

**Research Administration 101
Human Resources**

Research and Graduate Studies
Fall 2007



Session 10

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

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Recruitments

- All research center recruitments
- All grant-funded recruitments

Contact:
Angie Loving
aloving@ku.edu
864-7472
Fax: 864-5025


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Recruitment Background

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

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Before the Search

- Attend Search Training Offered by HR/EO.
 - » Available for Academic and Unclassified 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:
 - Academic/Faculty Equivalent
 - Unclassified Professional Staff
 - 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
- Needs KUCR approval



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Routing Process

- Academic (Faculty Equivalent) – Recruitment Plan (Paper)
- Unclassified, 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
- List the duties in rank order of importance and indicate percentage of effort
- List primary duties
 - » Example- “Order all lab supplies including beakers, thermometers, towels, protective clothing, and other supplies” is too detailed. “Order all lab supplies” is sufficient.





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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.
- Watch use of “KU experience”. It may not be the most relevant qualification.
- Make sure the qualifications match the job.



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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. You must have a minimum of 3 people. 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 • Can be limited term • Can be contingent upon availability of funding • 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 designated as Unclassified Professional Staff in a limited term appointment 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
- Ask all candidates the same set of questions in the initial interview
- If you have candidates with similar skills and the committee is undecided, schedule second interviews to learn more
- Call references for 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 KUCR for review and approval.
- Once approved, the offer can be made. Once accepted, a hiring proposal is completed by the department to initiate the offer letter.




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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. What are the limitations, if any (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 – part-time – anywhere!
 - 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 and only in their field of study. Can be 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**
 - » 3- year limit – may change to 5
 - » May or may not require scholar to return to home country after 3 years are over – depends on field, funding, and country of permanent residency.
- **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.



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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.
 - » 1-year increments but renewable



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Comparative Chart Between J-1 And H-1B


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



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H-1B Filing Instructions


- See “H-1B Do It Yourself Kit”
- ISSS is available for assistance if needed:
 - » Contact Joe Potts
jpotts@ku.edu



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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 ISSS (Charlie Bankart)
 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

864-3617




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KU RESEARCH & GRADUATE STUDIES
The Path to Your Future

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 \$7.25 to \$14.00, 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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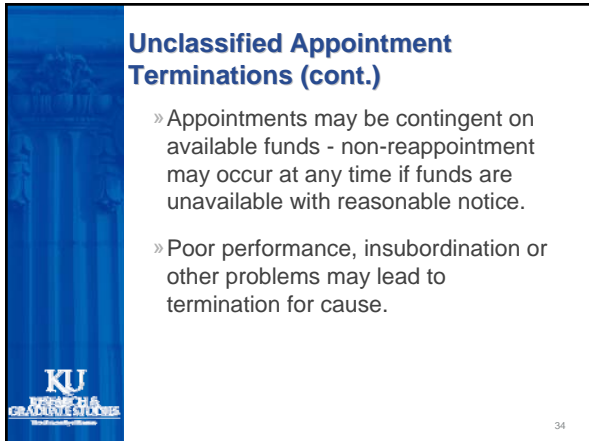
Appointment Terminations



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 (864-7472), VP for Research, or contact Ola Faucher (864-7411), Human Resources, for assistance.
 - » In the case of termination, written performance evaluations will help to clarify what recommendations were made to the employee prior to termination.

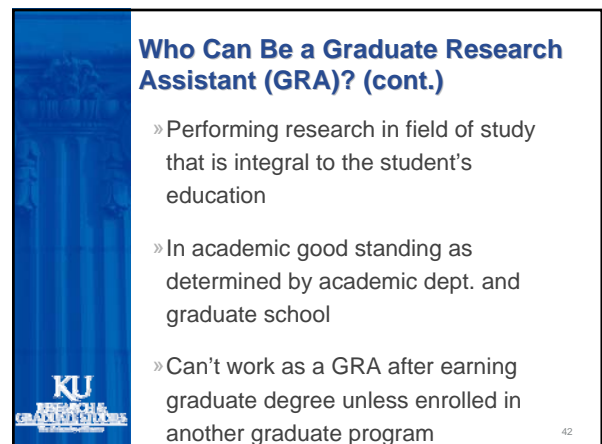
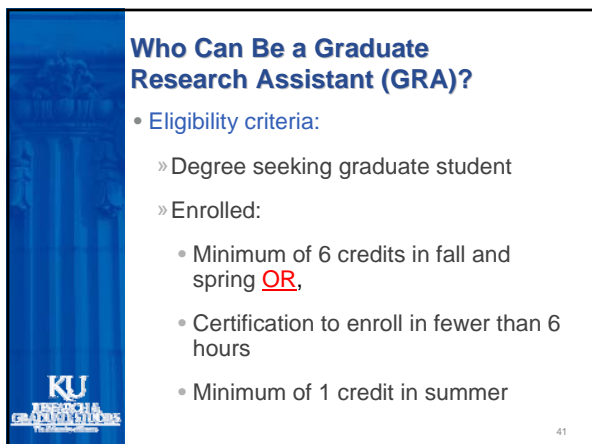
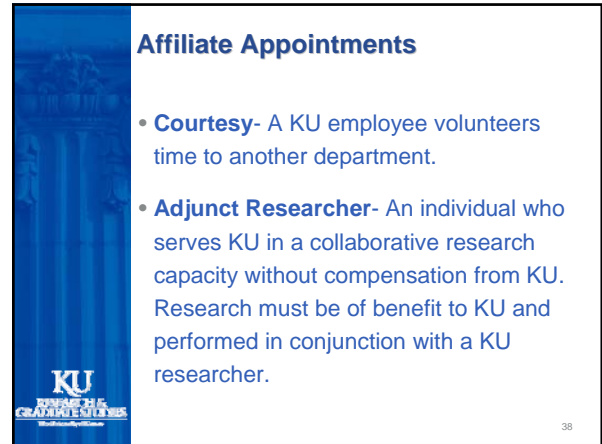
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Student Appointment Terminations


- Students (both GRAs and student hourlies) are “at-will” employees and may be terminated at any time
- It is recommended that students be given one to two weeks notice so they may find other employment
- The Vice Provost for Research does not need to approve these terminations
- Remember, post-docs are not student employees

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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 Request Form with appropriate signatures
- Submit to RGS/KUCR for approval if funding is administered by RGS/KUCR
- 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 Angie Loving (864-7472 or aloving@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
- The student, hiring department contact, and academic department chair will receive copies once approved
- If a payroll form is attached, we will process the appointment once the intent has been approved



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Amended GRA Intent Forms

- Amended GRA Intent forms are required for all changes EXCEPT funding changes
- Changes may be submitted on a previously approved copy of the GRA intent form as long as it is LEGIBLE
- Payroll forms may be submitted along with the amended intent form



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Tips for GRA Appointments

- Watch the end dates; submit amended intent form before previous intent ends
- End date on intent form is not necessarily the same as a termination date.
- Intent form can include appointments for more than one semester, not to exceed one calendar year

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Tips for GRA Appointments

- GRA salaries should not be inflated to accommodate tuition or to supplement a fellowship
- GRAs are not eligible for Leave Without Pay

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Questions about GRAs?

Contact:

Angie Loving 864-7472

Judy Sawyer 864-7473

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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
 - » 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

Kim Ray 864-7464, kray@ku.edu
Judy Sawyer 864-7472, judywill@ku.edu
Jenni Stinnett 864-7297, jstinnett@ku.edu
Barbara Sutterfield 864-7794, bsut@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 720 (grant funds) and 721 (other KUCR funds)



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Which Employees Need Payroll Forms for Initial Appointment?


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



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Submit Payroll Forms to KUCR


- If the funds are –
 - » 701 – 710 UKANS sponsored projects
 - » 720 KUCR sponsored projects
 - » 721 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.



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Payroll Form

Located at:

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

Examples:


- see the Payroll Training Manual or the KU Payroll website



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How The Budget Summary Relates To The Payroll Form


- UKANS grant funded projects (fund 701 – 710)
- KUCR grant funded projects (fund 720)
- 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, our office will set up a pool id for the grant
- Look up the pool id in HRSA
- Contact RGS 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 Sponsored Programs Administration 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 through a payroll form preferably at the beginning of the pay period. If the employee will be keeping the same position number it is required to 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 the Comptroller's Office for an access request form.

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

kucrpaysroll@ku.edu

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