

ACADEMIC HUMAN RESOURCES

**COMPREHENSIVE LONG-TERM PLAN
2000-2010**



UNIVERSITY OF CALIFORNIA SANTA CRUZ

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Executive Summary Academic Human Resources

The quality of faculty has the greatest long-term impact on the development and success of UCSC, its undergraduate and graduate programs, its research, and its impact on our state and nation. The mission of Academic Human Resources (AHR) is to help the campus recruit and retain the most qualified and diverse faculty possible. For Academic Human Resources, this means a need to recruit and retain an estimated 500 to 600 new faculty members during the next decade. At this time, preliminary state budget data indicates significant reductions in the allocations to UC in the 2001-02 and 2002-03 budgets. This data has influenced our long-range planning and makes us even more aware of the need to wisely assign resources to projects that will have a substantial campus impact and/or involve streamlining services and delivery systems to enable staff resources to be even more productive.

AHR has developed a fluid workforce able to respond to shifting priorities. Staff have been reassigned to faculty relations and the increasing workload for conflicts, grievances, and formal charges; where activity has dramatically increased during the last 5 years. We must also solidify AHR's succession plan, collaborating with academic divisions undergoing similar changes, to ensure that we maintain valuable historical campus knowledge as the number of faculty/staff reaching retirement age increases over the next several years.

Below, is a summary of some of the programmatic highlights of our plan for the next decade.

Academic Human Resources will emphasize a recruitment and retention program that develops partnerships and programs, some of which are already becoming systemwide "best practices," to achieve the following goals:

- Partner with Equal Opportunity/Affirmative Action (EEO/AA) and academic departments to develop the **Faculty Outreach Program** to effectively increase the diversity of our applicant pools
- Collaborate with EEO/AA to launch the **Diversity Awards Recognition Program** to increase campus awareness about diversity in teaching, research, hiring, and retention
- Assist faculty families to relocate and make a home in the Santa Cruz area and become happily rooted in the community through the **Faculty Relocation Assistance Program** (Faculty RAP)
- Effectively address the career needs of spouses and partners of faculty members through the **Dual Career Service**
- Lead the projects of the **Bay Area Higher Education Recruitment Consortium (HERC)** that increase the campus' visibility as an employer and will result in successful inter-institution collaborations including a widely used faculty recruitment web site
- Address the need to communicate the attractiveness of our benefits program to faculty by providing **more individualized assistance with benefits and financial planning** for ladder rank appointees
- Comply with **special merit equity reviews** recommended by the Academic Senate and President Atkinson

AHR will make human resources management systems and technology advances that streamline processes, free staff time, and support the training of AHR staff and users of services. We will achieve the following human resources management systems and technology goals:

- Expand the **Academic Division Database** to reach more users, monitor recruitment and retention activities, enable on-line applications, automate faculty bio-bibliographies, and introduced a curriculum-leave planning module
- Develop a technically savvy, continuously learning staff who handles the majority of our hardware, software, and web needs internally
- **Launch a successful computer-based training (CBT)** program to deliver training and information to, faculty, administrators, and support staff on topics that are what they need, when they need it
- Institute an **online document** system that frees valuable office space and has simplified document access and retrieval

AHR will provide faculty support services and leadership training programs that are a valuable resource for faculty, staff, and students in their career development. We will achieve the following faculty support services and leadership training goals:

- Partner with academic divisions and Academic Senate to develop a **department chair orientation program and a faculty leadership program series** for future department chair, dean, and senate leadership positions
- Collaborate with other campus units (Ombudsman, Title IX, SHR, and EEO/AA) to plan and implement a proactive **mediation program** to help address for conflicts, grievances, and formal charges
- Create more formal and informal opportunities for cross-department **faculty connections** through co-sponsored events, web-enabled media, and briefings
- Launch a **“floater” program** to send trained analysts or administrative specialists to divisions or departments with critical staffing needs due to increased staff turnover, or peak workloads during periods of significant growth
- Utilize **student interns** to expose students to human resources work and perform needed tasks within AHR

While we address the goals above, we must also continue our support of academic appointment and advancement reviews, compensation, and policy development and implementation. Planned campus growth and turnover will result in greater numbers of recruitments; more personnel reviews will occur as newly appointed ladder rank faculty advance, and faculty will identify new issues and needs that they want addressed. Policy changes will emerge in response to faculty needs and new legal requirements.

Academic Human Resources will continue to be a flexible support operation, able to act quickly and responsively, working with other campus units, leveraging our resources, and using technology to deliver information and improve communication. Academic Human Resources will play a key role in leading our campus through an unprecedented period of new faculty hiring. By investing strategically in faculty recruitment and retention initiatives, human resources management systems and technology, and faculty support services and leadership training we will achieve our overarching organizational mission: to help the campus recruit and retain the most qualified and diverse faculty possible.

Comprehensive Divisional Plan

MISSION

The mission of Academic Human Resources is to help the campus recruit and retain the most qualified and diverse faculty and academic appointees possible. AHR's primary responsibilities include recruitment and equal opportunity/affirmative action monitoring; the faculty review process; liaison with academic committees such as the Committee on Academic Personnel (CAP) and the Committee on Privilege and Tenure (P&T); policy development, implementation, and review; faculty development programs and workshops, department manager training; academic compensation; data and information management; labor relations, academic grievance/charges support, and consulting with academic administrators and faculty.

CURRENT ACTIVITIES

AHR has moved in the last decade from the traditional support areas of academic recruitment, review, and compensation processes to incorporate a wider repertoire of needed programs. Our highest priority is to maintain quality recruitment and academic personnel review processes as the cornerstones of our work, while offering other services in response to faculty-identified problems. We also look for ways to leverage our resources and develop solutions for problems while continuing efforts to improve efficiency and effectiveness by using technology and streamlining processes.

Our **recruitment** support includes annual process briefings for search committees; staff support to the Campus Provost/Executive Vice Chancellor and the deans, who are responsible for approving compliance with recruitment procedures; producing position announcements; staffing administrative searches; and EEO/AA monitoring, where our practices were held as the model for the UC system during the State Audit of faculty hiring practices. Our other major area of responsibility is overseeing the **faculty review process**, which includes advising on the process, reviewing files for conformance to policy, liaison with the Committee on Academic Personnel (CAP) and staff support for the confidential ad hoc committees. The process, which is mandated by UCOP, has benefited from several attempts at streamlining in the past, but remains quite complex requiring much consultation with department chairs and department managers. **Compensation** services include the range adjustment and academic salary scales, as well as academic additional compensation, with governing policies that have received much scrutiny in recent years from the legislature requiring additional interpretation, creativity, and approval processes.

The workload associated with **faculty grievances, complaints, and charges** is on the rise, and we have reallocated more staff time to academic employee relations to support the increased number of faculty and union grievances and charges. The majority of our work in this area is concentrated in providing staff support for academic committees, and analysis and research of complaints. We are also finding increasing opportunities to collaborate and communicate with academic divisions and administrators to proactively work toward resolution of faculty issues in the early stages of conflict so that potential problems do not escalate to the formal complaint stage. With more academic employees joining the ranks of the exclusively represented, AHR is also increasingly involved in **collective bargaining** issues, working with Labor Relations and divisions during negotiations, to interpret and implement new procedures, and to collect and provide data requested by various constituencies.

Additional contracts, new laws, and regulations mean additional complexity in **policy development and interpretation**. The growing complexity and conflicts among human resource laws have made this especially challenging, demanding more attention and expertise. In the last year we have worked on issues ranging from merit equity and fee waivers for faculty to conflict of commitment, the faculty code of conduct and administration of discipline. Approximately 40 policies were reviewed and/or implemented during 2000-2001. This work involves consultation and consensus building across our campus and the UC system.

We partnered with the academic divisions to develop the **Academic Division Data Base (“Div Data”)**, which automates and tracks the academic personnel review process, making it easier to analyze data concerning academic appointees. This database helps both divisions and central administration manage academic personnel processes in a more productive manner by reducing multiple shadow systems to one. Another measure of “Div Data’s” success is that UCSF has adopted it. To date, the database is available to academic divisions, EEO/AA, AHR, the Academic Senate Office, the Provost/EVC’s Office, and Planning and Budget resulting in a concomitant increase in information requests from many segments of the campus. “Div Data” provides one central repository for data on academic employees, from the time they first apply for a position until they separate from academic employment, and is supplemental to the UCOP Payroll/Personnel System (PPS). Relying heavily on the PPS universe in the data warehouse and “Div Data”, AHR is able to generate data reports and provide automated access to information so that academic divisions and other administrative offices no longer need to rely on shadow systems or manual records.

We recognize the growing need to orient and develop administrators, and continue to offer **workshops** on various topics for department chairs and we coordinate the **annual orientation for new faculty**, a daylong event followed by a family barbeque. Recent additions include the **Dual Career Service** added in 2000 to address the need for assistance with spousal/partner employment identified by the campus as a pressing need of new faculty. With the increased turnover of staff, we have reinstated annual workshops for department managers and we administer the **Faculty Development and Pretenure awards**.

We also provide staff support to the **Regents Lecturers and Professors program**, which brings distinguished men and women, ordinarily from nonacademic careers, to the university for an academic quarter or less. Regents' Professors and Lecturers are expected to live in the vicinity of the campus and be available for seminars, colloquia and informal consultation with students and faculty.

As the office of record for many academic personnel records, AHR has **records management** issues, attempting to contain the large volume of records, retrieve and dispose of records as necessary.

AHR sees itself in partnership with the divisions, departments, and central offices to meet the needs of the campus academic units relative to academic personnel issues. We enjoy strong relationships with the staff in the dean’s offices, the other UC campuses, and the Office of the President. Our office is part of a web that supports the faculty and academic mission of the campus.

NEW PROGRAMS

With the reorganization of the Human Resources Division and the shift of AHR reporting directly to the Office of the Provost and Executive Vice Chancellor, we are poised to reallocate resources to support the planned addition and retention of faculty which in turn supports the campus goals of increasing graduate programs and enrollments, improving undergraduate education, and creating new interdisciplinary and innovative programs. New programs in development are in three broad areas: **recruitment and retention**, and **human resources management systems (HRMS) and technology**, and **faculty support services and leadership training**.

Recruitment and retention of faculty is a campus priority, and attracting quality faculty will require significant outreach efforts, often drawing new candidates from diverse locations and backgrounds. Existing services, although beneficial, may no longer be sufficient to accommodate the needs of a growing and increasingly multi-cultural group. With the planned addition of approximately 300 new permanent faculty positions and the likely turnover of another 250 positions, AHR must manage increasing workload related to recruitment and the academic personnel review process while offering more support services responsive to needs identified by faculty and to set UCSC apart from other universities with which we compete. At the same time the immediate budget picture looks dismal. How can we be responsive?

We have made it through lean times in the past and have been able to continue providing high quality services. We can do it again. We can respond with creativity, innovation, best-practices, thinking "outside of the box," initiating collaborations, listening to our users as we develop and improve programs, sharing resources, eliminating administrative redundancies, maintaining a flexible staff with multiple competencies, questioning how we do business, and constantly evaluating results. We will continue our past success in automating and streamlining current processes, which allow existing resources to be reassigned enabling us to add new services.

New faculty report the need to understand UCSC and for UCSC to understand their adjustment issues. More personalized "help" services are needed for new faculty hires to answer their questions about campus programs and resources, and to help faculty "tame the bureaucracy" at UCSC so that they may concentrate on their research and teaching. We must create a campus climate that promotes inclusion and respect for all.

The following new program descriptions outline planned activities and programs for the next decade; the subsequent implementation timeline and funding worksheets define when AHR plans to initiate each program and anticipated program costs.

RECRUITMENT AND RETENTION

Review of Recruitment Process

With anticipated increases in new faculty and estimated turnover in the next 10 years, AHR plans to devote resources to **review current practices** and identify changes that can result in savings of resources or expediting the process. A task force with divisional representation will begin this work in January 2002 and issue preliminary findings by June 2002. From the findings, projects will be prioritized for attention or referral to other offices. While our recruitment process has been held as a model by the State Auditors, there is always room for improvement. The review will require contributions of both AHR and division staff time and costs to implement streamlining measures might be identified during the review. Our goal is to identify changes that will decrease workload or expenses while attracting quality candidates.

Outreach and Diversity

Additional enhancements to outreach efforts are needed to attract both permanent and temporary highly qualified and diverse faculty. AHR will partner with the Equal Employment Opportunity /Affirmative Action (EEO/AA) to **improve faculty outreach**. We anticipate using base budget resources to support these efforts. We have already begun to assess the effectiveness of our current outreach, particularly advertising practices, where we recently decided to modify our faculty recruitment bulletin. Producing and mailing the faculty bulletin costs approximately \$5,000 annually plus staff time to prepare and distribute. This year we are piloting a streamlined announcement referring potential candidates to the faculty employment web site or to campus contact numbers that candidates can call if they do not have access to the web. Cost savings from streamlining the bulletin will be diverted to support more effective outreach programs. We also plan to redesign and better coordinate print materials used for outreach and have requested that UCOP produce benefit materials targeted to faculty candidates.

Working with the Senate Affirmative Action Committee and EEO/AA, we will **update the listings of possible sources for outreach** for each discipline. Some departments have expressed a need for help in researching minority publications, websites, and professional organizations that would be appropriate for their positions. Priority will be given to departments that will be recruiting and are not representative of availability in their disciplines. This will be a multi-year project spanning a 10-year period and we need to involve faculty in determining how to reach the best candidates in their fields.

As the economy expanded in the 1990's applicant pools for temporary academic positions began to dry up. While ladder rank applicant pools have remained constant, Divisions report a decreased number of applicants for lecturer positions and are looking for low-cost ways to advertise positions. During 2001 we have a pilot

project underway posting academic (and staff) openings on the **higheredjobs.com website**. AHR, SHR, and EEO/AA provided funding for a one-year trial to see if using the site will increase applicants and we will evaluate the pilot to determine whether continued use of the website is advisable. AHR will also investigate increased local advertising of temporary lecturer positions in local media. The Higher Education Recruitment Consortium website discussed below may be another aid and using joint advertisements in bay area newspapers may be another cost effective way to get the word out to qualified applicants. As the economy shrinks, applicant pools may again expand, lessening the need for these efforts, however, effective outreach is one way of increasing the diversity of applicant pools.

AHR and EEO/AA have also partnered to revamp the **Diversity Funding Program**. For several years, the Campus Provost/EVC has offered supplemental outreach funding in an effort to garner stronger and more diverse applicant pools. This funding mainly went to advertise in publications targeted to underrepresented groups. While supplementing advertising is still allowable under the new program, we want to stress that such passive efforts have not resulted in much change in the diversity of applicant pools. To allow for more creative and long-term ways to diversify our candidate pools, the new program encourages broader uses of the funds. Departments are encouraged to collaborate on projects to maximize the funds and the exposure of applicants who may be suitable candidates in more than one discipline. The criterion is that the proposal must directly promote efforts that will help diversify the applicant pools for a particular ladder-rank search or that over time, will improve the likelihood of increasing applications from members of underutilized groups.

Examples include:

- Sponsoring colloquia that include women and minorities who may be viable applicants for UCSC faculty positions. Funds may be used for honoraria and travel
- Hosting visiting scholars whose work is tied to diversity or who may potentially apply for positions and enhance diversity at UCSC
- Developing curricula that deal with diversity issues
- Funding programs that encourage all students, including women and underrepresented minorities to apply to PhD programs and increase diversity in the academic pipeline
- Funding search committee members to attend conferences to recruit and interview candidates
- Supplementing recruitment costs including advertising and mailing
- Funding to increase start-up for top candidates who will contribute to diversity
- Funding faculty to attend conferences related to diversity such as the American Council on Education's (ACE) Diversity Conference

The Senate Committee on Affirmative Action will recommend proposals to the Campus Provost/EVC for funding. After the initial year of the program we will continue to evaluate and refine our efforts to help fund diversity efforts. AHR may reallocate carry forward funds to augment the Campus Provost/EVC allocation to this program if worthy proposals remain unfunded.

Also in cooperation with EEO/AA, AHR plans to begin a **Diversity Awards Recognition** program. The goals are to recognize faculty, staff, or community members for their contributions to increasing the diversity or awareness of diversity issues on our campus or in the community. There are many administrators, faculty and staff who are working diligently to increase diversity on campus and deserve recognition for their efforts. A recognition program can also help to communicate what is possible and spark additional efforts.

Award criteria could include: diversity in teaching or research (research incorporating diversity issues, teaching different paradigms, new curriculum areas involving diversity, involvement in programs that promote diversity, mentoring students or faculty); and diversity in employment (demonstrated record in hiring/retaining diverse faculty and staff; promotes and fosters a respectful, inclusive work environment; opposes unfair privilege, discrimination, and harassment; promotes intergroup relations; advances equal opportunity for all faculty and staff.) Before implementing an awards program we need to investigate best practices at other universities and institutions, think through the criteria appropriate at UCSC, develop ways to communicate the

program objectives, determine how to decide who will receive awards, develop a plan to celebrate the recipients, develop an evaluation tool, and secure funding.

Merit Equity Reviews and Monitoring

The Academic Senate has been engaged in an analysis of gender equity issues over several years and resolved to develop a merit equity process. President Atkinson has also requested that each campus develop and implement a “career review” process similar to that recently adopted by UC Riverside. The procedures for such reviews are currently under administrative and Academic Senate review with **special merit equity reviews** scheduled to begin in the spring of 2002. Depending on the outcome of the proposed procedures, equity reviews may be scheduled for 2002 and 2003. These reviews will be in addition to the normal academic personnel review cycle and require the allocation of a large amount of staff time. Before the reviews can even begin, the candidates will be allowed to ask for access to their review files, which involves either summarizing reviews prior to 1992 or redacting reviews. A regular monitoring process will require that AHR compile and analyze faculty salary data at periodic intervals and report the results to the Senate. Further actions may be necessary dependent on the final procedures that are adopted and the outcome of the periodic statistical analysis of salary data.

Dual Career Service (DCS) and Relocation Assistance Program (RAP)

UCSC offers a number of programs designed to facilitate orientation of new faculty to the campus and to assist them as they settle in the Santa Cruz community, but many of these programs are not coordinated efforts and often result in additional stress as the new faculty member is sent from location to location to establish themselves. And, in some instances, needed services may not be offered. Many of us have only to recall our own personal experience in coming to UCSC – starting a new job while trying to complete the myriad steps necessary to establish administrative services, such as parking, computer access and email, and simultaneously working independently or with other family members to find a residence. Housing is a major challenge in recruiting faculty as evidenced by a 2000 joint effort by the Office of the Executive Vice Chancellor and the Academic Senate Committee on Faculty Welfare to assess the challenges our campus will confront with faculty recruitment. In this review, the housing crisis in Santa Cruz was rated as “severe.”

While the campus works to develop additional faculty housing, AHR has begun a new pilot **Relocation Assistance Program (RAP)** to assist faculty and candidates with housing and relocation needs, similar to the Dual Career Services (DCS) assistance with spousal/partner employment needs. The goal of our pilot program is to foster collaboration and coordination of University services and development of new services that make the relocation process easier and enable faculty to focus more quickly on their teaching and research responsibilities. Relocation efforts will work in conjunction with DCS to help families create a home and find community in the Santa Cruz area. Relocation is house hunting, job seeking, and administrative formalities, but it is also a human experience that can become stressful and overwhelming in the absence of support and assistance. This program is intended to help unburden the candidate or new faculty member, their family and also the department or division staff of the issues associated with relocation. Connecting faculty and their families to the community will help cultivate a population that has deep roots in the Santa Cruz community and strong ties to UCSC. Future plans include extending services for faculty who must vacate on-campus housing, dependent on the success of the pilot program, which is funded by a 2001-02 allocation.

Bay Area Higher Education Recruitment Consortium

Academic Human Resources has shown exceptional leadership by developing the Bay Area Higher Education Recruitment Consortium (HERC). Over a dozen bay area higher educational institutions have joined together to support the efforts of each of our member institutions to recruit and retain outstanding faculty, administrators and staff through the sharing of information and resources. Increasingly, college and university professionals are part of dual career couples and the decision to accept a college or university position is often made based on the availability of employment for a spouse or partner. HERC is being coordinated by the Dual Career Service Coordinator, and in year one, the consortium has held regular networking meetings, developed a policy statement, and collected over \$35,000 in membership dues to

support the creation of a collaborative HERC web site that will make the staff and faculty positions of member institutions accessible in one place. The site is being geared toward dual career couples and will be a tremendous recruitment and retention resource.

Linking Faculty to UCSC

The high cost of living in our area and lagging salaries sets the stage for possible retention problems. New faculty report that a sense of community is one of the things that attracts them to UCSC and express a need to develop relationships with faculty outside their immediate disciplines. Academic Senate activities often provide a venue for such interaction later in their careers, but Assistant Professors tend to have minimal involvement in Senate activities. AHR can help to foster a sense of community through the proposed relocation assistance pilot program and also through the **New Faculty Welcome program (orientation)**. We will continue orientations for new ladder rank faculty and other academic appointees to deliver information on campus history, culture, programs, colleges, Academic Senate, services, student body, funding sources, narrative evaluations, and sponsored projects. This program also helps connect new faculty with other faculty outside their department. In partnership with the divisions we can develop ways to use websites and other media to provide information for new tenure track faculty as well as other academic appointees who may have UCSC careers just as long as tenure track faculty. Offering additional **events and activities for faculty during their first year on campus** will foster personal ties and connections to enhance the sense of community. AHR will rely on feedback from recent new faculty and our strong relationships with the division and Academic Senate Office to identify, market, and offer activities responsive to faculty needs. There may be opportunities to offer events in conjunction with the Center for Teaching Excellence, Graduate Division, or the Colleges. We plan to use current resources to cover program costs, but dependent on the number of new programs and events offered, we anticipate that additional one-time funds may be required by 2005.

Personalized Help Services

The excellent benefits package offered by the University of California has not been adequately communicated to candidates and new faculty. While they receive numerous brochures and literature explaining the programs, faculty report that information is aimed at staff and do not readily apply to their situations. AHR could develop **more individualized assistance with benefits and financial planning** for ladder rank appointees, providing benefit interpretation and financial planning services that convey our excellent benefits sufficiently so they are understood and utilized by faculty. All of the UC campuses have urged the Office of the President HR/Benefits unit to tailor some communications to the faculty audience, and they need help from those experienced in academic personnel to produce such communications. During 2001 AHR has provided a financial planning seminar at the request of the Humanities Division. These services could be expanded in cooperation with the UCSC Benefits Office. Current benefits and financial sessions are being funded through internal resources and AHR would collaborate with the Office of the President HR/Benefits to modify brochures.

HUMAN RESOURCE MANAGEMENT SYSTEMS (HRMS) AND TECHNOLOGY

New Business Architecture

As described in the *UC 2010: A New Business Architecture for the University of California*, UC management proposes broad strategies that will enable the University to continue to deliver high quality administrative services and support in an environment of rapid growth in student enrollment. It envisions a more flexible, "scalable" business model, designed to deliver an integrated set of tools to the user's desktop.

- Seen through the eyes of our faculty and staff, a new business model must: Be flexible and scalable in order to accommodate significant workload growth and complexity without compromising quality and service
- Reduce department workload by:
 - simplifying policies and procedural requirements
 - automating repetitive tasks
 - increasing the "intelligence" designed into systems
- Reduce the time it takes to perform work, particularly those functions that deliver key services to external and internal customers.
- Make it easier for staff to learn quickly what they need to know in order to excel in their jobs and to stay current in their areas of expertise.

AHR has used, and will continue to use, these criteria in developing processes, technical applications, and tools to support academic personnel processes.

Academic Division Database (“Div Data”)

With the anticipated downturn in state funding, resources for the UCOP HRMS project are not likely at this time. Instead, we must develop or expand campus systems that will provide automation tools to support and enable growth over the next ten years. Areas of planned development include the Academic Division Database and Data warehouse, as well as associated hardware and software upgrades to keep current with campus database technologies. As mentioned in the section on our current activities, “Div Data” was conceived in 1997-98 and provides appropriate central offices, the academic divisions, Planning and Budget, the Office of the EVC/Provost, and the Academic Senate Office with access to information concerning academic appointees (excluding students).

Using existing and 2001-2002 one-time allocations and in partnership with the users, AHR proposes to expand the academic division database to include the following modules:

- **Recruitment management** module to automate the monitoring and reporting requirements - The first phase of this module is in place this year and primarily addresses the needs of central offices and provides one central repository of information on academic recruitments, waivers of recruitment and exemptions from recruitment. **Phase II** would address the needs of academic departments, streamlining and automating processes at that level, including the on-line application module discussed below. The challenge will be to carve out the resources to support a much larger user base, and to persuade the faculty to agree on processes that are standard enough to be realistically supported, as limited resources will not allow customization for each department.
- **On-line applications** - Ideally, this project would allow applicants interested in academic positions to fill out an application and upload information via the web, which would be submitted to a central applicant tracking database, such as would be developed in phase two of the recruitment management module described above. This would save academic departments doing the data entry of the applicant information, as well as allow departments to respond more quickly to applicants, and easily share applicant information among search committee members.
- **Expansion to department users** - Ideally, academic department managers should have access to the existing modules of the database. Currently, some divisions have shadow systems populated by extracts from the “Div Data” that they make available to their department managers while other divisions provide needed information via hard-copy printouts of reports from “Div Data.” Providing these departments with access to “Div Data” would reduce duplicative efforts and provide more timely information, but require increased security, training and user support, and more complex access requirements to maintain.

- **Automate Faculty Bio-bibliographies** - This project would be intended to reduce data entry efforts in the faculty service centers, to provide a standard format for faculty bio-bibliographies across campus, and to make the information contained in the bio-bibliographies available in a database for reporting.
- **Curriculum-leave planning module** - Academic divisions have expressed interest in having a shared system for use in curriculum leave planning. Information on the current faculty is one component that is needed for such a system, and is already available in “Div Data.” There would be advantages to having the other components of a curriculum leave-planning database available centrally for analysis. The challenge will be developing a system, which is flexible enough to handle differences between academic divisions while still being standard enough to be realistically managed centrally.

“Div Data” has been supported by financial contributions from the users and a substantial reallocation of resources in AHR. The users have been very involved in prioritizing the areas to be addressed. So far, we have been quite successful in reaching agreement about the most pressing needs. It has also been a requirement that the system be flexible enough to accommodate differences in the ways that divisions are staffed and the different preferences of the academic administrators involved.

The implementation schedule will be determined, in part, based on securing a more robust platform using more web-based technologies. The AHR data base administrator has taken training in several middle-ware applications (e.g., LASSO) and has experimented with other tools that would support web-enabled services. At this time, there doesn’t appear to be a clear contender for “tool of choice.” Issues that may impact a choice include:

- The willingness of users to standardize their workstations (e.g., web browser, e-mail client)
- The willingness of users to standardize their processes (e.g., to agree on a standard format for acknowledgement letters in academic recruitments)
- The degree to which the information needs to be kept secure

A need for flexibility and easy customization would argue for a tool that is straightforward to use; the need for security argues for a more standardized and stable structure (or a large budget for specialized programming time). The underlying challenge is identifying how to pay for anticipated costs to expand, exchange, or modify the current system. Enhancing software is an issue facing many campus units, and it may be possible to collaborate and develop a comprehensive solution. Another option is to explore using other campus data tools, which would enable us to expand at a slower rate and may cost less. If the campus data warehouse project is made available to a broader group of people across the campus, faculty and staff could extract information to produce useful management reports – learning techniques to cull data and identifying the proper source of information needed to respond to various requests. INFOVISION can be used to easily distribute and update reports, making useful information more readily available to decision-makers.

The next steps for developing “Div Data” are not yet clearly defined, as we need to continue communications with campus technology groups and our user constituents to clarify and articulate user needs. For example, AHR acknowledges the need for department users to have access, but determining the type and frequency of this access will affect development decisions. If every department manager wanted continuous access every day, the system requirements would be quite different than those required in an environment where these same users only needed periodic access to data extracts. The budget overview (later in this document) identifies a “worst case scenario” where AHR would independently purchase, install, and maintain an Oracle web database, however, our goal is to continue collaborations to determine the most effective long-term solution.

Regardless of the development platform selected, the continued success of “Div Data” is dependent upon the ongoing development and support of data warehouse. Data warehouse provides two necessary components: 1) continued access to Payroll/Personnel System (PPS) data, and 2) the potential to share data across systems. By accessing PPS data via data warehouse, payroll records are not recreated within “Div Data.” Without this capability, the data entry and system requirements for “Div Data” would double and future

development of "Div Data" would be more likely to result in the Oracle web database being our only option. The benefits of providing linked access to various system records (e.g., PPS, FIS, student records) are self-evident.

We have recouped some of our investment by sharing modules with other UC campuses or exchanging modules as they are developed. However, we anticipate that staff resources will be required to participate in an evaluation and selection of the appropriate tool, and dependent on the tool selected, there will be moderate to significant costs for purchases of new hardware/software. User workstations in the academic divisions will need to meet certain hardware and software configuration standards.

Develop Tech Resources and Skills

We are already cognizant that AHR staff must continue to develop more technology skills and resources and we continue to look for additional technical skills in candidates with all staff recruitments. We emphasize this need to current staff and they have responded to the challenge by incorporating technical training into their professional development plans. We have also established relationships with local vendors who may be able to provide cost effective design of web pages and web-enabled databases to further our use of technology. Technology will continue to change quickly and we need to continue to reevaluate our needs and the best way to meet them.

Ongoing Technical Maintenance, Support, and Upgrades

The HR Division established the Human Resources Tech Fund in 1997 to manage computer hardware and software upgrades, maintenance, support, training, and other associated needs. Although the reorganization of the HR Division has split units into various divisions, each unit is continuing their contributions to the central HR Tech Fund, primarily, through internal reallocations, until similar support programs can be established within each division. AHR plans to continue using this or a similar model to meet our future computer needs. We hope to partner with other areas reporting to the Provost to develop and share technical expertise.

Web-based Training and Communication

We need to develop expertise in using **web-based training (WBT)** to deliver training and information briefings to support faculty, staff, and administrators. With the addition of the Silicon Valley Center, additional undergraduate enrollment, possible addition of a state-supported summer quarter, and increased enrollments at University Extension, faculty and staff are busier than ever. Using WBT offers a better way to deliver information and training on processes, policies, and how to handle situations. By providing training that can be accessed when the trainee is available rather than the trainer, staff and faculty can become productive more quickly. Also the training or briefing can be reviewed if necessary at the time of critical need so that it is "just in time" rather than forgotten by the time it is really needed, and the individual can select just the subjects wanted rather than having to sit through unnecessary information. While WBT cannot replace all face-to-face sessions, it can be a useful tool to leverage our training resources.

The Academic Human Resources web site is an important resource for multiple users that provides valuable information, resources, policy, and links. As part of our effort to simplify and automate HR processes and policies and satisfy our customers, we plan to identify our users needs, assess the usability of our site, and embark on a major web redesign effort. By developing these web-enabled tools, it will free staff time that can be rededicated to maximizing the services they to provide a growing number of faculty despite limited time and money.

AHR Online Document System

We plan to move faculty records to digital storage to free office space and investigate ways to use technology to further streamline academic personnel review processes. Several other UC campuses are in the process of adopting an online document system for academic personnel records. They have encountered many challenges during the process, and we plan to benefit from the knowledge they are gaining during their implementation of these systems. With space at a premium across the campus, such a system could mean

the elimination of duplicative paper records in departments, divisions, and AHR while providing an easier method of access and retrieval. Not all academic personnel records lend themselves to this technology. Faculty reviews often include videos, films, artwork, books and other creative efforts so storage needs will vary. In AHR we estimate that we could free space for one or two workstations if our records could be online. This would require additional technical support and security considerations that would need to be studied carefully before proceeding to be sure this is a cost effective solution.

FACULTY SUPPORT SERVICES AND LEADERSHIP TRAINING

Assisting Faculty Leaders

During the next ten years over 250 faculty are expected to retire or leave the campus. We need to be cognizant of the need for new faculty leaders, finding ways to help faculty acquire new leadership skills and experience. There is a growing need to orient and develop faculty administrators and leaders – both from the perspective of anticipated retirements and from campus changes in complexity resulting from growth in size, risk management, and variety of programs. Part of our efforts will be designed to make information about University policies and procedures more readily and easily available for administrators, and others will be to provide information to faculty about sound administrative practices.

Our current funding provides for three **annual department chair workshops and an orientation to the academic personnel process**. During 2001 AHR sponsored a workshop with the Academic Senate for Senate committee chairs on organization and time management. Every year department chairs express their frustration at the lack of orientation to their administrative duties. AHR wants to partner with the academic divisions to **develop a department chair orientation program and a faculty leadership program series** for future department chair, dean, and senate leadership positions. Department chair programs will focus on major campus processes and resources, and leadership training will include sessions on budgeting, planning, communication, conflict management, stress reduction, supervising staff, providing feedback to other faculty, team building, creating an effective department, principles of community, time management and effective meetings. Creation of an online department chair guide can provide “just-in-time” training and resources for department chairs.

Certificate Training Program for Academic Personnel Staff

Long-term plans include the development of a **certificate program** for staff responsible for handling academic personnel matters. Similar to required participation in system training prior to using an application such as the Financial Information System (FIS), a certificate AHR training program could ensure that staff assigned to academic personnel matters receive basic-level knowledge about a variety of personnel matters which might take years to learn in an on-the-job approach. This training can be developed incrementally by designing and implementing a course at a time and can be used in beginning the “floater” program described below. Completing the certificate program is considered a priority before 2005 when we anticipate potential retirements of AHR staff. Staff resources would be reallocated to cover training.

“Floater” Program

When departments have a large volume of work associated with recruitment or lose the staff member that handles academic personnel actions, AHR is often asked whether we have staff that can help out. At least one other UC campus has a pool of administrative staff that can be assigned to campus departments that may be experiencing a long-time absence of a staff member or an explosion of workload requiring additional staff. We propose to develop a **“floater” program** to send trained analysts or administrative specialists to divisions or departments with critical needs due to increased staff turnover, or peak workloads during periods of significant growth. Candidates for such positions might be newly retired staff, who want to continue working for short-term assignments, as well as recruiting people specifically for such positions. There are so few staff on campus who understand the complexities of the academic personnel processes that turnover creates long delays, errors, and possible liability for the campus. Having a cadre of trained people that the units can hire for short-term assignments could alleviate this problem. The people would be trained by AHR,

and classified at a level that reflects the variety and challenge of handling a specialized workload and being immediately productive in various environments. Initially, AHR will pursue start-up funds from a UCOP development program fund, which pays half of the costs for a maximum of 3 years, so continuation of the program would require a recharge process where units pay for these services.

Employee Relations

AHR has reallocated resources to provide additional staff support for complaints, grievances, and formal charges, where workload has dramatically increased during the last 5 years. One recent allegation took over 800 staff hours to complete. Initial efforts will be designed to accommodate the volume of activity and minimize the potential for campus liability. Our long-term goal is to develop a proactive **mediation program** in conjunction with other campus units (Ombudsman, Title IX, SHR, and EEO/AA). Such services have been instituted at UCSF and UCD and resulted in decreased use of formal grievance mechanisms. Mediation provides a voluntary and informal means for staff, administrators, faculty and students to reconcile differences. It is supplemental to the University's existing formal grievance and complaint procedures. It emphasizes open communication, active listening and creative problem solving and is facilitated by neutral and trained mediators. Mediation can occur early in the dispute and may bring about resolutions that are not possible in the formal processes. This can save resources by solving the problem early with "win-win" solutions, rather than long and costly legal battles. Program costs will be identified and assessed as part of the development process, relying on information garnered from other campuses that have already implemented a mediation service.

Unknown UCOP Initiatives

Our work often involves directives from UCOP to address systemwide needs or unanticipated legislation, which requires AHR to redirect resources. Sometimes these initiatives are based upon collaborative efforts, where our office has participated in analysis and discussions to assess long-term impact and identify the appropriate course of action, and some changes are in response to legislative or new regulatory mandates. The uncertain nature of these activities and the quick turnaround time often means that we delay other work to respond to UCOP requests. A recent example of this activity is the Bureau of State Audit on Faculty Hiring. Without more specific information about the exact nature of these new initiatives, AHR can do little more than acknowledge that these unknown events will occur, and then re-prioritize our workload with each new assignment. Generally, this activity is managed by reassigning existing resources and delaying other workload.

It is also unclear at this stage, if additional efforts will be needed to help our employees with the effects of the September 11, 2001 tragedy, or what new or enhanced program modifications may be required. Increased background checks, delays in immigration, and delayed stress may occur. Policy has already been adopted to provide increased pay for those called to military service, and other policy changes may be required for unforeseen situations.

Student Internships in Academic Human Resources

As more of our students seek to understand employment opportunities after graduation they often consider opportunities available to them at UCSC. AHR proposes a **student internship** to expose students to human resources work. Due to the confidential nature of some of our work, it will be important to carefully select the projects that would be appropriate to student interns. It may be possible to use students for statistical analyses of salary information, research on best practices at other institutions, policy research and development, web page development, support for the Dual Career and Relocation programs or Bay Area Higher Education Recruitment Consortium. This would be a "win" situation for the students in gaining experience and a "win" situation for AHR in finding resources for specific projects. This project is lower priority than the administrative floater position and will not start for several years as staff resources will need to be reallocated for supervision and training.

PRIORITIES

The highest priority in AHR will always be the recruitment of new faculty and the personnel review process for existing faculty. This is our core workload. Beyond this, what must AHR do, no matter what the budget climate?

The following table prioritizes the major categories of our current work as well as programs planned for the next decade. The items are grouped into priorities using A, B, and C. Those in group (A) must be done no matter what the budget climate is, even if it takes longer to complete individual items. Group (B) are those with a high likelihood of continuing or being added depending on resources available during the next decade. Group (C) is much more speculative and dependent on staffing and expertise or interest of AHR staff. Policy development, interpretation, and implementation may relate to any of our activities or services. Our work is dependent on the needs and desires of the faculty and administration, and unanticipated needs are also likely to arise or cause priorities to shift.

The second table on page 18 is a graphic representation of the implementation schedule.

PRIORITIES

Priority Level	<u>M A J O R P R O G R A M / A C T I V I T Y</u>		
A	Recruitment process review	"Div Data" <ul style="list-style-type: none"> ▪ Phase I Recruitment Module 	Employee Relations <ul style="list-style-type: none"> ▪ Charges, grievances, and complaints ▪ Collective bargaining proposals, implementation of contracts
A	Review process and ad hoc committees	Develop tech resources and skills	Faculty Development/Pre-tenure Awards Program
A	Outreach and Diversity <ul style="list-style-type: none"> ▪ Improve outreach ▪ Diversity Funding Program ▪ Diversity Awards Program 	Ongoing technical maintenance, support, upgrades	PPS Training
A	Merit Equity Review and Monitoring	Data information requests	Records Management
A	EEO/AA Monitoring and position announcements		
A	Compensation		
A	P o l i c y D e v e l o p m e n t , I n t e r p r e t a t i o n , a n d I m p l e m e n t a t i o n		
A	U n k n o w n U C O P I n i t i a t i v e s		
B	Dual Career Service (DCS) and Relocation Assistance Program (RAP)	"Div Data" <ul style="list-style-type: none"> ▪ Phase II Recruitment Module ▪ Online applications ▪ Department access ▪ Faculty Bio-bibs ▪ Expand system capabilities to accommodate growth 	Review process briefings (Asst Prof & Chairs) Department Chair workshops/briefings Department Chair Orientation Online Resource Guide Faculty Leadership Program Regents Lecturers and Professors
B	Bay Area Higher Education Recruitment Consortium (HERC)	Redesign web pages	AHR Policy and Procedure Certificate program for staff
B	Linking Faculty to UCSC <ul style="list-style-type: none"> ▪ New Faculty Orientation ▪ Other Faculty Events 	Web-based Training	"Floater" program
		Online document system	Mediation program
C	Personalized Help Services <ul style="list-style-type: none"> ▪ Benefits Sessions ▪ Financial Planning 	"Div Data" <ul style="list-style-type: none"> ▪ Curriculum and leave planning module 	Student internships

Bold = New or expanded programs

Priority Ranking = A, B, C with A being the highest ranking

IMPLEMENTATION TIMELINES FOR NEW OR EXPANDED PROGRAMS*

		PROGRAM	2000-2001	2001-2002	2002-2003	2003-2004	2004-2005	2005-2006	2006-2007	2007-2008	2008-2009	2009-2010
Recruitment and Retention		Recruitment Process Review										
		Diversity										
		Revamp Diversity Fund										
		Diversity Award										
		Outreach/Employer of Choice										
		Merit Equity Review:										
		Periodic Monitoring:										
		Faculty Relocation Assistance Program (RAP)										
		Higher Education Recruitment Consortium:										
		Partnership:										
	Web site:											
	Individualized Benefits Assistance /Financial Planning											
H Technolo		Recruitment Management Module Phase I										
		Recruitment Management Module Phase II										
		Expansion to Department Users										
		Online Applications										
		Automate Bio-bibliographies										
		Curriculum-Leave Planning Module										
		Web-based training and communication										
		Online Document System										
Other Services		Department Chair Orientation										
		Campus Mediation program										
		"Floater" Program										
		AHR Certificate Program										
		Student Internships										

- Planning
- Implementation
- Periodic Evaluation/Monitoring
- Ongoing Program (dependent upon results of evaluation period and budgetary constraints)

*The timeline assumes adequate resources can be allocated. With possible budget cuts unknown at this time, the timeline may have to be delayed.

ACCOUNTABILITY MEASURES

The mission of Academic Human Resources, to recruit and retain the most qualified and diverse faculty possible, drives the development of the accountability measures that will help determine the effectiveness of new or expanded programs, while also providing data to determine workload expectations as the campus grows. To determine if our continuing efforts to streamline processes or the introduction or expansion of a program are effective, we have developed these basic indicators:

Target Area for Improvement: Recruitment and retention of qualified and diverse faculty

AHR Strategies:

- Exploring alternative outreach methods
- Faculty Relocation Assistance Program, Dual Career Service
- Merit Equity Review process and monitoring
- Bay Area Higher Education Recruitment Consortium
- Continuous improvement and streamlining of recruitment processes
- New Faculty Welcome
- Individualized Benefits/Financial Planning Assistance

Target Outcome:

- Ladder-rank faculty turnover rate is maintained or decreases
- Percent of first choice hires remains constant or increases
- Cycle time for recruitment and review processes remains constant or decreases

Target Area for Improvement: Diversity of Faculty

AHR Strategy:

- Enhancement of the Diversity Funding Program
- Diversity Award Recognition Program
- Improve outreach

Target Outcome:

- Percent of women and minority applicants increases
- We will be able to monitor the diversity of pools through applicant data collection required in EEO/AA recruitment monitoring

Target Area for Improvement: Delivering high quality administrative services and support

AHR Strategy:

- Improve and expand use of "Div Data" and technology as tools to support academic personnel processes through:
 - Recruitment Management Module (phases I and II); Online Applications; Automate Bio-Bibliographies; Curriculum-Leave Planning Module; Computer and Web-based Training; Online Document System

Target Outcome:

- Reduce duplication and maintain or reduce cycle-time of work by making these tools available to a broader group of users; reduce workload through automation of repetitive tasks; provide "just in time" information to faculty, support staff and external customers
- Cycle-time for review files remains constant or decreases
- Cycle-time for ad hoc committees remains constant or decreases

Target Area for Improvement: The continuing education and skill development of the Academic Human Resources staff is essential to our continuous improvement in providing service to the campus community.

AHR Strategy:

Develop a technically savvy, continuously learning staff

Target Outcome:

All staff have appropriate professional development plans and complete the equivalent of one week annually of professional development per staff member

Campus Satisfaction:

Our unit provides a variety of services to a wide range of campus constituencies. In order to determine if our services are satisfying the needs of the campus--essentially to answer the question: "Are these programs adequately supporting our faculty and addressing issues facing the campus?" - we will continue to provide an opportunity for feedback from faculty, our audiences at training sessions, "Div Data" users, committee members, division and department colleagues, web site users, and campus administration through periodic satisfaction surveys. We have found this information useful in the past in order to revise presentations, expand options in "Div Data," or to provide new and expanded programs.

The periodic evaluation of these indicators will help to determine the effectiveness of these new and expanded programs. Trend data must be compiled over several years; an increase or decrease over one year will not allow for anomalies. For measures where data has not been collected historically, the first year of data collection will be used as a baseline for future measurement. Recognizing that there are numerous variables that contribute to these indicators, we cannot easily be sure our efforts are influencing these indicators, however, it is a place to begin.

FUNDING REQUIREMENTS

Current Budget Activity

Last year AHR received an infusion of budget resources from two major sources: budget allocations received as part of the 2000-01 campus budget process and through the reorganization of the former Human Resources Division. Permanent funds to support New Faculty Welcome, Department Chair Development, and the continuing development of the academic division database were allocated during the campus budget process, and, for the first time in 2000-2001, a portion of Human Resources Division workload funds were given to AHR. Workload funding was used for retention to establish permanent funding for employee salaries, which were being covered through carry forward and other one-time budget resources.

The reorganization of Human Resources resulted in the permanent transfer of one senior analyst and one administrative support staff, as well as a shared systems analyst split among all the HR units. The senior analyst was assigned to handle the increasing employee relations workload and budgetary matters, as the responsibility for administering the permanent budget for faculty pre-tenure and general development awards was also moved to AHR. The administrative support staff person was used to provide support for the Interim Assistant Vice Chancellor for Academic Human Resources so that other staff could devote additional time to recruitment and personnel review activities. The various HR units have worked out an arrangement to continue the HR Tech fund and share the systems analyst to continue the excellent computer workstation and support model that we've experienced for the past several years.

No permanent funds were allocated to AHR when the responsibility for the recruitment process was transferred to AHR in the early 1980's. Each year some of the costs were reimbursed by the Assistant Vice Chancellor for Faculty Relations, and with the reorganization of the HR Division, these funds were permanently transferred to AHR to cover the ongoing recruitment expenses. We were also fortunate to receive some one-time carry forward funds, which when added to AHR reserve funds, should provide base-level funding for **existing and new support services** planned for the next several years. Strong fiscal management practices may make it easier for AHR to initially absorb proposed budget cuts without

significantly impacting the quality of services, and each staff member is being asked to analyze and assess whether proposed expenditures are essential to our mission.

New Program Funding Needs

We anticipate using existing resources for our **recruitment process review**. **Enhancing outreach and diversity efforts** will rely on internal resources for years 1-5, and dependent upon programs developed, we anticipate that there may be a need for additional funding after year 5. The **Merit Equity Review Process** will require significant staff workload, possible stipends to compensate the faculty review committee for work during the summer, and funding for any faculty salary adjustments approved as a result of the reviews. Until the process is finalized, it is difficult to estimate these costs.

Using the Dual Career Service allocation given during the 1999-2000-budget process, we hired a part-time coordinator to oversee spousal/partner employment, and the employee has successfully secured external funding for the development of the **Bay Area Higher Education Recruitment Consortium (HERC)**. AHR is using some of the 2001-02 central one-time allocation to expand this program and pilot the **Relocation Assistance Program (RAP)**. Initial efforts are geared toward developing web-based information resources and linking various campus housing resources, and future staffing of the program may require an additional infusion of resources. Upon implementation of the initial project plan, we will evaluate the effectiveness of the program and assess the priority of continuing these efforts in relation to other needs.

Our most critical priority for the next 3-5 years is to focus on updating our recruitment process, enhancing our outreach/diversity efforts, and accommodating the anticipated increase in faculty. In order to do so, AHR needs to establish the proper organizational structure to support faculty growth, programs, and activities for the next decade. One need is to hire a **new Assistant Director for Recruitment** in 2002-03, creating a mid-level management tier to oversee the recruitment/retention activities and allow for succession planning. This position would replace a temporary Analyst that has been hired for each of the past two years. Using these resources will enable AHR to meet workload and implement new initiatives without reducing other programs. More importantly, creating this position now will ensure continuity of operation and retention of expert academic personnel knowledge, as 2 to 3 staff members plan to retire in the next 3 to 5 years.

We have been quite successful in reallocating staff and identifying streamlining measures to support new workload for the past several years, but the nature of academic personnel work will always include complex analysis and evaluation requiring the addition of new FTE at varying intervals in the campus growth cycle. If we are able to establish the Assistant Director for Recruitment, we do not anticipate the need to hire additional staff to accommodate increasing workload until years 5 and 10. The timing of this need is dependent on the pace and magnitude of the growth of the faculty. Continual analysis of our organizational structure, and workload measures will help us determine whether these preliminary assessments are accurate.

The biggest potential program cost is **the continuation, development and expansion of "Div Data"**, where significant resource needs may be required at year 5. Dependent on user needs and whether AHR can successfully piggyback on other applications, such as the data warehouse and INFOVISION to provide data, we may need to purchase an Oracle database and additional software. The cost information presented in Table I and II shows the "worst case scenario" – highest probable costs for "Div Data", however, AHR plans to work with users, other campus units and the Information Technology Committee to evaluate and select the most appropriate and cost-beneficial system tool. This issue is not unique to AHR, it is a campus issue and we will rely on the help and input from other campus units in developing a practical solution.

Regardless of the tool selected, AHR anticipates the need to **add a programmer/analyst** around 2005-06 to accommodate the development and ongoing maintenance of the academic division database and web-based tools. In addition, we will continue to reallocate additional staff time to support development currently underway and provide training for new database modules as they are implemented.

Program costs will also be incurred for web based training, web page development, and online storage. Our budget proposal only includes raw estimates of costs to establish **web-based training** and an **online document system**. With the continuing development of computer technology, the market is very dynamic; therefore, it is more appropriate to wait and outline detailed budget needs just prior to when these programs are launched. Expending significant effort at this point will only generate data that is obsolete.

Faculty workshops, expanded help services, new programs and events will be implemented in accordance with faculty preference and as resources are available. Existing resources provide for the **New Faculty Welcome (orientation), Department Chair Workshops**, and the **Regents' Lecturers and Professors and Faculty Development and Pre-tenure award programs**. AHR is also using current resources to pilot some initial **Financial Planning Sessions**. Expanded offerings of **personalized benefits and financial planning sessions** will require staff time, with the expectation that the UCOP/HR Benefits Office would assume responsibility for major changes in benefits brochures and marketing programs for faculty.

Working with academic divisions and the Academic Senate, AHR proposes a **Department Chair Orientation and online resource guide**, as well as a **Faculty Leadership Program Series**. Our plans include some small-scale efforts through year 5, relying on internal resources, and we anticipate the need for additional one-time monies to fund these programs after year 5.

The proposed "**Floater**" **Program** is based on securing UCOP Development funds in year five, to cover one-half of the costs, and requesting unit contributions from the academic divisions. Academic divisions' funding support is the best indicator of need for this program. Our proposal is to establish one position, and after year five, the program would be sustained through a recharge process, where units pay according to use, supplemented with some one-time AHR funds.

The **Mediation** program is slated for development in year ten and may require a significant resource contribution to start, depending on the model adopted. Although we recognize the benefits of establishing this proactive program, it is difficult to allocate resources as start-up funds, when our current budget climate requires that we address the most critical workload needs first. We have included some preliminary program development costs, and will update these estimated costs, using feedback from other campuses that have similar programs, prior to launching the development component of the project. The **certificate staff training program** can start small using existing resources, however, its full development will be dependent on the allocation of the additional staff already requested.

The student internship should not require additional resources other than reallocating staff time for training and development.

Table 1 shows our projected budget costs for the next 10 years, by major activity. Table 2 shows summary costs for the same period and the proposed funding sources.

TABLE I - Base Budget and New Program Costs

Primary Program/Activity	Base One-Time 2000/01	Base Permanent 2000/01	Year One One-Time 2001/02	Year One Permanent 2001/02	2005-06 One-Time	2005-06 Permanent	2010-11 One-Time	2010-11 Permanent
Staff (FTE - Salary and Benefits)								
<u>Recruitment & Retention</u>								
Recruit, Per. Rev., Policy, Compensation		\$317,038 ^c	\$23,927	\$273,575		\$327,651		\$403,010
NEW FTE (salary + benefits) ^{a,b}				\$84,058		\$74,674		\$74,674
RAP Increase DCS Analyst (.4 temp FTE) ^a			\$26,420		\$14,190	\$4,730	\$14,190	
<u>HRMS & Technology</u>								
Development, Support, & Maintenance		\$60,974		\$80,975		\$100,977		\$188,347
NEW Prgm Analyst (1 FTE + benefits) ^a						\$87,370		
<u>Other Services</u>								
Emp. Relations, Train., & Services		\$151,244		\$174,707		\$184,686		\$188,731
NEW Floater Position (1 FTE + benefits) ^a					\$54,250		\$54,250	
NonSalary Costs								
<u>Recruitment & Retention</u>								
Outreach & Diversity Prgms./Activities		\$24,593	\$21,432	\$24,593		\$24,593		\$24,593
Other New Faculty Programs			\$2,000		\$4,000		\$4,000	
Operating Budget (Supplies & Expense, Comp.)		\$11,596	\$6,500	\$14,696	\$13,000	\$20,896	\$6,500	\$23,996
New Faculty Welcome		\$3,000		\$3,000	\$6,000	\$3,000		\$3,000
DCS & RAP			\$40,000		\$20,000		\$20,000	
<u>HRMS & Technology</u>								
Div. Data Operating Funds		\$3,172		\$3,172		\$3,172		\$3,172
AHR Tech Fund Contributions			\$19,259		\$19,259		\$19,259	
"Div Data" Upgrade - Hardware/Software			\$15,000		\$50,000	\$150,000 ^e	\$5,000	\$165,000
"Div Data" - New Modules					\$20,000		\$20,000	
Web Enhancements & Web-based Training			\$5,000		\$7,500	\$4,000	\$5,000	\$5,000
Online Storage							\$100,000	\$25,000
<u>Other Services</u>								
Fac. Dev. Awards/Reg. Lect. & Prof Series		\$118,021	\$10,500	\$118,021		\$118,021		\$118,021
Review Process Briefings			\$750		\$1,000		\$1,000	
Dept. Chair Workshop, Orientation & Guide		\$4,500		\$4,500	\$7,500	\$4,500		\$12,000
Faculty Leadership Program					\$7,500			\$7,500
AHR Policy and Cert. Program for Staff					\$500			\$1,000
Floater (Operating Budget)					\$5,500		\$3,100	
Mediation Program							\$15,000	\$25,000
Total Estimated Costs	\$0	\$694,138	\$170,788	\$781,297	\$230,199	\$1,108,270	\$267,299	\$1,268,044
AHR Resources Available	\$176,934	\$694,138	\$367,088	\$694,138	\$0	\$781,297	\$0	\$1,108,270
Other Resources (UCOP, HERC, Other Unit)			\$35,000		\$113,940	\$0	\$126,540	\$25,000
NEW GROWTH FUNDING REQUESTED	(\$176,934) ^d	\$0	(\$231,300) ^d	\$87,159	\$116,259	\$326,973	\$140,759	\$134,774

^a - Salary (salary & benefits) based on 2001/02 salary scales.

^b - Salary for new positions reflected as new costs in initial year - added to permanent salary costs and budget resources in second year.

^c - Base Budget - Permanent does not reflect 80% of Programmer Analyst. This time is allocated to other HR units.

^d - One-time carryforward funding reported as deficit balance in base and year-one. Funds are available to cover one-time program costs, but will be depleted by year 3.

^e - Estimated cost using "worst case" scenario with AHR independently upgrading "Div Data" hardware/software. AHR is exploring other, more cost effective alternatives.

TABLE II - PROPOSED FUNDING SOURCES

Cost Category	Base	Base	Year One	Year One	2005-06	2005-06	2010-11	2010-11
	One-Time 2000/01	Permanent 2000/01	One-Time 2001/02	Permanent 2001/02	One-Time	Permanent	One-Time	Permanent
Total Estimated Costs	\$0	\$694,138	\$170,788	\$781,297	\$230,199	\$1,108,270	\$267,299	\$1,268,044
Total Divisional Resources	\$176,934	\$694,138	\$367,088	\$694,138	\$0	\$781,297	\$0	\$1,108,270
Support from other sources - HERC,			\$35,000		\$113,940		\$126,540	\$25,000
NEW Divisional Resources				\$87,159	\$116,259	\$326,973	\$140,759	\$134,774

SPACE REQUIREMENTS

The Assistant Director of Recruitment can be accommodated within existing space. Establishing new staff positions during years five and ten will require additional workspace. Using existing space to create contiguous space for all current staff to work within one area is critical to our work. Implementing digital storage may free office space currently used for record storage and provide one additional office. Lack of private space in which to handle confidential matters is a continual problem.

Until digital storage is a viable option, AHR workspace needs to be located in proximity to the Committee on Academic Personnel (CAP) and the Campus Provost/EVC's office, as personnel reviews and recruitments involve sharing voluminous records. Reviews also require ad hoc committees, consisting of three faculty members serving on each committee. Each member makes an average of three trips to our office to review information for each committee on which they serve. Thus, it is essential that committee members have easy access to our office and an area to review confidential materials and conduct the confidential committee meeting.

More detailed analysis of space needs will occur concurrent with plans for the library renovation when AHR will move or at least temporarily relocate during construction.

DIVISIONAL WORKLOAD EXPECTATIONS:

Data that is collected annually to track trends in workload are:

- Number of ladder-rank faculty
- Number of personnel review files
- Number of ad hoc committees
- Number of recruitments (ladder rank and non-ladder rank)
- Number of waivers of recruitment
- Number of policy reviews
- Number of data requests
- Number of Div Data users
- Number of grievances/charges/complaints
- Number of workshops/training sessions presented
- Number of Dual Career/Relocation Service clients served

With the recent transition of administrative HR Division staff to AHR, our current staffing includes:

- 1.00 FTE Interim Assistant Vice Chancellor for Academic Human Resources
- 1.00 FTE Associate Director, Policy and Training
- 1.00 FTE Principal Analyst, Information Management
- 2.84 FTE Senior Analysts
 - .60 FTE Coordinator, Dual Career Service, HERC, and Faculty Relocation Assistance
- 1.00 FTE Administrative Specialist (temporarily reclassified to Analyst)
- 1.00 FTE Administrative Assistant III (on loan to Student Affairs Division)
 - .80 FTE Administrative Assistant II, ad hoc committee coordinator
- 1.00 FTE Systems Analyst (approximately .20 devoted to AHR, Title IX and EEO/AA)

Total staff FTE is 10.24 including the Systems Analyst, who is a shared resource.

AHR has kept data on the ratio of faculty headcount and recruitment activities to number of staff since the 1980's. Even though the faculty has grown and there are more positions being recruited, we currently are

within the average historical faculty/staff ratio with the recent infusion of additional HR Division staff and our efforts to streamline, delegate, and automate processes. Some of our workload, e.g. policy reviews, requires the same resources no matter how large our faculty is. However, the increased workload associated with the anticipated faculty growth and the merit equity review process will eventually require additional staff resources or result in delay or elimination of services. In the short term we have been operating with one additional temporary analyst funded from past carry forward funds.

Recently the Assistant Vice Chancellors for Academic Personnel from the University of California, San Diego (UCSD), Riverside (UCR), Davis (UCD), Irvine (UCI), Santa Barbara (UCSB) and Santa Cruz (UCSC) met to compare organizational structures and strategize about how to meet the growth of the next decade. Campuses that have already experienced large growth recognized that creating a mid-level management tier within AHR was essential for succession planning, and to oversee the various aspects of academic personnel: recruitment, policy development, review process, training, compensation, employee relations and grievance support. UCSD, UCD and UCI have established this structure.

AHR has a critical need to establish the proper organizational structure to meet campus needs, and begin the training and development necessary to prepare all of our staff for the future. With the emphasis on recruitment and retention for the next decade, a principal or senior analyst is needed to head those efforts. This position would mean we would no longer continue a temporary Analyst that has been hired in each of the past two years. Creating this position soon will ensure continuity of operation and retention of expert academic personnel knowledge, as two or three staff members plan to retire in the next three to five years.

AHR utilizes a matrix organizational structure with people specializing in some functions and often working across functions to handle the large volume of work. With a somewhat cyclical workload reflecting the academic calendar and review process, resources are shifted to the areas with the greatest need. AHR's strategy is to have enough cross training so the majority of items can be handled quickly and effectively, even during staff absences.

The work culture in AHR helps to manage our workload by constantly questioning why we are doing something. It is easy to get stuck in old habits and not think "outside the box," continuing only because "we have always done it that way". Continuously seeking ways to streamline processes along with the implementation of the academic division database has positioned us well for the next decade. We have offered more services with minimal increases in staffing in the last ten years.

The changing workload and needs of the university mean that staff must continually gain additional skills to meet new needs. Each staff member in AHR is required to propose an annual professional development plan. Our investment in staff training and professional development is reaping returns with staff keeping up to date on human resource and administrative trends, increasing the use of technology and automation to control staff costs, and increasing employee satisfaction leading to low turnover. A goal of at least one week per year devoted to professional development has been set; this is prorated for part-time staff members. Progress on the development plan is also part of staff evaluation. This professional development may include attendance at professional conferences, specific courses, opportunities to gain specific experience, professional reading and is reviewed annually with the supervisor. This emphasis on development has created a culture in AHR in which continually improving one's abilities and skills is expected and required.

We believe the addition of the Assistant Director in year two to oversee recruitment and retention, the addition of a Senior Analyst at year five and ten, and the addition of a systems programmer at year five or six reflects our staffing needs for the next decade. As we move to implement plans, and campus and division goals are established, we will re-evaluate to ensure our projections are accurate.

CONCLUSION

The campus will be growing to satisfy increased enrollments and expanding graduate and undergraduate education programs. AHR will help the campus to recruit and retain additional faculty members, as well as add additional services to support faculty needs. At the same time, preliminary indicators show significant budget cuts in the 2001-02 and 2002-03 budgets, making it essential that we wisely assign resources to projects that will have a substantial campus impact and/or involve streamlining services and delivery systems to free up staff resources. Our plan accomplishes both of these tasks providing strategies to meet existing and new workloads, and using our resources wisely to maintain and supplement programs and activities. Eliminating administrative redundancies, maintaining a flexible staff with multiple competencies, questioning how we do business, and incorporating evaluation results into future program development will ensure operational efficiencies. Using creativity, innovation, and best practices, and relying on departmental collaborations and user feedback will facilitate the development of effective new programs. The Academic Human Resources of the future will play a key role in leading our campus through an unprecedented period of new faculty hiring. By investing strategically in faculty recruitment and retention initiatives, human resources management systems and technology, and faculty support services and leadership training we will have achieved our overarching organizational mission: to help the campus recruit and retain the most qualified and diverse faculty possible.