

INTERNAL AUDIT AND REPORTING SYSTEM [41 CFR 60-2.17(d)]

Record Keeping and Reporting

Academic and Civil Service employment workforce data, employment actions and action reasons and applicant activity are maintained centrally on PeopleSoft and data warehouse tables. These data are used for state and federal reporting as an employer and other University obligations as a state and federal contractor: developing, implementing and monitoring of the University of Minnesota's affirmative action program.

DWEO Data Files

EOAA reports are generated from a data extract that is also used for internal and external reporting including the Integrated Postsecondary Education Data System (IPEDS) reports. In 1974, the University created the C106 file for the reporting of employees in the Higher Education Staff Information (EE0-6) report, now the Integrated Postsecondary Education Data System (IPEDS) Fall Staff Survey. The same file is used for employee counts and goal reports related to the University's affirmative action program obligations and related reporting as a state and federal contractor.

The implementation of PeopleSoft and its inclusion of payroll required the replacing of the legacy systems including the C106 file with the following DWEO tables.

- PS_DWEO_PERSON_PRIM_JOB and
- PS_DWEO_PERSON_SEC_JOB

The EOAA data workforce files are available to the offices of Human Resources, Institutional Research and Reporting (IRR), and Equal Opportunity and Affirmative Action.

Description of DWEO Data Files

A complete description of data maintained on the DWEO files is available at the web site, <http://dw.umn.edu/DataDic/dictionary.asp>. Refer to the "Online HR-Job and Demographics Data Dictionary", 2.2 Individual Table Descriptions for:

PS_DWEO_PERSON_PRIM_JOB and
PS_DWEO_PERSON_SEC_JOB.

EOAA Reports

These reports contain employee counts, availability percentages, and race/gender data. They are based on required federal and state reports and replace the paper reports formerly available from the unit or campus EOAA Liaisons.

The DWEO files are achieved biannually in mid-April and October including workforce and goal reports by department, school, college, administrative unit, and campus, now available on the web to University personnel at www.umreports.umn.edu/. They include the following:

- **Memorandum: Web Workforce and Goal Reports (EOAA Reports), October 2005**
An introduction to all of the EOAA UMReports, including basic terminology and content, how the reports are created, and how the reports may be used along with EOAA resources to meet staffing goals.
 - **Description of Employee Racial/Ethnic Category, Citizen Status, Disability Status, and Veteran Status**
Summarizes the University's responsibilities for data collection and provides definitions and commentary helpful in the interpretation of the Workforce sections of the EOAA reports.
 - **List of Job Classifications/Titles by IPEDS Category/Job Group**
The most up-to-date combined source for PeopleSoft and EOAA job classifications used in the UMReports.
 - **Civil Service Workforce and Goals by Campus/IPEDS Job Group Code**
Contains campus summary counts of workforce, availability, and goals for groups of similarly related job titles by gender, racial/ethnic group, and residency status. Two additional reports are available from this location: 1) Campus/IPEDS/Job Group Code Detail; and 2) Campus/IPEDS/Group Code Detail.
 - **Civil Service Workforce and Goals by IPEDS/Job Group**
Contains college or administrative unit summary counts of workforce, availability, and goals for groups of similarly related job titles by gender, racial/ethnic group, unknown racial/ethnic group (Unk), and non-resident alien (Non Res) for civil service and bargaining unit employee groups.
 - **Faculty Goals by Department**
Contains department summary counts of workforce, availability, and goals by tenure status, gender, racial/ethnic group, and residency status, for academic employees with a faculty appointment. Also available from this location: 1) Faculty Workforce and Goals by Department Detail; and 2) Academic Workforce Analysis for Faculty by Department.
 - **Availability Data for Faculty by Department**
This document provides the Source List and Specialties List used by the EOAA Office to determine "Availability" - the number of qualified women and racial minorities available to meet the University's EOAA Faculty hiring goals. In UMReports, the Availability Percentage (Pct) is compiled from federal Guidelines. These reports are distributed annually to the colleges and coordinate campuses by the EOAA Office.
 - **Summary of Academic Non-Faculty Goals**
Contains University-wide workforce, availability, and goals summaries for similarly related academic administrative and professional employee groups. The "List of Academic (P/A) Numbers and Titles" reports are also available here.
- EOAA History Cube (COGNOS)**
- The EOAA Workforce cube provides point-in-time snapshots of University workforce during the current week or each October since the year 2000 by employee group, faculty, P/A, and CS/BU from total University to department unit level. This provides administrators with the

ability to view employment trends and to assess progress related to equal opportunity, affirmative action, and diversity.

Access to EOAA Reports

Faculty and staff access to public reports, including HR and EOAA reports is explained in the following web site: www1.umn.edu/datasec/security/Systemslist.html.

UM Reports Description: The IMS Group has created a series of Payroll and HR, Finance, and Student Instruction management and operational reports for faculty and staff. The source for many of these reports is PeopleSoft. Many of these reports contain Public data, and are therefore available to those with X.500/Internet IDs and passwords. Some reports contain non- Public data, which requires approval. Refer to How To Request Access.

Academic Employment

Academic hiring and record keeping is outlined in the Guidelines for Recruiting and Appointing Academic Personnel. The Office of Human Resources continues to track the academic hiring process for reporting purposes and provides a web-based directory of open academic positions. The following are the procedures that are followed once all of the internal collegiate and unit approval processes have been completed.

Academic Hiring: Requisition and Position Description (UM 1596) Form

- **Complete the Online Academic Requisition.** The [Online Academic Requisition](#) is available on this Web site. Complete all fields, and press the submit button. An email will be generated and sent to OHR staff containing the data needed for entry into PeopleSoft.
- **Download the Word version of the form and e-mail to OHR.** The [Word version](#) of form UM 1596 is available online in the U-wide Forms Library. Save the form to your computer, and complete it electronically. Attach the completed form to an email and send to acadjobs@ohr.umn.edu.
- **NOTE:** A PDF version of this form is also available. Completing the PDF form electronically requires the **full** version of Adobe Acrobat, not just the free Adobe Acrobat Reader.
- **Complete a paper copy of the form and send it to OHR.** Download the Word or PDF version of the UM 1596 form from the U-wide Forms Library. Print the form and complete by hand or complete electronically and then print. When necessary signatures have been obtained, fax the form to 612-625-9801 or mail it to:

Academic Postings
200 Donhowe Building
319 15th Ave SE
Minneapolis, MN 55455.

If using this option, the position description **MUST** also be e-mailed to acadjobs@ohr.umn.edu.

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- If using either electronic option, established department procedures for documenting signatures must be followed.

Academic Hiring: Recruitment and Selection Process (UM 1597)

Conduct your search as required by the Guidelines for Recruiting and Appointing Academic Personnel and any college/unit procedures that may be in place. The Academic Hiring: Recruitment and Selection Process (UM 1597) form is a useful tool for documenting this process. Feel free to modify this form as needed to reflect unit procedures.

Academic Hiring: Affirmative Action Summary (UM 1598) Form

- Form UM 1598 Form is available as either a MS Word document or a PDF.
- This form replaces the form UM 17. All fields on the Affirmative Action Summary are required (except where noted) and should be completed as indicated below.
- If no hire is made, only the requisition number and pool information are required. Indicate that no hire was made by entering "NO HIRE MADE" in the NAME field. All other fields may be left blank.
- Do not submit this form until all particulars of the appointment have been determined, the individual hired has been set up in PeopleSoft and assigned an Empl ID.
- Do not include any attachments to this form (such as resumes, CVs, offer letters, or Applicant Tracking Records).
- Reporting Pool Data
- Tenured/Tenure-Track hires on one requisition will require two pools to be tracked
 - Individuals applying/interviewed/hired for Tenured positions
 - Individuals applying/interviewed/hired for Tenure-Track positions
- For all other types of hires, report only one pool (each time a form 1598 is submitted).
- The numbers provided in this section should be **cumulative** from the date that the vacancy was first posted until the final hire is made. If many hires are made on one requisition, keep a running total from hire to hire. Subsequent forms should always have equal or higher numbers in each category than the previous hire's form.
- For all lines, include all applicants who meet the definition of that line, even if they did not complete an Applicant Tracking Record.
- For the American Indian, Asian, Black, Hispanic, or White columns, include applicants who were identified by the Applicant Tracking Record, vita, visual survey, or who are known or thought to be American Indian, Asian, Black, Hispanic, or White.

NOTE: When calculating percentages of minorities and females, only those known to be minority or female are counted and then divided by all applicants including unknown.

- The sum of the American Indian, Asian, Black, Hispanic, White, and Unknown columns should equal 100 percent of the Total column.
- Complete each line of this section:
 - All Applicants
 - Qualified Applicants
 - Applicants Referred for Interviews
 - Applicants Interviewed
 - Applicants Referred
 - Offers Made
 - Candidates Selected

Academic Hiring: Applicant Tracking Record (UM 1599) Form

- Send the UM 1599 Form to each applicant with cover letter for voluntary self identification by:
 - Gender
 - Racial/Ethnic Group (one option until Census 2000 categories for multiple choices are available in PeopleSoft)
 - Veteran Status
 - Veteran Disability Status
 - Disability Status
- Complete the UM 1597 and UM 1598 form for gender, racial/ethnic group, disability and veteran status by use of the UM 1599 Form, a review of the applicant information, visual survey of applicants, or knowledge of applicants.
- The UM 1599 forms are to be kept with the search committee file.

Record Keeping During a Search

The University is required by state and federal law to maintain and report summary information (only totals and various groups—no names are reported) about applicants and hires by race, sex, disability status, and Vietnam era veteran status. Specific information may be requested pursuant to individual complaints or compliance reviews.

The chair of the search committee, when one is used, is responsible for ensuring that complete records are kept during the search. The hiring authority is responsible for ensuring that complete records are kept when no search committee is used. Storage of the recruiting and appointing file is the responsibility of the appointing authority.

Search files must be kept for seven years. Questions about contents and disposition of the files after seven years should be referred to the Office of the General Counsel. Files on searches that are in litigation must not be disposed of until completion of litigation. At minimum, the committee files should include the following:

- Search plan information;
- Copies of announcements, advertising and other solicitations for applications and nominations;
- Applicant and nominee correspondence, evaluations, references, reference checks, and a record of verbal contacts with or about applicants or nominees;
- Records of all committee meetings, to include selection criteria, decision making, voting, etc.;
- Evaluations of candidates at each step, evaluations of candidates who are interviewed, reasons why candidates were not referred for selection, and the faculty vote on tenure decisions, where required.

Public Information:

- Position Description;
- Names of search committee members;
- Requisition and position description (UM 1596)
- Recruitment and selection process (UM 1597) information (except for sex and race of search committee members);
- Recruitment and selection process attachments (full job descriptions, ad copy);
- Essential and Preferred Qualifications;
- Information about process followed by search committee;
- Names of finalists selected by appointing authority;
- Veteran status, job history, education and training background work availability of finalists;
- Selection outcome (UM 1598) information (except for race and gender identifications).

Private Information:

- Names of applicants and nominees (unless they have been selected by appointing authority as finalists);
- Information in search committee files about applicants;
- Information about finalists except items listed above as public;
- Applicant Tracking Record (UM 1599) Form

Data Warehouse

Academic hiring and applicant tracking data are collected by OHR and are used by EOAA for analysis and reporting. This past year, these offices worked with Information Management Systems (IMS) to store these data in PeopleSoft and data warehouse to enhance record keeping and reporting. Academic hiring and applicant tracking data include the following tables:

- PS_DWHR_JOB_REQUISITION
- PS_DWHR_JOB_REQUIS_TYP
- PS_DWPE_APPLICATN_DATA
- PS_DWPE_APPLICATN_ROUTE

- PS_DWPE_A_PERSONAL
- PS_DWPE_INTERVIEW
- PS_DWPE_OFFER
- PS_DWPE_POOL
- PS_DWPE_POOL_ALL
- PS_DWPE_POSN_APPLIEDFOR

Civil Service Employment

Upon the availability of new or vacant positions, University departments must submit the Civil Service Personnel Requisition (a job requisition) to the Personnel Office that is responsible for the following:

- Ensure that the job requirements and duties are valid job related criteria and appropriate for the job classification.
- Post the job description and recruit an adequate pool of applicants to include qualified women and minorities.
- Certify applicants to ensure that they meet the essential qualifications.
- Refer applicants meeting the essential qualifications to the departments.
- Ensure that the person selected by the department has been properly certified and referred by the Personnel Office.

Filling Civil Service or Bargaining Unit Positions

A number of steps and forms must be completed before an individual may be put on the payroll. The list below details the requirements that should be met.

- Review applications sent to you by Human Resources and interview candidates.
- Laid-off employees and Return-to-Work individuals have certain priority rights. If you have questions regarding these rights or compensation policies, you may contact your Employment Consultant.
- Departments must notify the Employment Consultant in the Office of Human Resources when they want to put a requisition on Do Not Recruit (DNR) status. A Referral Follow-Up is sent to departments within 7 calendar days (if needed sooner, the Employment Consultant is contacted).
- After making a job offer to the proposed candidate(s), if they accept, departments complete the steps that follow.
- Notify the appropriate Employment Consultant that a hire has been made.
- Complete the Referral Follow-Up Report sent to by Human Resources.

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- Complete the Applicant Comparison Form(s) sent with the Referral Follow-Up, if any.
 - Send the Referral Follow-Up and Applicant Comparison Form(s) to HRIS, Human Resources, Suite 200 Donhowe Building, to close the job.
 - Notify the applicants not hired by mail or telephone.
 - Prepare all appropriate appointment documents and send to payroll.
 - Send copies of Distribution Documents to OHR.

Data Warehouse

Data collected by the Office of Human Resources and documented on the Civil Service Applicant Tracking System (PEP) include the following data warehouse tables:

- PS_DWPE_APPLICATION_DATA
- PS_DWPE_APPLICATION_ROUTE
- PS_DWPE_A_PERSONAL
- PS_DWPE_INTERVIEW
- PS_DWPE_OFFER
- PS_DWPE_POSN_APPLIEDFOR

Review and Monitoring of Reports

EOAA staff review these data with Human Resources professionals and shares information on workforce, availability, goals, applicants, hires, promotions, and terminations with each of the colleges, campuses, and administrative areas. With the inclusion of payroll into PeopleSoft, EOAA has been working with Information Management Systems (IMS) to replace legacy reports.

Annual Reporting to University Community

Board of Regents

Annually, the total University workforce, both Academic and Civil Service, is presented to the President and to the Board of Regents at one of their monthly meetings. This report on the status of equal opportunity, affirmative action, and diversity at the University is made available to every department and to faculty, staff, and to the public upon request. This reporting includes the following reports:

- “Annual Diversity Discussion” with the Board of Regents
- University Plan, Performance, and Accountability Report

Student and Non-Student Employment Report

An annual report is also compiled from the October payroll reports of the IPEDS reports, which contain Academic and Civil Service workforce by job classification/rank. This report provides summary data for total University workforce expansion/contraction by race and sex within IPEDS category. These reports are available from 1975 to October 2002.

Employment Profiles

In recent years we significantly increased the distribution of our analyses from our affirmative action plan statistical reporting. A new "Employment Profile" is reviewed annually with deans and vice presidents. The new reports include employee counts, application flow in hiring, promotion, and termination rates, along with information on available qualified potential employees. This the following information:

- Summary Counts of Faculty, P/A and CS/BU by College, Administrative Unit, Campus, Total University, and local or national labor Availability Data
- Applicants by above Employee Groups
- Offers from Form 1598 or PEP
- Hires from PeopleSoft
- Promotions from PeopleSoft
- Terminations (left University) from PeopleSoft

External Reporting

Integrated Postsecondary Education Data System (IPEDS)

The Integrated Postsecondary Education Data System (IPEDS) fall staff survey is filed biennially with the federal government. The University filed the IPEDS Fall Staff Survey in 2005. The IPEDS report contains campus and employment data by gender, racial/ethnic category, non-resident alien status, salary interval, and IPEDS reporting category in the following areas:

- Part A, Full-Time Faculty
- Part B, All Other Full-Time Employees
- Part D, Part-Time Employees
- Part E, Summary of Full-Time and Part-Time Employees
- Part F, Tenure of Full-time Faculty (by Rank)
- Part G, New Hires

While the DWEO files contain total University employment workforce, student and non-student, student employee are not included in AAP counts or in the IPEDS Fall Staff Survey, with the exception of category 3, Instructional/research assistants.

These data are provided in the following IPEDS categories. Academic employment workforce is found in the first four categories, while the Civil Service employment workforce is found in all but the faculty and instructional categories.

- 1. Executive/Administrative/Managerial
- 2. Faculty
- 3. Instructional/research assistants (Part D, P.T. only, not included in AAP counts)
- 4. Other Professionals

- 5. Technical/Paraprofessional
- 6. Clerical/Secretarial
- 7. Skilled Crafts
- 8. Service/Maintenance

Employee by Assigned Position (EAP)

Over the past year, EOAA staff worked with IRR and OHR to complete the Employee by Assigned Position (EAP) report based on October 2005 workforce. The report formats and explanations can be found at <http://nces.ed.gov/ipeds/web2000/WinterDataItems.asp>.

Federal Contractor Veterans Employment Report (VETS-100)

The Federal Contractor Veterans Employment Report (VETS-100) is filed annually with the U.S. Department of Labor, Office of Veterans Employment and Training. The last report was filed on September 2005. The report formats and explanations can be found at <http://vets100.cudenver.edu>.

Annual Compliance Report

Annual Compliance Reports are filed with the State Department of Human Rights pursuant to the Minnesota Human Rights Act, Minnesota Statutes, Section 363.073. The report includes summary information by race, gender and IPEDS reporting category of total University employment in the following areas:

- Employee workforce counts (at start of reporting period)
- Applicants
- Hires
- Applicants Interviewed
- Applicants Tested
- Employees Trained
- Employees Transferred
- Employees Promoted
- Employees Demoted
- Employee workforce counts end of reporting period)

Replacing and Improving Existing EO/AA Record Keeping, Reporting, and Compliance

Prior to PeopleSoft, EOAA reports were prepared from employment data from payroll, application information from Human Resources, and other data collection. EOAA staff has been working with various staff of the Enterprise project to:

- Transition to Peoplesoft, and assure the retention of historical records in the data warehouse
- Assist in the transition and development of the applicant tracking module of Peoplesoft (CS/BU employment)
- Assist in the transition and development of EOAA data sets, including academic applicant tracking in data warehouse

The goal is to use the technological changes in the Enterprise project to full advantage by:

- Preparing better and timely analysis of employment data and trends
- Replacing paper reports with web-based delivery and access
- Making all EO/AA data centrally available to the University community via the Oracle environment
- Using common University-wide data and business rules, whenever possible