Guidelines on how to Manage Appointments, Payroll and Visa Processes
For Research, Visitor and Postdoctoral fellow Appointments initiated in OR-University Centers
New Hires and current employees at NU
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New Hires and current employees at NU

1. Recommendation for Research, Visitor and Postdoctoral fellow Appointments:
Policy, forms and flow charts are available at http://www.research.northwestern.edu/policies/research-appointments/research-staff.html and http://www.tgs.northwestern.edu/postdocaffairs/postdocpolicies/appt_form/
NOTE: As part of the Visa process, the International Office requires an Official university position confirmation. It MUST cover the dates of requested Visa.
   • Recommendation for Research Staff Appointment form - research positions.
   • Recommendation for Postdoctoral Research Appointment form – postdoctoral positions.

2. VISA (Fees, International Office and USCIS Application Process, Deadlines) initial and Renewal application:
The Process Timeline for each visa category varies. Please keep in mind IO & USCIS processing times are subject to change based on processing and procedures.
   • The center administrator should contact the International Office Adviser to sign up to receive any updates via e-mail list serve.
The International Office 630 Dartmouth Place, Evanston, IL 60208-4190 Phone: 847-491-5613, Fax: 847-556-6006, E-mail: intscholars@northwestern.edu. http://www.northwestern.edu/international/about/staff.html.
   • Visit http://www.northwestern.edu/international/scholar/departments/index.html where you will find information about non-immigrant visa categories such as J-1, H-1B, E-3, TN, sponsorship of international employees for Legal Permanent Resident status, the associated internal and external processes in obtaining visa, and other helpful hints to assist International Scholars in maintaining their status.
   • Please consult with your IO adviser on which visa is appropriate for the scholar based on timelines and job duties. http://www.northwestern.edu/international/about/staff.html.
   • For H-1B Visas, the Center Administrator must have access to Immigration tracker. If you do not yet have login information for Tracker and would like access, please contact the International Office intscholars@northwestern.edu.

This is a secure system allowing you to:
   • Check your current status information and expirations.
   • Monitor progress on any active immigration cases.
   • Submit new or updated information to us.
   • Employers may also add notes, run reports and perform other case management functions.

The Center Administrator should submit an Intake Form via Tracker. The IO adviser accepts the Intake Form. From this point forward all activity regarding the H-1B application is tracked through the Tracker Portal.
   • The Center Administrator works with the employee and hiring individual to gather all REQUIRED DOCUMENTS FOR ALL APPLICATIONS to be submitted to the International Office.

The Checklist, Forms and Policies Index for Students, Scholars and Departments are available at http://www.northwestern.edu/international/scholar/departments/index.html.
   • The IO process begins once all supporting documentation has been received.
   • If needed the Center Administrator should follow up with the IO adviser assigned to their case until the USCIS Receipt notice or USCIS Approval notice has been issued.

3. Payroll Process: New Appointment/ Reappointment:
   • USCIS Receipt notice vs. USCIS Approval notice varies by type and applicant status.

Payroll appointment process can be initiated upon receipt of the Document of employment eligibility (USCIS Receipt notice or USCIS Approval notice).
   In some cases if the intended start date approaches and the individual does not have an Approval Notice.
   The NU hiring department will have to suspend employment until the IO receives the approval Notice. In other cases if the intended start-date approaches and the individual does not have an Approval Notice, portability provisions allow him/her to continue at NU based on the Receipt Notice.
   The Center Administrator can obtain clarification by contacting your International Office Adviser or by visiting http://www.northwestern.edu/international/scholar/departments/index.html.

International Office 630 Dartmouth Place, Evanston, IL 60208-4190 Phone: 847-491-5613, Fax: 847-556-6006, E-mail: intscholars@northwestern.edu.

   • Once The Document of employment eligibility is available both the employee and the Center Administrator complete the following:

   Employee:
   ✷ E-VERIFY: Who must participate in E-Verify?
Northwestern University and its employees must be compliant with the E-Verify I-9 process and requirements. The E-Verify I-9 must be completed by all new hires and individuals who receive employment-related payments. The E-Verify I-9 is not required for unpaid appointments.

- **New Hire:** Section 1 and 2 can be completed and verified on campus and remotely at [http://www.northwestern.edu/hr/payroll/newhires.html](http://www.northwestern.edu/hr/payroll/newhires.html).
  Section 1 of the Form I-9 may be completed upon acceptance of a job offer, but no later than the first day of employment. The employee will need to bring original documentation to verify his/her eligibility to work in the U.S. on the employee’s first day, but no later than the employee’s third day of employment. Failure to comply with these timelines will result in corrective action, including and up to termination.
- **Rehire:** the Section 3 Rehire Tool for I-9s is now available. You will use this process if you are rehiring U.S. citizens within 3 years of the last time their I-9 was completed. If this is not the case, the employee must start a new I-9 section 1 with someone completing section 2 after viewing their documents.
  When an employee is transferring departments, their location will be changed the day after their paperwork is processed in HRIS. If you need to complete Section 3 of the Form I-9 before this transfer is processed in HRIS, please email 9help@northwestern.edu.
- **Current Employee:** will need to update work eligibility expiration date using Section 3 of the Form I-9 if they extend their work authorization at NU.

I-9 and E-Verify training guides are available at [http://www.northwestern.edu/hr/payroll/E-VerifyTrainingGuides.htm](http://www.northwestern.edu/hr/payroll/E-VerifyTrainingGuides.htm).

*Nonresident Alien Information and Forms*

[http://www.northwestern.edu/hr/payroll/nonresidentinfo.html](http://www.northwestern.edu/hr/payroll/nonresidentinfo.html)

**FNIS**

Nonresident Aliens who will receive payments through payroll at Northwestern University including stipends from fellowships must enter their information in our Foreign National Information System (FNIS). Departments should notify payroll of any new nonresidents before their start date by contacting payroll ([payroll@northwestern.edu](mailto:payroll@northwestern.edu)) and completing the FNIS Access Request Form.

The data entered into FNIS will be used for tax analysis and to create only necessary forms for taxation, including available tax treaties. FNIS is also used whenever a nonresident’s status or visa changes occur including extensions and completion of the annual tax treaty forms. Anyone who receives any type of payroll payment must also complete I-9 and a Personal Data Form.

**Social Security Numbers (SSN) and Individual Tax Identification Numbers (ITIN)**

All nonresident aliens that have employment income are eligible for a Social Security Number (SSN) must apply with the Social Security Office using the application and authorization for release forms. [http://www.northwestern.edu/hr/payroll/ssa-3288.pdf](http://www.northwestern.edu/hr/payroll/ssa-3288.pdf)

Those only receiving scholarship/fellowship income are eligible for the Individual Taxpayer Identification Number and apply through the FNIS process.

**Annual Tax Forms and Information**

All nonresident aliens must complete a U.S. tax return each year, even if they do not have any income or if all of their income is tax exempt under a tax treaty.

*For New Hire Employees ONLY:* All new hire employees need to complete a personal data form, W-4 withholding tax forms and direct deposit application. [http://www.northwestern.edu/hr/payroll/newhires.html](http://www.northwestern.edu/hr/payroll/newhires.html).

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**Center Administrator:**

*Fact:* VISA end date is tied both to the research appointment end date, payroll appointment end date, E-Verify, and FNIS. All of these MUST be in sync and in order for there to be a seamless continued employment at the university.

- **I-9 Service Center**
  The Center Administrator or Section 2 Processor checks that the I9 E-verify (certification and/or recertification) has been completed. [https://northwestern.i9servicecenter.com/Login.aspx](https://northwestern.i9servicecenter.com/Login.aspx)

- **Payroll appointment/position:**
  - The Center Administrator should process the payroll appointment and position forms. All forms must be sent to ORPFC for signature before being submitted to payroll.
  - Check in HRIS lookup that the appointment had been keyed in the system as it was submitted on the forms.

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4. Monitoring Appointment/ Visa and work eligibility expiration date:
The center administrator should track the appointment end date, Visa and work eligibility expiration date for the employees in their center. Even though the International Office might notify the employee that their VISA is about to expire, the center Administrator should also notify their employee and supervisor.

The information can be tracked with:

- **HRIS Look up:**
  Appointment end date: Workforce Administration/Job Data /NW Job Data.
  Visa/Permit data: Workforce Administration/Citizenship/Identification Data/ Select Tab: Visa/Permit.

- **HRIS Query:** Query the HR Position/Employee/Payroll Database.
  [http://www.northwestern.edu/hr/hris/training/index.html](http://www.northwestern.edu/hr/hris/training/index.html).

- **Shadow System:** Manually maintain a spreadsheet.

Current paid employee will need to update work eligibility expiration date with the payroll office, update FNIS and complete the E-Verify Section 3 of the Form I-9.

5. **Reappointment/Promotion/Title change/Transfer to other NU department:**
   Re-start the process refer to step 1,2,3,4.

6. **Termination:**
   **Termination of Research Associate, Senior Research Associate, Clinical Research Associate, Senior Clinical Research Associate and Postdoctoral Fellows:**

   Human resources components related to the termination of active employment ONLY for the positions listed above:

   - The process ensures consistency across the Centers and the University as well as provides information, guidance, and support for both the Research Associate and the Center.
   - The five issues around the termination of active employment that may affect a Research Associate, Postdoctoral Fellow are: appointment expired (not renewed), performance issues, staff reduction (lay-offs), resignation, and leave of absence.

   To assist you the Office for Human Resources has created several documents for easy reference:

   - The first document is a **table that outlines the communication process** (written and/or verbal) with the Research Associate, Postdoctoral Fellow.
   - The second document is a **list of talking points** to be used when an appointment will not be renewed.
   - The third document is a **template for an appointment non-renewal letter** that is to be generated by the department and given to a Research Associate, Postdoctoral Fellow when an appointment will not be renewed.

   PDF files of the two brochures mentioned in the non reappointment letter can be downloaded:
   [IDES - Illinois Department of Employment Security Brochure, Perspectives - Faculty and Staff Assistance Program Brochure](http://www.northwestern.edu/hr/hris/training/index.html).

   Your HR Consultant, Carol Michelini (c-michelini@northwestern.edu), is available to assist you with any questions you may have about this new process.

**Payroll process: appointment/position:**

- The Center Administrator should process the payroll appointment and position forms. All forms must be sent to ORPFC for signature before being submitted to payroll.

  **THIS FORM MUST BE SUBMITTED BY THE MONTHLY CUT-OFF FOR THE MONTH IN WHICH THE EMPLOYEE’S APPOINTMENT ENDS OR THE INDIVIDUAL MAY CONTINUE TO BE PAID.**

- Prior to the employee’s final working day, the exempt employee must update his/her leave accrual information in Kronos and his/her supervisor must approve it.

- Check in HRIS lookup that the appointment had been terminated in the system as it was submitted on the forms.

**International Office/Departure Notice:**

The International Office would like to be notified of all terminations or departures even if for unpaid appointments.

Depending on the type of the visa the employee holds a departure notice form is to be completed when an employee in your department is terminated from their appointment, resigns or completes their stay.

[http://www.northwestern.edu/international/forms/#departments](http://www.northwestern.edu/international/forms/#departments).

The Center Administrator sends the completed form to the International Office (IO) at least ten days prior to the employee’s departure. The IO will notify appropriate agencies in compliance with government regulations. (Please do not send more than 30 days ahead of departure date).

Note: If the scholar changes status but continues with your department, it is not necessary to fill out this form.

The Center Administrator can obtain clarification by contacting your International Office Adviser or by visiting [http://www.northwestern.edu/international/scholar/departments/index.html](http://www.northwestern.edu/international/scholar/departments/index.html).
Termination of other types of Research appointments:

**Human resources components related to the termination of active employment:**

Your HR Consultant, Carol Michelini (c-michelini@northwestern.edu), is available to assist you with any questions you may have.

**Payroll appointment/position:**

- The Center Administrator should process the payroll appointment and position forms. All forms must be sent to ORPFC for signature before being submitted to payroll. **THIS FORM MUST BE SUBMITTED BY THE MONTHLY CUT-OFF FOR THE MONTH IN WHICH THE EMPLOYEE’S APPOINTMENT ENDS OR THE INDIVIDUAL MAY CONTINUE TO BE PAID.**
- Prior to the employee’s final working day, the exempt employee must update his/her leave accrual information in Kronos and his/her supervisor must approve it.
- Check in HRIS lookup that the appointment had been terminated in the system as it was submitted on the forms.

**International Office/Departure Notice:**

The International Office would like to be notified of all terminations or departures even if for unpaid appointments such as Visiting Scholars. Depending on the type of the visa the employee holds a departure notice form is to be completed when an employee in your department is terminated from their appointment, resigns or completes their stay. [http://www.northwestern.edu/international/forms/#departments](http://www.northwestern.edu/international/forms/#departments).

The Center Administrator sends the completed form to the International Office (IO) at least ten days prior to the employee’s departure. The IO will notify appropriate agencies in compliance with government regulations. (Please do not send more than 30 days ahead of departure date).

Note: If the scholar changes status but continues with your department, it is not necessary to fill out this form. The Center Administrator can obtain clarification by contacting your International Office Adviser or by visiting [http://www.northwestern.edu/international/scholar/departments/index.html](http://www.northwestern.edu/international/scholar/departments/index.html).

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