Spring Cleaning 2022

Academic Data Issues & Business Impacts

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Welcome

Introductions

Objectives

Agenda

Q&A

Introductions

Respond in the poll!
- Time in current role
- Time at UW
- Comfort level with HR data for Academic Personnel
- Comfort level with audit reports in Workday

1. Time in current role
    1. Less than 1 year: 5
    2. 1 to 3 years: 8
    3. 3 to 5 years: 3
    4. More than 5 years: 7
2. Time at UW
    1. Less than 1 year: 2
    2. 1 to 3 years: 7
    3. 3 to 5 years: 1
    4. More than 5 years: 13
3. Comfort level with HR data for Academic Personnel
    1. Uncomfortable: 0
    2. Not very comfortable: 4
    3. Comfortable: 16
    4. Confident: 3
4. Comfort level with audit reports in Workday
    1. Uncomfortable: 3
    2. Not very comfortable: 5
    3. Comfortable: 14
    4. Confident: 1

Objectives

Connect data issues with the business processes they impact
- ◦ Workday reports that support business processes
- ◦ Data issues that prevent inclusion in Workday reports
- ◦ Workday audit reports that identify who is impacted by data issues

Identify when audit reports should be run to maximize benefit
- ◦ When are deliverables due to OAP/ISC?
- ◦ When are local decisions made?
- ◦ When are deliverables due locally?
- ◦ How much time is needed to resolve issues?

Previous Spring Cleaning presentation decks are available on the Training & Forums Archive (https://ap.washington.edu/ahr/resources/training-and-administrator-forum-materials/) page on the AHR Website – previous topics include appointments, end dates, positions, and issues associated with census preparations

We see most of the effort to address data issues during the census preparations effort in the late summer/early autumn quarter, but we are cognizant that Census Prep happens at a time of year when people are busy with activities related to the start of autumn quarter. Only addressing data issues in the autumn also means that data issues affecting people not employed at that time of year don't get addressed.

Business Processes

Promotion and/or Tenure

Academic Reviews

Reappointments

Summer Hiatus

Bonus – Specific Impacts:
◦ Postdoc Compensation Changes
◦ Voting Rosters

Poll to determine presentation order
● Academic Review: 5
● Promotion & Award of Tenure: 8
● Reappointment: 8
● Summer Hiatus: 5

Promotion and/or Tenure

Business Process Basics

Code Resources

[UW Faculty Code Section 24-54](#)

[Faculty Code Section 25-41](#)

[UW Executive Order V](#)

[Librarian Personnel Code Chapter IV, Section A](#)

Reports to Determine Eligibility

R0353.1: Academics with Approaching Mandatory Review Date

R0401: Academic Personnel Appointment Details

- Use to identify faculty and librarians in non-clock managed but promotion-eligible titles/ranks

R0353.1 Report Inclusion Criteria

Active position

Appointment end date in specified date range

Appointment has the "P – Primary" identifier

Active academic appointment

Academic appointment has not been ended

Has a position in the 01-Academic Personnel job family group

Has education history populated

Not in a terminal year

Not on leave

For R0353.1 Academics with Approaching Mandatory Review Date, which of the following are used to determine who appears in the report output

- Academic appointment has not been ended: 14
- Active academic appointment: 20
- Active position: 15
- Appointment end date in specified date range: 18
- "Appointment has the ""P-Primary"" identifier": 14
- Has a position in the 01-Academic Personnel job family group:17
- Has education history populated:1
- Not in a terminal year: 3
- Not on leave: 5

RO353.1 Report Inclusion Criteria

Active position

Appointment end date in specified date range

Appointment has the "P – Primary" identifier

Active academic appointment

Has a position in the 01-Academic Personnel job family group

Academic appointment has not been ended

Has education history populated

Not on leave

Not in a terminal year

Correct Answers:
- Active academic appointment: data source is based on academic appointments
- Appointment end date in specified date range: prompts limit output to academic appointments with end dates between 7/1 and 6/30 of the next, current, or previous academic year
- Academic appointment has not been ended: filters exclude any appointment ended via any "end academic appointment" BP
- Not in a terminal year: filters exclude appointments ended using the specific reason code of the "end academic appointment" BP that identifies terminal years

Data Needed for the Process

Active position

Primary academic appointment
- Must correspond to job profile(s)

Secondary academic appointment(s)
- Must be valid for primary academic rank

Education history

Waivers (for clock-managed ranks)

Roster value

Tenure value (if tenured)

These data are required by OAP during the P&T case review process

Related Audit Reports

R0722: Academic Promotion/Tenure Data Issues

- Invalid primary academic rank
- Missing education history
- FTE/roster/tenure value issue
- Missing waiver year entries
- Invalid academic appointment end date
- Invalid academic position end date
- Invalid secondary appointment

R0722 consolidates the output of:
- R0630 – Invalid appointment end date
- R0663 – Invalid academic position end date
- R0721 – Invalid secondary ranks
- R0707 – FTE/Roster/Tenure issues
- R0689 – Missing education history
- R0686 – Missing waiver year entries
- R0650 – Invalid primary academic rank

Related Audit Reports (Continued)

R0630: Invalid Appointment End Date Audit
- Affects R0353.1 output (identification of people in their mandatory year)

R0612: Academic Appointees without Active Positions

R0469: Academic Workers without Primary Academic Appointments

Audit Reports in Context

Report	Reappointments	P&T	Academic Review	Summer Hiatus
R0343: Appointments with Invalid Appointment Identifiers		✔	✔	
R0361: Expired & Expiring Academic Appointments	✔	✔	✔	
R0469: Academic Workers without Primary Academic Appointments	✔	✔	✔	
R0612: Academic Appointees without Active Positions	✔	✔	✔	✔
R0630: Invalid Appointment End Date Audit	✔	✔	✔	
R0650: Academic Personnel with an Invalid Primary Academic Rank	✔	✔	✔	
R0663: Invalid Academic Position End Dates	✔	✔		✔
R0686: Waiver Year Actions without Waiver Year Entries		✔		
R0689: Academic Personnel Missing Education History Entries		✔		
R0707: Academic FTE/Roster Percent/Tenure Value Audit		✔		
R0721: Secondary Appointments with Invalid Ranks	✔	✔		

Dates to Consider

August: Expected mandatory promotions list distributed by AHR

Mid-December: Mandatory P&T cases due

Early February: Non-mandatory P&T cases due

Early March: Clinical and Affiliate P&T cases due

Late April: Librarian P&T cases due

When does your dean's/chancellor's office want materials for each year's P&T candidates?

When does your unit start the P&T review process?

AY 2021-22 dates:
- 12/13/2021: Mandatory P&T cases
- 2/1/2022: Non-mandatory P&T cases
- 3/1/2022: Clinical & affiliate cases
- 4/29/2022: Librarian cases

Questions?

Q: I just ran the R0353.1 report and it appears it pulls the entire UW. Is that correct? Do we just filter out our unit data?

A: Currently, yes, but we'll be adding prompts to select academic unit and school/college/campus soon.

Reappointments

Business Process Basics

Code Resources

[Faculty Code Section 24-53](#)

Reports to Determine Eligibility

R0555: Appointments Eligible for Reappointment

R0555 Report Inclusion Criteria

Currently active academic appointment

Not in a terminal year

Worker is not terminated

Is not on leave

Has a position in the 01-Academic Personnel job family group

Appointment duration is less than a specified limit

Appointment end date in specified date range

Appointment has the "P – Primary" identifier

Academic appointment in a reappointment-eligible academic rank

For R0555 Appointments Eligible for Reappointment, which of the following are used to determine who appears in the report output

- Appointment duration is less than a specific limit: 4
- Appointment end date in specified date range: 17
- Appointment has the "P-Primary" identifier: 4
- Appointment in a reappointment-eligible academic rank: 18
- Currently active academic appointment: 19
- Has a position in the 01-Academic Personnel job family group: 4
- Is not on leave: 3
- Not in a terminal year: 5
- Worker is not terminated: 7

R0555 Report Inclusion Criteria

Currently active academic appointment

Not in a terminal year

Worker is not terminated

Is not on leave

Has a position in the 01-Academic Personnel job family group

Appointment duration is less than a specified limit

Appointment has the "P – Primary" identifier

Appointment end date in specified date range

Academic appointment in a reappointment-eligible academic rank

Correct answers:
- Academic appointment in a reappointment-eligible academic rank: report filter limits output to eligible academic ranks
- Currently active academic appointment: data source is based on academic appointments
- Appointment end date in specified date range: report filter limits output to appointments with end dates in the selected date range. Prompts default to valid date range for current academic year.
- Worker is not terminated: report filter excludes terminated workers from output

Data Needed for the Process

Output from R0555: Appointments Eligible for Reappointment

Active position
- Academic rank must be valid for the job profile

Additional data as determined at the unit level

Additional rows should not be added to R0555 in any circumstances

Related Audit Reports

R0630: Invalid Appointment End Date Audit
  ◦ Affects output of R0555

R0663 : Invalid Academic Position End Dates
  ◦ Affects output of R0555.1 (report used to extend position end dates for certain titles)

R0612: Academic Appointees without Active Positions

R0469: Academic Workers without Primary Academic Appointments

R0650: Academic Personnel with an Invalid Primary Academic Rank

R0721: Secondary Appointments with Invalid Ranks

R0555.1 Positions Eligible for Reappointment is used to create the EIB to extend the position end dates for positions with research professorial teaching professorial, acting, clinical salaried, clinical dental pathway, clinical multi-year, and non-professorial instructional faculty job profiles

Also consider running:
● R0361: Expired and Expiring Academic Appointments
● R0321: Upcoming End Employment Dates

Audit Reports in Context

Report	Reappointments	P&T	Academic Review	Summer Hiatus
R0321: Upcoming End Employment Dates	✔			✔
R0361: Expired & Expiring Academic Appointments	✔	✔	✔	
R0469: Academic Workers without Primary Academic Appointments	✔	✔	✔	
R0612: Academic Appointees without Active Positions	✔	✔	✔	✔
R0630: Invalid Appointment End Date Audit	✔	✔	✔	
R0650: Academic Personnel with an Invalid Primary Academic Rank	✔	✔	✔	
R0663: Invalid Academic Position End Dates	✔	✔		✔
R0721: Secondary Appointments with Invalid Ranks	✔	✔		

Dates to Consider

Mid-January: "December" decisions are due to Academic HR
- Faculty notification required by **December 15** (9-month) or **December 31** (12-month)

Mid-March: "Spring" decisions are due to Academic HR
- Faculty notification required by **March 15** (9-month) or **March 31** (12-month)

Before the appointments/positions expire:
- Manual renewal of appointments in academic ranks not included in R0555
- End non-renewed appointments/positions

When does your dean's/chancellor's office want materials for each year's decisions?

When does your unit start the review process?

AY2021-22 Dates:
- 1/14/2022: December spreadsheet due to AHR
- 3/18/2022: Spring spreadsheet due to AHR

Faculty notifications are notifications from the units to the faculty members of renew/non-renew decisions
Failure to notify of a non-renewal decision means that the appointment is reappointed
Notification deadlines are based on faculty code:
- December decisions require notification six months before the end of the appointment
- Spring decisions require notification three months before the end of the appointment

Questions?

Q: Are the voting eligibility reports only able to be run by Academic Partners, not HCM2 Initiates?

A: Yes, this is based on requirements from the Faculty Senate office, and due to the fact that these reports are specifically related to academic personnel and academic appointment data.

Specific Impacts: Postdoc Compensation & Voting Eligibility

Which topic do you want to address next?
- Academic Review: 5
- Postdoc Comp/Voting Eligibility: 9
- Promotion & Award of Tenure: 1
- Reappointment: 1
- Summer Hiatus: 7

Postdoc Compensation

Postdoc compensation rates are tied to months of experience

- Experience bands are documented through Compensation Grade Profiles
- Each experience band has a different minimum rate

Experience band increments on the postdoc anniversary date

- Compensation grade profile needs to be updated each year

R0614: Postdoctoral Scholar Roster report output includes only postdocs with anniversary dates within the date range entered

Which data issues impact postdoc compensation?
- Invalid compensation plan end date: 10
- Invalid position end date: 3
- Missing academic appointment: 3
- Missing academic appointment end date: 5
- Missing position end date: 5
- No compensation grade profile: 10
- No postdoc anniversary date: 12
- Out of date compensation grade profile: 11
- Postdoc anniversary date that precedes UW postdoc start date: 10

Data Issues Impacting Postdoc Compensation

Missing academic appointment

No postdoc anniversary date

Invalid compensation plan end date

Missing position end date

Invalid position end date

No compensation grade profile

Out of date compensation grade profile

Missing academic appointment end date

Postdoc anniversary date that precedes UW postdoc start date

Correct answers:
- No postdoc anniversary date: prevents identification of when comp changes are needed, including updates to compensation grade profile
- No compensation grade profile: prevents identification of minimum pay rate
- Out of date compensation grade profile: affects ability to audit for adherence to minimum pay rate rules
- Postdoc anniversary date that precedes UW postdoc start date: affects ability to identify when comp changes are needed.

Related Audit Reports

R0708.1: Invalid Compensation Grade Profile for Academic Personnel

- Update pending to identify compensation grade profiles for Postdocs that are out of step with months of experience

R0702: Missing Postdoc Anniversary Dates

- Update pending to identify anniversary dates that precede UW postdoc start date

Bonus

- R0469: Academic Workers without Primary Appointments

Voting Rosters

Voting eligibility is based on

- Primary academic rank
- Leave status
- FTE

Voting Eligible Faculty are identified using R0237: Voting Faculty
Ineligible faculty are identified using R0448: Non-Voting Faculty

Faculty on leave are included in R0237, but eligibility needs to be determined by the unit
(based on the guidelines in University of Washington Faculty Code Section 21-32)

Data Issues Impacting Voting Rosters

Expired academic appointment

Invalid academic appointment end date

Return from Leave action not completed

Invalid appointment identifier

Missing FTE for PDR faculty

Expired position

Missing roster value

Missing tenure value

Invalid primary academic rank

Which of these data issues impact whether a faculty member appears correctly in R0237/R0448
- Expired academic appointment: 8
- Expired position: 5
- Invalid academic appointment end date: 3
- Invalid appointment identifier: 3
- Invalid primary academic rank: 11
- Missing FTE for PDR faculty: 7
- Missing roster value: 7
- Missing tenure value: 4
- Return from Leave action not completed: 10

Correct answers:
- Invalid academic appointment end date – may prevent inclusion if appointment is expired on vote date
- Invalid appointment identifier – only primary appointments are included in the report output
- Missing FTE for PDR faculty – PDR faculty are eligible to vote, having an FTE does not generate a paycheck if the employee type is properly set to "…PDR"
- Expired academic appointment – may prevent inclusion if appointment is expired on vote date
- Return from Leave action not completed – affects flag on R0237 output, but not inclusion
- Invalid primary academic rank- affects evaluation of voting matrix, but not necessarily inclusion in report output
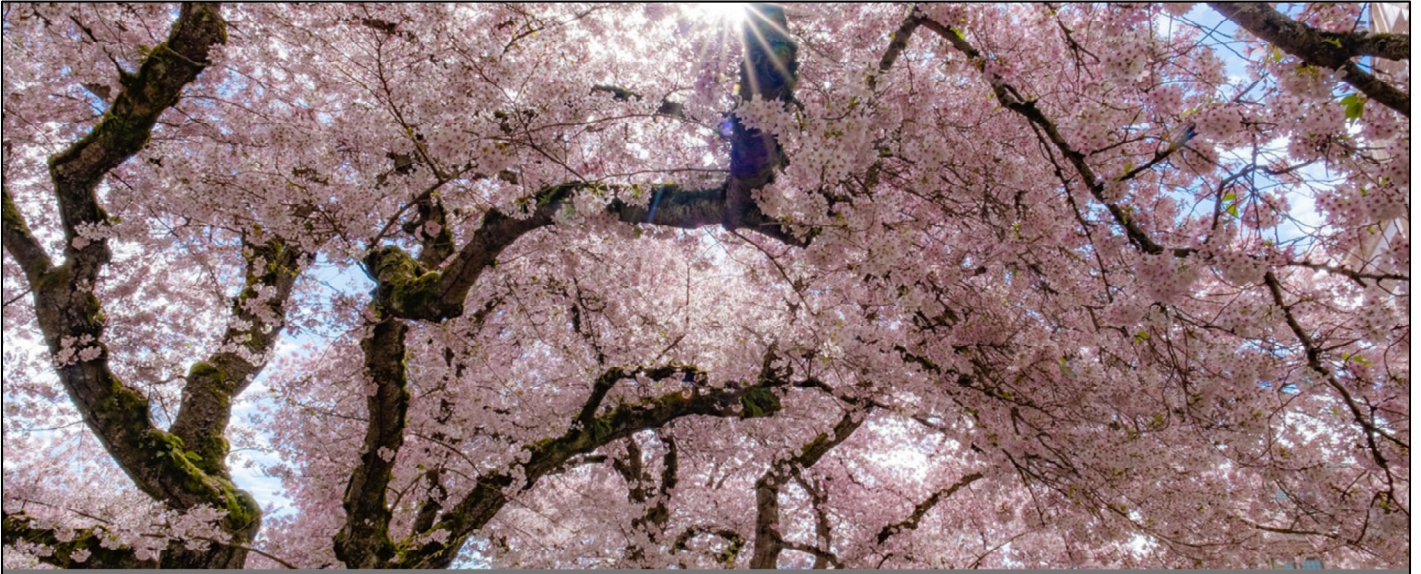
Related Audit Reports

R0707: Academic FTE/Roster Percent/Tenure Value Audit

R0343: Appointments with Invalid Appointment Identifiers

R0469: Academic Workers without Primary Academic Appointments

R0612: Academic Appointees without Active Positions

R0650: Academic Personnel with an Invalid Primary Academic Rank

Questions?

Thank you!!!

Report	Reappointments	P&T	Academic Review	Summer Hiatus
R0321: Upcoming End Employment Dates	✔			✔
R0343: Appointments with Invalid Appointment Identifiers		✔	✔	
R0361: Expired & Expiring Academic Appointments	✔	✔	✔	
R0469: Academic Workers without Primary Academic Appointments	✔	✔	✔	
R0612: Academic Appointees without Active Positions	✔	✔	✔	✔
R0623: Academic Positions with Invalid Service Periods				✔
R0630: Invalid Appointment End Date Audit	✔	✔	✔	
R0650: Academic Personnel with an Invalid Primary Academic Rank	✔	✔	✔	
R0658: Appointments Missing Academic Review Dates			✔	
R0663: Invalid Academic Position End Dates	✔	✔		✔
R0686: Waiver Year Actions without Waiver Year Entries		✔		
R0689: Academic Personnel Missing Education History Entries		✔		
R0707: Academic FTE/Roster Percent/Tenure Value Audit		✔		
R0721: Secondary Appointments with Invalid Ranks	✔	✔		