

Academic Human Resources Annual Report 2001-02

Executive Summary

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.

The UCSC faculty currently consists of approximately 500 senate faculty and over 750 non-senate academics (excluding student academic titles). In order to assist a growing number of academic employees, AHR has developed a fluid workforce able to respond to shifting priorities. In 2001-02 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 five years. With projected retirements in three to four years, we are solidifying AHR's succession plan, collaborating with academic divisions undergoing similar changes, to ensure that we maintain valuable historical campus knowledge.

2001-02 AHR Highlights:

- UCSC continues to lead the UC system in **diversity** of faculty.
- AHR has begun a pilot program: the **Faculty Relocation Assistance Program** (Faculty RAP). In 01-02, the Faculty RAP coordinator has met with 30 candidates (actual number of contacts with clients is 100) to assist their families to relocate and make a home in the Santa Cruz area and become happily rooted in the community.
- **Dual Career Service** has served 58 clients (the actual number of client contacts is over 200) since its inception in January 2000. This program allows UCSC to effectively address the career needs of spouses and partners of faculty members.
- AHR established the **Bay Area Higher Education Recruitment Consortium (HERC)** in the Spring of 1999 to increase the campus' visibility as an employer and result in successful inter-institution collaborations including the development of a faculty recruitment web site. As of 01-02 HERC has grown to over 15 area public, private and community colleges from Merced to the east, Monterey to the south and Sonoma to the north.
- AHR has worked with the Academic Senate to develop and implement a **special merit equity review process**. The announcement of the application process was issued in April 2002 and reviews will occur during 2002-03 and 2003-04.
- The **Academic Division Database ("Div Data")** has been expanded to include more users to monitor recruitment and retention activities. Three academic divisions are taking part in this pilot program that includes added features to enable an email acknowledgement to applicants and web-based submission of affirmative action data forms by applicants.
- We are continuously developing our staff working towards a technically savvy, continuously learning staff that handles the majority of our hardware, software, and web needs internally.
- AHR is partnering with academic divisions and UNEX to develop a **department chair orientation program and a faculty leadership program series** for future department chair, dean, and senate leadership positions.
- Procedures revised to increase efficiency include **establishing a firm deadline** for candidates to turn in materials and simultaneously asking ad hoc committee nominees to serve. Actions with ad hoc committee review took longer and those without ad hoc committee review were completed more quickly than the year before.
- After a salary review by the Academic Senate, a **merit equity process** was implemented to examine possible inequities

Below is a detail report with data about AHR's role with Diversity, Recruitment and Retention, Advancement, Administrative Support, Complaint Resolution, Policy Review/Implementation, and Training and Development.

Diversity

2001-02 Faculty Statistics:

- UCSC's faculty was approximately one-third women (all ethnicities) and nearly one-quarter ethnic minorities (men and women combined.)
- UCSC was successful in recruiting 9 women at the Assistant Professor level and one female tenured appointment. Seven of the twenty-three appointments at the Assistant Professor level were members of ethnic minority groups; four did not identify an ethnicity.
- Eleven ladder rank faculty left UCSC, 1 woman and 2 were minorities (men and women combined): six retired, four resigned and one is deceased.
- Turnover rate in 2001-02 was 2.2%.
- The percentage of women faculty has increased from 33.6% in 2000-01 to 34.4% in 2001-02.
- The number of ethnic minority faculty increased from 105 in 2000-01 to 116 in 2001-02, but their percentage of Senate faculty remained constant at 23%.

The most recent EEO/AA report on the diversity of UCSC's faculty is available at:

<http://www2.ucsc.edu/eo-aa/ucsc-aa/facdiv.htm>

AHR has partnered with the Equal Employment Opportunity /Affirmative Action (EEO/AA) to enhance outreach efforts needed to attract both permanent and temporary highly qualified and diverse faculty and improve faculty outreach. In 2001-02, AHR assessed the effectiveness of outreach, particularly advertising practices, and modified the Academic Employment Opportunities Bulletin. Producing and mailing the faculty bulletin had cost approximately \$5,000 annually plus staff time to prepare and distribute. The pilot of 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 is currently underway. AHR has also redesigned and better-coordinated print materials used for outreach and requested that UCOP produce benefit materials targeted to faculty candidates.

2001-02 Recruitment Source Data:

The recruitment module in the Academic Division Database (DivData) provided data for searches from 01-02 including all ladder searches for which we had EEO/AA data cards returned, some of them were closed without appointment due to funding constraints. 1,280 applicants returned data cards that included information about the recruitment source. Some applicants referenced more than one source, so the report lists 1,384 responses.

Our EEO/AA data cards list the following recruitment sources:

- UCSC Bulletin
- Professional Organization
- Posted Announcement
- Chronicle of Higher Education
- Professional Journal/Bulletin
- UCSC Web Site
- HigherEdJobs.com
- Other (please specify)

Overall, sources ranked like this:

Ranking	Source(s)	Percent of total responses
1	"Professional Journal"	27%
2 - tie	"Professional Organization" and "Other"	18%
3	"Posted Announcement"	15%
4	"UCSC Web Site"	12%
5	"Chronicle of Higher Ed"	9%
6 - tie	"UCSC Bulletin" and "HigherEdJobs.com"	1%

- When applicants specified what "Other" meant, many "Other" sources are web sites of professional organizations. We are considering changing the category "Professional Journal/Bulletin" to "Professional Journal/ Website/Bulletin" for future data collection
- The rest of "Other" sources, when specified, were some kind of personal contact, or a journal that was, perhaps, more interdisciplinary and therefore not seen as "Professional".

Given the data, Professional Journal and Professional Organization are the most productive sources. "Posted Announcement" accounted for a high percentage, which supports the continued use of hard copy job announcements. Responses for "UCSC Web Site" may mean departmental web sites as well as our on-line bulletin. In either case, our web site is a fairly productive source. The low percentage for "UCSC Bulletin" supports recent move from mailing the full, hard copy bulletin to a streamlined version. Tremendous disciplinary differences were not distinguishable, except that Engineering applicants seem to go to the web more often than applicants in other disciplines.

2001-02 Diversity Fund Awards:

AHR and EEO/AA proposed creation of a program to support academic diversity efforts. The program encourages longer-term efforts to increase the "pipeline" as well as specific support for faculty recruitments. Approximately \$15, 500 was provided to fund the program. Proposals were received from fourteen departments. The Senate Committee on Affirmative Action reviewed the proposals and forwarded recommendations to the Campus Provost/Executive Vice Chancellor. Ten of the fourteen proposals were awarded funding for 2001-02.

A comprehensive summary of the awards, proposals and how of the award funding was used is available at: <http://www2.ucsc.edu/ahr/resources/pdf/01-02divawds.pdf>

Recruitment and Retention:

Senate Recruitments and Waivers:

This year information on recruitments was taken from the new recruitment module in Div Data. In counting recruitments for this report, we have looked at them in terms of workload. In that view, a bi-level search (one which bridges the untenured/tenured ranks) is counted as two recruitments, because it generates two distinct applicant pools and two sets of recruitment documentation. Of the 32 recruitments counted for 2001-02, 8 were bi-level. Engineering searches were difficult to categorize this year. The School did several bi-level searches, as well as several pools that covered multiple provisions. Again, these recruitments have been counted based on the number of distinct pools created in the recruitment module.

Year	Total Number of Recruitments	Arts 4 recruitments	Engineering 9 recruitments	Humanities 5 recruitments	Natural Sciences 5 recruitments	Social Sciences 9 recruitments
2001-02	32	4 filled	4 filled (6 hires) 5 closed w/o appointment	2 filled 3 closed w/o appointment	2 filled 3 closed w/o appointment *	3 filled (4 hires) 6 closed w/o appointment

* search closed due to budgetary constraints

Non-Senate Recruitments and Waivers:

Year	Number of Temporary Searches	Number of Waivers	Number of Exemptions
2001-02	62 (21 were ongoing pool searches)	196	42

Recruitment Survey:

Starting in 2001-02, the Academic Human Resources Office (AHR) conducted our first annual recruitment survey. The intent is to continue to track our success rate in hiring our top choice candidates, as well as to track the factors involved in a person's decision to accept an offer from UCSC.

In a 1999-2000 recruitment survey, the Senate Committee on Faculty Welfare identified that 59% of all offers were accepted during a three-year period from 1997-98 through 1999-2000. By comparison, the 2001-02 survey showed that 62% of all offers were accepted during the 2000-01 recruitment cycle. A summary appears below:

Recruitment Cycle Year(s)	Total Number of Recruitments	Total Number of Offers Made	First Choice Candidates Accepting	Second/Third Choice Candidates Accepting	First Choice Candidates Declining/Withdrawing	Second/Third Choice Candidates Declining/Withdrawing	Searches Closed Without Hire
1996-97 through 1999-00	25	35	16 (48%)	3 (8%)	9 (26%)	4 (11%)	6 (24%)
2000-01	44	59	32 (54%)	5 (8%)	16 (27%)	6 (13%)	9 (20%)

Leading Factors in Decision for First Choice Candidates Accepting Offer:

- Academic excellence of our programs
- Salary/Start-Up/Research Support
- Teaching load
- Timing of Offer
- Housing related factors

Leading Factors in Decision for First Choice Candidates Declining Offer:

- Salary/Start-Up/Research Support
- Housing related factors
- Location Community
- Academic excellence of our programs

It is difficult to determine the impact of the housing market on our recruitment efforts from the information received. The survey currently being conducted under the auspices of the Housing Office may provide better insight into this issue. In order to respond to spousal employment and relocation needs identified in the past by candidates for ladder rank appointments, UCSC launched the Dual Career Service and Faculty RAP.

The Dual Career Service provides assistance and support during the employment searches of the spouse or partner of candidates and appointees for ladder rank faculty and senior management positions. Since its inception in January 2000, the Dual Career Service has served 58 clients (spouses or partners of faculty members). Of those, over 60% have received career assistance on multiple occasions that have involved: job search planning, resume/C.V. consultation, arranging networking opportunities with area employers, referrals, and interview practice. The number of actual contacts with clients is over 200. The Dual Career Service web site can be viewed at: <http://www2.ucsc.edu/ahr/dcs/>

In the fall of 2001, AHR launched the **Faculty Relocation Assistance Program (Faculty RAP)** to assist potential faculty by providing relocation resources and area information. Since its inception in January 2002, the coordinator has met with 30 candidates or appointees for faculty positions. All in-person meetings have been followed up with a minimum of one email or phone contact and the provision of additional relocation resources. The number of actual contacts with clients is closer to 100.

AHR established the **Bay Area Higher Education Recruitment Consortium (HERC)** in the spring of 1999. HERC is comprised of over 15 area campuses and is a collaborative response to the issue of spousal/partner employment. Its purpose is to share employment opportunities and create an employment network for campuses, candidates and spouses/partners. Members of the consortium include public, private, and community colleges drawing from the area bounded by Merced to the east, Monterey to the south, and Sonoma to the north.

Advancement Data

Senate Actions by Year:

Numbers of Senate files: Files are counted in the year the decision is made. The decision year is defined as 8/1/xxxx through 7/31/xxxx. A file is counted as a holdover if the decision was made after the effective date.

Year decision made	Number of Senate files	EVC Authority	EVC Authority Holdovers	Appointment Reviews (Dean and EVC)
2000-01	207	107	31	60
2001-02	227	132	41	37

37 2001-02 actions are not yet completed as of 10/2002.

7 Merit Equity Requests; all approved by the screening committee to go forward with review in 2002-03.

Reviews with Ad Hoc Committee:

The ad hoc review generally adds about 3 months to the review process. At CAP's request, AHR tried a new process to secure ad hoc committees beginning in January of this year. Rather than calling prospective committee members one by one to get their agreement to serve, we began e-mailing all faculty on the slate and forming the ad hoc committee from the first faculty to respond positively. So far, this new procedure does not appear to have had much effect on the time required to complete an ad hoc review. In general, the greatest delay in the ad hoc review process is the time it takes for the faculty to find a time when they can all meet.

CAP can act as its own ad hoc except in cases of promotion to tenure. CAP acted as its own ad hoc in 7 cases decided in 2001-02.

2001-02 AD HOCS (37 ad hoc review committees):

	Time to Secure Ad Hoc	Time to Ad Hoc Meeting	Total Ad Hoc Time
Median Days	7	25	35
Average days	11	29	38
Minimum days	4	10	12
Maximum days	34	62	75

EVC/Chancellor Authority Actions with Ad Hoc:

	Days in Dept	Days in Div	Days in Ad Hoc	Days CAP to AHR	Days AHR to Admin	Days Admin to Decision	Total Days	Change Total Days From Last Yr
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2001-02 Number of files: 45, Number of records: 52

Median	144	21	77	17	3	10	308	33
Average	146	37	107	31	4	14	332	-8
Max	258	211	269	127	27	47	657	-109
Min	0	0	29	0	0	0	110	-47
No. of Files	48	51	43	50	50	51	43	

2000-01 Number of files: 38, Number of records: 40

Median	150	23	63.5	14	4	10	275	-53
Average	163	32	88	21	6	24	340	-46
Max	479	112	251	131	24	366	766	20
Min	15	0	8	0	0	1	157	22
No. of Files	40	40	38	39	39	39	38	

EVC/Chancellor Authority Actions without Ad Hoc:

Days in Dept	Days in Div	Days AHR to CAP	Days CAP to AHR	Days AHR to Admin	Days Admin to Decision	Total Days	Change Total Days From Previous Year
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2001-02 Number of files: 72, Number of records: 77

Median	125	33	2	15	4	8	227	-51
Average	131	57	7	17	8	15	247	-31
Max	438	359	160	76	162	82	574	77
Min	1	1	0	4	0	0	24	-3
Count	75	73	65	67	71	72	71	

2000-01 Number of files: 56, Number of records: 68

Median	105	41	4	16	3	7	278	39
Average	122	58	4	22	10	19	278	4
Max	372	223	21	175	85	127	497	-455
Min	0	0	0	0	0	0	27	-27
Count	62	65	66	65	64	64	54	-6

On average it takes approximately an extra month to complete an EVC authority review without ad hoc, as compared to a dean authority review. At the department level, EVC authority files seem to move somewhat more quickly, possibly because departments focus on completing them first. At the division level, EVC authority files take on average an extra two weeks. This may be due to the time required for the dean to write a letter of recommendation for EVC authority files. The data shows that Dean authority files tend to move more quickly from CAP to final decision than do EVC authority files. Though the number of files without ad hoc review increased from 2000-01 to 2001-02, the number of days overall to complete the review of these files has decreased from the previous year. This may be attributed to the streamlining and automating efforts of AHR and to the addition of two analysts which, when combined, have allowed AHR to process more files in less time.

Administrative Services and Support

Academic Division Data Base ("Div Data"):

In 1997-98 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.

In 2001-02, AHR received seventy-two information requests that required ad hoc report generation; monthly separation reports were provided to CATS, PPS, FIS, TAPS and the Library. There are currently thirty-five different user profiles to meet the security needs of fifty-two users. Some improvements in the last year for "Div Data" include the implementation of the Recruitment Module, piloting departmental access, upgrading to Filemaker 5 and Filemaker Server 5.

AHR Website:

The AHR website was redesigned in 2001-02 in order to provide information, resources, policy and links in a more user-friendly format.

Complaint Data

AHR staffed the Committee on Charges which received 5 formal complaints in 2001-02, and one request for a special review. The review was completed in February 2002, and the formal complaints have carried over into 2002-03

There have been 4 cases in which the Committee on Privilege and Tenure has worked with the Administration for resolution. One of these cases was settled; two cases are pending.

In addition, there is an on-going settlement stemming from a Privilege and Tenure case, which started last year and involves quarterly monitoring reports of a faculty member.

Policy Review/Implementation

Last year's work involved directives from UCOP to address system wide needs or unanticipated legislation and campus initiatives for policy revisions or implementations. Some of these initiatives are based on collaborative efforts, where AHR staff member have participated in the 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 following listing of policy and procedure review or implementation during 2001-02:

AHR 01-02 Management of Policies and Procedures:

Campus Initiatives
Sharp Policy Committee – support and policy drafting Campus dossier deadline submission Overlapping Steps and Off/scale salaries
Merit Equity review policy and procedures
College Provost policy and procedures
Intercampus Recruiting Guidelines – Campus Guidelines
CAPPM Research Professor revised
CAPPM update of delegation of authority chart
Department chair compensation
Intercampus recruiting guidelines
UCOP Initiatives
APM 025 – Conflict of Commitment; campus implementation; enterable reporting forms on line
APM 015 & 016—Code of Conduct; campus implementation
APM 137, 140, 145, 150; formal campus review, UCOP taskforce
APM 375 – Academic Coordinators; employee transition to new policy
APM 278 – Clinical Professor; campus review
APM 340 – Continuing Education Specialist, informal campus review
APM 740 – Sabbatical Leave; University-wide review and comment
Military Leave Supplemental pay review, informal reviews
Revise checklist to assure fairness
University-wide review of by-agreement guidelines/1000 hour issue

Development and Training

There is a growing need to orient and develop faculty administrators and leaders and division and department staff—both from the perspective of anticipated retirements and from campus changes in complexity resulting from growth in size, risk management, and a variety of programs. Development and training are essential to make information about University policies and procedures more readily and easily available for administrators and staff in order to, in turn, provide information to faculty.

Training sessions provided by AHR in 2001-02:

- **Department Chair Workshops**
 - Fall 01-02 Graduate Education
 - Winter 01-02 UCSC Colleges
 - Spring 01-02 Understanding the University Budget
 - APM 025 – Conflict of Commitment and Outside Activities of Faculty Members
 - Review Process
- **Academic Senate Committee Chairs**
 - Getting Organized workshop
- **Assistant Professors**
 - May 2002 (2 sessions were held) –policies and procedures relating to the personnel review process
- **Recruitment**
 - Outreach, policies and procedures for Ladder Rank Recruitments- with search committee chairs by division
- **Department Personnel**
 - Personnel Procedures: by division
 - New academic personnel policy changes: by division
 - Personnel Procedures: campus-wide
- **Payroll Personnel System Training**
- **Div Data Training**
 - Recruitment Module
 - Department User Pilot
- **Personal Financial Planning**
 - Humanities Division faculty

Faculty Development Programs:

In 2001-02, academic divisions were allocated funds for Non-Tenured Faculty awards to be allocated during the 2002-03 year. The awards are divided into two award types: general and pre-tenure. The general award provides untenured ladder rank faculty (prior to their 18th quarter of service) with special opportunities for research, advanced or independent study, or assistance in increasing teaching effectiveness. The Pre-Tenure Award is intended to support junior faculty who are highly promising and can effectively utilize faculty development support. The award provides release time from regular duties for major concentration on scholarly and research activity. The award should be made prior to tenure review and early enough in the career for such assistance to have a positive impact (usually just prior to mid-career or just prior to tenure review).

The total allocation for general awards in 2001-02 was \$64,500 and \$36,321 for the pre-tenure awards. The allocation per division is made on the basis of the number of Assistant Professors in each division.

Other Programs:

- Regents Lecturers and Professors Program
- Panunzio Distinguished Emeriti Award
- Endowed Chairs

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, the current budget situation makes 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. AHR will be able to accomplish both of these tasks providing strategies to meet existing and new workloads, and using our resources wisely to maintain and supplement programs and activities. In 2001-02 we have been able to innovate in order to eliminate administrative redundancies, maintain a flexible staff with multiple competencies, question how we do business, and incorporate evaluation results into future program development to ensure operational efficiencies.