

Guidelines for Preparing Academic PAFs and Nomination Forms

Prepared By:

Office of the Executive Vice President for Arts & Sciences

Joseph Werst Pamela Tan Lourdes A. López

212-854-6110 212-854-6111 212-854-6103

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I. INSTRUCTIONS

August 12, 2009

TO:

Departmental Administrators

FROM:

Pearl Spiro

Assistant Provost for Academic Appointments

SUBJECT:

Updated Quick Reference Guide for Completing

Nomination Forms

Action Reason Codes:

New appointment

HIR NEW

New appointment to second or third position

HIR MJB

Reappointment for which you cannot print a PAF (the person has not held an appointment for several years or has been terminated)

REH CNW

Reappointment to a second or third position for which you cannot print a PAF (the person has not held this appointment for several years or has been terminated)

REH MJB

Appointment of <u>new Special Lecturer</u> (the person's first position is considered "retiree,"

HIR MJB

(the person's first position is considered "retiree," so PeopleSoft considers "Special Lecturer" appointment as a second position)

Prefix:

If the person's title includes the word "professor"

Prof

If the person's title does not include the word "professor," but the person has a doctorate

Dr.

If the person's title does not include the word "professor," and the person does not have a doctorate

Mr./Ms. (do NOT use Miss/Mrs. for academic personnel)

Office Address:

Do not include city, state, and zip code if using campus address

Form will be returned if Mail Code and/or Check Sequence Number are missing.

Mailing Address/Home Address:

If mailing address and home address are the same, do not include mailing address. Just enter home address. Do not put "SAME" in mailing address.

If they are different, include both addresses.

Marital Status:

If not single, you must include marital status date (month/day/year).

Education:

List <u>all</u> the degrees that the person has earned. Please be sure to indicate the month and year of the degree if it will affect the person's appointment. For example, if a person being appointed as a postdoc received the degree in April 2009, please indicate the month so that the appointment can be processed. On the other hand, if a person being appointed Associate Professor earned the Ph.D. in 2003, you do not need to identify the month. PeopleSoft will default to June.

Identify the university from which the person received the degree, not the particular school: e.g., Columbia University, not Columbia University School of Law.

Identify the particular branch of larger systems from which the degree was earned. For example, if someone received a degree from Hunter College or from Stony Brook, the institution should be listed as CUNY, Hunter College or SUNY, Stony Brook.

Do not use abbreviations for institutions. For example, do not use MIT: write out Massachusetts Institute of Technology; do not use UCLA: write out University of California, Los Angeles.

Identify foreign institutions with the country in which they are located, even if it should be self-evident: e.g., Oxford University (UK), University of Tokyo (Japan), McGill University (Canada).

If the person's highest degree is only a high school diploma, you do not need to identify the high school. Simply indicate "High School Diploma" and the year it was earned.

IMPORTANT: In addition to the levels of education that PeopleSoft requires, you must indicate the actual degrees that a person has earned. Once you have printed the nomination form, please write in all the actual degrees next to the level of education printed on the form (e.g., Bachelors - B.A.), not next to the institution. This is very important for academic personnel. (See the attached sample of nomination form.)

Tenure Information:

Tenure information is required for all academic personnel (both full-time and part-time).

Faculty with appointments with tenure are "Tenured." Please enter the date in the box.

All full-time faculty who do not have tenure and who have unmodified titles (Instructor, Lecturer, Associate, Assistant Professor, Associate Professor, Professor) including those with "Visiting" titles are "Nontenured But On Track." No date should be entered.

All full-time faculty who have "clinical," "professional practice" or "in discipline" in their titles are "Other Nontenured." No date should be entered.

All part-time faculty are "Other Nontenured." No date should be entered.

Officers of research and student officers do not have tenure status. Please write "None" in the box. Do not use "Other Nontenured" for these groups.

Complete University Title:

Must be completed for all faculty and officers of research (NOT for student officers)

Position/Salary Information:

Use position number from the list provided by Human Resources. Please contact me if you need a title that is not on the list.

Be sure to complete "Position Entry Date," "Appt/Comp Rate Eff Date," and Appt/Comp Rate End Date." All these dates should be the same as the "Eff Date" at the top of the nomination form. Please take special care with dates (e.g., 9/1/09-5/31/09 is not good).

"Appt Type" will be system generated so you do not need to complete this field.

You must provide <u>both</u> "Comp Rate" and "Annual Rate." (The TIG Calculator should **not** be used to calculate the "Comp Rate" for appointments of less than one month.)

Salary Type is "Contract" unless the person has tenure or is an officer of the libraries in which cases you should use "Naannl."

Full-Time/Part-Time status must be identified. All student officers are part-time.

TO:

Departmental Administrators

FROM:

Pearl Spiro,

Assistant Provost for Academic Appointments

SUBJECT:

Updated Quick Reference Guide for Processing PAFs FOR FULL-TIME

Academic Personnel Who Cannot Be Done by E-Comp

- I. REAPPOINTMENTS/SALARY INCREASES REQUIRING A PAF (assumes that you cannot reappoint the person by E-Comp but must use a PAF.)
 - 1. Nontenured Faculty/Officers of Research/ Student Officers: Reappoint with/without a change in title and with/without a change in salary

DTA CNW only

(NO other codes are required to indicate a change in title or salary. Do not use DTA TTL and/or PAY ADJ)

2. Tenured Faculty:

Salary Increase:

PAY ADJ

Change in Title:

DTA TTL

II. COMMON TERMINATIONS:

Appointment ende	TER AEN	
Resignation:	Accepted position outside the University	TER APO
Resignation:	Other personal	TER ROP
Resignation:	Relocation	TER RLO
Normal Retiremen	t	RET NOR
Retirement before	RETEAR	

III. CHANGE IN STATUS FROM FULL-TIME TO PART-TIME.

1. Actions at Top of PAF:

TER and appropriate Action Code:

REH CNW

- 2. Record new appointment in usual way, making sure to change POSITION ENTRY DATE and TITLE EFFECTIVE DATE if the title is changing.
- 3. Terminate full-time appointment using TER and appropriate reason code with date of termination in Termination Box.

IV. COMMON LEAVES

Exemption from Teaching Duties (with salary)	PLA EXM
Exemption from Teaching Duties (without salary)	LOA EXM
Research Leave (with salary)	PLA RSR
Research Leave (without salary)	LOA RSR
Sabbatical Leave (with salary)	PLA SAB
Sabbatical Leave (without salary)	LOA SAB
Parental Workload Relief (FMLA/with salary)	PLA FPR
Parental Workload Relief (with salary)	PLA PWR
Parental Workload Relief (FMLA/without salary)	LOA FPR
Parental Workload Relief (without salary)	LOA PWR
Personal (FMLA/with salary)	PLA FPL
Personal (with salary)	PLA PER
Personal (FMLA/without salary)	LOA FPL
Personal (without salary)	LOA PER
Non~occupational disability (FMLA/with salary)	PLA FNO
Non-occupational disability (with salary)	PLA NOC
Non-occupational disability (FMLA/without salary)	LOA FNO
Non-occupational disability (without salary)	LOA NOC
Parental care (FMLA/with salary)	PLA FIC
Parental care (with salary)	PLA INF
Parental care (FMLA/without salary)	LOA FIC

Parental care (without salary)	LOA INF
Long-term disability (with salary)	PLA LTD
Long-term disability (without salary)	LOA LTD
Lapse of funding	LOA FND
Public Service	LOA PUB

V. RETURN FROM LEAVE

RFL LOA

PAFs must be submitted to return people from leave as of January 1 and of July 1.

For people on leave with full salary or on leave without salary the P AF simply needs to indicate RFL LOA.

For people who are on leave with partial salary, in addition to indicating "RFL LOA," you must also

For tenured faculty:

- 1. Change COMP RATE and ANNUAL RATE
- 2. Update (if necessary) FULL BASE SALARY
- 3. Change APPT/COMP RATE EFF DATE
- 4. In Leave Box indicate RFL LOA and actual return date

Example:

Person is currently on sabbatical leave for entire year at \$30,000, assuring that the person would earn \$60,000 annually if he/she was not on leave.

The PAF currently shows

COMP RATE - 30,000 ANNUAL RATE - 30,000 FULL BASE SALARY - 60,000

APPT/COMP RATE EFF DATE: 7/1/09

LEAVE ACTION: PLA ACTION REASON CODE: SAB

LEAVE BEGIN DATE: 7/1/09 LEAVE END DATE: 6/30/10 EXPECTED RETURN: 7/1/10

PARTIAL PAY: Yes

- 1.) Submit the PAF showing 7/1/10 RFL LOA and 7/1/10 PAY ADJ as Action Codes/Action Reasons
- 2.) Change the COMP RATE and the ANNUAL. RATE to the full base salary the person is to receive starting 7/1/10 (e.g. increase to \$70,000)
- 3.) Change APPT/COMP RATE EFF DATE to 7/1/10
- 4.) In Leave Box indicate RFL LOA and actual return date 7/1/10

For nontenured faculty/officers of research:

- 1. Change COMP RATE and ANNUAL RATE
- 2. Change APPT/COMP RATE EFF DATE
- 3. Change APPT/COMP RATE END DATE
- 4. Update FULL BASE SALARY
- 5. In Leave Box indicate RFL LOA and actual return date

Example:

Person is currently on a leave for one semester at \$15,000 (1/1/10 - 6/30/10), assuming that the person would earn \$60,000 annually if he/she was not on leave.

The PAF currently shows

COMP RATE 15,000 ANNUAL RATE - 30,000 FULL BASE SALARY: 60,000

APPT/COMP RATE EFF DATE: 1/1/10 APPT/COMP RATE END DATE: 6/30/10

LEAVE ACTION: PLA ACTION REASON CODE: RSR

LEAVE BEGIN DATE: 1/1/10 LEAVE END DATE: 6/30/10 EXPECTED RETURN DATE: 7/1/10

PARTIAL PAY: Yes

- 1.) Submit the PAF showing 7/1/10 RFL LOA and 7/1/10 DTA CNW as Action Codes/Action Reasons.
- 2.) Change the COMP RATE and the ANNUAL RATE to the full base salary the person is to receive starting 7/1/10 (e.g. increase to \$70,000)
- 3.) Change APPT/COMP RATE EFF DATE to 7/1/10
- 4.) Change APPT/COMP RATE END DATE to 6/30/11
- 5.) In Leave Box indicate RFL LOA and actual return date 7/1/10

VI. PROCESSING LEAVES

1. Leave with Full Salary: Indicate leave action and action reason code both at the top of the PAF and in the "Leave of Absence" box and check "No" for partial pay. In comments box indicate "LEAVE SALARY = xx."

EXAMPLE: one semester sabbatical leave assuming annual salary = \$60,000

COMP RATE - 60,000 ANNUAL RATE - 60,000 FULL BASE SALARY: 60,000

LEAVE ACTION - PLA ACTION REASON CODE - SAB

LEAVE BEGIN DATE: 7/1/10 LEAVE END DATE: 12/31/10

PARTIAL PAY: No

[In Comments Box - "Leave salary = \$30,000." This information is for Provostial records.]

2. Leave without Salary: Indicate leave action and action reason code both at the top of the PAF and in the "Leave of Absence" box and check "No" for partial pay. In comments box indicate "LEAVE SALARY = 0."

EXAMPLE: Leave without salary for entire year, assuming annual salary = \$60,000

COMP RATE - 60,000 ANNUAL RATE - 60,000 FULL BASE SALARY- 60,000 LEAVE ACTION - LOA ACTION REASON CODE - RSR

LEAVE BEGIN DATE: 7/1/09 LEAVE END DATE: 6/30/10

PARTIAL PAY: No

[In Comments Box - "Leave salary = 0." This information is for Provostial records.]

 Leave with Partial Salary: COMP RATE and ANNUAL RATE need to reflect partial salary, FULL BASE SALARY needs to reflect full salary if person was not on leave, and APPT/COMP RATE END DATE need to be confirmed in addition to leave information itself being provided.

EXAMPLE 1: Sabbatical leave for entire year (\$30,000), assuming that the person would earn \$60,000 annually if he/she was not on leave.

COMP RATE - 30,000 ANNUAL RATE - 30,000 FULL BASE SALARY: 60,000

APPT/COMP RATE EFF DATE: 7/1/09

LEAVE ACTION: PLA ACTION REASON CODE: SAB

LEAVE BEGIN DATE: 7/1/09 LEAVEENDDATE: 6/30/10

PARTIAL PAY: Yes

[In Comments Box - "Leave Salary = \$30,000." This information is for Provostial records.]

EXAMPLE 2: Nontenured faculty member/officer of research is on a Research Leave at partial salary (\$15,000) for one semester, assuming that the person would receive \$60,000 annually if he/she were not on leave.

COMP RATE - 15,000 ANNUAL RATE - 30,000 FULL BASE SALARY - 60,000 APPT/COMP RATE EFF DATE: 7/1/09 APPT/COMP RATE END DATE: 12/31/09

LEAVE ACTION: PLA

ACTION REASON CODE: RSR

LEAVE BEGIN DATE: 7/1/09 LEAVE END DATE: 12/31/09

PARTIAL PAY: Yes

[In Comments Box - "Leave Salary = \$15,000." This information is for Provostial records.]

VII. COMMON PERSONAL CHANGES:

Update Social Security number:

DTA SSN

Update Visa information:

DTA VSA

If the visa information is changing, DTA VSA should be the first ACTION/REASON put on the PAF to ensure proper processing.

Update Education information:

DTA EDU

Change in Tenure Status:

No Effective Date, Action Code or Reason Code required at top of PAF. Just complete "Tenure Information" Box.

Tenure requires Tenure Effective Date

Officers of research, officers of the libraries, and student officers do not have tenure status. Tenure code should be "None."

VIII. ORDER OF ACTION CODES AT TOP OF PAF:

- 1. Personal changes (DTA VSA, etc.)
- 2. Reappointment/Title/Salary (DTA/CNW, DTA TTL (only for tenured faculty arid officers of the libraries); PAY ADJ (only for tenured faculty)
- 3. Leaves

4. Terminations

IX. GENERAL REVIEW BEFORE SUBMISSION:

Please check the PAFs you are submitting to make sure that they contain all the necessary information.

- 1. CITIZENSHIP: Please make sure that Citizenship is properly recorded.
 - a) If the person has a visa, "U.S. Citizen" field should show as "N." There should be a visa type and visa expiration date.
 - b) If the person is a Permanent Resident, "U.S. Citizen" field should show as "N." Please be sure that the "A" number is recorded.
- 2. EDUCATION: Please be sure that educational information is indicated on the PAF. PAFs missing this information will be returned.
 - a) If "Education" box is blank, please provide highest degree, institution, and date.
 - b) Please check "Institution" to confirm that it is a legitimate college or university. You do not need to change "Harvard Undergraduate" to Harvard University. The Education tables in PeopleSoft are being updated, and corrected information will populate these fields shortly. You do need to fix such entries in the "Institution" field as "Tuxedo Park Middle School," "Allentown Hospital," etc.
- 3. COMPLETE UNIVERSITY TITLE: Please make sure that the title is current and free of typos. (Please refer to the Title Job Aids in the appendix)

Please remember to consult the TIG for a more detailed explanation and for less frequently used codes.

TO:

Departmental Administrators

FROM:

Pearl Spiro

Assistant Provost for Academic Appointments

SUBJECT:

Quick Reference Guide for Processing PAFs for Part-Time Academic Personnel

Who Cannot Be Done by Roster

ORDER OF ACTION CODES AT THE TOP OF PAF:

1. Personal changes (DTA VSA, etc.)

If the visa is being extended or is changing, DTA VSA should be the first ACTION/ REASON listed on the PAF to ensure proper processing.

- 2. Other changes in personal information (e.g., Social Security number, marriage date). All campus address changes should be done via the Web, not by PAF.
- 3. Terminate casual position and rehire into academic appointment (TER AEN, REH REH)
- 4. Reappointment/Title/Salary

DTA/CNW (if no break in service)

REH CNW (if person is already terminated)

II. ACTION CODES FOR COMMON PERSONAL CHANGES:

Update Social Security number:

DTA SSN

Update Visa information:

DTA VSA

Update Education information:

DTA EDU

Change in Tenure Status: No Effective Date, Action Code or Reason Code needed

- III. ACTION CODES FOR REAPPOINTMENTS WITH/WITHOUT A CHANGE IN TITLE AND WITH/WITHOUT A CHANGE IN SALARY (assumes that you cannot reappoint the person by roster but must use a PAF. See my instructions for roster processing.)
 - 1. Nontenured Faculty, Officers of Research, and Student Officers

DTA CNW: should be used only if there is no break in service, and if the nontenured faculty member, officer of research, or student officer has not yet been terminated.

No other codes are required to indicate a change in title or salary. Do not use DTA TTL, PAY ADJ, or PRO/PRO.

REH CNW: should be used if there is a break in service or if the person has already been terminated.

No other codes are required to indicate a reappointment with/without a change in title or salary. Do not use DTA TTL, PAY ADJ, and/or PRO/PRO.

2. Tenured Faculty (with multiple appointments):

Change in Salary:

PAY ADJ

Change in Title:

DTA TTL

- IV. ACTION CODES TO TERMINATE CASUAL EMPLOYMENT AND APPOINT TO ACADEMIC POSITION
 - 1. TER AEN
 - 2. REH REH
- V. COMPLETION OF POSITION/SALARY INFORMATION
 - I. Changes of Title and Position and/or Administrative Department
 - a. Update Position Number
 - b. If the person is remaining in your department, update POSITION ENTRY DATE and TITLE EFFECTIVE DATE.
 - c. If the person is changing departments but the title is remaining the same, update ADMINISTRATIVE DEPARTMENT CODE, ADMINISTRATIVE DEPARTMENT NAME, POSITION NUMBER, and POSITION ENTRY DATE TITLE EFFECTIVE DATE does not change.
 - 2. Update APPT/COMP RATE EFF DATE and APPT/COMP RATE END DATE
 - 3. Update COMP RATE and ANNUAL RATE using TIG calculator, as needed. (Do not use the TIG calculator if the duration of the appointment is less than one month.)
 - 4. Confirm full-time/part-time status

5. Change Salary Type from NAHRLY to CNTRCT if the person is switching from casual to an officer appointment.

6. Update Tenure Status

All part-time faculty: OTHER NONTENURED

All officers of research and student officers: NONE

VI. GENERAL REVIEW BEFORE SUBMISSION

Please check the PAFs you are submitting to make sure that they contain all the necessary information.

1. CITIZENSHIP:

Please make sure that Citizenship is properly recorded. The individual must have completed a new 1-9 if you are changing the visa information.

- a) If the person has a visa, "U.S. Citizen" field should show as "N." There should be a visa type and visa expiration date.
- b) If the person is a Permanent Resident, "U.S. Citizen" field should show as "N." Please be sure that the "A" number is recorded.

2. EDUCATION:

Please be sure that educational information is indicated on the PAF. PAFs missing this information will be returned.

- a) If "Education" box is blank, please provide highest degree, institution, and date. If the degree is from a foreign institution; be sure to indicate the country.
- b) Please check "Institution" to confirm that it is a legitimate college or university. You do not need to change "Harvard Undergraduate" to Harvard University or to indicate the foreign institution from which the person received the degree. The Education tables in PeopleSoft are being updated, and corrected information will populate these fields shortly. You do need to fix such entries in the "Institution" field as "Tuxedo Park Middle School," "Allentown Hospital," etc.
- 3. COMPLETE UNIVERSITY TITLE: Please check to make sure it is current and free of typos.

Please remember to consult the TIG for a more detailed explanation and for less frequently used codes.

SAMPLE

PLEASE BE SURE TO READ BEFORE COMPLETING APPOINTMENT PAPERWORK. USE <u>CURRENT</u> DATES WHEN COMPLETING PAPERWORK.

August 5, 2011

TO:

Departmental Administrators and Academic Departmental Administrators

FROM:

Pearl Spiro

Associate Provost for Academic Appointments

SUBJECT:

Personnel Forms for Fall Appointments

With the implementation of semi-monthly paychecks and the new Labor Accounting system, the ability of departments to submit the forms for part-time and student officers of instruction and research to meet the HRPC deadlines will determine whether these people will start receiving checks on September 15 or September 30. The HRPC cannot process individual pages of department rosters, but needs all of the pages for a particular department before entering the information into PeopleSoft. Those units which submit their rosters and forms through a dean or executive vice president should complete them even earlier to ensure that they are processed in time. Since the submission of the electronic transactions and paperwork will determine when people receive their first check, departments and schools should notify their faculty and student officers when they can expect their first paycheck.

To ensure that I have sufficient time to approve appointments and meet the HRPC Mail Closing Dates for the September 15 and September 30 payrolls, please note the following dates:

Deadlines for September 15 Payroll

Departments wanting to meet the deadline for the September 15 payroll must submit all of their rosters, nomination forms, PAFs, and FAST transactions to me by Tuesday, September 6. Joe Werst in the Arts and Sciences has requested that those departments wanting to meet the September 15 payroll should submit all forms and especially rosters to them by Wednesday, August 31.

Deadlines for September 30 Payroli

Departments wanting to meet the deadline for the September 30 payroll must submit all of their rosters, nomination forms, PAFs, and FAST transactions to me by Tuesday, September 20. All appointments processed after that date for people who appeared on the rosters must be submitted on PAFs. Joe Werst has requested that they receive all forms and especially rosters for the September 30 payroll by Tuesday, September 13.

Recertification by Roster

The format of the rosters is the same as last year. As in the past, to expedite processing the rosters for the period 9/1/11 - 12/31/11 have been printed on green paper, and those for the period 9/1/11 - 5/31/11 are on yellow paper.

The procedures to recertify your part-time officers of instruction and your student officers for the 2011 - 2012 academic year or for Fall 2011 are also similar to those used last year.

Attached are two rosters, one for officers of instruction and one for student officers, who held an appointment during the 2010 - 2011 academic year or during Summer 2011 in your department or school. Such people who are currently working on the casual payroll or who held an appointment in Summer Session 2011 should also appear on your roster. Please contact me if your rosters are missing people before preparing PAFs.

The same rules will apply to these rosters as did to the ones you received last year:

- The rosters should be used to reappoint for the period indicated in the heading of the roster. Depending on the appointment cycle in your school or department, you are receiving rosters for the 9/1/11 -5/31/12 period and/or the 9/1/11 -12/31/11 period. You can use the roster only to reappoint for the period noted in its heading. PAFs must be submitted if the new appointment covers any other period of time.
- Please indicate the new title on the line marked "New Title," and enter the position number for the new title. You do not need to restate the title or the position number if it remains the same.
- The definitions for the codes used on the roster are also the same as in the past. All the names on the roster must have a code placed next to them:
 - R reappoint for the period indicated in the heading on the roster. You must provide both "New Comp Rate" and "New Annual Rate."
 - P process by PAF submitted with the roster.
 - E-terminate with Term Action Reason TER AEN on 9/01/11. Use of this code will terminate the current appointment. Do not use "E" if the termination type is not AEN, or if the "Appt/Comp Rate End Date" is prior to August 31, 2011. If you can use "E" on the roster, you do not need to submit a PAF.
 - T to keep terminated; use this code if the person should remain terminated and not be reappointed for the Fall term or for the 2011 2012 academic year. <u>Do not use "T" to terminate an active appointment by roster.</u>
 - U unknown: if an individual who does not hold an appointment in your school or department has been erroneously included on your roster. Please contact me immediately if such a person appears on your roster.

Do not write the names of any officers who are not already on the rosters. Individuals who have been omitted from the rosters or mistakenly included on the wrong roster must be recertified by PAF even if you only want to reappoint them.

You no longer need to provide 1-9 information on the roster. You can ignore the line on the roster requesting this information. Please see the section "Citizenship Information and 1-9 Forms" on page 6 below for further important information.

You may process the pages of the rosters individually or together. In either case, you should sign each completed page and forward it to me. Even if you do not wish to use the rosters, you must return all your

roster pages to me **no later than September 6** for the September 15 payroll and by **September 20** for the September 30 payroll. The HRPC needs them for proper control.

If, as a result of a subsequent review, the entry for any officer whom you want to recertify by the roster needs to be changed, the notation in the action column will be changed to "E" or "T" and you will be asked to prepare a PAF. Such a PAF should be labeled "SUPERCEDES ROSTER ENTRY."

You should not submit the PAFs of officers whom you are recertifying by roster. Once you have submitted your rosters, do not print a PAF to initiate any change in PeopleSoft until the rosters are updated. You must use the PAF generated from the roster for any additional modification. Otherwise the person will not be paid properly.

Recertification by PAF

You should enter "P" under the ACTION column on the roster and submit a PAF if you need to make any changes other than to reappoint at the same title or appoint to a new title, terminate with a Term Type TER AEN, or keep terminated.

Do not make the changes on the roster itself. A PAF will be required for any of those officers if you intend:

- 1. to reappoint through a date other than that shown on the roster;
- 2. to reappoint at zero salary;
- 3. to terminate an appointment with a termination code other than TER AEN;
- 4. to reappoint people whose visas have been extended;
- to reappoint an officer of administration to an academic position (the PAF for the previous academic position should be obtained from the person's administrative department);
- to reappoint people whose names do not appear on the roster (either because their last appointment predated July 1, 2010 or because of some programming omission); or
- 7. to change any of the personal information (other than addresses and phone numbers which must be submitted via the Web).

Nobody working in the United States should be reappointed with a "dummy" number, either by roster or by PAF. Please check that everyone being reappointed has a real Social Security number in PeopleSoft. Once the Social Security card has been issued, the PAF needs to be updated with the actual Social Security number. A copy of the person's Social Security card and new tax forms with the Social Security number must accompany the PAF. Paperwork for anyone working in the United States who is reappointed with a "dummy" Social Security number will be returned to you.

You will also need to submit PAFs foreign citizens on the rosters with visa expiration dates before December 31, 2011 or May 31, 2011 (depending on the roster heading). Those officers who have received visa extensions need to complete new 1-9 Forms, and you should update the PAF with the new visa expiration date and new type of visa (if applicable) and attach copies of the relevant paperwork. If the

Department of Homeland Security has not extended an officer's visa, the appt/comp rate end date cannot be later than the visa expiration date. In those cases where the officer has applied for the extension but Homeland Security has not acted, you should contact me, or Joe Werst in the Arts and Sciences, for instructions.

While you will not be able to use the rosters to recertify some of your officers, it will nonetheless be in your interest to submit their PAFs at the same time as the rosters. If you do, you must sign the PAFs as well as the rosters.

FAST Transactions

If you use FAST for new appointments, please follow the instructions provided by Human Resources. Please note the following to ensure that PeopleSoft contains accurate data:

- · always put a period after the middle initial of the name;
- be careful when choosing educational institutions since many have similar names;
- for student officers only who received degrees from foreign universities or from US schools not
 on the list provided by PeopleSoft, please indicate the institutions from which they received
 their degrees in the "Comments" area; and
- include Complete University titles for all faculty and officers of research; leave that field blank for student officers.

Current Casual Employees Who Need to Be Reappointed as Academic Officers

People who were officers of instruction or research or who were student officers during the 2010 - 2011 academic year who are currently working on the casual payroll should appear on your roster. You do not need to submit a P AF terminating their casual position if you reappoint them by roster. Use of the "R" code on the roster will terminate their casual position and reappoint them as officers effective September 1, 2011.

You will need to submit a PAF for people who are currently working on the casual payroll 1) who were officers of instruction or student officers during the 2010 - 2011 academic year but whom you cannot appoint by roster for the reasons mentioned above in the section entitled "Recertification by PAF," or 2) who did not hold appointments as officers of instruction or research or student officers during the 2010 - 2011 academic year. The PAF showing their casual status should be modified as follows to reflect the change from casual to semi-monthly payroll:

a. Action Codes at Top:

1) 9/1/11 TER AEN

2) 9/1/11 REH REH (please note this code)

b. Position Entry Date:

9/1/11

c. Title Effective Date:

9/1/11

d. Title:

Change from Short-Term Casual to proper academic title

e. Salary Type:

Change from Hourly to Contract

You should complete the fields relating to the academic appointment: comp rate, appt/comp rate effective date, appt/comp rate end date, annual rate, and full base salary. Please also be sure that the personal information such as citizenship, education, and tenure status is complete and accurate. For faculty and officers of research, please include the Complete University Title. (Student officers do not need the Complete University Title completed on their forms.) The PAF will be returned to you if any of this information is missing.

All additional work done by these people once their appointments as officers are effective September 1, 2011 must be submitted as additional compensation. They must not be paid on the casual payroll.

Citizenship Information and 1-9 Forms

The Immigration Reform and Control Act of 1986 (IRCA) requires that all new employees complete the 1-9 Form by the first day of work. The University is liable to substantial fines from the Department of Homeland Security if it is not in compliance with the law.

The procedures for completing 1-9 Forms distributed by Human Resources should be followed. All faculty, officers of research, and student officers, whether or not they are U.S. citizens, should go to 210 Kent or to the 4th Floor Studebaker to complete their 1-9 Forms.

New I-9s will also be required for foreign citizens who are being reappointed if their visas will expire before the end of the proposed period of appointment. If Homeland Security has not extended an officer's visa, the appt/comp rate end date cannot be later than the visa expiration date. New 1-9 Forms are required for U.S. citizens and permanent residents with breaks in service of more than one year when the 1-9 Form was signed more than three years ago. In other words, as long as a person returns to work within three years of signing an 1-9, they do not need to complete a new form. The same applies to non-citizens who are not permanent residents if the original authorization to work has not expired during the break in service.

With the introduction of electronically prepared 1-9 Forms, you no longer need to provide the date that the 1-9 Form was signed if the existing 1-9 Form on file is still valid. You will need to attach the documents for foreigners that were listed in the instructions from Human Resources if a new 1-9 was completed. The office of the appropriate dean or executive vice president will check that individuals needing a new 1-9 have indeed completed one.

Ethnic and Racial Classification of Employees

Please refer to the e-mail that Human Resources distributed on April 6, 2010 for information about the U.S. Department of Education rules regarding the ethnic and racial classification of faculty, students, and staff. Attached to the e-mail is the paper self-identification form that all new employees should complete and from which you should obtain the information required for the nomination form. A copy of the self-identification form must be attached to the nomination form or PAF (for casuals' becoming officers).

New York State Labor Law Section 195(1)

To comply with the New York State Labor Law Section 195(1) all new faculty and officers of research (NOT student officers) who receive salary from the University, regardless of whether they are full-time or

part-time, and anyone switching from non-salaried to salaried positions must complete the "Notice and Acknowledgement of Wage Rate and Designated Payday Hourly Rate Plus Overtime" form before they can begin working. The original form must be attached to the nomination form, PAF, or FAST transaction for the appointment to be approved and sent to the HRPC. A copy of the form should be maintained in the department. Only those people who are newly hired or who did not hold faculty or officer of research appointments during the 2009 - 2010 academic year should receive and return the form.

Assignment of Inventions to Columbia University

Part-time officers of instruction do not need to complete the "Agreement to Assign to the University Inventions or Discoveries Conceived or Reduced to Practice in the Performance of Sponsored Projects." However, all full-time officers of instruction, full-time and part-time salaried officers of research, and student officers of research (Departmental Research Assistant, Graduate Research Assistant, Research Fellow, and GRA/Research Fellow) must complete the "Agreement to Assign to the University Inventions or Discoveries Conceived or Reduced to Practice in the Performance of Sponsored Projects." Such officers being appointed for the first time, those switching from part-time to full-time or from nonsalaried to salaried appointments, or those who have not already signed an Agreement must complete the Agreement. Student officers switching from teaching appointments to research appointments must also sign the Agreement. No appointment should be processed until the department or school has received a completed Assignment Agreement. The original Assignment Agreement should be maintained in the departmental office. A copy of newly signed forms only should be attached to each nomination form or to the roster/PAF. Officers who have already completed an Assignment Agreement do not have to sign another one, nor do copies of Agreements already submitted need to be attached to the appropriate paperwork. The only exception relates to student officers switching from teaching appointments to research appointments. If they have completed the form previously, please indicate "IA" (no date required) on the PAF or next to their name on the roster.

Please refer to the memo dated April 14, 2010 from Provost Claude Steele for further information. The Invention Agreement itself is located at http://spa.columbia.edulforms/intemalforms. (For the time being you may continue to use forms addressed to Claude Steele.)

Curricula Vitae

In order for my office to maintain complete information about the educational background of academic personnel, please attach a copy of the *curriculum vitae* of all new officers of instruction and research to the nomination form and of those being promoted to the PAF. *Curricula vitae* are <u>not</u> needed for student officers.

It is crucial that you review the data in PeopleSoft to ensure that it is accurate and that people will receive correct checks in September. If you find any discrepancies with the information you submitted or if a record has not been updated within a reasonable interval, please contact the Help Desk. If you need further assistance, please feel free to contact Joe Werst in the Arts and Sciences (x46110), or me (x43813). Do not resubmit the PAFs with corrections until you have spoken to one of us.

If you have any questions about our procedures, do not hesitate to ask for a clarification from my office. If you are in the Arts and Sciences, you may call Joe Werst instead.

Thank you for your cooperation.

II. <u>SAMPLE NOMINATION FORMS</u>

NEW STUDENT APPOINTMENT WITH VISA



COLUMBIA UNIVERSITY

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NEW STUDENT APPOINTMENT



COLUMBIA UNIVERSITY NOMINATION FORM

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NEW PART-TIME APPOINTMENT

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TITLE Adjunct Professor			APPT./C	OMP. RATE	EFF. DATE	09/1/2012		
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NEW NON-TENURED APPOINTMENT-NAMED ASSISTANT



COLUMBIA UNIVERSITY NOMINATION FORM

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1.	EFF. DATE 7/1/2012	ACTION HIR	REASON NEW	Profession
2.				11016 2701
3.				DATE SUBMITTED 6/30/2012
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Last, First Middle	RES. PHONE	212-123-4567 217-123-4567 2-123-4567	SOCIAL SECURITY NO. ADMIN. DEPT. NAME	Mathematics
Archimedes Archie		ON_1 - Morningside	_ ADMIN. DEPT. CODE	3780000
OFFICE ADDRESS ### Building Name		MAILING ADDRESS (
MAIL CD. 类类学类 CHK SEQ CD 37801				
COUNTRY STATE		CITY		STATE
HOME ADDRESS (Permanent) ### Main Street, #1B		COUNTRY		ZIP
CITY New City	STATE NY	COUNTRY		ZIP 12345
PERSONAL	-	ORK ELIGIBILITY	U.S. CITIZEN 🖸 YE	
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EDUCATION				
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	thern Illino	is University		YEAR 1976
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TITLE Named Assistant Professor	— SALA		CT Period Salary (with Ap	
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FULL-TIME NON-TENURED APPOINTMENT

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		FAX ZI	2-123-4567	ADMIN. DEPT. CODI	
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CITY New City		STATE NY	COUNTRY		ZIP 12345
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TITLE Visiting Professor			<u> </u>	NAANNL Annual Salary (wi	thout Appt/ Base Salary End Date)
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NEW APPOINTMENT TO TENURE - NAMED HOYSSORSHIP

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Suffix	OFF, PHONE	212-123-4567	SOCIAL SECURITY 1	NO. 123-45-6789
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Cast, Flist Middle	FAX	212-123-4567	ADMIN, DEPT, CODI	3120000
Franklin, Benjamin	WORK LOCA	TION <u>1 — Morningsid</u>	e	
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CITY New City		WORK ELIGIBILITY	U.S. CITIZEN	7 YES NO
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OLIE ELIVARE LI I STATE		EXPIRATION DATE		
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EDUCATION				YEAR 1999
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DEGREE G — Bachelor's Level Degree A INSTITUTION DEGREE G — Bachelor's Level Degree A INSTITUTION		of Pennsylvania		YEAR 1991
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POS. DEPT. NAME History				(with Appt./ Base Salary End Date)
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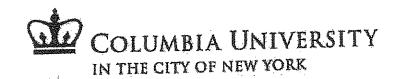
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IV. <u>APPENDIX</u>

HELPFUL HINTS & RECOMMENDATIONS

THINGS TO KEEP IN MIND WHEN COMPLETING THE NOMINATION FORMS / PAFS

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TOP PORTION	
ACTION CODES: List the appropriate Action Code (refer to the enclosed instruction in the Updated Quick Reference Guide). Note: When listing Actions on the top of the PAF, ensure that a change in Visa (DTA VSA) is listed before any other action such as reappointments, or rehires (REH REH, etc.) PREFIX: Include the appropriate Prefix (Mr. / Ms. / Professor, etc.) SOCIAL SECURITY: Ensure that the SS # on the PAF matches the SS # on all tax forms. ADDRESSES: The Mailing and Home address must be complete including City/State/Zip Code and Country if relevant. If Home address is the same as the Mailing address, leave Mailing section blank. Note: Ensure all addresses on tax forms match addresses on nomination forms / PAFs.	
PERSONAL INFORMATION	
BIRTH DATE: Review your entry so that the year reflects the birth year and <i>not</i> the current year (e.g., 2012) ETHNICITY / RACE: This field cannot be left blank on the <i>initial</i> hiring paperwork. Please Note that the "Not Disclosed" option can be selected as one of the options from the drop-down menu. MARITAL STATUS: If Married, the date must be provided (mo/day/yr).	
WORK ELIGIBILITY	
VISA: If not a U.S. citizen, the Visa type and expiration date must be indicated. If Permanent Resident, Visa Type is PR and no expiration date is required, however an "A" number is required. Note: The Appointment / Comp Rate and date should not exceed the Visa expiration date.	
EDUCATION / - / - / - / - / - / - / - / -	
DEGREES: All completed degrees must be listed. Degree abbreviations must be written after the degree (e.g., PhD, M.A., B.S., etc.). See examples on Nomination Forms.	
TENURE INFORMATION	
TENURE STATUS: Faculty must have type of tenure identified. For Officers of Research and Student Officers. Write "None" in the Tenure Information section.	
COMPLETE UNIVERSITY TITLE	
COMPLETE UNIVERSITY TITLE: This section is required for Faculty and Officers of Research. Completion of this section is <i>not</i> required for Student Officers.	
POSITION/SALARY INFORMATION:	
POSITION ENTRY DATE: The Position Entry Date and the Appointment/ Comp Rate Effective Date must be the same. Additionally the dates must be the same date as the effective date on the top of the form. COMP RATE: If the appointment is less than a year, the Comp Rate cannot equal the Annual Rate. APPT / COMP RT End Date - APPT / COMP RT Effective Date: The Appointment/ Comp Rate End Date cannot be the same as the Appointment/ Comp Rate Effective Date. SALARY TYPE: Only tenured faculty are NAANNL. Note: All other faculty, Officers of Research and Student Officers are Contract and require Appointment/ Comp Rate End Date. Student Officers are always Part-Time.	0
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EASE – How to Obiain a Position Number – Job Aid

To access PAC training information, go to http://managers.hr.columbia.edu/tig

Purpose: The purpose of this population of provide you with steps on how to obtain a position number of either a newly created position of an existing position in the University.

Howadokobtana positionan Powelos		RESULT.
Work with your HR Client Manager or Provost Office/Faculty Affairs	If this is a new position, the position numbers are created by the HR Client Managers and provided to you by the Client Manager, generally during the JAC posting process. For Administrative Hire, work with your HR Client Manager to obtain the position number created for this job. For Academic Hires, contact the Provost Office or	You have the position number for the new position.
	Faculty Affairs to obtain the position number.	

e flow disamplating position ruli	nber for an existing position via MSS? ACTION	PESULE:
Access Manager Reporter In MSS	If you have access to Manager Reporter in MSS, access this feature.	The Manager Reporter feature displays.
Run a Position Management Report	Select the prompts and run the report. If you do not have access to the reporter feature in MSS, you can obtain this report from the approver in your department who has access and can provide the report to you.	The existing positions for your department displays.



The position number indicates the job you are filling. As part of the hiring process, the employee that you are completing this transaction for was hired for that position. It is efficient to obtain the position number prior to entering data into the template.



©UIBusiness ⊪itles for Faculty⊩Rüles and Examples

Faculty have both unmodified and modified titles.

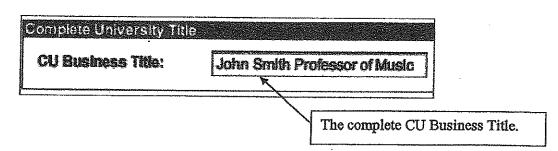
Obtain the Position Description for the	Ummodified Titles - Rules and Examples
Faculty Member	Titles:
	Unmodified Professorial Titles:
	Assistant Professor of .
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	Visiting Professor of
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	Adjunct Professor of
	Named Unmodified Professorial Titles:
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	 Named Associate Professor of
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	Note: for named professorships, ensure that you use the full name of the
	professorship and not the word 'named.' Be sure to enter the full name in the CU Business Title field. Example below and see the last page of this
	job aid for a visual:
•	John Smith Professor of Music
	Unmodified Non-Professorial Titles:
	Instructor in Lecturer in
	Senior Lecturer in
•	Associate in
	Assistant in (CUMC Only)
btain the Position Department(s)	Examples include:
	 Departments, such as Chemistry, Economics or Psychiatry
	 Schools, such as Law or Business
	Schools, such as Law or Business For faculty, only the department or school name is
overland the Plantin Physics	o For faculty, only the department or school name is used.
ombine the Position Description and	o For faculty, only the department or school name is used. Examples include:
ombine the Position Description and epartment(s)/School(s) for the complete usiness Title	For faculty, only the department or school name is used. Examples include: Assistant Professor of History
epartment(s)/School(s) for the complete	For faculty, only the department or school name is used. Examples include: Assistant Professor of History Visiting Associate Professor of Journalism
epartment(s)/School(s) for the complete	For faculty, only the department or school name is used. Examples include: Assistant Professor of History Visiting Associate Professor of Journalism Adjunct Professor of Law
epartment(s)/School(s) for the complete	For faculty, only the department or school name is used. Examples include: Assistant Professor of History Visiting Associate Professor of Journalism Adjunct Professor of Law Instructor in History
epartment(s)/School(s) for the complete	For faculty, only the department or school name is used. Examples include: Assistant Professor of History Visiting Associate Professor of Journalism Adjunct Professor of Law



GU/Business tritles for Faculty.	Modified Titles - Rules and Examples, cont.
Obtain the Position Department(s)	Examples include:
	 Departments, such as Chemistry, Economics, Pharmacology, Psychiatry or Biostatistics
	 Schools, such as Law, Business, Nursing or College of Dental Medicine
	 For modified titles, use the word <u>Faculty</u> when entering a school name in the title (Morningside and CUMC)
	Divisions, such as Finance or Film
	Disciplines, such as Mathematics or Chemistry
Combine the Position Description and Department(s)/School(s) for the complete Business Title (adhere to any exceptions)	Associate Professor of Professional Practice in the Faculty of Journalism Professor of Professional Practice in Film in the Faculty of the Arts Associate in the Discipline of Chemistry in the Department of Chemistry Assistant Professor of Clinical Dental Medicine Associate Clinical Professor of Nursing Professor of Surgery at the New York-Presbyterian Hospital at the
	Columbia University Medical Center
	 Instructor in Clinical Neurological Surgery
	 Affiliate Physician in Obstetrics and Gynecology

Named Professor example

Workstocations Job Field *Position Number:	10000186		⊠ Override Position Data
Position Description:	Named Professor	Location Gode:	01
FullPart Time:	Full-Time	Department:	3480000
Job Code:	010100		sition description based ssition number.



rouvequiness Titles for Officers of	Research Rules and Examples
Cintain the Position Description for the	Titles:
Acadomic Officer	Postdoctoral Research Fellow in the
	Postdoctoral Research Scientist in the
	 Postdoctoral Research Scholar in the
	Associate Research Scientist in the
	Associate Research Scholar in the
	Research Scientist in the
	Research Scholar in the
	 Senior Research Scientist in the
	 Senior Research Scholar in the
	Staff Associate in the
	Senior Staff Associate in the
	Postdoctoral Residency Fellow in the (CUMC Only)
	Postdoctoral Clinical Fellow in the (may be used alone or with the
	Assistant in Clinical title) (CUMC Only)
	o If used with the Assistant in Clinical title, the format should
	be Postdoctoral Clinical Fellow in the (department);
	Assistant in Clinical (department)
Obtain the Position Department(s)	Examples include: Departments, such as Chemistry, Lamont-Doherty Earth
	Departments, such as Chemistry, Lamonie-Donerty Land Observatory, Dermatology or Epidemiology
	a to the test of Ducinose Murcing of Louise of Mania
	Madiaina
	Use the word <u>Faculty</u> when entering a school name in
	the title (Morningside and CUMC)
	 Institutes, such as the Earth Institute or the Institute for Cancer
	Genetics
	Contary such as the Center for Environmental Research and
	Conservation or the Herbert Irving Comprehensive Cancer Center
Combine the Position Description and	Framples include:
Department(s)/School(s) for the complete	Postdoctoral Research Fellow in the Department of Chemistry
Business Title	Associate Research Scholar in the Faculty of Law
	 Postdoctoral Research Fellow in the Lamont-Doherty Earth
	Observatory
	Research Scholar in the Institute for Social and Economic
	Research and Policy
	Research Scientist in the Center for Environmental Research and
	Conservation Postdoctoral Research Scientist in the Department of Biochemistry
	and Molecular Biophysics
	Associate Research Scientist in the Department of Pathology and
	Associate Research Scientist in the Department of Patriology and
	Cell Biology Adjunct Research Scientist in the Center for Radiological
	Research
	n
	Postdoctoral Residency reliew in the Department of Anesthesiology
	Restdectoral Clinical Fellow in the Department of Surgery
	Postdoctoral Clinical Fellow in the Department of Neurology;
	Assistant in Clinical Neurology

Obtain the Position Description for the Faculty member	Modified Titles - Rules and Examples <u>Titles:</u>
	Professional Practice: MORNINGSIDE ONLY
	Note: for named professorships, ensure that you use the full name of the professorship and not the word 'named.' Be sure to enter the full name in the field. Example below: • Robert Jones Professor of Professional Practice in the Faculty of
	Exceptions:
·	School of the Arts: Add the division to the title, such as the Film Division in the Faculty of the Arts. Example of a complete title format is, Professor of Professional Practice in Film in the Faculty of the Arts
	In Discipline: MORNINGSIDE ONLY Lecturer in the Discipline of (Department) in the Senior Lecturer in the Discipline of (Department) in the Associate in the Discipline of (Department) in the
	Note: for Named Lecturerships, ensure that you use the full name of the lecturership and not the word 'named.' Be sure to enter the full name in the field. Example below: • Richard Gilbert Lecturer in the Discipline of (Department) in the Department/Faculty of
	Exceptions:
	 <u>Business:</u> Add the division to the title, such as the Management Division in the Faculty of Business. Example of a complete title format is, Senior Lecturer in the Discipline of Business in the <u>Management Division</u> in the Faculty of Business
	 Engineering: Add the title assigned by the department, such as Electrical Circuits and Systems. Example of a complete title format is, Senior Lecturer in Electrical Circuits and Systems in the Department of Electrical Engineering
•	 Language Departments: Add the language that is taught, such as Arabic. Example of a complete title format is, Lecturer in Arabic in the Department of Middle East and Asian Languages and Cultures
	Clinical Titles in Law Clinical Professor of Law