ImageNow Personnel Document Processing in ImageNow - Departmental Instructions

General Information

Personnel transactions will be sent to Human Resources through ImageNow
This does **NOT** include:

- 8233 and Appendix A or B for NRAs
- benefits documents and attachments
- Recruitment materials that go to Employment Services
- Position Descriptions

Performance Reviews now accepted through workflow to HR. Use the barcode for **confidential** and the **Updates to HR** profile as shown below.

Personnel transactions include (and document types should be scanned in the following order):
Document type - **Personnel**

- **Appointment Form PER-38** plus Substance Abuse Policy & Intellectual Property Agreement attached (contract if unclassified)
- **Change or Separation Form PER-39** plus resignation letter or other required attachments for action
- **Hourly Student Data Sheet PER-40** plus Substance Abuse Policy & Intellectual Property Agreement attached
- **Position Data Sheet PER-36**
- **Background check email** when required
- **9 month Unclassified Summer Transactions**
- **Spoken English Competency PER-20** when required

Document type - ***Dept*Work Authorization**

- **I-9** and attachments (copies of identification) and required Non-Resident Alien documents except as above:

Document type - ***Dept*Taxes**

- Tax Forms **(W-4, K-4, Tax Clearance, W-9** & **substantial presence test letter**):

Document type - ***Dept*Direct Deposit**

- **Direct Deposit** forms and attachment:

Document type - ***Dept*Supplemental**

- **Timesheet**

Document type - ***Dept*Confidential**

- **Performance reviews**

Document type - ***Dept*AdditionalPay**

- Additional Pay Form
- Additional Pay Checklist #1
- Additional Pay Checklist #2

Document type - ***Dept*Bonus**

- Memos about bonuses
- Memos about awards (meritorious service, award of excellence)
- PER-7 – Dept'l. employee of the year award and recognition program
- Monetary award payment form

Document type - ***DeptPayrollTransfer***

- Payroll Transfer Form PER-44

NEW HIRES (people who DO NOT exist in HRIS)

Getting Started

The appropriate paperwork is completed manually according to the designated HR procedures.

Once the full packet of information is ready to send to HR, the paperwork should be prepared as follows:

Batch Preparation Tips

- Remove staples and paperclips
- Check documents for barcodes – cross out barcodes with a black marker (as long as the barcode won't be needed)
- Make sure sticky notes are removed
    - Once an original document is scanned, and the paper copy destroyed, you won't be able to 'remove' any sticky notes that have been scanned on top of the original document. This could affect the legality of the electronic copy vs. the paper copy.
    - If the information on the sticky note needs to be kept with the document, tape it to a blank page and scan separately.
- Anything "taped" to a document (such as a check) should be done securely across the entire top & bottom
- Make sure documents aren't stuck together or have folds in the corners

Separating documents

Separate the documents of your new hire packet in the following manner, based on the guidelines from Page 1:

Group 1: These documents will be scanned directly to HR via the appropriate ImageNow "HR - New Hire…" capture profile:

- **Personnel** – place these under your Personnel barcode separator sheet
- **Work Authorization** – place these under your Work Authorization barcode separator sheet
- **Taxes** – place these under your Taxes barcode separator sheet
- **Direct Deposit --** place these under your Direct Deposit barcode separator sheet
- **Supplemental** (if needed) – place these under your Supplemental barcode separator sheet

- **All of the above documents can be placed in one stack (in the above order) before scanning**

Group 2: This document will be scanned directly to HR via the "HR Background Check Requests" capture profile:

- **HRBackground Checks** – NO BARCODE SHEET NEEDED
- For these procedures, see the "Background Check Request Forms" section of this document

Group 3: All other HR documents, such as:

- 8233 and Appendix A or B for NRAs
- benefits documents and attachments
- Recruitment materials that go to Employment Services

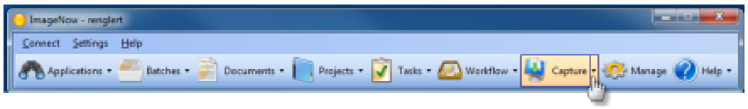
- **Note: Any of these or other HR/recruitment documents which are normally sent to other departments (i.e. HR) <u>must still be sent to them in paper form</u>**

- You CAN still scan these documents just for your departmental file, but they will not be sent through ImageNow to HR. For these procedures, see the "All Other HR Documents" section of this document

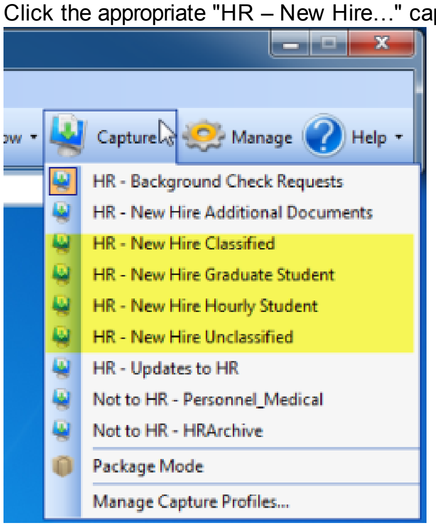
Scanning

- Group 1 docs: You will scan ONE employee's group of HR documents at a time.
- Before scanning, you will need to be prepared to enter the following information about the new employee:
    - Department number
    - Name: Last,First MI
    - Effective Date: MM/DD/YYYY (example: 01/05/2013)
- Based on the type of the employee, (Classified, Graduate Student, Hourly Student, or Unclassified), choose the appropriate "HR – New Hire…" capture profile by doing the following:

On the ImageNow Toolbar, click on the dropdown arrow next to "Capture":



Click the appropriate "HR – New Hire…" capture profile based on the type of employee:



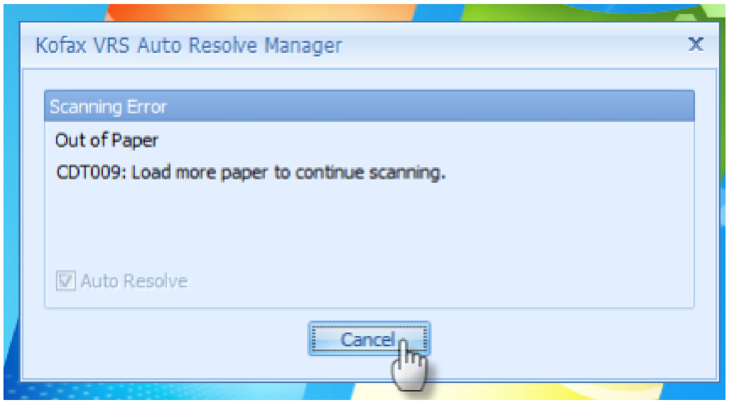
In the "Proposed Keys" window:

- Choose the appropriate department number from the dropdown in the "Tab" field.
- Enter the employee's name (Last,First Middle)
- Effective Date: MM/DD/YYYY (example: 01/05/2013)

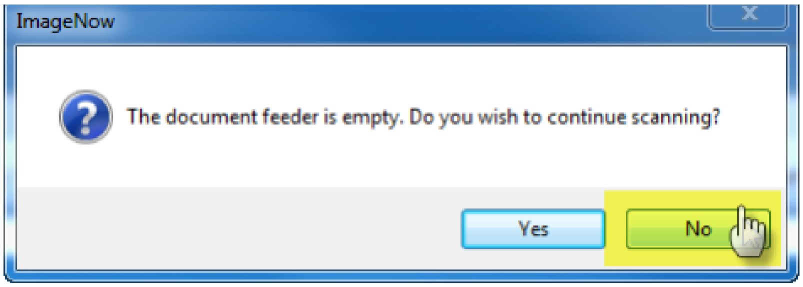
Example:
Place the group of documents with barcode separator sheets, faced back and upside down, into the scanner:
!worddav187b01519116d26a3973c454c4b634d2.png|height=431,width=574!Replace drawer with DEPTPersonnel drawer instead of barcode in this image
Click "Capture"

IMPORTANT: Documents will begin feeding through the scanner, but the "Proposed Keys" window will keep popping up. Each time you see it, keep clicking "Capture" until it doesn't appear anymore. You might see it pop up after all of the documents have fed through the scanner. Just keep clicking capture until you see:

If you receive the "Out of Paper" error, click "Cancel"

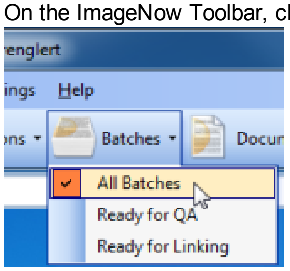


When prompted by ImageNow that the document feeder is empty. Do you wish to continue scanning?
Click "NO"

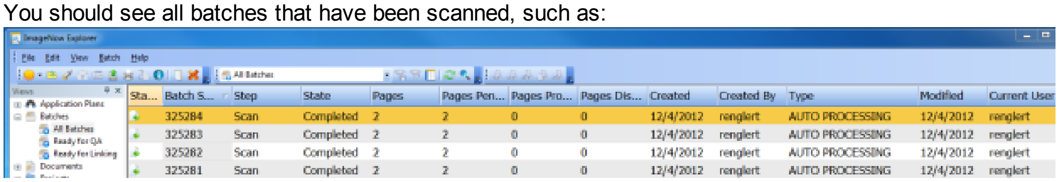


QA

"Quality Assurance" (QA) is a step you must do for every batch before the batches you've scanned are sent to HR.
On the ImageNow Toolbar, click on the dropdown arrow next to "Batches", and choose "All Batches":



You should see all batches that have been scanned, such as:



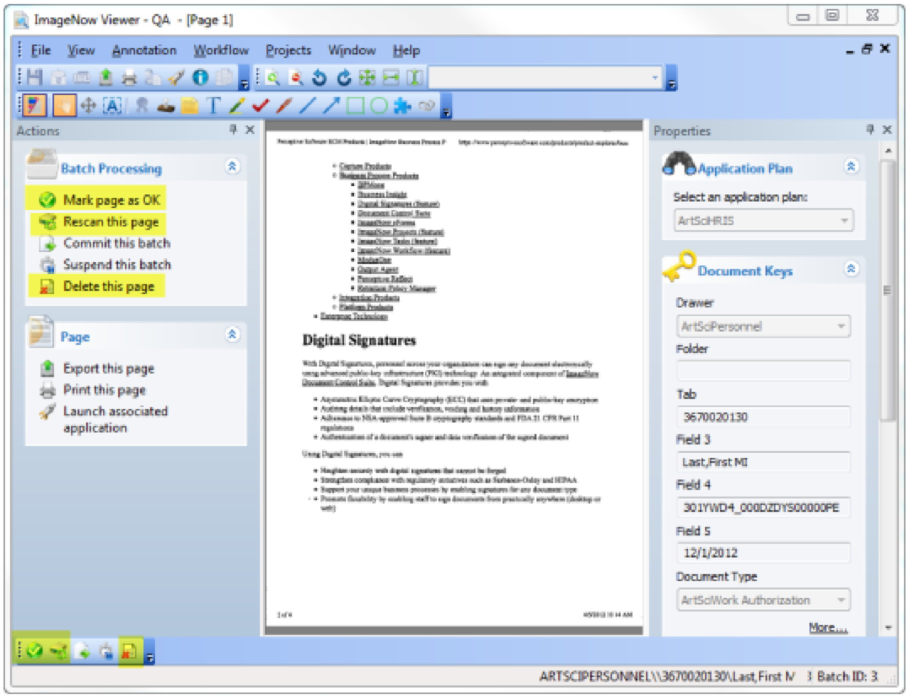
Each row represents one batch. When you scan several documents separated by barcode separator sheets, everything between barcode sheets will be scanned as one batch, and then the barcode sheet triggers a new batch to be created.
QA (quality assurance) is comparing the document to the image to make sure every page is present and that the scan is good quality.
To QA a batch, double click on the row to open the batch.
Compare the page in ImageNow to the paper batch you've just scanned.
If the page is okay, click "Mark page as OK" or the appropriate icon at the lower left corner

If you don't need the page, click "Delete this page" or the appropriate icon

If the page is poor quality, you can feed just that page back through the scanner by selecting "Rescan this page"

- When re-scanning, you will be prompted to choose a profile for the rescan.

Example:



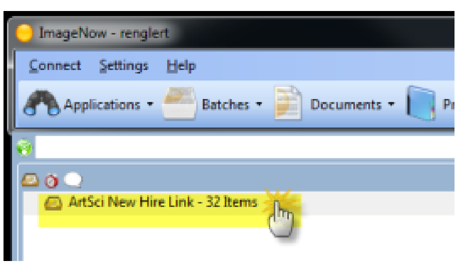
Once you've finished going through the batch, the batch will close (and the next batch in the list will likely open).
If you click the "Refresh" icon, the batch should disappear from your Batches window and be sent to HR through workflow. If the batch does not disappear, check that the batch is not a barcode failure.
Be sure to QA all of the batches for this employee.

Workflow & Linking

For new hires, you should see these documents appear in your "New Hire Link" workflow queue where they will sit until you receive a notification from HR that the employee has been created in HRIS. Once you receive that notification, please do the following:

Open your Dept New Hire Link workflow queue in one of the following ways:

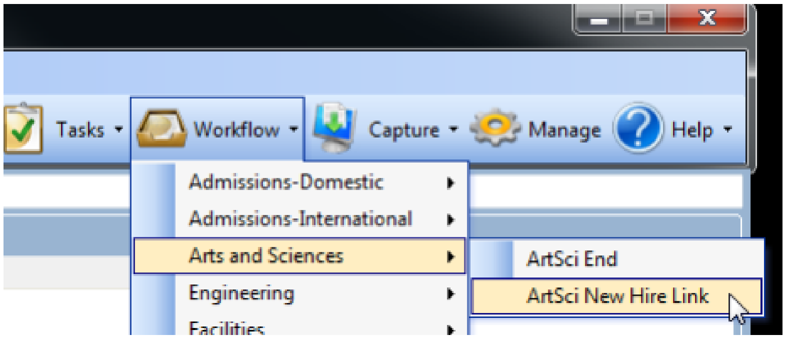
- **Option 1**: Through your message center:



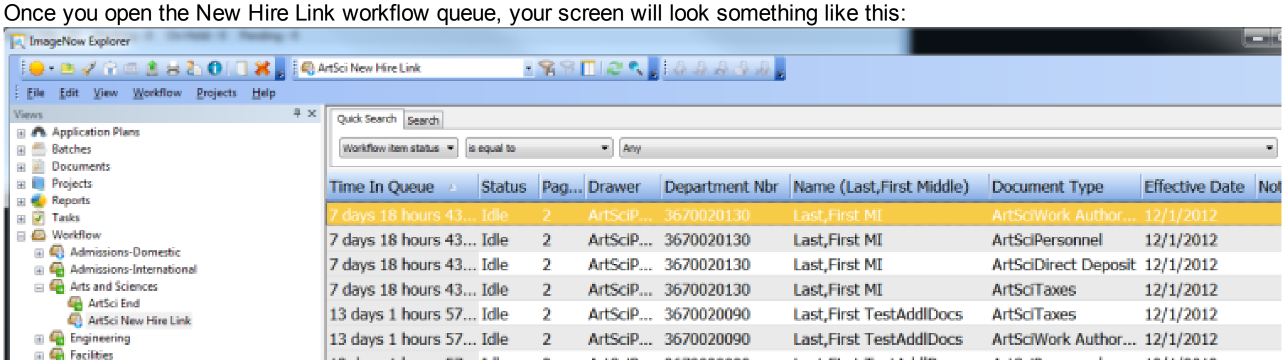
Notes about the Message Center:

- If you can't see the Message Center, go to Settings > Show Message Center
- If you can't see the workflow queue in the message center, go to Settings > Options > Toolbar > Message Center, and check the box next to the workflow queue(s) you need, and click "Apply" and "OK".

- **Option 2:** Through the Workflow dropdown menu:

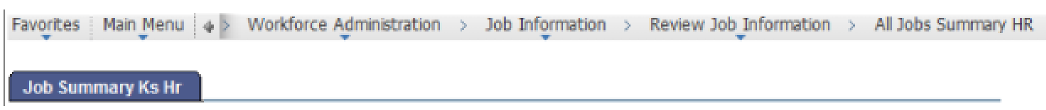


Once you open the New Hire Link workflow queue, your screen will look something like this:



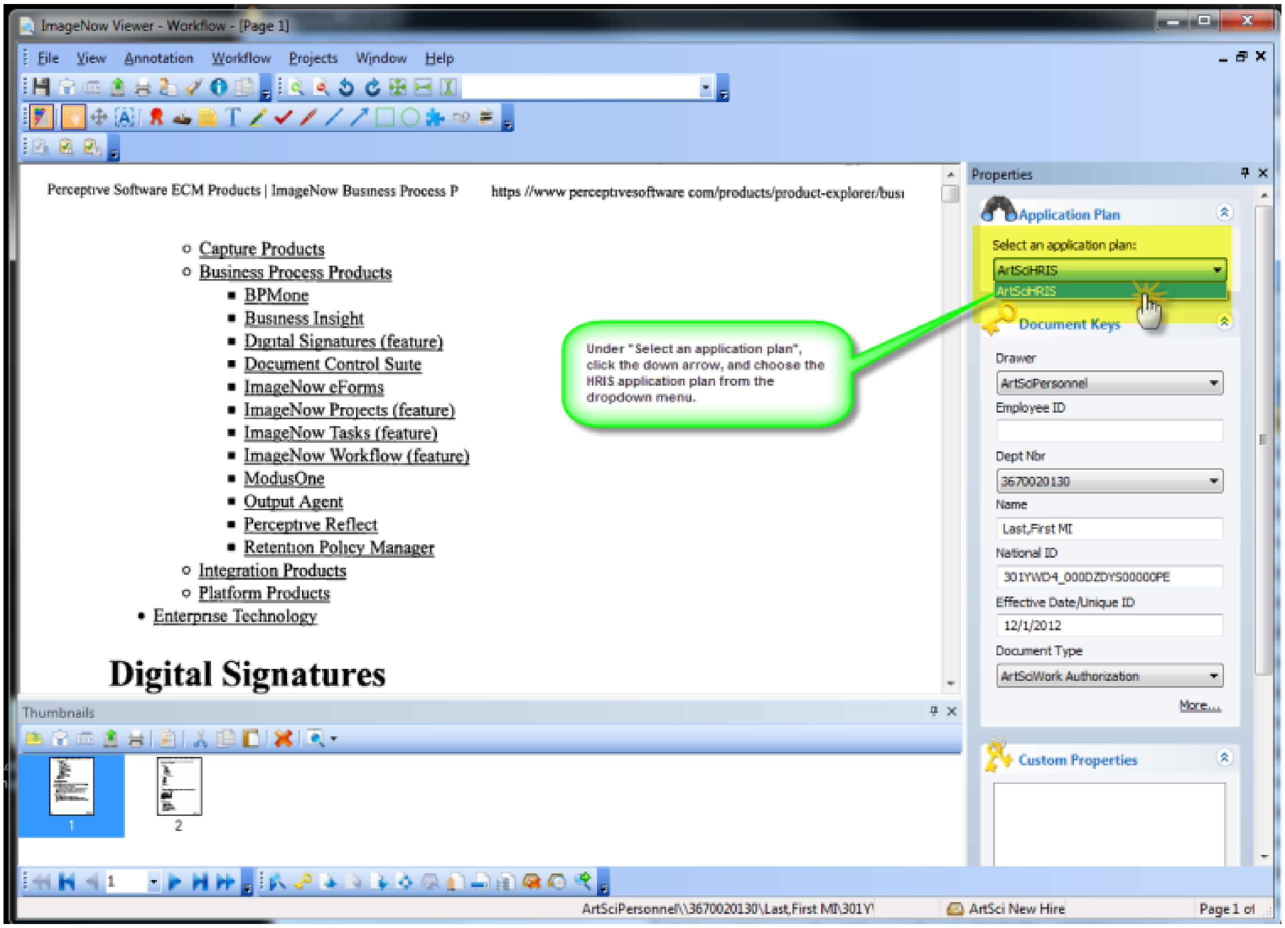
Each row represents a document for an employee. Locate all documents for the employee that HRIS notified you about.

In an Internet Explorer window, open this employee's record in HRIS on the following HRIS Screen:



The next procedure will "re-link" these document from the index keys as they were manually entered, to the appropriate Employee ID, Name, and National ID, exactly as they appear in HRIS.
Open the first document for this employee in workflow by double clicking on it.

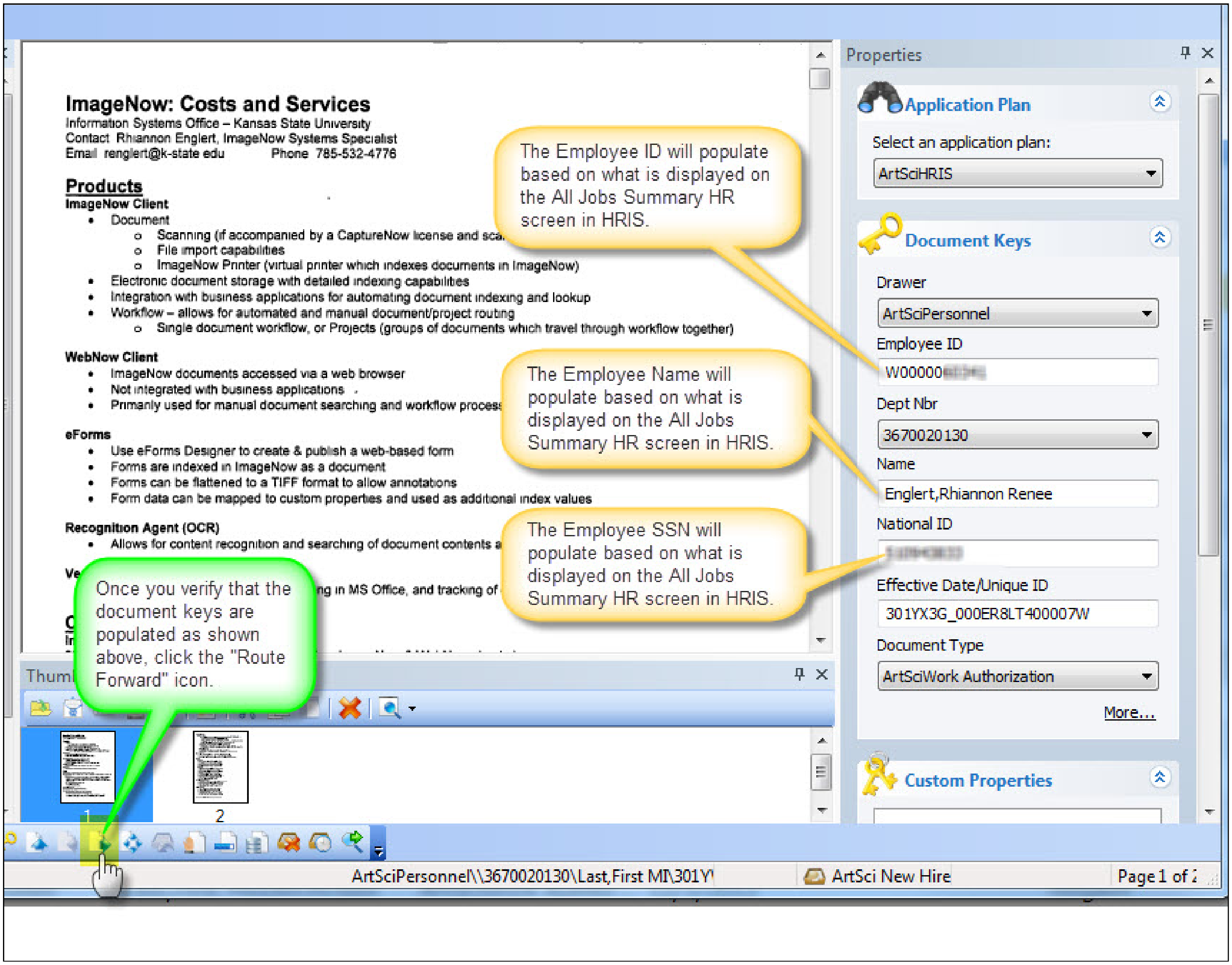
Link them going to "Select an application plan", clicking the down arrow, and choosing the HRIS application plan from the dropdown menu:



As shown in the screenshot below, the Employee ID, name, and SSN will populate based on what is displayed on the All Jobs Summary HR screen in HRIS.

IMPORTANT!!! Before routing forward to be filed in your archived records, determine if this is a document type requires any special procedures (depending on your department's setup), such as:

- ***Dept*Personnel**:
  - **Contracts** - If this document contains a contract, re-link the page(s) with the contract to the *Dept*Contracts document type and route to the appropriate queue (See Contracts processing instructions, Option 1 **here**)
  - **Appointment Forms / Student Data Sheets** - Your department may or may not choose to re-link these items from the DeptPersonnel document type to more specific document types that denote what each form is, and possibly also custom properties to enter.



Your document will be routed to the "End" queue for archival, and you will likely see the next document in your workflow queue come up at this time.

Repeat the above steps for each document for this employee that resides in your New Hire Link workflow queue.

NEW HIRES – ADDITIONAL DOCUMENTS

Occasionally, you need to send additional or corrected documents to HR after you've sent them the full new hire packet, but before they've been created in HRIS.
Follow the procedure for NEW HIRES, only choose the **"HR – New Hire Additional Documents" capture profile.** This profile is also used for position updates for vacant positions.

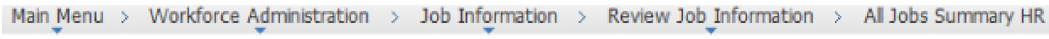
RE-HIRES and CURRENT EMPLOYEE PERSONNEL TRANSACTIONS (exist in HRIS)

Updates are personnel transactions that are for other than new hires. Rehires, changes, separations, promotions, etc. Payroll transactions are included (taxes, direct deposit) as with the new hires. In addition, performance reviews and payroll transfers can be sent as updates. The same exclusions apply as for new hires.

REQUIREMENT: You must have the appropriate HRIS access to scan these documents.

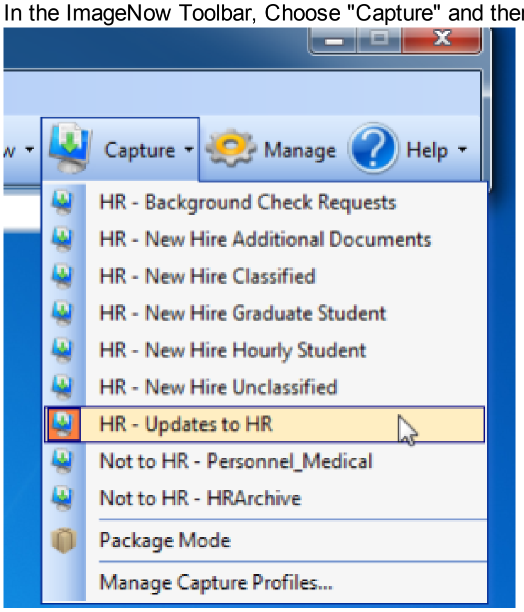
The procedure for scanning these documents is exactly the same as for New Hires, EXCEPT:

You must first open the employee's record in HRIS to the following page:



Place the documents in the scanner, with the appropriate barcode separator sheets as indicated for new hires.

In the ImageNow Toolbar, Choose "Capture" and then the "HR – Updates to HR" capture profile:



As seen in the last screenshot, you'll only need to choose the employee's department number. Since you have the correct employee open in HRIS, their Employee ID, Name, and SSN will auto-populate. You are also auto-populating the ImageNow Drawer and Document type based on the barcode sheet.

Keep clicking "Capture" as you did for New Hires.

Go into Batches, "All Batches", and do the QA for each batch, as you did for New Hires.

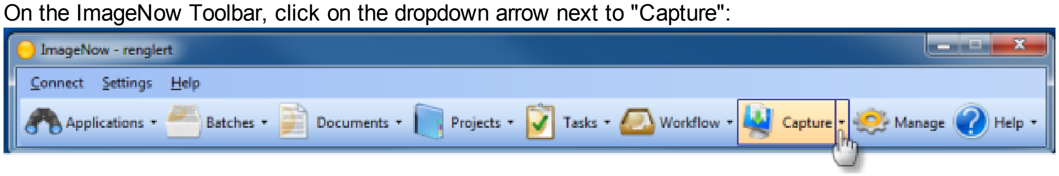
The batches will go to HR. Since these documents are already linked to the employee via HRIS, they will not appear in your New Hire Link workflow queue, but will instead be archived in your departmental Personnel drawer and available for look-up by Empl ID or Name.

BACKGROUND CHECK REQUEST FORMS

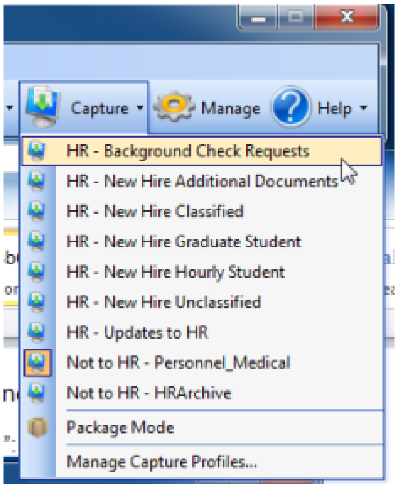
The Kansas State University **Background Check Request Form (PER-59)** is completed manually according to the designated HR procedures.

Place <u>ONLY</u> the Background Check Request Form (PER-59) in the scanner.

On the ImageNow Toolbar, click on the dropdown arrow next to "Capture":



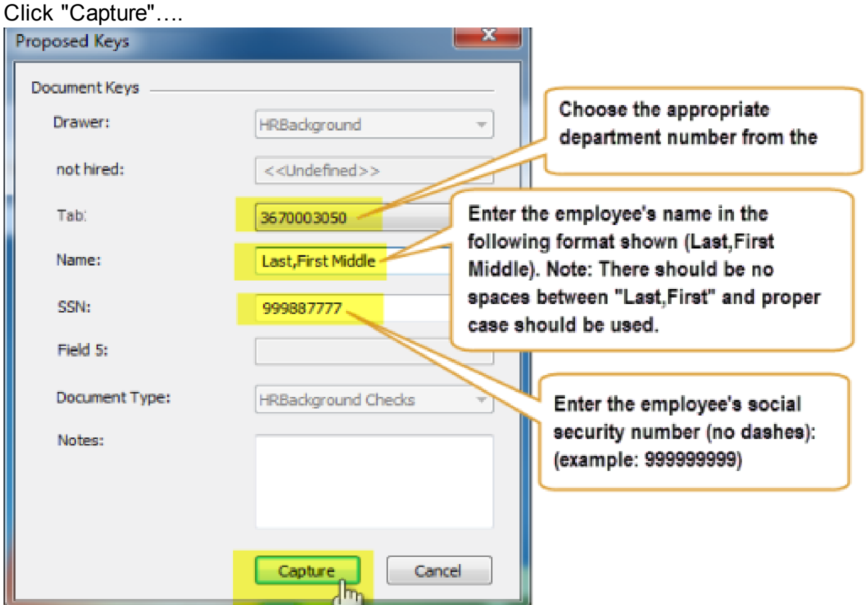
Click the HR – Background Check Requests capture profile:



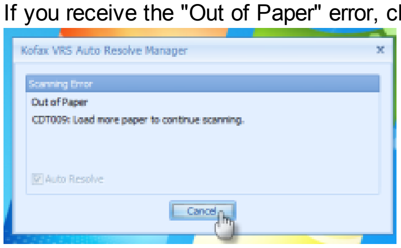
In the "Proposed Keys" window:

- Choose the appropriate department number from the dropdown in the "Tab" field.
- Enter the employee's name (Last,First Middle)
- Enter the employee's SSN (no dashes)

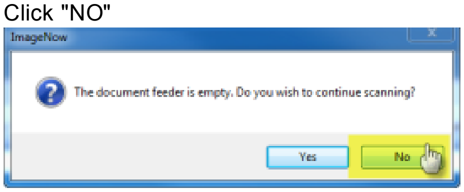
Click "Capture"....



If you receive the "Out of Paper" error, click "Cancel"

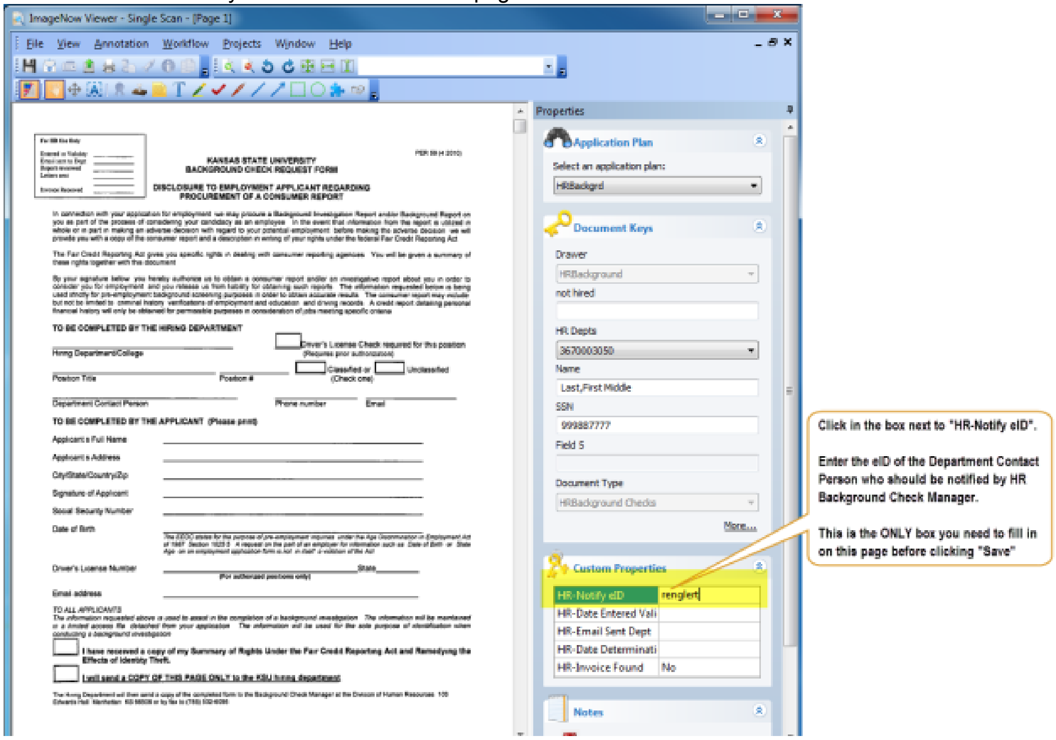


When prompted by ImageNow that the document feeder is empty. Do you wish to continue scanning?
Click "NO"

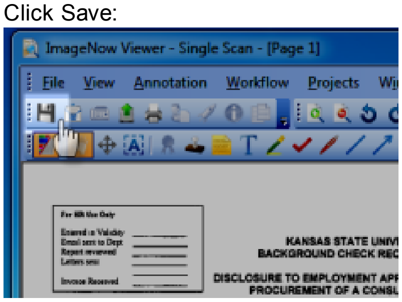


Click the box next to "HR-Notify eID".
Enter the eID of the Department Contact Person who should be notified by the HR Background Check Manager.

This is the ONLY field you need to fill in on this page.



Click Save:



The ImageNow Viewer window will close. This document will now be linked in an ImageNow drawer and sent to a workflow queue which are only accessible by the HR department.

The department will be notified via email by the HR Background Check Manager regarding the hiring status of this employee in accordance with the PPM 4015 Criminal Background Checks policy.

PLEASE NOTE: The original hard copy of the background check request form should be returned to the employee. Departments do not retain a copy of this form in their own personnel files.

ALL OTHER HR DOCUMENTS

These are Human Resources documents which **do not** fall under one of these document type categories (**OR** fall in that category but come to HR in paper currently):

- Personnel
- Direct Deposit
- Work Authorization
- Taxes
- Supplemental
- Confidential
- Contracts
- Bonus
- AdditionalPay

These would include benefits documents, medical documents, and other things.
You should have barcode separator sheets for these other various document types. Anything medical-related will be scanned into your "Medical" drawer via a separate capture profile for medical documents.
You should follow the exact same scanning & QA procedure for these as you did for Re-hires*. Have the employee up in HRIS*, on the All Jobs Summary HR screen, and start the scanning process, only **choose one of the following capture profile**:

- **Not to HR – Personnel**
- **Not to HR – Medical**

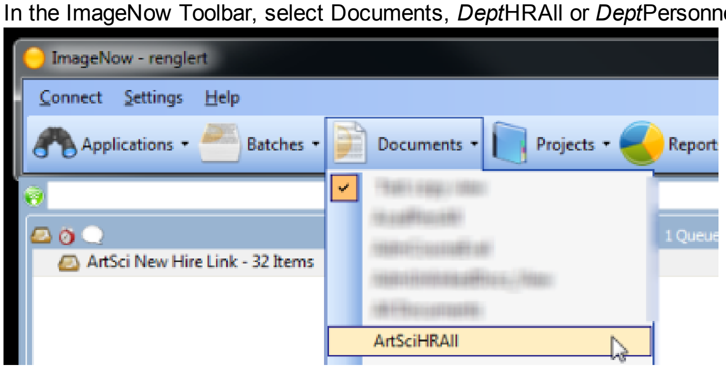
BACK SCANNING EXISTING HR FILES – "HRArchive"

This is a quick way to get your existing personnel files into ImageNow without having to separate the documents into the appropriate document types.
You **do not** need a barcode separator sheet for these.
Your drawer will be set to your *Dept*Personnel drawer, but your document type will be set to *Dept*HRArchive.
You should follow the exact same scanning & QA procedure for these as you did for Re-hires*. Have the employee up in HRIS*, on the All Jobs Summary HR screen, and start the scanning process, only **choose the following capture profile**:

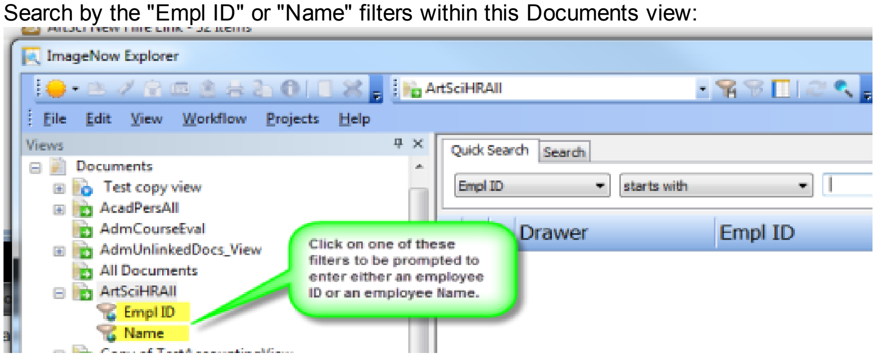
- **Not to HR – HRArchive**

HOW TO VIEW DOCUMENTS THAT HAVE BEEN SCANNED

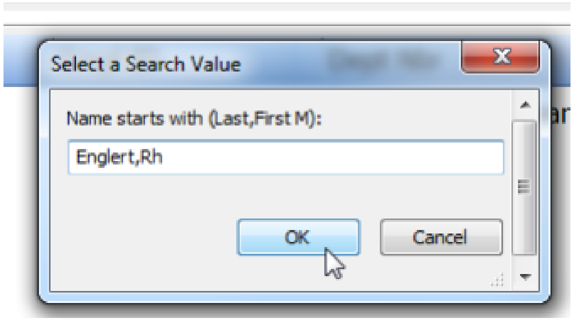
Option 1:
In the ImageNow Toolbar, select Documents, *Dept*HRAll or *Dept*Personnel (whichever is applicable) to view documents:



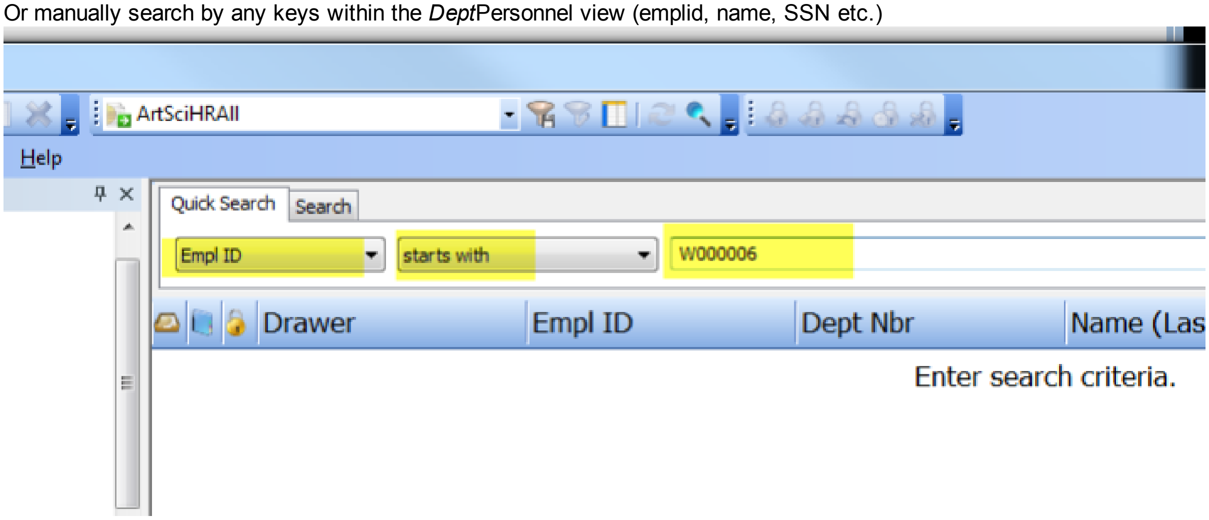
Search by the "Empl ID" or "Name" filters within this Documents view:



Enter the information for which you've been prompted:

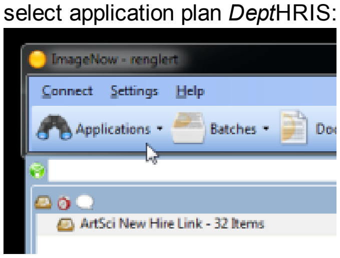


Option 2:
Or manually search by any keys within the *Dept*Personnel view (emplid, name, SSN etc.)



Option 3:
Open the employee's record in HRIS, on the All Jobs Summary HR page.

On the ImageNow toolbar, click the binoculars icon (labeled "Applications") – you can also click the dropdown of this icon and select application plan *Dept*HRIS:



This provides "one-click" access to all of this employee's personnel documents, based on the employee ID that is currently displayed on the All Jobs Summary HR screen in HRIS.

Additional Tips:

Position Data Sheets:

Typically, a position data sheet is considered an "Update" for a current employee. However, there are occasions when you need to send a position data sheet to HRIS which is NOT yet tied to a specific employee. If this is the case, treat this document as a "new hire", using the Personnel barcode separator sheet and choosing the appropriate "HR – New Hire…" capture profile based on the employee type (classified, unclass, etc.)

During scanning, please put the position number in Field 3, or if a new position number is being requested, put 'New position' in Field 3.

Paper copies: How long should we keep them?

The paper copies of Personnel documents should be kept until you have linked them to the employee ID in HRIS. Some departments choose to save their scanned paper documents and designate someone to go back through them and look up each document to verify that it is linked to the correct employee and is a legible scan. Any corrections that need to be made are addressed before those paper copies are shredded.

Email notifications from HR for New Hires: How do I start receiving these?

Contact Alma Deutsch in HR and request to be placed on the email notification list for new hires for the appropriate departments.

Concurrent appointments:

Employees might occasionally be appointed to multiple positions at the same time. Appointment documents for one position should not be scanned in the same group of documents as the other position. Scan the first one through with normal formatting of the name & date. When you scan the next one through, do something slightly different with the formatting of the date (or name) so that the documents from the two positions are not appended, and they can instead be processed as two separate transactions by HR. An example of a 'slightly different format' would be entering the effective date of the employee's first position as 12/01/2012 (using slashes), and then entering it in their second position as 12-01-2012 (using dashes). If you are using template-based hires and have concurrent appointments for a student, you should use the template-based hire for one of them, and not for the other.

Request ImageNow Access:

Your department will have one or two staff designated as ImageNow Administrators. This person must fill out the security form and designate the appropriate security groups to which each new user should be assigned. Their submission of this form indicates your department's approval of this access. Security groups belonging to other departments can be requested by your administrator, but they must be approved by the ImageNow administrators of those departments before the access will be granted.

For ImageNow Administrator's reference:
Instructions for this security request procedure, as well as the security request form are located at:

https://wiki.k-state.edu/confluence/display/isoimnow/ImageNow+Security+Request+Form

Detailed Guideline of Drawers & Document Types

Drawer: *Dept*Personnel
Document Type: Applications
Applications and Associated Documents (NOT recruitment materials for all candidates)
Document Type: Confidential
Disciplinary/Dismissal Letters and any other confidential correspondence
Performance Management Process Form
Performance Review forms of any version
****Document Type: Direct Deposit**
Authorization for Direct Deposit of Employee Pay PER-58
Voided check, deposit slip or copies of account cards
Local Agency direct deposit advice repression form
Document Type: Education
Kansas State University Application for President's Scholarship for Classified Employees PER-32A
Kansas State University Application for Tuition Assistance PER-32
Kansas State University Educational Authorization Form PER-25
****Document Type: Personnel**
Additional Pay or bonuses or awards
Leave Balance Correction Sheet
Notification of Retirement
Tenured Faculty Agreements
Probationary Faculty Appointments

Regular Appointment Contract
Term Appointment Contract
Sabbatical Leave Agreement
Exit Interview
9 month Unclassified Summer Transactions
Position Data Sheet (PER-36)
Graduate Student Appointment Form (PER-41)
Hourly Student Data Sheet (PER-40)
Appointment Form (PER-38)
Change or Separation Form (PER-39)
Substance Abuse Affirmation
Intellectual Property Agreement
Spoken English Competency PER-20
Background check e-mail approval to hire
Document Type: Fringe Benefit
Agency Payment Voucher
Disbursement Request
Memos or emails about gifts, prizes or other non-payroll payments
Document Type: Moving Expense
Agreement for Reimbursement of Moving Expense DA-22
Department Letter, Foundation Letter & All other related documents
Document Type: Retirement
Documents or letters about retirement
Phased retirement agreement
Document Type: Supplemental
Time & Leave document
Memo or e-mail requesting supplemental
Supplemental Pay Form (PER-8)
****Document Type: Taxes**
Form W-4
Form W-5
K-4 State of Kansas Tax Withholding form
Tax Clearance Form
W-9's
Document Type: Training-Orientation
Certificate of Attendance
New Employee Forms Orientation
Orientation Checklist
Other Training Documents
****Document Type: Work Authorization**
Visa copy, I-94, I-20 or DS 2019

Passport copy
Work permit e-mail
Social Security Card copy
Driver's License copy
8233 copy, appendix A or B copies
Foreign National Tax Information Form (PER-15)
Drawer: *Dept*Medical
Document Type: Disability
Any letter or form about disability
Document Type: FMLA
Any letters or forms related to the Family Medical Leave Act
Document Type: Health Insurance
Local agency or other enrollment or change forms
Document Type: Shared Leave
Any documents or forms related to shared leave
Document Type: Workers' Comp
Any documents or forms related to an accident
(Optional) Drawer: *Dept*Personnel
Document Type: HRArchive
Note: This is an optional document type setup that can be used for
back-scanning existing personnel files.
Please note: Under this setup, employees' files can quickly be scanned
as a 'packet', but they will not be broken out by specific document types,
such as Personnel, Work Authorization, etc.
Drawer: HRBackground
****Document Type: HRBackground Checks**
Note: This is a drawer & document type owned by the central HR department.
Limited access will be given to departmental personnel staff which will
allow them to scan & link the HR Background Check Request form directly into
the HR-owned drawer & document type, but since departments are not allowed
to retain copies of these, they will not be able to look up any documents in this
drawer once it has been sent to HR, and they will not keep an electronic copy in ImageNow
in a department-owned drawer. These document types will be sent directly to HR through ImageNow workflow.*
<u>IMPORTANT NOTE:</u>

Document types without asterisks will only be used for departmental ImageNow storage, and they will not go directly to HR through ImageNow workflow at this time. If current policies require any of these documents to be sent to HR, they will need to be sent from the department to HR in paper form.

Printable MS Word Document

Personnel Document Processing in ImageNow - Departmental Instructions