

Session 8

Human Resources and Equal Opportunity and Payroll Services

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 Guest: Angie Loving, Special Projects Manager/Research Liaison, Human Resources and Equal Opportunity

Research Administration 101
 Fall 2008



Session 8

- Recruitments
- Terminations
- Affiliates
- GRA and Student Hourly Hires
- GRA Tuition Assistance
- Payroll

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Recruitments

- All research center recruitments
- All grant/indirect cost - funded recruitments

Contact:
 Angie Loving – Human Resources and Equal Opportunity
aloving@ku.edu
 864-1770
 Fax: 864-3689


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Recruitment Background

- The University is subject to requirements established by the Department of Labor, Office of Contract Compliance (OFCCP).
- If audited, OFCCP reviews recruitment protocol and guidelines.


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Before the Search

- Attend Search Training Offered by HR/EO.
 - » Available for Faculty, Academic and Unclassified Professional and Unclassified Support Staff Searches
 - » At least one member of the search committee needs to be trained
 - » Dates available each semester or special sessions can be arranged.
- For more information contact 864-3686.

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Search Process

- Begins With Identifying Needs:
 - » Position Type:
 - Faculty, Academic Staff
 - Unclassified Professional Staff (UPS)
 - University Support Staff (USS)
 - » Length of Appointment:
 - Temporary vs. Regular
 - Limited Term

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Recruitment Search or Direct Hire Request


- In certain circumstances you may request to make a hire without a recruitment
 - » Hire someone as “acting” or “interim”
 - » Promotion
 - » Target of opportunity
 - » Reorganization of unit
- Use sparingly – writing an individual into a grant is not a guarantee that a search waiver will be granted
- Send requests to Angie Loving at HR/EO – she will coordinated with RGS for necessary approvals.



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Routing Process


- Faculty/Academic Staff – Recruitment Plan (Paper)
- Unclassified, Lecturers, University Support Staff, and Student Appointments – PeopleAdmin (KU's Online Application and Recruitment System)




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Position Descriptions

Job Duties



- Describe the job accurately and provide detail of the major responsibilities/duties being performed.
 - » Assists with performance evaluation reviews.
 - » Clarifies job duties for candidates
- Begin duty statements with an action verb (i.e., Administer, Advise, Prepare, Direct, Develop)
- List the duties in rank order of importance and indicate percentage of effort




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Position Descriptions

Required Qualifications

- REMEMBER - these are the minimum qualifications an applicant needs to have in order to qualify for this position.
- Must be measurable.
- Make sure the qualifications match the job.
- Be sure that required qualifications are not creating artificial barriers.




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Position Descriptions

Preferred Qualifications


- Make sure these “preferences” are relevant to help the committee identify the best candidates.



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Recruitment Plan

- Decide what type of search is required to fill the position – (local, regional or national)
- Decide where and when to place ads in order to get a diverse pool of applicants
- Decide whom you will ask to serve on your search committee. A minimum of 3 people is suggested. Diversity is important.
- Designate funding source and indicate if the position is contingent upon funding.



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Recruitment Plan (cont.)


- Assign an application deadline date and position close date.
- Designate if the position is limited term, serve at the pleasure, etc.
- Indicate application procedures.
- Decide if this is a regular or temporary position.



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Regular or Temporary?


<p><u>Temporary Positions</u></p> <ul style="list-style-type: none"> • Non-Benefits eligible • Subject to 999 hour limit per calendar year • Not intended to be on-going, long-term • Can be full-time or part-time 	<p><u>Regular Positions</u></p> <ul style="list-style-type: none"> • Benefits eligible • No 999 hour limit • Can be limited term • Can be contingent upon availability of funding • Can be on-going, long-term • Can be full-time or part-time
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Postdoctoral Researcher Positions


- Considered “temporary” by the Department of Labor
- At KU, Postdocs are generally designated as regular, Unclassified Professional Staff positions. Postdocs are considered to be limited term for a period not to exceed five years. Postdoc Manual is available at:
- http://www.rgs.ku.edu/depts/training/postdoc/postdoc_manual.pdf
- A Postdoctoral Researcher is different from a Postdoctoral Fellow.



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Candidate Interviews


- Prepare a list of relevant interview questions
- Be consistent with each interview.
- If you have candidates with similar skills and the committee is undecided, schedule second interviews to learn more
- Call references (especially previous and current supervisors) on your top candidates



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Selecting a Candidate

- Complete request for verbal offer paperwork.
- Verify funding source, FTE and salary range.
- Is your candidate a non-immigrant? If so, visa issues will be involved.
- Submit to appropriate budgetary authority for review and approval.
- Once approved, the contingent offer of employment can be made.
- Once accepted, a hiring proposal is completed by the unit, HR/EO review, initiates appropriate background check and the offer letter is generated.




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Immigration Issues

If Hiring a Non-immigrant:


- Determine if overseas or in U.S.
- If overseas:
 - » Determine best non-immigrant category.
 - » Determine current status (e.g F-1, J-1, H-1B, etc.)
 - » Determine eligibility to work. Are there limitations (time, field of study)?



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Immigration Issues (cont'd)


- **If in the U.S.:**
 - » Decide if it would be better to change visa categories (if possible) by:
 - Traveling outside U.S. and re-entering in new status
 - Submitting an application to immigration.
 - » Make sure you consider the different timeframes and risks involved – esp. w/ travel.



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Categories Allowed To Work


- **F-1 student**
 - On Campus – may be part-time
 - Curricular Practical Training – Only in their field of study. Can be 1.0 FTE. Great for student internships!
 - Optional Practical Training – Post graduation for 12 months in their field of study. Individuals with degrees in the areas of Science, Technology Engineering, or Math (STEM) may be eligible for an additional 17 month extension. Employment may be up to 1.0 FTE.
- **H-1B Temporary Worker in a Specialty Occupation**



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Categories Allowed To Work (con't.)


- **J-1 Research Scholar or Professor**
 - » 5 - year limit
- **J-1 Short Term Scholar**
 - » 6-month limit – not extendable.
- **J-1 Student**
 - » On Campus Employment in field (with ISSS authorization)
 - » Academic Training: Post Graduation (18 – 36 months)
- **J-2 Dependent of J-1**
 - » Must apply for work authorization – can take up to 4 months to process.
- **Two-year home residency requirement may be applied to any J-1 category depending upon funding source and skills.**



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Categories Allowed to Work (cont.)


- **O-1 Extraordinary Worker:**
 - » Hinges on outstanding nature of professional qualifications. Very labor-intensive.
- **TN Canadian or Mexican Professionals (NAFTA)**
 - » Can process at border for Canadians.
 - » 3-year increments



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Comparative Chart Between J-1 And H-1B


Issue	J-1	H-1B
<i>Intent to Immigrate</i>	Must prove no intent	OK if intends to immigrate
<i>Permission Granted By</i>	Program Sponsor (usually KU)	DOL and USCIS
<i>Processing Time for Paperwork (excluding time to apply for visa or change of status)</i>	1-2 weeks	3-5 months normal 2 weeks w/premium processing (\$1000 extra)
<i>Limitation of Stay</i>	5 years	6 years
<i>Two-year Home Residency Requirement</i>	Sometimes	No
<i>Candidate for Tenure Track Position</i>	No	Yes
<i>Dependent Work Eligibility</i>	Yes, with USCIS approval	No



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H-1B Filing Instructions

- See new “H-1B Do It Yourself Kit” – <http://international.ku.edu>
- Upon completion, submit kit to Linda Harris at International Programs (864-4957, lharris1@ku.edu) for review and institution approvals.



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Permanent Residency

- Steps Involved:
 1. Search will be required.
 2. Labor Certification (ETA 9089)
 3. Immigrant Visa Petition (I-140)
 - Coordinated and submitted by IP (Charlie Bankart and Linda Harris)
 4. Adjustment of Status to Permanent Residency (I-485)
 - Scholar will need an attorney if assistance is required.
- Process is Lengthy!



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International Questions?

Call International Student & Scholar Services or International Programs

864-3617 (ISSS)

864-6161 (IP)




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KU RESEARCH & GRADUATE STUDIES
The University of Kansas

Hiring Students at KU

Hiring KU Student Hourlies


- Post a minimum of **three** working days
- Interview
- Background check & update status in PeopleAdmin
- Complete a payroll form and all necessary supporting documents and send to KUCR



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Student Hourly Employment – Policies and Procedures

- Eligibility – students must be enrolled in a minimum of 6 credit hours
- Hours per week student can work
 - When classes are in session:**
 - » International Students = 20 hours per week (in most cases)
 - » U.S. Citizens or Permanent Resident Students = 30 hours per week
 - When classes are not in session:**
 - » All students can work 40 hours per week unless they have visa-related work restrictions




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Student Hourly Employment – Policies And Procedures


Information about employing students is available in the Student Employment Handbook located online at:
http://www.hreo.ku.edu/policies_procedures/handbooks/student

Contact: Ann Hartley 864-7674
 Student Employment Center at the Burge Union
stuempl@ku.edu

The hourly rate for student hourlies is \$7.50 to \$13.99, unless a higher rate is approved – see Student Hourly Special Rate Request at:
<http://www.hreo.ku.edu/files/documents/SHRateRequest.doc>



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Important Details

- Verify funding source is accurate in payroll throughout the term of the appointment.
- Have employees report their time and leave each payroll period.
- Conduct performance evaluations annually.
- Merit allocation process occurs in the spring.

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Appointment Terminations



Unclassified Appointment Terminations

- **Unclassified employee appointments may end for many reasons:**
 - » Voluntary Resignation – Written resignation needs to be accepted by the supervisor and attached to a payroll form.
 - » Non-reappointment (not related to funding availability) - employee must be notified by January 17 that their appointment will not be renewed in the next fiscal year.

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Unclassified Appointment Terminations (cont.)

- » Appointments may be contingent on available funds - non-reappointment may occur at any time if funds are unavailable with reasonable notice.
- » Poor performance, insubordination or other problems may lead to termination for cause.

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Unclassified Appointment Terminations

- **In most cases, many steps occur prior to the termination of employee appointments.**
 - » Non-reappointment requests must be sent to and approved by the VP for Research and notices must be sent to employees directly from the VPR office.
 - » If employees are being terminated for performance reasons, please contact Angie Loving (864-1770), Linda Fund (864-7426) or Ola Faucher (864-7411) at Human Resources and Equal Opportunity (HR/EO) for assistance.
 - » In the case of termination, written performance evaluations will help to clarify what recommendations were made to the employee prior to termination.

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Student Appointment Terminations

- Students (both GRAs and student hourlies) are “at-will” employees and may be terminated at any time.
 - » If a termination needs to occur due to performance or conduct related issues, please contact HR/EO for assistance.
- It is recommended that students be given one to two weeks notice so they may find other employment
- Remember, post-docs are not student employees

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Individuals Affiliated with the University Who Are Not Employees


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- ### Affiliate Appointments
- **Courtesy-** A KU employee who performs additional affiliate services, (primarily instructional) time to another department without compensation.
 - **Adjunct Researcher-** An individual who serves KU in a collaborative research capacity without compensation from KU. Research must be of benefit to KU and performed in conjunction with a KU researcher.

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- ### Required Documentation – Affiliate Appointments
- Letter of request from the department that includes the nature of the collaborative research and the name of the KU researcher the individual is collaborating with
 - Curriculum Vitae
 - Affiliate Data Sheet
<http://www.hreo.ku.edu/files/documents/datasheet.xls>
 - Must be renewed annually




Graduate Research Assistants

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- ### Who Can Be a Graduate Research Assistant (GRA)?
- Eligibility criteria:
 - » Degree seeking graduate student
 - » Enrolled:
 - Minimum of 6 credits in fall and spring **OR**,
 - Certification to enroll in fewer than 6 hours
<http://www.provost.ku.edu/policy/graduate/>
 - Minimum of 1 credit in summer

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- ### Who Can Be a Graduate Research Assistant (GRA)? (cont.)
- » Performing research in field of study that is integral to the student's education
 - » In academic good standing as determined by academic dept. and graduate school
 - » Can't work as a GRA after earning graduate degree unless enrolled in another graduate program

References for GRA Information

- Refer to websites for more information:
 - » Student Employment Handbook: http://www.hreo.ku.edu/policies_procedures/handbooks/student
 - » GRA Intent Form, certification of eligibility to enroll in less than 6 hours, and other documents are available on the Provost's website: <http://www.provost.ku.edu/policy/graduate/>



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Hiring A GRA


- Complete GRA Intent to Appoint Form with appropriate signatures
- Submit to RGS for approval if funding is administered by RGS.
- Budgetary Authority will submit all GRA Intent to Appoint Forms for new hires/rehires after a year or any international employee residing in the US for 30 days to HR/EO to initiate a background check.
- Intent form **MUST** be approved **PRIOR** to the student starting work



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GRA Salary Matrices


- Dept. can develop GRA salary matrix that is approved by Research and Graduate Studies.
- Simplifies GRA pay rates and/or annual increases
- Indicate on the GRA intent form the student's position in matrix and the corresponding compensation rate



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GRA Salary Matrices

- » If you need assistance with a GRA matrix, contact Judy Sawyer (864-7473 or judywill@ku.edu)
- » Examples of departmental GRA salary matrices: <http://www.kucr.ku.edu/depts/appoint/gra/index.shtml>



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Review of GRA Intent Form

- Reviewed to determine student's eligibility to be a GRA, valid funding source and reasonable compensation rate



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Tips for GRA Appointments

- If an end date is entered on the intent form, payroll will key the termination for the appointment.
- GRA salaries should not be inflated to accommodate tuition or to supplement a fellowship.




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Questions about GRAs?

Contact:
 Judy Sawyer (RGS) 864-7473
 (Payroll, Salary Matrix, Intent Forms, etc.)

Angie Loving (HR/EO) 864-1770
 (General Guidelines, Employment Eligibility, Background Checks, etc.)



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In-State Tuition Assistance for GRAs

- » Eligible GRAs must complete the Special Rates Application Staff form:
- » <http://www.registrar.ku.edu/pdf/staffapp.pdf>
- » Minimum 40% GRA appointment
- » Appointment must start no later than the first day of the month following the first day of class



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GRA Tuition Assistance Pool

Eligibility:

- Minimum 40% appointment
- Enrolled in min. of 6 hours, 1 hour summer
- Work being performed is integral to the student's graduate education
- In good standing (minimum 3.0 cumulative GPA)
- Intent to Appoint form approved



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GRA Tuition Assistance Pool

- Source of funding is Sponsored Project or GRF/NFGRF
 - » Tuition not currently in budget
 - » GRA salary in budget
- In Doctoral Program or intends to be
- Pay rate equivalent to GTAs in same field


Note: Assistance from the Pool is for Resident Tuition Only, No Fees



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GRA Tuition Assistance Program

- Contacts
 - » Barbara Armbrister, Assistant Vice Provost
barmbrister@ku.edu 864-3444
 - Michelle Ginavan, Administrative Officer
mginavan@ku.edu 864-7688
 - » Information can be found at:
<http://www.provost.ku.edu/policy/graduate/>



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Appointing and Paying Employees

Financial Services
Compensation and Appointments
 116 Youngberg Hall
kucrpayroll@ku.edu

Sarah Henricks 864-7794, shenricks@ku.edu
Kim Ray 864-7464, kray@ku.edu
Judy Sawyer 864-7473, judywill@ku.edu
Jenni Stinnett 864-7297, jstinnet@ku.edu




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How Are State Employees Paid with KUCR Funds?

- KU pays all employees, including those on grant or research overhead funds, then KUCR “reimburses” the university for these costs.
- Technically speaking, “reimbursable payroll” means payroll expenditures on 908 (grant funds) and 9xx (other KUCR funds)


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Which Employees Need Payroll Forms for Initial Appointment?

- Student hourlies
- Academic staff (research professors, scientists, etc.)
- Faculty


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Submit Payroll Forms to KUCR

- If the funds are –
 - » 908 KUCR sponsored projects
 - » 717-718 UKANS sponsored projects
 - » 9xx KUCR non-sponsored projects (i.e., Start-Up, MPPG, Matching, overhead accounts)
 - » 2301XXX-003 GRF
 - » 2302XXX-099 NFGRF

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Submit Payroll Forms to KUCR (cont.)

- Make sure that --
 - » the form has been routed through the appropriate budgetary channels
 - » the form has authorized signatures for all funding sources


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Which Employees Don't Need Payroll Forms for Initial Appointment?

- Unclassified professional staff and University Support Staff are appointed from an offer letter.
- Graduate Research Assistants are appointed from the Intent form.

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Payroll Form


Located at:

- <http://www.payroll.ku.edu/documents/PayrollForm1106.xls>

Examples:

- see the Payroll Training Manual or the HR/EO website

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How The Budget Summary Relates To The Payroll Form

- UKANS grant funded projects (funds 717 – 718)
- KUCR grant funded projects (fund 908)
- Review re-issued budget summaries to determine if immediate payroll action is needed


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How Do I Know What Funding Pool to Use?

- If students are shown on the Budget Summary, RGS will set up a pool id for the grant
- Look up the pool id in HRSA
- Contact RGS Financial Services-Payroll to request a pool id

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When Is a Retroactive Funding Adjustment (RFA) Required?

- An employee was paid on correct position number BUT from an incorrect funding source
- RFAs should be the EXCEPTION
- RFAs need to be submitted IMMEDIATELY
- RFAs going back further than 60 days require additional KUCR review
- Supporting documentation (i.e., gross and fringe, and detailed explanation of the reason for the RF and how it will be prevented in the future) is required.
- For guidelines and procedures visit http://www.payroll.ku.edu/funding_for_payroll/rfa_guideline.s.aspx


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How To Avoid An RFA

- Review Funding Summary Report
 - » Departments need to run a funding summary report following the first pay calc to allow time to fix any problems.
- Gross and Fringe Reports
 - » Departments should review these reports each pay period to be sure that employees are paid on the correct funding.

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How To Avoid An RFA

- If the grant is entering a new budget period, check with Post Award Services to see if a new project number will be assigned. If so, change payroll appointments to reflect new number BEFORE the new budget period starts.
- Dept/Unit may need to request provisional funding so a new project number can be assigned.


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How To Avoid An RFA & Other Issues

- Summer Salary
 - » Faculty and staff appointments on grants should actually be split to show the effort worked on the respective projects.
- Academic Year Faculty Appointments
 - » Additional documentation will be requested for faculty appointments which have more than 30% effort allocated to a grant during the academic year.

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How To Avoid An RFA & Other Issues

- Transfers
 - » Interdepartmental transfers may be done on a payroll form preferably at the beginning of the pay period. If the employee will be keeping the same position number departments should initiate the transfer at the beginning of a pay period.

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Access to DEMIS Gross and Fringe Reports

- To apply for access to DEMIS gross and fringe reports, contact HR/EO for an access request form.

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Contact RGS Financial Services - Compensation and Appointments staff if you need help or have questions

kucrpayroll@ku.edu

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