Spring Cleaning 2022

Academic Data Issues & Business Impacts
Welcome

Introductions
Objectives
Agenda
Q&A
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.
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**

<table>
<thead>
<tr>
<th>Active position</th>
<th>Appointment end date in specified date range</th>
<th>Appointment has the “P – Primary” identifier</th>
</tr>
</thead>
<tbody>
<tr>
<td>Active academic appointment</td>
<td>Has a position in the 01-Academic Personnel job family group</td>
<td>Academic appointment has not been ended</td>
</tr>
<tr>
<td>Has education history populated</td>
<td></td>
<td>Not in a terminal year</td>
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<tr>
<td></td>
<td></td>
<td>Not on leave</td>
</tr>
</tbody>
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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
### R0353.1 Report Inclusion Criteria

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**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

<table>
<thead>
<tr>
<th>Active position</th>
<th>Education history</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary academic appointment</td>
<td>Waivers (for clock-managed ranks)</td>
</tr>
<tr>
<td>◦ Must correspond to job profile(s)</td>
<td>Roster value</td>
</tr>
<tr>
<td>Secondary academic appointment(s)</td>
<td>Tenure value (if tenured)</td>
</tr>
<tr>
<td>◦ Must be valid for primary academic rank</td>
<td></td>
</tr>
</tbody>
</table>

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

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<th>Summer Hiatus</th>
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<td>R0343: Appointments with Invalid Appointment Identifiers</td>
<td></td>
<td>✓</td>
<td>✓</td>
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</tr>
<tr>
<td>R0361: Expiring &amp; Expiring Academic Appointments</td>
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<td>✓</td>
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<tr>
<td>R0469: Academic Workers without Primary Academic Appointments</td>
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<tr>
<td>R0612: Academic Appointees without Active Positions</td>
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<tr>
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<td>✓</td>
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<td></td>
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</tr>
<tr>
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<td></td>
<td></td>
</tr>
<tr>
<td>R0663: Invalid Academic Position End Dates</td>
<td>✓</td>
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<td>R0707: Academic FTE/Roster Percent/Tenure Value Audit</td>
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<td>✓</td>
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<tr>
<td>R0721: Secondary Appointments with Invalid Ranks</td>
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</table>
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?*

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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
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
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
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
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
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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

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

When does your unit start the review process?
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.
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
### Data Issues Impacting Postdoc Compensation

<table>
<thead>
<tr>
<th>Missing academic appointment</th>
<th>No postdoc anniversary date</th>
<th>Invalid compensation plan end date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Missing position end date</td>
<td>No compensation grade profile</td>
<td>Invalid position end date</td>
</tr>
<tr>
<td>Out of date compensation grade profile</td>
<td>Missing academic appointment end date</td>
<td>Postdoc anniversary date that precedes UW postdoc start date</td>
</tr>
</tbody>
</table>

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

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)
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
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Questions?
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<td>R0658: Appointments Missing Academic Review Dates</td>
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