seriously inconvenience some departments, they may obtain approval for a different holiday schedule.

B. WORK ON HOLIDAYS

Employees paid on a monthly basis who are required to work on a day recognized as a holiday will receive their regular day's pay plus additional pay at time and a half for the hours worked.

Employees paid on an hourly basis receive time and a half for the hours worked.

The following are guidelines that should be applied in administering this holiday:

A. If an employee's birthday falls on a holiday, he/she should have the next work day off or may instead use it at some other later time during the year. If the employee decides not to take his/her birthday (or the next appropriate day in the case of a weekend or holiday birthday), the day must be used in the fiscal year 1977-78 and may not be carried over to the next year.

B. If an employee's birthday falls on a weekend, the usual procedure for weekend holidays will apply. If the birthday falls on a Saturday, the employee should have Friday off. If it falls on a Sunday, the employee should have Monday off. As in Item A, if an employee decides to take another day later in lieu of the official birthday, it must be used in fiscal year 1977-78.

C. If the employee requests that the day be used later and the supervisor agrees, the employee may have the option of working on his/her birthday and taking the holiday later. As mentioned above, if it is taken later, it must be used in fiscal year 1977-78 and may not be carried forward to the next year. In this situation, the employee does not receive holiday pay for working on his/her birthday.

D. If the supervisor requires the employee to work on his/her birthday, the employee will receive holiday pay for that day.

Departments will be responsible for identifying employee birthdays. It is suggested that supervisors obtain a list from employees of their birthdays to identify personal holidays and to use in planning the department's vacation-holiday schedules.

On vacation-sick leave records, the code PH (for personal holiday) should be used to indicate the birthday or day taken in its place.

B. WORK ON HOLIDAYS

Employees paid on a monthly basis who are required to work on a day recognized as a holiday will receive their regular day's pay plus additional pay at time and a half for the hours worked.

Employees paid on an hourly basis receive only time and a half for the hours worked.

Employees have their choice of time and a half pay or time off at time and a half.

Holiday rates for employees who are paid "union" wages depend on the prevailing practice for the union involved.

Time worked on holidays...

...includes all hours worked between the midnight which begins the holiday and the midnight which ends the holiday. Fridays and Mondays are the time and a half days for holidays falling on Saturdays or Sundays.

If an employee works on a schedule other than Monday through Friday and a holiday falls on one of his days off, he gets another day off later to make up for it. This applies to full-time employees working on a rotating shift.

C. PAPER WORK

A record of holiday hours worked must be kept on B.A. form 76--Record of Overtime for Civil Service Employees (see 1-H-3, Exhibit I).

Overtime payment is made only on the Miscellaneous Payroll. All holiday overtime work must be substantiated by a Miscellaneous Payroll Time Card (see 3-P-1, Exhibit III).

UNIVERSITY OF MINNESOTA
Manual of Business Procedures
PERSONNEL SECTION

Index: 1-H-3
Page: 1
Date: 7-1-74

HOURS OF WORK (Civil Service)

A. THE CALENDAR WORK WEEK...

...at the University runs Sunday through Saturday in most departments. Sunday is the first day of the work week and Saturday is the last. However, departments may establish a work week other than Sunday through Saturday if it would be more convenient for their operation.

B. DISTRIBUTION OF WORKING HOURS

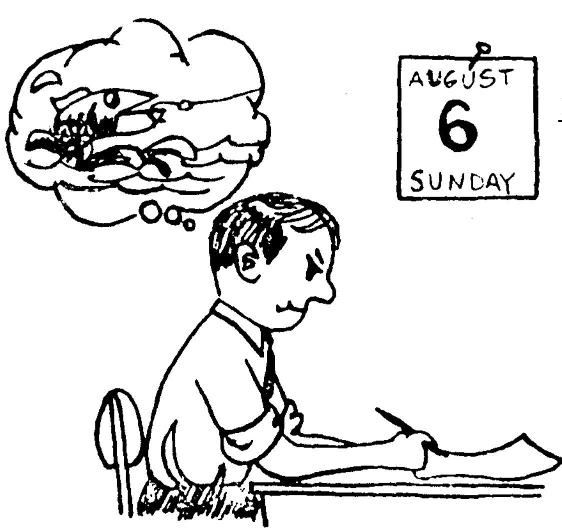
The full time work week for all Civil Service employees is 40 hours.

Employees must be given at least half an hour off for meals. At their own discretion, department heads may allow their employees to take two rest periods a day, one in each four hour work period. Employees working less than four hours at a time are not entitled to a rest period. The rest periods may not be for more than 15 minutes. If not used, they may not be deducted from the total hours of work or accumulated in any way.

Employees cannot be required to work a split shift which has them working more than 12 hours in any twenty-four hour day. This does not apply to student employees and those who are working on an emergency basis.

Seven-day departments

Employees in departments operating seven days a week must be given every other Sunday off. Those who are required to work on a Sunday they were supposed to have off are paid time-and-a-half for the hours they work. This rule does not apply to part time employees.



Four-hour work minimum

Any Civil Service employee (excluding students) who is required to report for full time work must be given a minimum of four hours' work on the day he reports. If there is no work to do, the employee must be given four hours pay. Employees will not receive this minimum pay if they report for work, but can't work because of illness.

C. OVERTIME

Overtime pay or time off

In the area of overtime, the University is governed by state law, the Minnesota Fair Labor Standards Act, which defines employees as either "non-exempt" or "exempt" from the overtime provisions of the Act.

Non-exempt employees are designated by an "F" after the class number in the salary schedules. The Minnesota Fair Labor Standards Act outlines how overtime is to be handled for these employees.

Non-exempt employees who work more than 40 hours in one job in any one work week are entitled, at their option, either to pay at time-and-one-half or to time off at time-and-one-half. (This doesn't always apply to hospital employees.)

For example: Employees who work 48 hours one week and who earn $4 an hour are entitled to $48 for their eight hours overtime or to 12 hours of time off. It's their choice.

Employees who work more than 40 hours a week in two or more University jobs, except when all of the jobs are "V" class positions, are compensated at a rate of time-and-one-half the rate of the highest paying job for all hours over 40 that are worked in one work week.

The Minnesota Fair Labor Standards Act doesn't provide overtime payment for exempt employees; they are governed only by the Civil Service Rules. The Civil Service Rules, however, do provide overtime payment for all exempt employees except "V" class. Employees in "V" class receive an extra half day of vacation per month in lieu of overtime.

Check Civil Service Rule 10 for applicable policies.

Emergency work...

...required of employees who are called in on a non-work day, or who have left their place of work for at least 30 minutes after completing the work day, must be compensated by at least three hours pay (two hours at time-and-one-half) or equivalent time off at the employee's option. This is true regardless of whether two hours were actually spent in meeting the emergency. Departments may require the employee to remain for the entire two hours if they feel it is necessary.

This provision also applies if the employee is called to work before the regularly scheduled work time and does not work continuously thereafter.

C. OVERTIME

Overtime pay or time off

In the area of overtime, the University is governed by state law, the Minnesota Fair Labor Standards Act, which defines employees as either "non-exempt" or "exempt" from the overtime provisions of the Act.

Non-exempt employees are designated by an "F" after the class number in the salary schedules. The Minnesota Fair Labor Standards Act outlines how overtime is to be handled for these employees.

Employees who work more than 40 hours in one job in any one work week are entitled, at their option, either to pay at time-and-one-half or to time off at time-and-one-half. (This doesn't always apply to hospital employees.)

For example: Employees who work 48 hours one week and who earn $4 an hour are entitled to $48 for their eight hours overtime or to 12 hours of time off. It's their choice.

Employees who work more than 40 hours a week in two or more University jobs, of which at least one is F class, are compensated at a rate of time-and-one-half the rate of the highest paying job for all hours over 48 that are worked in one work week.

There are no overtime regulations for exempt employees under the Minnesota Fair Labor Standards Act; they are governed only by Civil Service Rules. The University has designated certain exempt classifications as "V" classes (see salary schedule), which provide an extra half day of vacation per month in lieu of overtime.

Check Civil Service Rule 10.

Emergency work...

...required of employees who are called in on a non-work day, or who have left their place of work for at least 30 minutes after completing the work day, must be compensated by at least three hours pay (two hours at time-and-one-half) or equivalent time off at the employee's option. This is true regardless of whether two hours were actually spent in meeting the emergency. Departments may require the employee to remain for the entire two hours if they feel it is necessary.

This provision also applies if the employee is called to work before the regularly scheduled work time and does not work continuously thereafter.

D. PAPER WORK FOR OVERTIME PAY

A record of each employee's overtime must be kept on B.A. form 76 (Exhibit I).

(Further details on overtime payroll procedure will be found in the Fiscal Section of the Manual of Business Procedures.)

How payment is made

Payment for overtime is always made on the Miscellaneous Payroll using B.A. form 209, unless an employee is terminating with unpaid overtime to his credit (see procedure 1-T-1). Send the payroll through administrative channels to the Business Office. Overtime payment must be made no later than the pay period following the one in which the overtime was worked.

If employee prefers time off instead of payment, it is taken at a later date that is approved by the supervisor.

UNIV. OF MINN.
B.A. FORM 76
S91530
5-77—750(O)

RECORD OF OVERTIME FOR CIVIL SERVICE EMPLOYEES

Name Mary G. Green Department Curriculum & Instruction

1. Overtime (over 40 hours in one week on one job) and work on holidays may at the employee's option be compensated by granting time off at time and a half, or may be paid at time and a half as soon as the time can be submitted to Payroll.
2. After subtracting hours taken off and hours paid from employee's total, bring new balance down to column 1 for the next pay period.
3. V-class employees do not receive overtime pay.
4. Overtime work and work on holidays must be verified by time cards.
5. For explanation of holiday and overtime rules and policies, see 1-H-2 and 1-H-3, Manual of Business Procedures and Civil Service Rule 10.

HOLIDAY AND OVERTIME TOTALS: 1 Balance of hours due employee; 2 Overtime and holiday hours worked / Multiply by 1½; 3 Total hours due employee; 4 Hours taken off this pay period; 5 Hours paid this pay period

Month and Year																		1 Balance of hours due employee	2 Overtime and holiday hours worked / Multiply by 1½	3 Total hours due employee	4 Hours taken off this pay period	5 Hours paid this pay period
Jan 1975	First Pay Period	H	2	3	4	5	6	7	8	9	10	11	12	13	14	15	–		12 / 18	18		18
	Hours Worked	8			4																	
	Hours Taken Off																					
	Second Pay Period	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	0	6 / 9	9		9
	Hours Worked						6															
	Hours Taken Off																					
Feb. 1975	First Pay Period	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	–					
	Hours Worked																					
	Hours Taken Off																					
	Second Pay Period	16	H	18	19	20	21	22	23	24	25	26	27	28	29	30	31	0	11 / 16.5			16.5
	Hours Worked		8		3																	
	Hours Taken Off																					
Mar. 1975	First Pay Period	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	–					
	Hours Worked																					
	Hours Taken Off									8												
	Second Pay Period	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	0	16 / 24	24	8	16
	Hours Worked			8							8											
	Hours Taken Off												8									
Month and Year	First Pay Period	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	–					
	Hours Worked																					
	Hours Taken Off																					
	Second Pay Period	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31					
	Hours Worked																					
	Hours Taken Off																					

SAMPLE 7-1-77

EXHIBIT I

INDEX I-H-3

LEAVES OF ABSENCE (Civil Service)

A. LEAVE OF ABSENCE IS PERMISSION...

...to stay away from the job for a certain period. An employee can get paid during some leaves, but for others he/she can't. This depends on why he/she wants to take a leave and also on how much time he/she has coming.

This procedure tells how to get a leave, with or without pay.

B. LEAVES WITH PAY

Vacation leave and sick leave are considered leaves of absence with pay, but these topics are covered in separate procedures. VACATION LEAVE is procedure 1-V-1; SICK LEAVE is procedure 1-S-3.

Short-term military leave is a paid leave not to exceed 15 work days per year. Employees who are members of Reserve units or the National Guard are the ones usually affected by this situation.

To apply for short-term military leave, a Leave of Absence form (B.A. form 505, Exhibit I) is submitted by the department head. Send the form (six copies) through your dean or administrative officer to the Director of Personnel for approval.

Information on military leave without pay is given under paragraph C.

Scientific or professional meetings

Jury duty

A leave of absence with pay may be granted to an employee for jury duty, provided the employee works regularly at least 20 hours a week and is paid on a semi-monthly salary rate. The department should send a completed Leave of Absence form to University Personnel Department. A staff member receives full pay as long as he/she is serving on the jury; this is in addition to jury pay. He/she is expected to report for work during jury recesses. He/she may also be requested to render some additional services to his/her department in order to minimize interruption of service caused by his/her absence.

Other leaves with pay

A department head also may give leaves with pay to employees:

1. for appearing before a court, legislative committee or other judicial body as a witness in action which involves the federal government, the State of Minnesota (or one of its subdivisions), or the University, in response to a subpoena or another order from proper authority.

2. for attending court in connection with official duty. (If, on the other hand, an employee is absent voluntarily or in response to a legal order to testify in a private case--as an individual rather than as a University employee--absence must be taken as vacation, leave without pay, or as a deduction from accumulated overtime.)

C. LEAVES WITHOUT PAY

Extended sick leave might have to be taken without pay if an employee hasn't earned enough sick leave credit to cover the absence. The unexpired time of the leave is cancelled if the employee returns to work before it expires. Send another Leave of Absence form to Personnel with the corrected expiration date.

Military leave without pay is given so that full-time employees won't lose Civil Service rights and privileges when they are called to active duty in the armed forces.

All full-time Civil Service employees who are drafted are entitled to military leave without pay for up to four years of service in the armed forces of the United States or the State of Minnesota.

During periods of military service employees are credited with the same seniority (length of service) that they would have received if they had been working at the "U" all the time.

Military leave is counted the same as days worked in determining the completion of five years of service, which entitles employees to an additional quarter day of vacation leave each month.

They keep their retirement status even though they don't make payments while they are on leave. They can get credit for years of service toward retirement just as if they were working here all the time. If they desire to receive credit they must make payments into the Minnesota State Retirement System to cover the period of their absence. Send in a Change in Status form (Exhibit II) when veterans return to their jobs.

Travel or study

Leaves without pay may be granted for travel or study on the basis that this type of self-improvement will enable the employee to do a more effective job.

Pregnancy

A pregnant employee will be granted a leave of absence without pay for up to six months.

Leaves of more than five days

B.A. form 234 (Exhibit I) must be submitted to the Personnel Department for Regular Payroll employees who are going on a leave of absence without pay for more than five working days. Remember to attach the employee's Vacation and Sick Leave Record. The record will be returned to the department along with the department's copy of the Leave of Absence form. The instructions for military leaves with pay (under paragraph B) also apply to leaves without pay.

No form is required for Miscellaneous Payroll employees (unless the leave is necessary because of accidents at work--see procedure 1-A-1). However, if the leave is to be a long one--six weeks or more--and the department head wishes it to be made a matter of record, B.A. form 234 may be submitted to the Personnel Department.

Leaves of five days or less

Leaves of absence without pay of five working days or less don't require a form unless a holiday will occur the first day of the leave. In this situation the leave should be documented. (Employees who work the day following a holiday are paid for the holiday. If employees are on leaves of absence without pay the day following a holiday, they will not be paid for the holiday.)

For Regular Payroll employees, departments should carefully check payroll entries which concern these employees. Indicate the dates of the leave of absence without pay, and correct earnings on the payroll sheets.

For Miscellaneous Payroll employees, the time missed must be taken into consideration when you submit the payroll. Make a notation giving the dates of the leave without pay. (Further details appear in the Fiscal Section of the Manual of Business Procedures.)

LAYOFF OF EMPLOYEES (Civil Service)

A. THE REASON FOR LAYOFFS

A layoff is not a dismissal. It's the release of an employee because his job is discontinued.

Jobs may be discontinued because of lack of funds or work, and an employee who is laid off is often rehired. A layoff does not discredit the employee in any way.

To protect employees, the Board of Regents has set up rigid procedures concerning the order of layoffs and rehiring. These rules must be followed. See Civil Service Rule 12.

There's no other correct way to lay off employees. If the Regents' rules are not followed, employees will be laid off unjustly. Departments would then be responsible for serious grievances.

B. THE ORDER OF LAYOFFS

Within any one work classification in a department, the order of layoffs must be as follows:

1. Temporary employees
2. Employees in trainee positions
3. Employees who have not completed their probationary period in any order the department head chooses
4. Permanent employees who have passed their probationary period and who therefore have Civil Service status, must be laid off according to least seniority. This means that the newest employee in each classification within a department must be laid off before the next newest, and so on.

When two or more employees in the same class and department have equal seniority, their department head determines in what order they'll be laid off by deciding who is the most valuable to the University.

C. LAYOFF NOTICE

Employees who are going to be laid off must be given a written notice telling why the layoff is necessary. Written notice must be given to full-time employees who have continuing status at least two weeks in advance. Oral notice can be given to occasional, probationary, and temporary employees.

Remember to send the correct termination document to Personnel Records (see procedure 1-T-1).

Employees in continuing positions

A department head must give written notice to an employee with continuing status at least two weeks before the employee can be laid off. Reasons for the layoff must be given in the notice. (The two weeks notice should not include the employee's accumulated vacation credit.) Be sure to send a copy of the notice to the Director of Personnel.

If you hire someone to fill a position that has a beginning and ending date, appoint employee on a temporary appointment. The employee must be notified of the temporary nature of the appointment in writing at the time of appointment. (See Rule 6, Section 6.) Employees on temporary appointments do not serve probationary periods and do not have the same rights that are available to employees on continuing appointments.

Indicate the ending date on the Personnel Requisition (B.A. form 465) when you send it to the Personnel Office to recruit applicants for the job.

Probationary and temporary employees

Two weeks notice is not necessary for laying off employees who have not acquired continuing status. But try to give reasonable notice (at least one to two weeks). Notify both the employee and the Director of Personnel.

D. LAYOFF LISTS KEEP TRACK OF SENIORITY

Employees who are laid off after they have acquired Civil Service status will, upon request to the Personnel Department, be placed on a University layoff list.

It's up to the department head...

...or supervisor to tell the employee that in order to get on the University's official layoff list, he/she must either send a written request to the Personnel Department or apply there in person. Employees on a layoff list will be rehired in seniority order in positions for which they apply, ahead of all other applicants for vacancies within a previously held classification, if qualified to perform the work.

An employee's name will remain on the layoff list for a period not to exceed one year. If the employee is re-employed within that time, the employee's name will be removed from the layoff list.

E. REHIRING FORMER EMPLOYEES

An employee has the right to refuse re-employment to the first and second positions of equivalent classification and reasonably close salary offered, but must accept the third or be removed from the layoff list. This does not apply to positions at another campus.

Employees who have not completed the probationary period in their present jobs but have worked in other positions retain seniority in each of the classes in which they have worked. They may choose demotion instead of layoff into positions for which they are qualified if a vacancy exists or if they have greater seniority in formerly held classes than the least senior incumbents.

The seniority of former employees who are re-employed begins on the date of re-employment unless they are re-employed in the same department they previously worked in, in which case the seniority at the time of termination is restored.

When former employees are re-employed from the layoff list, their unused sick leave and time accumulated toward eligibility for vacation allowance based on years of service are restored on the date of re-employment.

F. PAPER WORK FOR REHIRING

To rehire a former employee, send a Personnel Requisition (B.A. form 465) to the Personnel Department (see procedure 1-A-2).

The procedure to follow in rehiring a former employee is the same as the procedure for hiring someone new to the University.

No one can be reemployed until the Personnel Requisition has been sent to the Personnel Department and the official Notice of Vacancy has been posted on the Civil Service bulletin boards for five days.

G. LAYOFF RULES FOR EMPLOYEES IN BARGAINING UNITS

Employees in skilled trades, who are paid the prevailing hourly rates for their trades, may be laid off by department heads according to seniority regulations for the employee's particular trade.

In case there is no established practice for a trade, the order in which employees are laid off is up to the foreman or department head. It should depend on which employees are considered most valuable to the University.

Advance notice should be given according to the common practice for the particular trade. Oral notice is sufficient in most cases and should be given ahead of time whenever possible.

These procedures make sure that former employees will have the first chance of being re-employed. They give former employees the chance to be re-employed in their old departments and to be considered first for jobs in other departments.

H. LAYOFF RULES FOR EMPLOYEES IN SKILLED TRADES

Employees in skilled trades, who are paid the prevailing hourly rates for their trades, may be laid off by department heads according to seniority regulations for the employee's particular trade.

In case there is no established practice for a trade, the order in which employees are laid off is up to the foreman or department head. It should depend on which employees are considered most valuable to the University.

Advance notice should be given according to the common practice for the particular trade. Oral notice is sufficient in most cases and should be given ahead of time whenever possible.

PROBATIONARY PERIOD (Civil Service)

A. THE PROBATIONARY PERIOD...

...is a trial period during which new employees are trained in the duties of their jobs. It shows whether they can meet the department's standards of performance.

It applies to all Civil Service employees who are appointed on a monthly rate in a continuing position and work at least 50 percent time or more when they are first hired, and applies again whenever they are transferred, promoted, or demoted. (Employees in temporary positions or on trainee status do not serve probationary periods.) No probationary period is required of an employee who is an incumbent in a reclassified position, who is assigned to a different position in the same job class in the same department, or who is reemployed in the same class and department following layoff or reinstatement after resignation. However, a probationary period may be requested by the appointing authority; the Director of Personnel must approve it. The department head or supervisor is responsible for telling new employees about the probationary period and for helping them meet the expectations of the job.

How long is it?

Some job classes require a probationary period of three months (such as bargaining unit classes); some require six months. Most of the professional, administrative and more specialized classes have a 12-month probationary period.

The probationary period is extended by as many work days as the employee is off the payroll during the period (because of illness, layoff, or other leaves without pay). This gives every employee an equal opportunity to take advantage of the entire probationary period in learning the job and in trying to make good.

A formal review, using the Employee Performance Appraisal Form (Exhibit I of procedure 1-P-3) is required near the end of the probationary period. Personnel will send the form and explain the procedure about a month before this.

B. THE DEPARTMENT HEAD AND THE NEW EMPLOYEE...

...must share the responsibilities of a probationary period if it is to serve its purpose most effectively.

The role of the department head

An employee starting a new job frequently has major adjustments to make--to the work group, the supervisor, the work place, the work methods. The department head, or the supervisor to whom the "breaking-in" job is delegated, can do a great deal during this period to help the worker become a satisfied and productive employee.

Each supervisor is responsible for...

...helping new employees get acquainted with the department, its purposes, its activities, and its staff;

...explaining in detail what the duties and responsibilities of the job are, and how it fits into the total picture;

...training employees systematically in how to perform each of their tasks;

...informing employees about the department's work standards and showing how to meet them;

...explaining the Civil Service Rules and the department's own work rules;

...reviewing employees' progress frequently, and inviting them to request performance appraisals whenever they wish (see procedure 1-P-3);

...showing employees how to improve.

A supervisor who gives new employees a clear understanding of what's expected and helps the employee in a constructive way to meet these expectations will eventually build a productive loyal staff.

C. IF THE EMPLOYEE PASSES...

...the probationary period, he/she acquires continuing status. This means that the employee has the right to be heard in case any problems come up, and that she/he can't be released unless there is a good reason for it. Civil Service rights and benefits are the same for both Regular and Miscellaneous Payroll employees.

D. PROMOTIONS AND TRANSFERS

If employees change jobs through promotion or transfer and don't pass the probationary period of the new job, they can return to their former jobs, provided they have passed the probationary period in those jobs.

E. IF EMPLOYEES DON'T MAKE GOOD...

...They may be released any time before the last day of their probationary period. They must be given five days notice, but two weeks is preferable. In fairness to employees, they should be told why they are being terminated. Be sure that a Performance Appraisal form (Probationary Rating) is submitted to the Personnel Department before the employee is released.

If the employee is well qualified, the Director may give permission to apply for another vacant position. If the employee is hired for a continuing position, he/she starts a new probationary period.

EXHIBIT I

CS-D-1

MAILING DATE: May 8, 1972

UNIVERSITY OF MINNESOTA
PROBATIONARY EMPLOYEE SERVICE RATING

DATE APPOINTED	SOCIAL SECURITY NO.	EMPLOYEE NAME	PAYROLL
12/15/71	468-62-5263	Wilson, Dorothy Mae	☐ Miscellaneous ☒ Regular

DEPT. NO.	DEPT. NAME	CLASS TITLE	CLASS NO.
2109	Engineering	Senior Clerk-Typist	1224

The probationary period is a part of the employment examination process for Civil Service employees of the University and must be successfully completed if the employee is to be continued in his new position. During the last month of the probationary period, the employee's supervisor must submit a service rating evaluating the quality of work, quantity of work, attitudes, and habits of the employee. This rating must indicate whether the employee will or will not pass the probationary period.

The employee should list the main tasks, duties, and responsibilities of his job in the left-hand column below. Then, if the employee wishes, he may record his own ideas as to how well he is doing each task by rating himself on both "Quantity of Work" (how fast or slow he works on each task) and "Quality of Work" (how poor or perfect are the results of his work) in the space under "Employee Self-Rating" using the following scale: NEEDS IMPROVEMENT (N); UP-TO-STANDARD (S); OUTSTANDING (O). Plus or minus signs may be used to indicate finer gradations. The supervisor must then also rate the employee on each task using the same scale, complete the reverse side of the form, and discuss the rating with the employee.

1. TASKS, DUTIES, AND RESPONSIBILITIES	EMPLOYEE SELF-RATING		SUPERVISOR RATING		NOTES
	QUANTITY OF WORK	QUALITY OF WORK	QUANTITY OF WORK	QUALITY OF WORK	
Type letter	S	S	N	N	Needs to improve both speed and accuracy. Now attending typing refresher course in evening school
Type stencils and ditto masters	S	S	N	N	
Prepare miscellaneous payroll	S	S	S	S	
Answer telephones	O	S	S	S	
File	S	S	S	S	
Prepare business and personal documents	N	N	N	N	Not familiar enough with business forms but will be enrolled in the next Business Procedures Course.
Office receptionist	S	S	S	S	

SAMPLE
7-1-72

ATTACH AN ADDITIONAL RATING FORM IF YOU NEED MORE SPACE TO LIST DUTIES

2. HABITS, ATTITUDES, AND ATTENDANCE	The supervisor is to rate the employee on each of the following items according to the following scale: Needs Improvement (N); Up-To-Standard (S); Outstanding (O). Plus or minus signs may also be used.	
	RATING	COMMENT AND GIVE EXAMPLES HERE
WORK HABITS		Frequently approaches tasks in an ineffective round about manner. Needs to organize work better and be more alert to ways of improving efficiency
Planning of work	N	
Use of work time	N	
Care of equipment and work place	S	
Improvement of work methods	N	
ATTITUDES		Is very conscientious and tries to carry her share of the work load. Somewhat sensitive to criticism. Have heard favorable comments from other departments about her telephone manners.
Toward work	S	
Toward fellow workers	S	
Toward supervisors	N	
Toward students and public	S	
ATTENDANCE AND APPEARANCE		
Adherence to work time rules (tardiness, breaks, etc.)	S	
Adherence to time-off rules (proper request for leave, etc.)	S	
Adherence to safety rules	S	
Personal appearance and hygiene	O	

3. What is your decision concerning whether this employee passes probation?

☒ WILL PASS PROBATION

☐ WILL NOT PASS PROBATION

4. Discuss this rating with employee, then give the employee an opportunity to record his reaction to the rating in this space.

I feel that Prof. Craig has been fair in his comments. I like my work very much and appreciate all the help I have received from my fellow workers. I'm sure that my work will improve with more experience and training.

DATE RATING WAS DISCUSSED WITH EMPLOYEE: May 8, 1972

EMPLOYEE SIGNATURE: Dorothy Mae Wilson
(This signature does not necessarily mean that the employee agrees with the rating.)

IF NOT DISCUSSED, WHY NOT:

SIGNATURE OF PERSON MAKING RATING	TITLE OF PERSON MAKING RATING	LOCATION AND TELEPHONE NUMBER
Stephen Craig	Asst. Professor	132 ME 3-3456

COMMENT OF DEPARTMENT HEAD: I have not yet had an opportunity to observe Mrs. Wilson's work at first hand.

SIGNATURE OF DEPARTMENT HEAD: Wm Henderson

DATE: 5 - 9 - 72

PROMOTION AND TRANSFER (Civil Service)

Procedure 1-A-2, APPOINTMENT AND RECRUITMENT, should be read along with this procedure, since procedures for promotion and transfer are closely related to those for recruitment and appointment.

A. PROMOTION...

...is the change of an employee from a position of one class to a position of another class which is assigned to a pay range at least one step above his/her present range at the midpoint of the two ranges.

Two ways of being promoted

An employee may be promoted by being appointed to a vacant position with a higher classification or through the upward reclassification of the job he/she has at present.

All present University employees who qualify for vacant jobs are given the opportunity to apply for promotion. They will be referred for consideration in the following order:

1. The incumbent of a position that has been reclassified.

2. Former employees on the layoff list.

3. Current University employees.

4. All other applicants

This order changes if the position is an affirmative action position requiring Form 18 approval.

The best-qualified person is then selected for the job.

When a department asks to have a job reclassified, the Personnel Services Representative reviews the job to see if there have been important changes in duties and responsibilities. Jobs that merit it are reclassified. (See procedure 1-C-1.)

If an employee is already working in the department with the vacancy, he/she should go to the Personnel Department to make application for the position. If an interview (and possibly additional tests) shows that he/she is qualified, a referral card will be issued.

NOTE: No final promise concerning the promotion can be made to any applicant until the Notice of Vacancy for the job has been posted on the official Civil Service bulletin board for five work days.

During this period other qualified and interested persons must be given the chance to apply and be considered for the job.

What the Personnel Office does

The University Personnel Department must certify an employee as qualified for a job before he/she can be formally appointed.

What about the raise?

Employees promoted to a higher salaried position always receive a raise in pay. Check with your Personnel Services Representative for the correct amount of the increase under the present Compensation System.

B. TRANSFER...

...is the change an employee makes from a position in one department to a position in another department which is assigned to a salary range with the same starting step or change of classification in the same department with a salary range with the same starting step. Probation is required.

Who can ask?

Transfers may be made at the request of employees. In all cases they must be approved by the Director of Personnel.

Handling of requests...

...is done by your Employment Representative.

The employee requesting a transfer should get in touch with the Employment Representative assigned to serve his/her department. Each request is handled on an individual basis. The Employment Representative will gather all the information needed, talk with the various personnel concerned, and certify and refer the employee if the transfer is justified and possible.

When a transfer is made, the Director of University Personnel decides what step in the salary range of the new job is to be received. Each case is decided on its own merits. When the transfer is between jobs of the same class, there is usually no salary change.

Employees who transfer to new departments start to earn their seniority there. (They still keep their seniority in the old departments, in case they should ever transfer back.)

PERFORMANCE APPRAISALS (Civil Service)

A. PURPOSES

There are several reasons for conducting performance appraisals. Probably the most important reason is that employees want to know how well they are doing their jobs. Job performance information is vital if employees are to learn their jobs well and develop their capabilities.

Performance appraisals provide information that can be used as a basis for making equitable salary decisions. They also provide documentation of job duties and performance that is of help in selecting employees for transfer or promotion.

A performance appraisal should be prepared near the end of an employee's probationary period, whenever an employee is eligible for a salary increase, or any other time the employee or supervisor agree that it is appropriate. Use the Employee Performance Appraisal Form (B.A. form 439 - exhibit I).

B. THE GROUNDWORK

The first step in the appraisal process is for either the employee or the supervisor to list the employee's major duties or objectives in the appropriate section of the performance appraisal form. Preferably, this is done at the start of the rating period so that the employee and supervisor agree in advance on the work to be accomplished. At this time also, it is desirable for the supervisor and employee to establish the performance standards that the supervisor will use in measuring the adequacy of performance on each of the major tasks or objectives. These standards will normally be incorporated into the statement of the objectives. Many times performance standards will be subjective such as in counseling or artistic assignments; but even in those cases, some agreement on standards should be attempted.

It should also be determined which duties or objectives are most important. Employees may have to make decisions on the order in which to complete projects. They want to know which duties or objectives will be given most weight when they are rated.

C. KEY POINTS

1. Involve employees as much as possible in all aspects of the performance appraisal process. The supervisor needn't feel that he or she is abdicating responsibility if employees are involved. Not only does the supervisor get helpful information but employees will have a sense of involvement in the process.

2. Communicate about performance frequently. Change duties, priorities and objectives as conditions change. One of the quickest ways to make the performance appraisal process irrelevant is to let things get out of date. It may be desirable, for example, to formally discuss performance at least once each quarter.

3. Be specific in performance discussions. The use of specific examples of good or bad performance is of much more help to employees than general comments.

4. Recognize environmental factors that enable or prevent employees from successfully carrying out responsibilities. Factors such as improper equipment, lack of cooperation from another department, or inability of employees to carry out the job may contribute to performance problems.

5. Be honest. It is rarely to anyone's advantage to conceal or overlook performance problems. Employees cannot improve if they are not aware of problems, and supervisors cannot support disciplinary or other action if there is no documentation and discussion of problems.

6. Be constructive. When supervisors have to be critical they should do so in a positive manner that helps employees overcome problems. Set forth the specific problems and develop ways to eliminate them.

The employee's signature is required on the Performance Appraisal form to indicate that he has had a chance to read it. It doesn't mean that he or she agrees with the rating, however. Employees may write comments on the rating in the space provided and after discussing areas of disagreement with their supervisor, may ask the next highest level supervisor to review their supervisor's decision.

D. TERMINAL APPRAISAL...

...must be submitted on a Notice of Employee Separation and Final Service Rating (B.A. form 230--exhibit II of procedure 1-T-1) for all Civil Service employees who terminate. The information on this form is necessary for processing of unemployment compensation claims.

Probationary Service Ratings are discussed in procedure 1-P-1.

(P-131A)
7-78

EMPLOYEE PERFORMANCE AND/OR PROBATIONARY APPRAISAL FORM*

Date Appointed In Class	Employee Name	Social Security No.	Schedule/ Range No.	Below Midpoint ☐ At or Above Midpoint ☐ At Maximum or Above ☐	Current Annual Salary
Department No.	Department Name	Class Title	Class No.	☐ Misc Payroll ☐ Reg Payroll	☐ Performance Appraisal ☐ Probationary Appraisal ☐ 3 mo ☐ 6mo ☐ 12 mo

Major Duties and/or Objectives	% Time or Importance	Performance Results	Performance Level
(Supervisor and employee list *major* duties and/or objectives at start of review period.)	(Optional)	(Supervisor summarize how employee performed in terms of quantity, quality and timeliness of work. Consider and note factors beyond the employee's control.)	(Indicate performance level. See back.)

SAMPLE 7-1-78

EXHIBIT I

INDEX I-P-3

Considering performance on separate duties and/or objectives, as well as their relative importance or frequency, *circle* the performance level that best indicates overall job performance. Supervisors may wish to multiply each performance level times % time of duties, total them and divide by 100, or use other weighting techniques. Round overall level to nearest whole number.

Overall Performance Level

5	4	3	2	1

* This form should be used for either a salary action and/or probationary appraisal. If this is a probationary appraisal, please check the timing guidelines to see if a salary action is appropriate.

Performance Level Definitions		Salary Action
Performance Level Should Be:	**When performance on a particular assignment or project has been:**	**(See Guidelines for Performance Actions)**
5	Outstanding—well above job performance standards. Best possible job in most respects.	Annual Salary Increase $______ and New Annual Salary Base; $______ or
4	Superior—above job performance standards. Normally exceeds job requirements.	Lump Sum Increase $______
3	Satisfactory—meets performance standards. Work is on time; meets quality and quantity requirements.	Effective Date ______ Date of Last Performance Action (hire date if no action taken) ______
2	Adequate/Marginal—meets minimum performance standards. Work completed is deficient in several respects and needs improvement.	If this rating marks the end of the employee's probationary period, does the employee pass probation?
1	Unsatisfactory—does not meet performance standards. Work is clearly unacceptable.	☐ Yes ☐ No

Supervisors may choose to have preliminary performance appraisal discussions with employees before forwarding the appraisal form to the department head for comment. To insure fiscal and policy compliance, appraisals are not final until the department head has signed this form.

Supervisor's Signature____________________ Date________

Campus Address____________________ Phone________

Additional Comments:

Dean or Department Head's Signature____________________ Date________

Employee's Signature____________________ Date________

Employee's Comments:

REHIRING (Civil Service)

A. THERE ARE TWO WAYS...

...to rehire a former employee, and the way he/she is rehired will make a difference in regard to probationary period, vacation and sick leave credit, salary step, and other factors.

If employee held continuing position and is reemployed within one year...

...his/her department head may wish to restore any or all of these things:

- --unused sick leave
- --seniority (not counting the time he/she was gone)
- --vacation leave accumulation rate and eligibility

The employee may not have to serve a new probationary period. He/she may use the vacation time as it is earned after reemployment without waiting another six months.

The department head should write a letter to the Director of Personnel, making clear exactly what is recommended.

If employee did not hold a continuing position, or is not reemployed within one year...

...he/she has the same status as a new employee; starts a new probationary period and a new six-month waiting period for vacation privileges; will be eligible for sick leave as earned, but not for any credit that may have been earned before; starts earning vacation leave at the beginning rate, and begins a new seniority record.

The department may recommend (by letter to the Director of Personnel) that the employee be hired above the minimum step in the same class he/she had before or in a related one. (Also see procedures 1-A-2 and 1-L-3.)

SALARY PLAN

A. THE UNIVERSITY WANTS TO PAY...

...fair salaries to all employees. Its staff compensation plan attempts to pay on the basis of job difficulty--"equal pay for equal work"; to pay equal to the average wage paid by other employers for each kind of work; to provide pay increases based on changes in the cost of living; to offer an opportunity for better performers to earn higher salaries.

Each class of positions (see procedure 1-C-1) at the University has been assigned a "pay range." Pay ranges consist of a minimum, midpoint, and maximum salary for each classification. Ranges vary because of labor market factors and differences in the difficulty and responsibility of the work.

Salary ranges are uniform for all University departments. A clerk typist in one department is paid within the same range as a clerk typist in another.

B. ANY EXCEPTIONS?

Employees in the printing and construction trades and a few other classes of work can collectively decide whether they want to come under the compensation plan or the master or uniform contracts agreed to by their unions and employers' associations.

C. HOW THE PLAN WORKS

It's the job of the University Personnel Department to recommend needed changes in the compensation plan for non-bargaining unit employees. These must be approved by the Civil Service Committee and the Board of Regents.

Major revisions to the compensation plan are normally made at the start of a biennium since that is when the Minnesota Legislature appropriates most of the University's funds.

Salary administration for certain classifications are governed by the provisions of bargaining unit agreements. These contracts are negotiated at specific times by the University and professional or trade unions.

SALARY INCREASES FOR NON-BARGAINING UNIT EMPLOYEES

Cost of Living

Cost of living increases are given when changes in the local consumer price index so justify, provided the Legislature appropriates the funds. A formula establishes the amount of the increase.

Performance

Performance increases are granted to employees paid less than the maximum of their salary range depending upon their actual performance and the performance standards for their position. The increase amounts are also influenced by employees' current salaries and legislative appropriations.

Conversion

A conversion increase is granted to insure that University salaries are competitive with like positions in public and private organizations. Conversion increases are based on salary surveys conducted by the State of Minnesota and the University. Since the labor market changes differently for different occupations, all employees may not receive the same amount of increase.

SALARY INCREASES FOR BARGAINING UNIT EMPLOYEES

The types of salary increases for bargaining unit employees vary with the different agreements. Three types of increases are typically used. The following descriptions are general and may be modified in actual contracts.

Cost of Living

Some contracts provide for cost of living increases, which are usually based on increases in the Consumer Price Index. Specific formulas are used to relate the amount of increase to salary rates.

Progression

Progression increases are granted on fulfillment of length of service requirements. These increases normally advance employees to a probationary or base rate or through a series of steps within a salary range.

Stability and Longevity Pay

Stability and longevity pay may be granted to employees after completion of length of service requirements. This type of payment differs from a progression increase in that it is maintained as an amount separate from base pay and paid in a lump sum payment or as an additional sum received each pay period.

D. YOU'LL FIND THE RANGES...

...now in effect for each kind of work published in numerical and alphabetical lists of job classifications. These lists are sent to departments by the University Personnel Department each year.

E. NON-SALARY PAYMENTS

University employees may not receive room and board as a part of regular pay unless this is required in order to give satisfactory work performance. If facilities or services are provided, their value is taken into account in establishing the salary for the job.

F. SUPPLEMENTS TO BASE SALARY

Eligible bargaining unit and non-bargaining unit employees receive supplements to their normal base salary when they are required to work overtime and work night or evening shifts. The Civil Service Rules and bargaining unit contracts explain these and other types of supplementary payments.

G. MONTHLY, SEMI-MONTHLY, AND DAILY RATES...

...are figured from the hourly rate established in the salary plan (except for trades paid at prevailing hourly rates). These formulas are used:

Hourly Rate x 174,
rounded to nearest whole dollar = monthly rate
monthly rate x 12 = annual rate
monthly rate ÷ 2 = semi-monthly rate

$$\text{Daily Rate} = \frac{\text{Semi-monthly rate}}{\text{Number of work days in pay period}}$$

SICK LEAVE (Staff)

A. SICK LEAVE WITH PAY...

...is time off granted to staff members who have to be absent from work because of sickness or injury, because they have been exposed to a contagious disease which might be spread at work, or for medical or dental appointments. Sick leave may also be used to cover absences when a woman is unable to perform the duties of her job because of pregnancy, up to the time of termination or leave of absence.

Sick leave may also be granted to employees who need to make arrangements for care necessary for a member of the employee's immediate family who is seriously ill. Immediate family means spouse, minor children, or parents of the employee.

In case of death in the immediate family (defined as spouse, co-habitor, parents of spouse, and the parents, grandparents, guardians, children, brothers, sisters, or wards of the employee), a reasonable amount of sick leave may be used to make funeral arrangements, attend the funeral, and travel.

Use of additional leave in extenuating circumstances must have the approval of the Director of University Personnel.

Applying for sick leave

An employee applies informally to his/her department head. No application form is necessary.

If he/she gets sick at home, he/she must get in touch with the department head or supervisor the next morning (if it's a work day) and request use of sick leave, or have someone else do so. During short illnesses, he/she should telephone every day, so the department head will know when to expect him/her back and can plan the work accordingly.

The supervisor, department head or Director of University Personnel may ask employees who are on sick leave for a doctor's statement. They may require an employee to return to work or resign if there is proof that he/she is not actually sick.

If an employee becomes ill or is injured while on vacation, the supervisor may grant the use of sick leave for those days for which proof of illness or injury is established.

A supervisor may require an employee to return home or to see a physician if apparent ill health prevents the employee from performing satisfactorily.

B. HOW SICK LEAVE IS CREDITED

Full-time Civil Service employees are credited with one day of sick leave for each calendar month they work at a monthly rate of pay at a designated percentage of time. One extra day is credited at the end of each full year of service. Less than full-time employees whose regular assigned work time is 75 percent or more of a full-time work month earn sick leave credit in proportion to their working time. Employees who work 50 to 74 percent also earn a proportionate day of vacation after they have completed the three year eligibility period in a continuing position.

An employee must work <u>at least 75 percent of the established full-time work schedule (40 hour week) or 50 percent (if on a 50-74 percent time appointment after three years of service</u>) in any calendar month in order to be credited with sick leave for that month. (Leave <u>with</u> pay is counted as work time.) If at any time the employee's actual hours worked fall below 75 percent (or 50 percent as stated above) he/she will not be credited with sick leave for that month.

When accumulated sick leave reaches 50 days or more, the employee has the option of adding 1/4 day to the vacation balance. The earning rate for sick leave will then be 3/4 day per month; vacation leave earning rate will be increased by 1/4 day. The vacation maximum will increase proportionately when this option is used. A monthly balance of 50 or more sick days must be maintained in order to use the 50 sick-day option.

When accumulated sick leave reaches 100 days or more, the employee has the option of adding 1/2 day to the vacation balance. The earning rate for sick leave will then be 1/2 day per month; vacation leave earning rate will be increased by 1/4 day. The vacation maximum will increase proportionately when this option is used. A monthly balance of 100 or more sick days must be maintained in order to use the 100 sick-day option.

C. IT MAY BE USED AS ACCUMULATED

Sick leave may be applied for as needed after it has been accumulated. Accumulation rate is based on percent of time worked. An employee may <u>not</u> apply for any day of sick leave during the month in which he/she is accumulating it. He/she doesn't accumulate the day until he/she has worked the entire month, so it's not available for use until the first of the following month.

<u>For example</u>:

1. An employee who works a regular forty-hour week is credited with one eight-hour day of sick leave for each calendar month worked. To obtain it, he/she must work at least 75 percent of 40 hours a week during the month. At the end of a full year of service he/she is credited with an extra day.

2. Suppose that an employee's regular assigned working time is 6 hours a day (a total of 30 hours a week). Because he/she works three-fourths of full-time he/she is credited with a six-hour day of sick leave each month. To obtain it, he/she must work the full assigned work schedule, 30 hours a week (75 percent of full-time) each month. At the end of a full year of service he/she is credited with an extra six-hour day.

An employee who transfers from one University department to another keeps accumulated sick leave credit.

Employees accumulate sick leave during leaves of absence with pay (vacation, sick leave) but NOT during leaves of absence without pay if the leave amounts to more than 25 percent time in a month (or 50 percent if the employee usually works 50-74 percent and has been employed by the University for three consecutive years).

The only employees who are not affected by these sick leave provisions are skilled tradesmen who work under their unions' rules on sick leave.

D. IF THE EMPLOYEE HASN'T ENOUGH SICK LEAVE...

...to cover the absence, accumulated vacation leave may be used to make up the difference. Or if it is convenient to the employee's department, the time can be made up in the same week in which the employee was sick. If neither of these is possible, the employee will be docked for his absence. Absences not covered by sick leave or vacation leave should be adjusted on the next payroll.

Leaves of absence

An employee who has to be absent from work for an unusually long time may request a leave of absence without pay to cover the absence. The way to do this is explained in procedure 1-L-1.

E. RECORDS TO BE KEPT

Departments must keep an accurate record of how much sick leave each eligible employee accumulates, uses, and has to his/her credit. This record is kept on a Record of Vacation, Sick Leave and Other Leaves of Absence (B.A. form 426--Exhibit I), in ink only, not with pencil.

Credit for accumulated sick leave for 100% appointments should be recorded by days. If the appointment is less than 100%, convert to hours. For appointments for less than 100%, record the scheduled work week on the Record of Vacation, Sick Leave, and Other Leaves of Absence. (For example: five 6 hour days, four 7 1/2 hour days). This affects the amount charged when the employee is gone from work.

Charges against accumulated sick leave credit should be posted in the record according to this standard system:

1. Employees are charged one day of sick leave credit for each day of absence due to illness or other allowable reasons.

   A full-time employee (40 hours a week) would be charged one eight hour day for each day of absence. A 75 percent time employee (working five 6 hour days) would be charged one six-hour day (not three-fourths of a day) for each day of sick leave.

   If an employee changes from five 6 hour days (75 percent time) to full time, convert accumulated six-hour days to eight-hour days, and continue the record in days.

   An employee working four 8 hour days a week would be working 80 percent time and should be credited with a 6.4 hour day per month. However, if he/she uses a day of sick leave, he/she is charged eight hours.

2. For absences of less than five work days, one day of sick leave credit is charged for each work day absent.

3. For absences of five or more work days, five days sick leave are charged for each calendar week of absence. Employees whose work week extends over five and one-half or six days are charged only five days per week.

4. At the end of each full year of service, employees are given an "extra" day of sick leave. Write the symbol "XVS" and the date employee's year of service ended in the proper year/month line so you'll know when he/she is due for the next extra day. Add the extra day in with the regular day earned that month. Remember to extend the year of service by the number of work days the employee was without pay during the year.

5. Each month that the sick leave accumulation exceeds 50 days, one-fourth of it may be transferred to vacation leave. Record the other three-fourths as sick leave. The 50 sick-day option increases vacation earning rate and vacation maximum.

6. Each month that the sick leave accumulation exceeds 100 days, one-half of it may be transferred to vacation leave. Record the other half as sick leave. The 100 sick-day option increases vacation earning rate and vacation maximum.

7. For 100 percent appointments use fractions only (no smaller than eighths) for posting sick leave charges of less than a day. Don't use decimals or hours. For appointments that are less than 100 percent use hours.

F. HOW SICK LEAVE AFFECTS PAY

Sick leave with pay is treated as working time in payroll procedures.

Employees who resign or who change from full-time to part-time (less than 75 percent time or less than 50 percent if they have worked for the University for at least three years), lose any unused sick leave they may have had to their credit.

University of Minnesota
Business Administration Form 426 (0)
S 91960

RECORD OF VACATION, SICK LEAVE, AND OTHER ABSENCES FOR CIVIL SERVICE STAFF

EXHIBIT I

Employee Name Jerry A. Grimes **Department** Physics

DIRECTIONS

1. Keep this record for all employees whose regular work assignment is 75% time or more. (30-40 hours per week) and for those non-students whose regular work assignment has been 50 to 74% time (20-29 hours per week) for three consecutive calendar years in a continuing position. Leave earning rate is in proportion to percent of time worked.
2. Vacation leave is not available until the anniversary date of employee's first six months of service. Remember to extend this date by the number of work days employee was off the payroll during the six months.
3. Sick leave earned in any month is not available for use until the first of the following month.
4. Use these letters to record absences: V (vacation leave), S (sick leave), WP (leave with pay), WO (leave without pay), T (last day worked, when terminating). Add explanatory notes if desired.
5. Record leave entries by days or fractions of days (no smaller than 1/8). Do not use decimals. (If employee's work schedule is less than 100% time, use hours instead.) Make entries *in ink*, as this is a permanent record.
6. To obtain new vacation leave balance at first of each month, subract the number of days used (Col. 2) from balance available (Col. 1). Add days earned (Col. 3) to obtain new balance (Col. 1).
   For sick leave balance, subtract number of days used (Col. 5) from balance available (Col. 4). Add amount earned (Col.6) to obtain new balance (Col. 4).
   Post balances in Columns 1 and 4 for new month.
7. After completion of each year of service, credit employee with his "extra" vacation leave and "extra" sick leave. "Extra" vacation leave is based on his monthly earning rate. (Exception, "V" class: "extra" vacation leave does not include 1/2 day in lieu of overtime.)
   a.) Write the letters XVS and date employee's year of service was completed in the appropriate month line. Remember to extend this date by adding to it the number of work days employee was off the payroll during the year.
   b.) "Extra" vacation is available for use as earned. "Extra" sick leave is not available until the month after the year of service ends. Add both vacation and sick leave to current balances on the first of the month after the year of service is completed.

FOR MORE COMPLETE INSTRUCTIONS, REFER TO PROCEDURES 1-S-3 and 1-V-1 IN THE PERSONNEL SECTION OF THE MANUAL OF BUSINESS PROCEDURES, AND TO CIVIL SERVICE RULE ELEVEN. ADDITIONAL INSTRUCTIONS ON PAGE 2 OF THIS FORM. LEAVE RECORDS MAY BE SENT TO PERSONNEL RECORDS FOR AUDIT ANY TIME.

Starting Date ____________
Civil Service ________ Barg. Unit ________
Payroll: Reg. ______ Misc. ______ D. Rpt. ______

Check the following which apply to this employee

Rate of accumulation:		Basis of accumulation	
1 day	☐	5-day week	☐
1¼ days	☐	5½-day week	☐
1½ days	☐	V class	☒
1¾ days	☐	Years of service:	
2 days	☐	0-5	☐
2¼ days	☐	6-10	☐
2½ days	☐	11-15	☐
2¾ days	☐	16-20	☒
3 days	☐	over 20	☐

INDEX I-S-3

SAMPLE
7-1-78

1976	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	VACATION LEAVE Col. 1 Balance Available for Use This Month	VACATION LEAVE Col. 2 Number of Days Used This Month	VACATION LEAVE Col. 3 Number of Days Earned This Month	SICK LEAVE Col. 4 Balance Available for Use This Month	SICK LEAVE Col. 5 Number of Days Used This Month	SICK LEAVE Col. 6 Number of Days Earned This Month	OTHER LEAVES With Pay	OTHER LEAVES Without Pay	OTHER LEAVES Vacation Earning Rate
Jan.																																								
Feb.																																								
Mar.																																								
April																																								
May																																								
June																																								
July																		XVS 7-8-76 (extended by 6 days) (24 yrs)														12		5	103 3/4		1			2 1/2
Aug.																																17		2 1/2	104 3/4		1/2			
Sept.														V	V	V	V	V														19 1/2	5	2 1/2	105 1/4		1/2			
Oct.									(military leave)										WP	WP	WP	WP	WP			WP	WP	WP	WP	WP		17		2 1/2	105 3/4		1/2	10		
Nov.					S	S			S	S	S	S	S																			19 1/2		2 1/2	106 1/4	7	1/2			
Dec.																							V	V	1/4V							22	2 1/4	2 1/4	99 3/4		3/4			

Upon Termination, Transfer, or Leave of Absence, **attach** record to appropriate document and **send directly** to Personnel Department.

Certified by ____________ Ext. ________ Marian Craig
Person keeping record Department Head

RECORD OF VACATION, SICK LEAVE, AND OTHER ABSENCES FOR CIVIL SERVICE STAFF

Employee Name Jerry A. Grimes **Department** Physics

THIS IS A PERMANENT RECORD AND IS SUBJECT TO AUDIT.
MAKE ENTRIES IN INK.
(EARNING RATE ON REVERSE SIDE)

AS EMPLOYEES ACCUMULATE SICK LEAVE:

1. ¼ of all sick leave accumulated beyond 50 days may be credited to the employee as vacation leave (Col. 3); the other ¾ is credited to sick leave (Col. 6).
2. ½ of all sick leave accumulated beyond 100 days may be credited to the employee as vacation leave (Col. 3); the other ½ is credited to sick leave (Col. 6).
3. See page 1 of this form for posting instructions.

1977	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	VACATION LEAVE Col. 1 Balance Available for Use This Month	VACATION LEAVE Col. 2 Number of Days Used This Month	VACATION LEAVE Col. 3 Number of Days Earned This Month	SICK LEAVE Col. 4 Balance Available for Use This Month	SICK LEAVE Col. 5 Number of Days Used This Month	SICK LEAVE Col. 6 Number of Days Earned This Month	OTHER LEAVES With Pay	OTHER LEAVES Without Pay	OTHER LEAVES Vacation Earning Rate
Jan.																																22		2½	100½		½			2½
Feb.																																24½		2½	101		½			
Mar.																	¼S															27		2½	101½	¼	½			
April												WP	WP	WP	WP	WP			WP	WP	WP	WP	WP	(jury duty)								29½		2½	101¾		½	10		
May																																32		2½	102¼		½			
June																														½S		34½		2½	102¾	½	½			
July																	XVS		7-8-77					(25 yrs.)								37		5	102¾		½			
Aug.																				WO			WO	WO	WO	WO	WO					42		0	103¾		0		6	
Sept.																																42		2½	103¾		½			
Oct.								(military leave)											WP	WP	WP	WP	WP			WP	WP	WP	WP	WP		44½		2½	104¼		½	10		
Nov.																																47		2½	104¾		½			
Dec.																											V	V	V	V		49½	4	2½	105¼		½			

1978	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	Col. 1	Col. 2	Col. 3	Col. 4	Col. 5	Col. 6	With Pay	Without Pay	Vacation Earning Rate
Jan.			V	V	V	V	V																									48	5	2½	105¾		½			
Feb.																																45½		2½	106¼		½			
Mar.																																48		2½	106¾		½			
April												½S	S																			50½		2½	107¼	1½	½			
May																		V	V	V												53	3	2½	106¼		½			
June																						V	V	V	V	V						52½	5	2½	106¾		½			
July																V			XVS	(extended by 6 days) 7-17-78												50	1	5	107¼		1			
Aug.											V	V	V	V	V														(26 yrs)			54	5	2½	108¼		½			
Sept.																				S	S	S										51½		2½	108¾	3	½			
Oct.											V	V	V	(military leave)		WP	WP	WP	WP	WP			WP	NP	WP	WP	WP			V	V	54	5	2½	106¼		½	10		
Nov.	V	V	V			V	V	V	V	V																						51½	8	2½	106¾		½			
Dec.																		V	V											½S		46	2	2½	107¼	½	½			

Upon Termination, T nsfer, or Leave of Absence, **attach** record to appropriate document and **send** ctly to Personnel Department.

Certified by______ ____________________ Ext.______ Marian Craig

on keeping record Departme ead

EXPLANATIONS OF SITUATIONS RECORDED ON VACATION-SICK-LEAVE RECORD, EXHIBIT I

1. Column 6 - Heading: The word "earned" may be changed to "credited" on the records.of those long-term employees whose sick leave rate is not a constant 1 day per month. This could fluctuate when total accumulations drop below 50 or 100 days or when they approach the 3 days maximum vacation rate and need a fraction of their sick leave to apply to vacation leave.

2. a. July, 1976 line: XVS ("extra" day of vacation and sick leave) went into effect July 1, 1961. All employees receive an extra day of vacation and sick leave at the end of each year of service. This date was extended by six days (to July 8th) because of 6 days without pay during the year (this 6 days is not shown in the exhibit). Employees hired before July 1, 1962 have two dates on their vacation-sick-leave record: June 30 for XVS; anniversary date based on starting date for determining years of service.

   b. Column 3: 5 days; Column 6: 1 day; Vacation rate, 2 1/2 days: This employee earns at the rate of 2 days of vacation per month (21 and over years of service) plus 1/2 day vacation for every month during which the sick leave balance is over 100 days.

   July 8 is the end of his/her year of service. He/she will be credited with double vacation rate (2 + 2 = 4) plus double sick leave (2 days, 1 day to sick leave, 1 day to vacation), increasing the August 1st vacation balance by 5 days (17 total).

3. November, 1976, Column 6: 3/4 day: This month the employee used 7 days of sick leave accumulation (Column 5). In order to determine how the additional day earned for November (Column 6) may be divided (1/2 and 1/2 or 1/4 and 3/4), you should look at the amount in the "Balance Available for Use" column (Column 4, 106 1/4). If this balance is over 100 at the beginning of the month, divide the sick leave day for that month 1/2 to vacation and 1/2 to sick leave; if the balance is under 100 but over 50, divide the sick leave day 1/4 to vacation and 3/4 to sick leave. Employee will fall below 100 sick days on the beginning of December. 3/4 day, will therefore be credited to sick leave; 1/4 to vacation.

4. July, 1977, Column 3: 5 days; Column 6: 1 day: See explanation 2b.

EXPLANATIONS OF SITUATIONS RECORDED ON VACATION-SICK-LEAVE RECORD, EXHIBIT I

5. August, 1977, Column 3 and Column 6: 0 days: The employee, who is on a full-time appointment, was off the payroll 6 days; therefore, he did not complete 75% of the full-time work month and does not earn vacation or sick leave during this month.

Month	Number of without pay days allowed
20 work days	5
21 work days	5 1/4
22 work days	5 1/2
23 work days	5 3/4

6. July, 1978 Column 3, 3 3/4 days; Column 6, 1 1/4 days: July 17th marks the end of the year of service. Previous year of service date was July 8 (2a). During the past year, month of August, he/she was on a leave without pay of 6 days. Extend this date by 6 working days, which gives him/her the new date, July 17th, for the end of the year of service. He/she will be credited with double vacation (2 + 2 = 4) plus double sick leave (2 days, 1 day to sick leave, 1 day to vacation), increasing the vacation balance by 5 days. The balance of 1 day sick leave, added to previous sick leave balance, makes a total of 108 1/4 days.

7. May, 1978: Note that employee is very close to the 65 days (2-year maximum) and will want to use enough vacation each month in order to continue to be credited with vacation earnings each month.

TERMINATION OF SERVICE (Civil Service)

A. "TERMINATION" MEANS...

...leaving a University job for any reason--resignation, layoff, dismissal, retirement, or death.

B. RESIGNATION AND DISMISSAL

Employees who wish to resign in good standing should give their department heads at least two weeks written notice.

Supervisors should give employees who are being terminated a minimum of two weeks notice (except in cases of disciplinary action involving gross misconduct).

Unused vacation time and overtime

Employees who terminate after having worked at least six months are paid for any unused vacation time and overtime they may have to their credit. (See procedure 1-V-1.) The number of vacation days for which payment is due is extended on the calendar for compensation purposes only; it does not mean that employees earn another vacation day when the vacation payment period extends beyond 75 percent of the month.

This payment is handled by including the vacation days and any accumulated overtime in a "lump sum" payment on the first payday following termination.

Employees are _not_ paid for holidays that occur after their last day worked.

Final pay checks will be sent to departments as soon as the payroll has been processed for the period in which the staff member stopped work, provided the termination documents are submitted in time. (See paragraph D.)

Do not release a final paycheck to an employee until you have received your approval copy of the termination document.

C. IF A UNIVERSITY EMPLOYEE DIES...

...notify the Payroll Department and the Employee Benefits Department. In your telephone call, give the date of death, the last day worked and vacation and overtime due the employee. With this information, the Payroll Department can set up a schedule of final payments. If possible, final payment should be made in the same payroll period in which the employee dies.

If the employee did not belong to a bargaining unit, the department head may also request that an extra month's salary be paid to the family of the deceased.

Complete the Termination of Service form and send it to Personnel Records. Send in a regular Termination of Service form for miscellaneous payroll employees also. The approved termination form must be in the Payroll Department before final salary checks can be released.

Upon notification of death, salary deductions for social security and MSRS are continued through the final payment period. All other deductions are discontinued. The Payroll Department sends final checks to the University Attorney's Office. That office sees that the staff member's beneficiaries get the check. A refund of retirement contributions is also made to the beneficiaries of the deceased by the Minnesota State Retirement System.

D. IF A REGULAR PAYROLL EMPLOYEE LEAVES...

...the University, send a Termination of Service form (B.A. form 326--Exhibit I) to Personnel Records as soon as you know when his/her last day of work will be. A "lump sum" payment including salary, vacation and overtime (if any) will be made in the current payroll period.

Attach all record forms kept for the employee:

1) Record of Vacation, Sick Leave and Other Leaves of Absence (B.A. form 426, Exhibit I to Business Procedure 1-S-3);
2) Record of Overtime (B.A. form 510, Exhibit I to Business Procedure 1-H-3).

If the employee worked for your department before 1950, you'll also have the old record form (Record of Vacation, Sick Leave and Overtime) for him/her. Send them all with the termination form.

On the employee's last day of work the supervisor must complete a "Separation Notice, MES-17" (forms are available at the General Storehouse, Stock #S91375, Exhibit IV). Mail the original copy to the Minnesota Department of Economic Security. Give the duplicate to the terminating employee. Send the triplicate to the University Personnel Department. Be sure to include the Minnesota Account Number which is used on all University Separation Notices. (University account number: Minneapolis--7913403-0-01; Rosemount--7913403-0-02; St. Paul [includes Lauderdale]--7913403-0-03; Morris--7913403-0-04; Duluth--7913403-0-05; all other cities--7913403-0-06.) No notice is necessary if employee dies or is laid off because of lack of work. Complete a staff directory card showing that the employee is no longer working here. Send to 109 P&GA (Development Services).

Overtime pay

If the employee has previously approved unpaid overtime to his/her credit, include the overtime he/she has worked (expressed as days). The termination form should give the actual hours worked, converted to time-and-one-half, and this figure expressed in terms of eight-hour days.

Changing to Miscellaneous in same department

If an employee changes from a Regular Payroll job to a Miscellaneous Payroll job in the same department, the termination form should be sent in with the Miscellaneous Payroll appointment. The change must be noted on the termination form. Record forms are kept in the department if the employee will be eligible to earn vacation and sick leave. Otherwise, they should be attached to the termination form.

Send the termination form...

...with the vacation and sick leave records attached through administrative channels to the Personnel Department as soon as you know for sure that an employee is terminating--at least two weeks before the termination date, if possible. This is necessary so Payroll can make out the "lump sum" payment. Lump sum means that the employee will receive payment for the balance of his/her salary, vacation and overtime in a lump sum on the pay day following his/her last day of work. This payment will be made if the proper documents are received in Personnel

Records at least six days prior to pay day. Lump sum payments for late documents will be made in the following pay period.

Fiscal year-end termination which requires a final payment in July will not require any further documentation other than the original Termination of Service form. All Regular Payroll employees will receive final payment on the Regular Payroll.

Lump sum payments will normally be made to those employees who are leaving the University or who are transferring to part-time status as students on Miscellaneous Payroll. A non-student transferring to a full-time Miscellaneous Payroll appointment is not entitled to pay for vacation since his/her vacation credits will be retained.

For terminating Miscellaneous Payroll employees, the department should state on the face of the Miscellaneous Payroll Sheet that a lump sum payment is being requested because of termination and that the time submitted includes X number of days or hours of vacation pay. The payroll sheet with the name of the terminating employee and the vacation and sick leave records must be forwarded to University Personnel Department as early as possible.

Be sure that the vacation figures on the termination form agree with those on the vacation record. If the Personnel Office finds an error in these figures, there may be a delay before the employee gets his/her final check.

Termination forms not accompanied by vacation and sick leave records will be held and the department notified to forward all necessary documents.

Taking leave before last working day

If an employee who is about to terminate takes vacation or sick leave after the vacation form is sent to the University Personnel Department and before his/her last working day, his/her department must inform the Payroll Department by telephone and send a memorandum to University Personnel Department.

Change of address

If an employee is going to change his/her address when he/she leaves the University, a new Employee's Withholding Tax Exemption Certificate (form W-4 and B.A. form 416 combined) is sent along with the termination form so that his W-2, Statement of Earnings, will be mailed to the correct address.

Checking the payroll

When the last payroll on which the employee's name appears is sent to his/her department by the Payroll Department, the entries concerning him/her should be checked carefully and corrected, if necessary.

A Notice of Employee Separation...

...B.A. form 230--Exhibit II, should be filled out by the supervisor or department head and sent to the Personnel Office as soon as the date of resignation is definitely known. This form (available at the General Storehouse) is submitted in addition to the Termination of Service document and the Separation Notice.

E. IF A MISCELLANEOUS PAYROLL EMPLOYEE LEAVES...

...the University, the supervisor or department head fills out a Notice of Employee Separation. This is sent to the Personnel Office along with the employee's Record of Vacation, Sick Leave and Other Leaves of Absence, and his/her Record of Overtime (if any), and a Separation Notice (MES-17).

The department should furnish a statement on the face of the Miscellaneous Payroll Sheet indicating that a lump sum payment is being requested due to a termination and that the time submitted includes the number of days or hours of vacation to be paid.

The instruction concerning holidays, overtime payments, changes in the vacation or sick leave figures, and address changes described for Regular Payroll employees also apply to Miscellaneous Payroll employees.

F. WHEN EMPLOYEES TERMINATE...

...add vacation accumulation when calculating the final lump sum payment. This policy is followed in all cases of a terminating employee. Be sure that the termination document along with the vacation sick leave record is submitted in sufficient time to allow for auditing. The employee will be paid everything he/she has coming to him/her on a lump sum basis.

Employees under mandatory retirement (June 30 following employee's 70th birthday) will be paid in a lump sum as of June 30.

G. EMPLOYEES LEAVING THE UNIVERSITY...

...should be reminded that they may have credit built up in the Retirement Fund. They can get a cash refund or make other arrangements.

To get a refund, an employee fills out MSRS form 18 (Exhibit III) no earlier than 60 days after his/her last day of pay. This form is available at Employee Benefits.

H. CONTINUATION OF HEALTH CARE INSURANCE

Employers are required by state law to notify terminating academic or Civil Service employees of their right to continue, at their own expense, health care insurance for up to six months for themselves and dependents that they had in effect while employed.

The University must notify the employee of these rights within five days after termination. Because of the time lag before documents reach the Employee Benefits Division, it is necessary that this notice to the employee be prepared in the department.

Exhibit V is an example of the form to be provided to the terminating employee. There are no standard forms available; departments must write their own continuation notices. In preparing the notices observe the following instructions:

1. The form must be completed for every terminating employee who is covered under the University health care insurance program, except if the termination results from the employee's disability or retirement. Basically, this means all non-student employees who are paid on a monthly rate.

2. The forms must be mailed to the employee within five days of the date of termination.

3. The form must include the employee's name, home address, and date. The form must be sent by registered mail, with a return receipt requested. The receipt must be attached to the Employee Benefits Division copy of the letter.

4. a. Mail one copy to the employee.
   b. Send one copy (with return receipt) to Employee Benefits Division.
   c. Retain one copy for your department records.

I. RETIRING EMPLOYEES WHO HAVE...

a. 10 years of allowable service and are age 65 will receive full benefits.

b. 30 years allowable service and are age 62 will receive full benefits.

c. 10 years of allowable service and are age 62 will receive reduced benefits.

d. 20 years allowable service and are age 58 will receive reduced benefits.

If, at the time of termination, the employee has met the service requirement but has not yet met the age requirement, he/she may leave his/her money in the fund and apply for an annuity when he/she reaches the minimum age.

Any staff member who considers retiring should contact the Employee Benefits Department for further information. This should be done at least six weeks in advance of the retirement date.

EXHIBIT I　　　　INDEX 1-T-1

UNIVERSITY OF MINNESOTA
BUSINESS ADM. FORM 326
3-78—3750 (50-2)
S91800

TERMINATION OF SERVICE

Administrative, Instructional, Fellowship, and Civil Service Employees

White: Personnel Records
Pink: Payroll Department
Blue: Personnel Records
Yellow: Dean
Gray: Department
Gold: Employee Benefits

Instructions: Prepared in sextuplicate for all Regular Payroll terminations, retirements, or in case of death. Send all copies to the office of your dean or administrative officer. The forms are then to be forwarded to University Personnel Dept. (2651 University Ave., St. Paul). If employee will have a new address, attach Employee's Withholding Exemption Certificate (B.A. Form No. 416) in order to be sure that his withholding tax receipt, Form W-2, will reach him at the end of the calendar year.

Name in Full Terry L. Whitley　**Employee No.** 96597　**Soc. Sec. No.** 508 - 16 - 7467

Rank or Title General Mechanic　**Classification No.** 5352

Department Mines Experiment Station　**College** Institute of Technology

Date of Last Day Worked: 9 28 77

No. of Days Unused Vacation* 11

***FOR CIVIL SERVICE STAFF:**
Attach the Employee's Record of Vacation and Sick Leave (Bus. Adm. Form 426), also Record of Overtime (Bus. Adm. Form 76), if any.

Present Appointment Status:

Annual Full Time Salary Base $ 11520　Basic Term (A,B,E,G,K,M) A　Per Cent of Full Time 100 %　Term Code for this Appt. (including Tenure Code) AS100

Date From	Date Thru	Item	Fund	Dept. or Project	Budget	Class	Annual Full Time Salary Base X Per Cent Time
7/1/77	6/30/78	16	0327	4904	01	5352	11520

Reason

Has resigned to go into business for himself.

Position to be taken by resigner

Self-employed

SAMPLE
7-1-78

Future address

4721-5th Street N.E. Minneapolis, Minnesota 55421

If Address Is Changed, File Revised Withholding Tax Form (Bus. Adm. No. 416)

PREPARED BY Joan Nelson CAMPUS ADDRESS 104 Mech Eng	TEL. EXT. 3-7531	DATE	
RECOMMENDED — HEAD OF DEPARTMENT	DATE	APPROVED	DATE
RECOMMENDED — DEAN OR ADMIN. OFFICER	DATE	APPROVED — BOARD OF REGENTS	DATE

EXHIBIT II INDEX I-T-I

UNIVERSITY OF MINNESOTA

Notice of Employee Termination for all Civil Service Staff on Miscellaneous and Regular Payroll (excluding students)

Instructions: Complete this form **as soon as you know that an employee is leaving.** It is important that you provide an accurate explanation of the reason for termination as it may affect the employee's eligibility for Unemployment Compensation.

. . . . Forward immediately to University Personnel Department. (2651 University Ave., St. Paul).

. . . . Prepare duplicate for department copy if desired.

. . . . This form is not a substitute for Form 326 — Regular Payroll — Termination of Service

Name Jeanette Ann Montgomery Social Sec. No. 412-68-8150

Payroll: Daily Report____

Class Title Clerk Typist Class No. 1222 Regular x Misc.____

Department English Most Recent Starting Date 9/30/76 Last Day of Work 9/30/77

Reason for leaving:

Voluntary Quit x Lack of Work____ Lack of Funds____ Discharge____ Temporary Job Ended____

Did Not Pass Probation____ Family Respon.____ Pregnancy____ Retirement____ Health____ Death____

Other____

If a layoff, do you plan to reemploy?____ When?____

Future Address 1875 Concord Drive, Oskaloosa, Iowa

If employee will have a new address, complete and forward Employee's Withholding Exemption Certificate (Form 416) to the Payroll Dept. in order to be sure that the withholding tax receipt, Form W-2, will be received at the end of the calendar year.

Approved: Stephen Craig Date 9/2/77

(Authorized Department Signature)

Please send this form directly to the University Personnel Dept. Do not hold for forwarding with the Regular Payroll Termination document.

SAMPLE 7-1-77

University of Minnesota
Bus. Adm. Form 230 (O)
S91690

VACATION LEAVE (Civil Service)

A. WHO GETS A VACATION?

Every Civil Service employee who regularly works 75 percent time or more per month and is paid at a semi-monthly rate gets a paid vacation. It makes no difference what type of appointment he/she has as long as he/she has a definitely assigned work schedule. Part-time non-student Civil Service employees on continuing appointments who are employed in one department on a pre-arranged and assigned schedule of 50-74 percent time earn vacation in proportional basis after they have completed the three year eligibility period.

The only exceptions to this rule are certain skilled tradesmen who choose to work under their union's rules concerning wages, hours and holidays rather than under the University's rules.

B. HOW LONG ARE VACATIONS?

How much vacation time an employee earns depends on:

- how much time he/she puts in each month (% of appointment)
- the number of years worked at the University (vacation accumulation increases after each 5 years worked)
- whether he/she gets vacation in lieu of overtime ("V" class)
- whether he/she gets extra vacation because of sick leave accumulation (50 sick & 100 sick option)

Full time employees...

...earn vacation leave according to these basic rates:

Years of service	Monthly earning rate	Year-end bonus (XVS)	Days per year	Vacation maximum
0-5	1 day	1 day	13	26
6-10	1-1/4 days	1-1/4 days	16-1/4	32 1/2
11-15	1-1/2 days	1-1/2 days	19-1/2	39
16-20	1-3/4 days	1-3/4 days	22-3/4	45 1/2
21 & over	2 days	2 days	26	52

When an employee's accumulated sick leave reaches 50 days, 1/4 of each day beyond 50 days may be credited to the vacation earning rate (if a 100% appointment, sick leave will then equal 3/4 day per month). When sick leave accumulation reaches 100 days, 1/2 of each day beyond 100 days may be credited to the vacation earning rate (if a 100% appointment, sick leave will then equal 1/2 day per month). When the 50 or 100 sick option is used, the vacation earning rate and vacation maximum both increase.

Vacation Earning Rate Variables

A. "V" Class Appointments: Employees in certain classes earn 1/2 day of vacation per month in lieu of overtime in addition to the basic vacation accumulation rate. These classes are indicated by the symbol "V" after the Civil Service Classification number. This half day is not included when crediting the extra vacation at the end of each year of service. The "Vacation and Sick Leave Accumulation Schedule" (Exhibit I) at the end of this section shows all the possible vacation earning rates and maximum accumulations.

B. "B" Appointments: Employees with "B" appointments (9/16-5/16) receive credit for the half months of September and June so they earn nine days of vacation for the nine calendar months they work. The ninth day is given on June 16. The anniversary month occurs after 12 months of service (not 12 calendar months). Employees earn 1 1/4 days of vacation after 60 months (5 years) of service. Employees who have 6-month appointments also get their extra day after 12 months of service, and an additional 1/4 day after 60 months (5 years) of service.

C. After each 5 years of service: The vacation earning rate increases by 1/4 day. (Sick leave does not). The new, higher vacation rate goes into effect the first month after the completion of the 5th, 10th, 15th or 20th year. (In other words, you double the old earning rates for the XVS month, then start the new, higher earning rates the following month).

Any time without salary (wo) will extend the completion of each year of service. The XVS date is moved ahead. Each day without salary must be made up with a day of work.

Appointments less than 100%

The regularly assigned work time of some Civil Service employees may be less than full-time. This time may be expressed as a percent of full-time. For example, an employee who regularly works 32 hours a week is on 80 percent time.

As of 7/1/77, Miscellaneous Hourly appointments are not eligible to earn vacation or sick leave; the employee must be on a Miscellaneous Monthly appointment at a designated percentage of time. (See "Strictly Personnel" memo of 5/6/77).

Vacation/sick leave credit...

...earned by part-time employees is directly proportionate to the percentage of their appointment. A 75% appointment will earn 6 hours of vacation/sick leave per month. A 75% appointment, with 6 years of service will earn 7.5 hours of vacation and 6 hours of sick leave per month (75% of 1 1/4 days for vacation and 75% of 1 day for sick).

...<u>50-74% appointments</u>...are not eligible to earn vacation/sick leave until the 3 year eligibility period has been completed.

- time in a temporary appointment does not qualify.
- Employee <u>must</u> be appointed in one department on a monthly rate of pay at a designated percentage of 50-74 percent of the established full-time work month.
- The entire 3 years does not have to be worked in one department, but the 50% time is tied to one appointment and cannot be a combination of appointments in several departments.
- Time worked prior to July 1, 1976, may apply as long as it was time worked in a continuing position at least 50% time with no break in service.
- A break in service occurs when an employee drops below 50% time or is off the payroll for four consecutive months during the eligibility period. (Exception: "B" appointment).
- The 3 year eligibility period counts toward "years of service" credit when the employee begins earning vacation and sick leave. (6 months requirement is met during the eligibility period.) At the end of the fourth year, the first extra vacation and sick leave credit will be given to the employee working between 50-74% time.

Examples:

1. 100% appointment	0-5 years	6-10 years	11-15 years
vacation	1	1 1/4	1 1/2
sick	1	1	1
XV	2	2 1/2	3
XS	2	2	2
vacation maximum	26	32 1/2	39

2. 75% appointment	0-5 years	6-10 years
vacation	6 hours	7.5 hours
sick	6 hours	6 hours
XV	12 hours	15 hours
XS	12 hours	12 hours
vacation maximum	156 hours	195 hours

3. 100% "V" class	0-5 years	6-10 years	11-15 years
vacation	1 1/2	1 3/4	2
sick	1	1	1
XV	2 1/2	3	3 1/2
XS	2	2	2
vacation maximum	38	44 1/2	51

C. IN ORDER TO EARN...

...vacation and sick leave for a month, an employee must work 75% of that month. All 12 calendar months fall into one of the following categories:

		Number of days without pay allowed
(count all Mondays through Fridays)	20 workday month	5
	21 workday month	5 1/4
	22 workday month	5 1/2
	23 workday month	5 3/4

If an employee has more than the allowed number of without salary days (wo) he/she will not earn vacation/sick leave for that month.

1. Therefore, a person on 75% appointment cannot have any time without salary in the month or they will be ineligible to earn vacation/sick leave for that month (because they won't have worked the required 75% of the month).

2. An employee can use only what vacation/sick leave they have available at the beginning of the month; otherwise, they will be taking time they haven't yet earned.

3. Workweek schedule: If an appointment is less than 100%, it is necessary to keep track of the employee's workweek schedule so as to accurately record any vacation, sick or time without salary taken. Example:

    a. 75% appointment, works five 6 hour days deduct 6 hours for each day taken

    b. 75% appointment, works three 8 hour days and one 6 hour day, either 8 hours or 6 hours will be deducted for each day taken (depends on day of week taken)

D. WHEN ARE VACATIONS TAKEN?

At least once per quarter, supervisors should tell each of their employees how many days of vacation credit they have. They should also find out when employees prefer to take their vacations. Choice of vacation time is based on seniority. (See page 7 for example of quarterly reporting slip.)

Although employees are given their choice of vacation time whenever possible, the needs of the department come first. Employees always apply to their supervisor or department head for use of their vacation time well in advance. This permits a department to schedule its work for the most efficient operation.

The vacation schedule for each heavy vacation period shall be posted on the department's bulletin board one month before the period begins in departments with more than five Civil Service employees.

Vacation leave is not available...

...for use until employees have completed six months of continuous service from the date they started working at the University. They do earn vacation credit though, and it can be used when this period is over. Remember that this six-month period is extended by the number of days the employee is without pay during that time. Be sure to check whether the employee put in 75 percent of the established work schedule during the first month of employment before you credit him/her with a day of vacation for that month.

Once a year...

...is the usual vacation policy. However, employees won't lose their vacation credit if they don't use it each year, provided they do not go over the vacation maximum allowed (the maximum is proportionate to the monthly vacation earning rate).

If the work of the department prevents employees from taking their annual vacations, vacation credit can accumulate for two years. Thus, credit can accumulate to a maximum of 26 days if earned at the rate of one day a month, or a maximum of 32 1/2 days at 1 1/4 days per month, 39 days at 1 1/2 days a month, 45 1/2 days at 1 3/4 days a month. These totals may by increased by continuous service of over 20 years plus accumulation of 50 or 100 days of sick leave.

Employees who transfer from one University department to another keep any vacation credit they have earned but not used.

Employees who leave...

...the University after six months or more of employment are paid for vacation time they earned but did not use. They will receive payment along with their normal salary in their final pay check, if documentation is completed according to deadlines. Procedure 1-T-1 (Termination of Service--Civil Service) explains the procedure for giving this information to the Payroll Department.

They get vacation credit for their last month at the University only if they work 75 percent or more of the month (if on a 50-74 percent appointment after three years of service, employee must work at least 50 percent of the month). Employees will receive the extra vacation and sick day only if they work thru XVS date.

E. PAPER WORK

Departments must keep an accurate record of how much vacation each employee earns, takes, and has available for use. This record is kept in ink on B.A. form 426 (Exhibit I of procedure 1-S-3), which is available at the General Storehouse. When employees transfer, resign, or take a leave without pay of five days or more, the form is sent to the Civil Service Office for audit along with the appropriate personnel document. It will be returned to you.

The following recording system is recommended. It will simplify your record keeping and payroll preparation, lessen the possibility of error, and make the record easier to audit.

Credit for vacation leave should be recorded in days (for 100% appointments) and in hours (for appointments less than 100%). Vacation earning rates are always proportionate to the percent of the appointment:

- 100% appointment	earns 1 day vacation/sick
- 80% appointment	earns 6.4 hours vacation/sick
- 75% appointment	earns 6 hours vacation/sick

To record vacation time taken:

1. If a 100% appointment, deduct 1 day for each day used. If less than a 100% appointment, deduct in hours according to the number of hours the employee was scheduled to work the day he/she is absent.

2. If changing from full-time to a part-time convert days to hours by multiplying the number of days by 8 hours. When changing back to days (from hours) divide by 8.

   Vacation maximum: If appointment is dropping from 100%, employee will keep the 100% vacation maximum, but the monthly earning rate will drop proportionately. (This won't cause inadvertent loss of vacation because of a lower maximum.) If an appointment has always been 75% (80%, 85%, etc.), the vacation maximum will be 75% (80%, 85%, etc.) of what the vacation maximum is for a 100% appointment.

3. Record any time taken in units no smaller than 1 hour (1/8 day). Record time earned in exact amounts (80% appointment earns 6.4 hours vacation/ sick leave per month).

   Example: If total time to be charged is 2 1/2 hours, arrange for the employee to make up the odd 1/2 hour so you can record an even 2 hours (1/4 day). Or employee can use another 1/2 hour of leave so you can then record an even 3 hours (3/8 day).

4. If 100% appointment, record 1/2 day of vacation used as "1/2V." If 75% appointment, record 1/2 day of vacation used as "3V."

5. Holidays that occur during an employee's vacation are charged to "H" (holiday pay) and are not charged to the employee's accumulated vacation time. An employee will not receive holiday pay during a Leave-of-Absence without pay.

6. During the anniversary month (indicating completion of another year-of-service) write in "XVS" on the exact date of the month in which employee will have completed a year-of-service. Write in the number of years ("3 years", "6 years") at the end of the month line so that when you are looking through 20 years of vacation/sick leave records you will be able to easily see completion of each 5 years of service. (This affects the vacation earning rates.)

Refer to procedure 1-S-3, Exhibit I to see how paid leaves should be recorded in the "Record of Vacation, Sick leave, and Other Absences for Civil Service Staff."

(Example of quarterly slip, used in reporting vacation/sick leave balances to employees)

TO:

FROM:

As of ______________ you have

_______vacation days*

_______vacation accumulation rate

_______sick leave days

_______sick leave accumulation rate

on the official record. If you have questions please see me immediately.

*Available after 6 months of service

Phone:

_______vacation maximum

EXHIBIT 1
INDEX 1-V-1

VACATION AND SICK LEAVE ACCUMULATION SCHEDULE*

YEARS OF SERVICE	BASIC MONTHLY EARNING RATE	50 DAYS SICK LEAVE**	100 DAYS SICK LEAVE**	"V" CLASS	5 1/2 DAY WORK WEEK	TOTAL MONTHLY EARNING RATE	YEARLY EARNING RATE	YEAR OF SERVICE (XVS) BONUS	TOTAL YEARLY ACCUMULATION	MAXIMUM ACCUMULATION
0-5	1					1	12	1	13	26
					x	1 1/4	15	1 1/4	16 1/4	32 1/2
		x				1 1/4	15	1 1/4	16 1/4	32 1/2
				x		1 1/2	18	1	19	38
		x			x	1 1/2	18	1 1/2	19 1/2	39
		x		x		1 3/4	21	1 1/4	22 1/4	44 1/2
6-10	1 1/4					1 1/4	15	1 1/4	16 1/4	32 1/2
					x	1 1/2	18	1 1/2	19 1/2	39
		x				1 1/2	18	1 1/2	19 1/2	39
				x		1 3/4	21	1 1/4	22 1/4	44 1/2
		x			x	1 3/4	21	1 1/4	22 1/4	44 1/2
			x			1 3/4	21	1 3/4	22 3/4	45 1/2
		x		x		2	24	1 1/2	25 1/2	51
			x		x	2	24	2	26	52
			x	x		2 1/4	27	1 3/4	28 3/4	57 1/2
11-15	1 1/2					1 1/2	18	1 1/2	19 1/2	39
					x	1 3/4	21	1 3/4	22 3/4	45 1/2
		x				1 3/4	21	1 3/4	22 3/4	45 1/2
				x		2	24	1 1/2	25 1/2	51
		x			x	2	24	2	26	52
			x			2	24	2	26	52
		x		x		2 1/4	27	1 3/4	28 3/4	57 1/2
			x	x		2 1/2	30	2	32	64
			x		x	2 1/4	27	2 1/4	29 1/4	58 1/2
16-20	1 3/4					1 3/4	21	1 3/4	22 3/4	45 1/2
					x	2	24	2	26	52
		x				2	24	2	26	52
				x		2 1/4	27	1 3/4	28 3/4	57 1/2
		x		x		2 1/2	30	2	32	64
		x			x	2 1/4	27	2 1/4	29 1/4	58 1/2
			x			2 1/4	27	2 1/4	29 1/4	58 1/2
			x		x	2 1/2	30	2 1/2	32 1/2	65
			x	x		2 3/4	33	2 1/4	35 1/4	70 1/2
21 and over	2					2	24	2	26	52
					x	2 1/4	27	2 1/4	29 1/4	58 1/2
				x		2 1/2	30	2	32	64
		x				2 1/4	27	2 1/4	29 1/4	58 1/2
		x			x	2 1/2	30	2 1/2	32 1/2	65
		x		x		2 3/4	33	2 1/4	35 1/4	70 1/2
			x			2 1/2	30	2 1/2	32 1/2	65
			x		x	2 3/4	33	2 3/4	35 3/4	71 1/2
			x	x		3	36	2 1/2	38 1/2	77

*Effective 7/1/76

SAMPLE '77

**Sick leave accumulation must remain above 50 or 100 days in order to maintain these earning rates.

INDEX TO MANUAL OF BUSINESS PROCEDURES

Personnel Section