

## Why don't the employee head counts match? (As of August 2007)

When looking at various Human Resource (HR) reports generated by different units across the University, you may see instances where different statistics are reported that reflect what appears to be the same information. Often the differences are appropriate; reflecting the specific question(s) the reports are addressing. In each report specific documentation about the source of the data and how the statistics were developed should clarify their use to the reader. Confusion arises when reports are generated using databases and data definitions that are not consistent with conventional reporting standards and practices. Below is a list of critical considerations when reviewing reports in which HR statistics and data are presented, or when HR data are used in reporting and analyses. Items highlighted in grey at the end of each consideration indicate the data element name (or field) that should be checked by the preparer of the report.

### 1. What is the reporting period on the report?

For external reporting,<sup>1</sup> HR data from the end of the October (payroll period 09) are used. Data collected at this time period provide a comprehensive snapshot that represents all those working at the University of Minnesota. (If the reporting period used was July, many employees would not be counted who have nine month appointments.) Where spring data are needed for external reporting, data from mid April (payroll period 21) are used. `archive_dt`

### 2. Does the report include all campuses, or just one?

The Twin Cities campus includes Duluth Medical (and Duluth Pharmacy) and Rochester. UMN DL, UMN CR, and UMN MO are typically reported as individual campuses unless the report covers the entire University. The title of a report should indicate which campus (or campuses) is included in the report. `area_class` or `um_campus`

### 3. What employees are included or excluded in the report?

For most reports, any employee in a department that starts with 999 is excluded. `deptid`

Currently excluded departments include:

- 999A Former University Department
- 999C Former Hospital Department
- 999E Non Res Alien Ind Contractor
- 999F Payroll Special Circumstances
- 999G Benefits Special Circumstances

In the report there should be an indication of what employees are included.

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<sup>1</sup> External reporting includes federal reporting, IPEDS (Integrated Postsecondary Education Data System) and EOAA (Equal Opportunity and Affirmation Action) and non federal reporting, such as AAUDE (Association of American Universities Data Exchange).

#### 4. Does the report distinguish between full-time and part-time employees?

If the answer is yes, what is the definition that was used for part-time? For external reporting, an employee working less than 100% is considered part-time and graduate assistants are considered part-time. For employee benefits reporting, 75% or less defines part-time for most employee groups. However, 67% or less defines part time for Faculty and P&A's (Professional and Administrative) for the Faculty Retirement Plan and the Academic Disability plan. `tot_percent_add`

#### 5. What employee groups are included in the report?

There are nine main categories of employees. Please see Appendix A and B at the end of the document for more information on each group.

- faculty
- academic administrators (part of P&A)
- academic professionals (part of P&A)
- civil service
- bargaining unit
- temporary or casual appointments
- professionals in training
- graduate students
- undergraduate students

#### 6. Which ethnicity definition is used in the report?

The University of Minnesota uses two variables or attributes when reporting externally. 1) The Citizenship Status of the employee and 2) the ethnic group that the employee has indicated that he/she belongs. `citizenship_status` and `ethnic_group`

For IPEDS reporting, there is a category for "Nonresident Aliens". (Nonresident Alien is based on citizenship status of "Alien Temporary" or "Alien".) All individuals in this category are reported as such, regardless of their ethnicity. All other employees are reported according to their self reported ethnic status.

##### **Current IPEDS Racial/Ethnic Group Reporting Categories:**

- Nonresident alien
- Black, non-Hispanic
- American Indian/Alaska Native
- Asian/Pacific Islander
- Hispanic
- White, non-Hispanic
- Race/ethnicity unknown

Starting in October 2007, EOAA will no longer be excluding certain non-citizens (Nonresident alien category above) and employees with unspecified/missing citizenship or ethnicity values from EOAA reporting by ethnicity. All employees will be counted in their respective ethnic group. Prior to October 2007, EEOA reported employees with unidentified citizenship statuses as "Nonresident Alien".

**For external comparative analyses and internal trend analyses, the IPEDS definitions should be used unless otherwise noted!**

**EOAA RACIAL/ETHNIC GROUP  
REPORTING CATEGORIES  
PRIOR TO OCTOBER 2007**

Nonresident alien  
Black, non-Hispanic  
American Indian/Alaska Native  
Asian/Pacific Islander  
Hispanic  
White, non-Hispanic  
Race/ethnicity unknown

**EOAA RACIAL/ETHNIC GROUP  
REPORTING CATEGORIES  
OCTOBER 2007 AND FOWARD**

Black, non-Hispanic  
American Indian/Alaska Native  
Asian/Pacific Islander  
Hispanic  
White, non-Hispanic

**7. What is the payroll or payment status of the employee?**

- a) Does the report include employees on leave (paid or unpaid) or on a short work break? `empl_status`
- b) Was the employee paid for the reporting period?

For IPEDS reporting, the employee must have been paid at the end of October (payroll period 09) to be counted. For EOAA, employees on unpaid leaves are included. `empl_status` When spring data are needed for external reporting, data from mid April (payroll period 21) are used. `archive_dt`

- c) Does the report include employees without salary appointments? `paygroup`

**8. Does the report only include faculty whose main function is instruction or research?**

If so, how is main function defined? All employees at the University have a position with a job function code. Most employees should be reported by HR job function. `job function` For Instructional Faculty see the definition in Appendix B and Question 13 below for more information.

**9. What was the information source?**

Did the HR information come from the Data Warehouse tables, and if so, was the source the DWHR – Human Resource subject area, or the DWEO – Equal Opportunity Affirmative Action tables? The DWEO tables are a subset of the DWHR tables and do not include terminated employees. The DWEO tables are the tables from which the fall (payroll period 09) and spring (payroll period 21) snapshots are created. The DWEO tables include all current, active, on leave or on work break jobs and include primary and secondary positions. The DWEO tables in the Data Warehouse are updated once a week, while the snapshots remain constant for reporting and analysis activities throughout the year.

**10. How was the employee's primary position identified?**

This question is related to the above data source question. For external reporting (DWEO tables), the criteria for selection of primary position (`eeo_primary_empl_rcdno`)

is slightly different than the one used in Human Resource tables (DWHR). Approximately 4% of all employees' primary positions will differ between the DWEO primary position identification (used for external reporting) and the internal DWHR primary position identification. `primary_empl_rcdno` The 4% difference is primarily due to the external reporting requirement that executive or managerial positions be reported as an employee's primary position. At the University of Minnesota, an employee can hold multiple positions. For example, a U of M employee could be both a Professor as well as a Dean. The Dean would be the primary position in the DWEO tables and for external reporting. Having a primary position allows for reporting an employee only once in a particular report.

When there is a need to identify and report of all individuals that hold faculty rank regardless on other appointments, the DWHR Tables should be used and so noted. Beware that the DWHR tables are updated daily in the Data Warehouse and as such faculty counts may differ from official statistics. If there are questions about which tables should be used in your analysis, contact the Office of Institutional Research.

**11. What appointment term (nine month or twelve month) is included?**

If all appointments are included in salary information, for what appointment term has the information been reported? For external reporting of faculty salaries, it is common practice to convert twelve month salaries to nine month equated salaries. This is done by multiplying the twelve month salary amount by 9/11 (.8182). This conversion of 12-month salaries allows for comparative analyses across institutions and faculties.

`um_appt_term_cd`

**12. What definition of FTE (full-time equivalent) is used?**

An employee is considered 1 FTE is he/she is 100% employed at the University. `tot_percent_add` An FTE should not be confused with head count. A head count just counts employees (using unique employee ID's `emplid`). In the FTE definition above, a head count total would usually be greater unless all the employees were working 100%. If the employees were all working exactly 100%, then the FTE and headcount would be the same. There are a number of ways that FTE can be calculated. Be sure to note the calculation that was used in the report.

**13. What definition of faculty is used for external comparative analyses?**

For external reporting of faculty counts and salaries, the instructional faculty definition is used. This is the definition used for comparative analyses across institutions. It includes full-time faculty, tenured, tenure track, and non-tenure track, where the job function is primarily instruction and excludes faculty in the Medical\* areas. The function tied to the account(s) where faculty are paid determines if they are instructional faculty. If the majority of a faculty salary is paid from instructional monies, then they are categorized as instructional faculty.

\*The Medical areas excluded include Twin Cities Medical School (TMED) and Duluth School Of Medicine (DMED) area classes/colleges. The departments falling under the groups include:

Anesthesiology	Neurology	UMD American Indian/Minority Health
Biochemistry, Molecular Biology, Biophysics	Neuroscience	UMD Anatomy & Cell Biology
Continuing Medical Education	Neurosurgery	UMD Animal Services

Dermatology	Obstetrics & Gynecology	UMD Behavioral Sciences
Emergency Medicine	Ophthalmology	UMD Biochemistry & Molecular Biology
Institute for Engineering In Medicine	Orthopaedic Surgery	UMD Family Medicine
Family Medicine & Community Health	Otolaryngology	UMD Medical Microbiology & Immunology
Genetics, Cell Biology	Pediatrics	UMD Medicine
Institute of Human Genetics	Pharmacology	UMD Pathology & Laboratory Medicine
Integrative Biology/Physiology	Physical Medicine & Rehabilitation	UMD Pharmacology
Laboratory Medicine & Pathology	Psychiatry	UMD Physiology
Medical School Administration	Radiology	
Medicine	Surgery	
Microbiology	Therapeutic Radiology	
Minnesota Medical Foundation	Urologic Surgery	

Other Medical areas **included** in the instructional faculty definition include:

Academic Health Center-Shared (TAHS)	School of Nursing (TNUR)
Boynton Health Service (TBOY)	College of Pharmacy (TPHR)
School of Dentistry (TDEN)	School of Public Health (TPUB)
Hospital & Clinic (THOS)	College of Veterinary Medicine (TVET)
Health Sciences, Sr VP (THSC)	

EMPLOYEE GROUP	INCLUDED IN EXTERNAL REPORTING?	DEFINITION	DATA WAREHOUSE CRITERIA
faculty	Yes	This group is a broad definition. It includes both tenured, tenure track, and non tenure track employees, but excludes faculty in primarily administrative roles (such as the President, Provosts, and Deans). It includes represented faculty. Generic job titles include:  Regents Professor, Clinical Faculty, Professor Instructors, Associate Professor, Assistant Professor, Visiting Faculty, Adjunct Faculty	um_jobcode_group= 'FA '  tenure_flag='Y' (tenured)  tenure_track_flag='Y' and tenure_flag='N' (tenure track)
academic administrators (part of P&A)	Yes	This employee group includes academic administrators that are involved in policy development and execution, and in directing, coordinating, or supervising activities of the University.	um_jobcode_group= 'AA '
academic professionals (part of P&A)	Yes	This group includes academic professionals who parallel faculty in having the requisite preparation and specialized knowledge in an academic discipline or field and in exercising independent professional judgment. These individuals may be engaged in teaching, research, service, and a wide variety of other professional functions within the University.	um_jobcode_group= 'AP '
civil service	Yes	The University civil service employee group includes exempt and non-exempt staff whose work supports the academic and administrative functions. Staff performs work that includes, but is not limited to, the following: business operations, information technology, student services, service/maintenance, purchasing, and accounting. Administrative civil service positions typically have a span of control at the department/division level or below.	um_jobcode_group= 'CS' and union_cd='C2'  or empgrp1= 'CIVIL SERVICE'  V Class CS employees um_jobcd_vclass_sw='Y'
bargaining unit	Yes	Bargaining unit employees are those groups of staff (non-faculty) employees that have exclusive representation under law and are statutorily governed.	um_jobcode_group= 'CS' and union_cd->'C2' or empgrp1= 'BARGAINING UNIT'
temporary or casual appointments	No	Temporary or casual appointments are part-time and less than 35%.	jobcode not in ('0001','0002','0004','0007','0011')
professionals in training	Yes for IPEDS <sup>1</sup> and counted as part-time prior to 2007, No for EOAA <sup>2</sup>	Professionals-in-training are involved in teaching and research. They hold internships, residencies, or are otherwise involved in further training in a disciplinary field. Examples of job titles include: Post-Doctoral Associates and Medical Residents	um_jobcode_group= 'PT'
graduate students	Yes for IPEDS <sup>1</sup> and counted as part-time, No for EOAA <sup>2</sup>	Graduate assistants are student employees registered in a graduate or post-baccalaureate professional degree program at the University and employed in a position covered under this employee group. Graduate assistants may be engaged in teaching, research, or administrative functions of the University under the direct supervision of faculty, academic professionals, or administrators.	um_jobcode_group= 'GA '
undergraduate students	No	Undergraduate student employees are those individuals registered for classes who hold employment in non-academic student positions and undergraduate teaching and research assistant positions.	um_jobcode_group= 'ST'

<sup>1</sup>Integrated Postsecondary Education Data System

<sup>2</sup>Equal Opportunity and Affirmation Action

Note: Many of the definitions come from the University of Minnesota Board of Regents Policy on Employee Group Definitions, Adopted December 9, 2005.

**Appendix B UNIVERSITY OF MINNESOTA FACULTY GROUPS**

**August 2007**

<b>FACULTY GROUPS</b>	<b>INCLUDED IN EXTERNAL REPORTING?</b>	<b>DEFINITION</b>	<b>DATA WAREHOUSE CRITERIA</b>
regular faculty	Yes	This includes faculty who have tenure or are on tenure track and are engaged in teaching, research, and service. This does NOT include employees with tenure or on tenure track with administration appointments such as Deans and Department Heads. Include the following job titles: Assistant Professor, Associate Professor, Instructor, Professor, Regents Professor	um_jobcode_group= 'FA' and empgrp1='REGULAR FACULTY'  tenure_flag='Y' (tenured)  tenure_track_flag='Y' and tenure_flag='N' (tenure track)
term faculty	Yes	This includes Instructors, Assistant Professors, Associate Professors and Professors who are hired into single or multiple year appointments. A term appointment is date-specific and the appointment terminates at the end of a period. The term faculty category includes contract, temporary, and visiting faculty. Term faculty are engaged in at least one function of teaching, research, or service.	um_jobcode_group= 'FA' and empgrp1='TERM FACULTY'
contract faculty	Yes	These individuals are additional faculty members who are hired on an A (12 month) or B (9 month) annual renewable or multiple-year contract. These positions may continue on a long-term basis.	empgrp2 like 'CONTRACT%'
temporary faculty	Yes	These individuals are hired to address temporary short-term situations and normally are appointed for no more than one year.	empgrp2= 'TEMPORARY'
visiting faculty	Yes	Visiting faculty are individuals who have a regular faculty appointment at another university or a similar status in a research institution or in government service.	um_appt_type_cd ='V' or or empgrp2= 'VISITING'
adjunct faculty	Yes	Employee already holds a regular tenured or tenure-track faculty appointment or a contract or temporary term faculty appointment elsewhere in the University, and has been asked to provide additional service in another department or college OR employees who have a principal occupation in professional activities in the community or are retired from such occupation and who participate in teaching at the University only on a limited, part-time basis. This category can include clinical faculty.	empgrp1 = 'ADJUNCT FACULTY' or jobcode_descr like 'Adjunct%'
clinical faculty	Yes	The appointment is designated a Clinical appointment because the faculty member is a clinician in the community who gives service to the University part-time. This can include adjunct, term, or contract faculty.	jobcode like '%C%'
graduate faculty	No, unless defined as faculty (see University of Minnesota Employee Groups)	A Graduate School appointment implies membership in the graduate faculty and carries with it a defined set of student-related responsibilities and, depending on the membership category, governance privileges related to the graduate program and Graduate School.	PS_DWGR_FACULTY. If a graduate faculty has no active employment record/job with the University, then a without salary job with jobcode='9996' (Grad School Committee Member) is created in the HR system.
instructional faculty	Yes	For external reporting of faculty counts and salaries (IPEDS <sup>1</sup> and AAUDE <sup>2</sup> ), the instructional faculty definition is used. This is the definition used for comparative analysis across institutions. It includes full-time faculty where the job function is primarily instruction and excludes faculty in the Medical areas. The function tied to the account(s) where faculty are paid determines if they are instructional faculty. If the majority of a faculty salary is paid from instructional monies, then they are categorized as instructional faculty. This includes non-tenure track faculty.	tot_percent_add = 1 and um_jobcode_group= 'FA' and area_class not in('TMED','DMED') and eap_job_function in('01','02')
represented faculty	Yes	This group includes the regular faculty who are represented by a union. Currently the regular faculty on the Duluth and Crookston campus are union represented. [ University's Education Association (UEA)]	union_cd ='12'

<sup>1</sup>Integrated Postsecondary Education Data System

<sup>2</sup>Association of American Universities Data Exchange

Note: Many of the definitions come from the University of Minnesota Board of Regents Policy on Employee Group Definitions, Adopted December 9, 2005.