

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 <http://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, which is available on the OHR's website at: www1.umn.edu/ohr/toolkit/hiring/academic/guidelines/index.html. The Office of Human Resources continues to track the academic hiring process for reporting purposes and provides online access to open academic positions.

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
- PS_DWPA_POSTING
- PS_DWPA_POSITION

- PS_DWPA_APPLICATION

Civil Service Employment

Civil Service/Bargaining Unit hiring and record keeping is outlined on the OHR's website at: www1.umn.edu/ohr/toolkit/hiring/csbu/index.html.

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
- PS_DWPA_POSTING
- PS_DWPA_POSITION
- PS_DWPA_APPLICATION

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 Managements 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

Employment Profiles

In recent years the EOAA Office has prepared Employment Profiles reports for individual collegiate units, which are reviewed annually with deans and vice presidents. These reports include 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 Data Warehouse
- Hires from Data Warehouse
- Promotions from Data Warehouse
- Terminations (left University) from Data Warehouse

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.

- Executive/Administrative/Managerial
- Faculty
- Instructional/research assistants (Part D, P.T. only, not included in AAP counts)
- Other Professionals
- Technical/Paraprofessional
- Clerical/Secretarial

- Skilled Crafts
- 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 2006 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 2006. The report formats and explanations can be found at <http://vets.dol.gov/vets100>.

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
- Employees Promoted (From/To)
- Employees Transferred (In/Out)
- Employees Demoted (From/To)
- Employees Terminated
- 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