3G Appointment & Sponsorship Process Training

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- Appointment Review – SSC
- Additional/Ongoing Processes

Key Dates:

<table>
<thead>
<tr>
<th>Event</th>
<th>Unit/Dept Targets</th>
<th>HR Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Summer Appointment Deadline for Unit/Department Submission</td>
<td>4/21/14</td>
<td>4/25/14</td>
</tr>
<tr>
<td>Fall/Academic Year Appointment Deadline for Unit/Department Submission</td>
<td>6/6/14</td>
<td>7/18/14</td>
</tr>
</tbody>
</table>
3G Appointment & Sponsorship Process

The 3G appointment and sponsorship process has been redesigned with the Shared Service Center model in mind.

Former 3G Process Challenges

- Process can require nearly 10 forms with potential 7 destinations
- Bottlenecks in processing forms lead to inaccurate billing which results in time consuming re-bill processes and angry
- Centralized review and processing presents single point of failure risk
- Uploads have been built for some parts of the process, while others require manual entry
- Number and complexity of forms and process results in a high volume of errors corrected centrally
- Understanding and meeting deadlines for multiple forms is a challenge

The new process is designed to incorporate GTA/GRA/GA (3G) appointments and sponsorships including tuition waivers, Tuition Assistance Pool (TAP) requests and Staff Rates Form applications. No additional forms are required to Appoint and Sponsor the majority of 3Gs*.

*Interview forms will need to be completed and attached to the form by appointing units/departments for non-native English speaking GTAs.
Appointment Process Overview

The 3G appointment process begins with the hiring unit/department.

- Hiring units/departments are responsible for recruiting GTA/GRA/GAs (3Gs) and sending initial communications and tentative offer and/or invitation letters to those they intend to hire.
- Once confirmation is received from the student regarding the position, the unit/department user can initiate a 3G Appointment and Sponsorship form.
- 3G forms will be prefilled with appointment information of current 3G student employees.
- Unit/Department 3G contacts update and generate new forms to reflect appointment information for future appointment periods prior to routing forward for processing.
- There are six actions that may be taken with a 3G form.

<table>
<thead>
<tr>
<th>In Scope Actions</th>
<th>Out of Scope Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Rehire, within 1 year of previous KU appointment</td>
<td>• 3G Terminations</td>
</tr>
<tr>
<td>• Rehire, outside of 1 year of previous KU appointment</td>
<td>• Out-of-cycle 3G funding changes (position or sponsorship)</td>
</tr>
<tr>
<td>• Hire, New to KU (not in HR/Pay)</td>
<td>• Sponsorship, of any kind, for students without 3G</td>
</tr>
<tr>
<td>• Sponsorship Only</td>
<td>appointment</td>
</tr>
<tr>
<td>• Position Data Update (and Sponsorship, if applicable)</td>
<td></td>
</tr>
<tr>
<td>• Staff Rates Only</td>
<td></td>
</tr>
</tbody>
</table>

- Once completed by the unit/department, forms are routed via workflow through SSC, KUCR, Graduate Studies, the Bursar’s Office and Human Resources (HR) as appropriate.
- SSC-HR is responsible for **onboarding** 3G appointees (rehires & new) and **generating formal offer letters** for 3Gs to sign.
  - It is the hiring Unit/Department’s responsibility to assure all new GTAs attend training required by Graduate Studies.
- Dean’s Office, Graduate Studies, Budget Office, ISS, HR and the Registrar’s office receive reports and/or views in ImageNow for additional auditing and processing requirements.
Student Information Section
Most fields in the student information section will be pre-populated for returning students – highlighted in light blue below.

The blue fields above will be pre-filled for returning 3Gs and will be not be editable in the form.

New student appointments will require a new electronic form that requires the fields with a “★” to be completed by the Unit/Department before submission to the SSC.
GTA Appointment Information Section

Many fields in the appointment section will be prefilled for returning employees and only require an update if the information is changing.

- The blue fields above will be prepopulated for returning appointees and only require updates by the unit/department if information will be changing for the next term.
- The fields with a star are not prepopulated and will require an update by the unit/department before submission to the SSC for rehires and new appointments.

Prior term information will prepopulate to help identify when Units have made changes, requiring additional review.

Biweekly rate or Total Contract amount must be completed prior to submission to the SSC.
GRA Appointment Information Section

Many fields in the appointment section will be prefilled for returning employees and only require an update if the information is changing.

- The blue fields above will be prepopulated and only require action by the department if information will be changing for the next semester.
- The fields with a star are not prepopulated and will require an update from the department.

Prior term information will prepopulate to help identify when Units have made changes, requiring additional review.

If you enter a new Supervisor Name, leave the Reports to Position # blank. SSC will complete.
Policy Checks & Comments

There are a few policy indicators that need to be completed by the recruiting department to initiate further review by the SSC. (GTA Shown)

- The blue field above will be prepopulated and only require action by the department if information will be changing for the next semester.
- The fields with a star are not prepopulated and will require an update from the department.
- The red comments box can be used to relay any appointment information to future processors of the form. **Insert most recent comment on TOP and include you name or initials**

If the student is a non-native English speaker, the unit/department is responsible for completing the Interview Form and attaching it to the 3G form or sending it to the appropriate SSC representative.
ImageNow How-To Guide

Additional Resources:

http://workflows.drupal.ku.edu/overview
Open form in workflow, update necessary information & route forward

- Log on to ImageNow using your KU online ID / password.
- Select Workflow, 3G. The 3G workflow queues that you have access to will be listed. Select a workflow queue.
- Double click on a document in the workflow grid to open the document.
- Update the Email Address in the Student Information section of the form (required).
- Update the Appointment Information and Policy Checks sections of the form.
- Enter comments in the Department Comments section of the form and put your contact information in the “Submitted By” field.
- Route the document forward by selecting Workflow, Route Forward at the top of the window or use the Route Forward icon at the bottom of the window.
Copying a new form (New Appointment)

In the 3G New Form queue, locate the form for your department. Double-click on the row to open the form. Then select File, Copy Document.

- When the Copy Document window opens, select None for the Application Plan.
- Enter the Name in the Name field.
- Make sure the Send to workflow queue checkbox is selected and choose 3G New Form from the dropdown menu.
- Click OK.

- Close the form you copied from.
- Refresh the workflow queue by clicking on the green Go arrow and you will see the form you just created.
- Fill out the appropriate sections of the form and Route Forward.
Creating a Summer Term Appointment/Sponsorship

The form creation process is prefilling forms for the Academic Year. To create a form for summer for a student who was included in the forms build process (pre-filled form):

1. Go to the 3G Dept queue for the appropriate department.
2. Find the form for the student. You can sort your queue by clicking on a column name.
3. Double-Click to open the form.
4. Select File, Copy Document from the menu at the top of the window.
5. On the copy Document window, change the Start Date to 06/01/2014 for Summer 1 or Both; or to 06/29/2014 for Summer 2. Please note, this does not fill in the information on the form itself. It only fills in the value on the Properties pane of the document.
6. Select the appropriate 3G Dept workflow queue from the “Send to workflow queue” dropdown, for example “Anthropology (3G Dept)”. Click OK. Note: if you forget to change the workflow queue, you can use the 3G view to find your document but you may need to contact a Power User to move it to the appropriate queue for you.

Locate the form (using Name / Empl ID and Start Date) and Double-Click to open it. The form itself will be an exact copy of the form for the Academic Year. You will need to review the form carefully to ensure that you’ve updated all appropriate information on the form. Once you’ve made all your changes, select Workflow, Route Forward or use the Route Forward icon at the bottom of the window.
Attaching documents & emails to eforms in ImageNow

Attaching Documents
Open the eform in the workflow queue. Select View, Thumbnails.

Drag and drop the document into the Thumbnails section. This will add the document as a separate page on the eform.

Attaching Emails
Right click on the email and select Copy. Paste in onto your desktop. Open the eform in the workflow queue. Select View, Thumbnails.

Drag and drop the email into the Thumbnails section. This will add the email as a separate page on the eform.
Where’s My 3G Form?

Users with Access to the 3G queues can search for forms throughout workflow to find out where they are in the process. Users can also access 3G forms from previous terms.

1. Open the Documents panel from your main ImageNow toolbar.

2. Once open, Expand the 3G tab to search by Dept #, Employee ID, Employee Name, Student ID, or view all forms in workflow.

3. After selecting a search criteria, enter the appropriate values in the search box.

4. After selecting OK, your search results will populate in the form list window. Use the bottom scroll bar to move all the way to the right to view where the form is in workflow.
Setting up the Message Center

Users can setup a message center to more easily monitor the number of forms in their respective workflow queues.

1. Select Settings, Options on the ImageNow Toolbar

![ImageNow Options](image)

2. Once open, Select Toolbar on the left panel

![ImageNow Options](image)

3. Select the Message Center Tab. Under Workflow Queue Status, select the queues that you want to display in the Message Center, click Apply, then click OK.

![ImageNow Options](image)

4. After selecting OK, go back to the ImageNow Toolbar, click Settings and select Show Message Center

![ImageNow Options](image)
Questions & Feedback?

Contact Information:

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<thead>
<tr>
<th>Topic</th>
<th>CLAS</th>
<th>BSR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appointment &amp; Sponsorship</td>
<td>Contact your SSC representative or call 864-4995</td>
<td>Contact your SSC representative or call 864-6814</td>
</tr>
<tr>
<td>ImageNow Form &amp; Technical Questions</td>
<td>Contact Cheryl Harber, <a href="mailto:c841h675@ku.edu">c841h675@ku.edu</a> or Jody Milford, <a href="mailto:jmilford@ku.edu">jmilford@ku.edu</a></td>
<td>Contact Cheryl Harber, <a href="mailto:c841h675@ku.edu">c841h675@ku.edu</a> or <a href="mailto:BSR_SSC_HR@ku.edu">BSR_SSC_HR@ku.edu</a></td>
</tr>
</tbody>
</table>
Begin SSC Section
Position Funding Review

SSC-RA or SSC-Finance staff will complete the position funding for new hires, rehires and position data updates submitted by units/departments.

- SSC-RA staff will receive all GRA forms for processing. SSC-Finance staff will receive all GA and GTA forms.
  - If a form needs to be routed between SSC-RA and SSC-Finance staff you can elect to do so by clicking route forward.
  - If the form includes an HR action (Rehire, Hire, Position Data Update), SSC-RA and/or SSC-Finance staff must review and/or populate the appropriate funding information.
    - If the position is funded on a grant (i.e. the “Project” field is not blank), the SSC-RA staff is expected to perform an allowability review and enter their name in the appropriate field before routing forward.
- **Pool ID’s** will be requested, reviewed, and confirmed by SSC-HR staff*
  - If SSC-RA setup or confirm a Pool ID, please make note of this in the comments. It is not the expectation that SSC-RA staff complete this step.
- Once Salary funding information is updated, proceed to the tuition sponsorship section of the form.

*Expectations may vary by SSC
Sponsorship Process Overview
Below is a high-level overview of the 3G Sponsorship & TAP process.

- SSC-RA staff will receive all GRA forms to complete entry of Sponsorship information and allowability review for Grant funded positions/sponsorships.
  - Review position and sponsorship funding to confirm or update pool ID setup from appropriate office (HR, KUCR)
  - Upon review, if a TAP or Grad Studies Fellowship request is required, complete TAP section of the document and check the TAP box
  - Enter name of staff who completed allowability review in the appropriate section (Grant funded)
  - Provide any additional justification or information in the comments box
- SSC-Finance staff will receive all GTA and GA forms to complete entry of Sponsorship information and to confirm funding on non-grant positions.
- Once the SSC-RA & SSC-F staff have completed their updates, forms are routed forward to HR or the appropriate office (KUCR, Graduate Studies, Bursar) to complete the process.
Sponsorship Section
A copy of the sponsorship section is provided below. This section will be completed by the SSC-RA or SSC-Finance representative.

- GRA appointments will be routed to the SSC-RA staff, all other appointment types will be routed to SSC-Finance staff
- Toggle the format of the form by clicking “Amount” or “Percent”
  - All sponsorships must be requested in the same format
- Select the appropriate sources at the top of the section
- Sponsor Ref # field is what is used by the Bursar’s office to invoice the appropriate department
  - If sponsored on a grant, an allowability review must be completed by the SSC-RA staff
  - If sponsorship is on KUCR funds, put KUCR in the Sponsor Ref field and assure KUCR is checked
Tuition Assistance Pool
A copy of the Tuition Assistance Pool (TAP) section is provided below. This section will be completed by the SSC-RA or SSC-Finance representative.

- Tuition Assistance Pool sections will be completed by SSC-RA, SSC-F, and/or SSC-HR staff
  - Staff should review the eligibility requirements for TAP before submitting the request. If ineligible, inform department finance staff to identify alternate funding
  - SSC-RA staff should complete the ‘Requested by’ section of the form.
- SSC-RA staff are responsible for noting additional sponsorship funding when information is available
- SSC-HR staff are responsible for verifying details regarding additional appointment information
**SSC-HR**

HR staff in the SSC will review submitted information and perform policy checks based on information provided by the department. (GTA Only)

### Non-Native English: Meets BOR English Competency Requirements

1. Score:
   - [ ] SPEAK
   - [ ] TOEFL
   - [ ] IELTS

2. SPEAK, TOEFL or IELTS score meets minimum requirements:
   - [ ] Yes
   - [ ] No

3. Interview form completed:
   - [ ] Yes
   - [ ] No

### Out of Field

1. Verification/Notification completed?
   - [ ] Yes
   - [ ] No

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- SPEAK, TOEFL, and/or IELTS scores can be accessed in the advising section of Campus Solutions after they are completed/submitted by the students. A passing score must be achieved before routing 3G form for further processing.
  - If question two above is no, the form will automatically be routed to a hold queue to be updated when scores are available.
- Interview form completion is the responsibility of the unit/department, however, the SSC-HR staff must confirm it is completed and attached to the 3G form. This should not hold up an appointment.

Additional information regarding the various policy checks is provided on the following slides.
Eligibility & Appointment Reviews (1 of 2)
Shifting review responsibilities and related processes will help to reduce turnaround time on 3G appointments.

<table>
<thead>
<tr>
<th>#</th>
<th>Review Item</th>
<th>Responsible Party</th>
<th>Applies to:</th>
<th>Review Process and Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>GTA</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>GRA</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>GA</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Salary meets minimum salary levels</td>
<td>SSC-HR</td>
<td>♦</td>
<td>Quick-check against established ranges</td>
</tr>
<tr>
<td>2</td>
<td>Salary includes merit pay and is not lower than prior GTA salary</td>
<td>SSC-HR</td>
<td>♦</td>
<td>Prior term information pre-filled for returning appointments. New 3G appointments may require additional research.</td>
</tr>
<tr>
<td>3</td>
<td>Position funding pools are setup correctly</td>
<td>SSC-HR</td>
<td>♦</td>
<td>SSC-HR staff are expected to review and confirm all Pool ID’s for 3G positions, working with KUCR and HR to establish new pools as needed (expectations may vary by SSC).</td>
</tr>
<tr>
<td>4</td>
<td>Confirm allowability of funding source (Research)</td>
<td>SSC-RA</td>
<td>♦</td>
<td>SSC-RA staff are expected to complete an allowability review for all positions and sponsorships to be paid for with research funding.</td>
</tr>
<tr>
<td>5</td>
<td>Justification of how duties relate to field of study</td>
<td>SSC-HR / SSC-RA</td>
<td>♦</td>
<td>Review duties in form to confirm they meet general guidelines for the type of 3G being appointed. If needed, request additional information from department and/or consult GS.</td>
</tr>
<tr>
<td>6</td>
<td>Background Check</td>
<td>HR</td>
<td>♦</td>
<td>HR will have a view of the information in ImageNow to identify 3Gs who require more extensive background checks in HireRight.</td>
</tr>
</tbody>
</table>
Eligibility & Appointment Reviews (2 of 2)

Shifting review responsibilities and related processes will help to reduce turnaround time on 3G appointments.

<table>
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<tr>
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<tr>
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<td></td>
<td></td>
<td>GTA</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>GRA</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>GA</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Justification/approval for GTAs hired outside field of study</td>
<td>SSC-HR</td>
<td>♦</td>
<td>Request justification from hiring department &amp; approval from academic department, consult GS as needed</td>
</tr>
<tr>
<td>8</td>
<td>Non-native speakers – pass SPEAK/TOEFL/IELTS</td>
<td>SSC-HR</td>
<td>♦</td>
<td>View score in Advising section of Campus Solutions.</td>
</tr>
<tr>
<td>9</td>
<td>Non-native speakers – interview form</td>
<td>Dept</td>
<td>♦</td>
<td>Completed by Department and attached to form. SSC confirms completion – Does not hold up appointment/sponsorship w/ passing language proficiency score</td>
</tr>
<tr>
<td>10</td>
<td>Over 50% appointment, review and approval</td>
<td>GS</td>
<td>♦ ♦ ♦</td>
<td>GS runs reports to flag appointments and review/approve</td>
</tr>
<tr>
<td>11</td>
<td>TAP review and approval</td>
<td>GS</td>
<td>♦</td>
<td>GS review request information provided by SSC and approve as appropriate</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Enrolled in minimum number of credit hours</td>
<td>HR/SSC-HR</td>
<td>♦ ♦ ♦ ♦</td>
<td>Ongoing reports generated by HR and sent to SSC for follow up with students</td>
</tr>
<tr>
<td>13</td>
<td>Academic good standing</td>
<td>Payroll</td>
<td>♦ ♦ ♦</td>
<td>Reports are generated to flag academic standing issues at the end of each semester. Issues are communicated to departments</td>
</tr>
<tr>
<td>14</td>
<td>Course assignment meet policies</td>
<td>CLAS/GS</td>
<td>♦</td>
<td>Dean’s Office will collect course assignment information outside of 3G form process for their records as necessary. Questions regarding GTAs teaching 600 level courses should be directed to GS.</td>
</tr>
</tbody>
</table>

Shifting review responsibilities and related processes will help to reduce turnaround time on 3G appointments.
Questions & Feedback?

<table>
<thead>
<tr>
<th>Super-Users</th>
<th>CLAS</th>
<th>BSR</th>
</tr>
</thead>
<tbody>
<tr>
<td>SSC</td>
<td>Jody Milford, <a href="mailto:jmilford@ku.edu">jmilford@ku.edu</a></td>
<td>Cindy Nau, <a href="mailto:cnau@ku.edu">cnau@ku.edu</a>, Debbie Kramer <a href="mailto:BSR_SSC_HR@ku.edu">BSR_SSC_HR@ku.edu</a></td>
</tr>
<tr>
<td>IT</td>
<td>Cheryl Harber, <a href="mailto:c841h675@ku.edu">c841h675@ku.edu</a></td>
<td>Cheryl Harber, <a href="mailto:c841h675@ku.edu">c841h675@ku.edu</a></td>
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