
Unit Name: Academic Personnel

1. **Academic Units:** Please provide a 1-2 page description of how your unit will fund growth plans identified in the Annual Academic Plan workbook through current or anticipated incremental revenue to your unit. Please provide specific fund source names and projections (in dollars). If these plans assume additional Provost Reinvestment Funds (supplement), please make that clear in this section.

Not Applicable

2. **Academic Units:** If you are recommending the creation of a new tuition category, please identify the original tuition category, the proposed category, a suggested tuition rate for FY14 and a percentage increase for FY15. If you plan to move only a subset of your programs into a new category, please identify those programs.

Not Applicable

3. **Administrative Units:** Please provide a 1-2 page overview of your current strategic plan and include a summary of any operational risks that the UW must work to mitigate over time. Note that there are very few Provost Reinvestment Funds, so your summary should provide a clear sense of how your unit intends to minimize risk, maximize service, and if necessary, repurpose existing funds to do so.

The Office of Academic Personnel (AP) serves as the institutional portal for academic personnel administration. In partnership with schools, colleges, and campuses, AP works to fulfill the University's mission, vision, and values by supporting the:

- Recruitment, appointment, on-boarding and reporting of the best, most diverse and innovative academic personnel from around the world;
- Retention, advancement, and career transitions of the University's world class academic personnel; and
- University's efforts to hold ourselves to the highest standards of ethics, integrity and compliance with institutional policy and regulatory obligations.

AP's 2011-13 strategic plan, CAREERS – Compliance, Appointments, Recruitment, Employment Transitions, External Communications, Reporting, and Sustainability, is designed to focus on initiatives that improve services by building an AP infrastructure that promotes efficiencies and effectiveness.

Since 2006, AP has seen a growth in the volume and complexity of its service base. There has been an 11.4% increase in the overall number of academic personnel (faculty, librarians, and academic staff) and a 12.2% increase in the core faculty (professors and lecturers). We anticipate that this rate of growth will accelerate in the coming 2013-15 biennium. Correlated to this growth is an exponential increase in specialized service needs such as support for complaints regarding inappropriate conduct, requests from units for assistance in managing employee relations and appointment concerns, and contract negotiations with English language extension lecturers. Meanwhile, the

complexity of the day-to-day work performed by AP has increased as a result of regulatory mandates in areas such as immigration and affirmative action. Unfortunately, this coincided with the prolonged period of diminished resources and some of the demand for increased central support appears to be the result of reduction in workforce experienced by appointing units. These factors created a compound effect on AP at a time when AP has experienced a significant reduction in its budget and a high level of turnover in personnel in some part due to our inability to compete with other internal and external markets.

Despite these challenges, we have remained committed to the delivery of high quality client services and progress in the fulfillment of efficiencies outlined in our strategic plan. Last year we reported on the progress of three of our 2011-13 strategic plan projects. Our efforts in these areas have continued with increasing success.

AP Successes:

The Academic HR Reappointment process improvement is leading to increased compliance with the reappointment policies outlined in the Faculty Code as well as improved accuracy in the recording of reappointment decisions in PRIME, the central repository of appointment actions. In addition, it continues to result in workload and operational efficiencies.

- 2010-11 – Total estimated annual savings - \$11,500 due to increased efficiency in data entry, supplies and photocopying, and filing.
- 2011-12 – Total additional estimated annual savings - \$20,000 due to improved data quality, business process and technical efficiencies.

Revisions to the International Scholars Visa Request process were implemented in February 2012. The efficiencies gained from this project are being realized by AHR as well as the individual sponsoring units. The efficiencies include a single point of entry with corresponding decrease in processing and approval times, increased communication, transparency and clarity for all users around roles and policy issues related to visa sponsorship, and increased adherence to applicable University policies and federal regulations.

- Of particular note is the reduction in the start-to-finish processing time for H visas by 9 days since implementation of the new process.

In addition to the initiatives included in AP's strategic plan, AP remains responsive to specific requests from academic and administrative units for assistance. For example, the Faculty Code was revised in 2011-12 to provide for the delegation of appointment and renewal decisions for affiliate, clinical, and part-time faculty. In 2012-13, efforts are ongoing to extend the timeframe for the award of tenure to associate professors and professors appointed "without tenure." Another example is AP's continued dedication of extensive efforts to the HR/Payroll Replacement Project.

Continuing Improvements:

AP has exemplified its commitment to minimizing risk and maximizing service by strategically repurposing existing funds and tangible resources. There are, however, some impending circumstances that will necessitate new investments in AP to sustain the successes as well as to continue improvements to services.

- **Information Management and Data Integrity:**

PRIME, Personnel Reporting and Information Management Engine, is a web-based application that facilitates the processes and operations of Academic Human Resources (AHR). PRIME was a technology solution developed by the Office of Academic Personnel to replace the historic “3x5 cards” that maintained academic personnel appointment information. There is data within PRIME that is not contained in any other systems at the University. For example, PRIME is the primary source and most accurate representation of information with regard to our academic personnel, including their primary appointment/affiliation within the University and the degrees that they hold. This data supports the Office of Planning and Budgeting and university-wide reporting needs, and will be the foundation for academic personnel data migration to the new HR/P system.

The addition of new functionality or changes to PRIME become necessary when there are changes to the University of Washington organization structure (e.g., addition of new Schools at the University of Washington, Bothell), Faculty Code, supported technologies, or federal and state laws. Given the dependency institution-wide on PRIME as a primary source of academic personnel data, there is a risk to not actively maintaining the application and data. There is currently one developer with a deep understanding of the PRIME code. To mitigate the risks associated with maintaining such an institutionally vital system with a single PRIME developer and to provide development support for new web projects, permanent funds to support a second developer is being requested.

- **Compliance and Risk Mitigation Projects:**

Compliance is a key focus of the federally regulated functions of the Office of Academic Personnel and maintaining compliance requires constant attention and resources.

- The Equal Opportunity and Affirmative Action Office oversees and manages the University’s affirmative action program; including the annual preparation of the federal affirmative action plan (AAP). In 2009, Academic Personnel transitioned to the use of third-party software (*Berkshire BALANCEapp Affirmative Action Software*) for the preparation of the annual affirmative action plan. This transition led to significant efficiencies, critical to the operation of an office with a single EOAA officer. The effect of moving from a manually produced AAP to a technical solution relieved the Director, enabling him to accomplish value added activities, such as collection of metrics and outreach to the UW community. However, starting in 2013, the software in use will no longer be available and after a thorough analysis, we have determined that a hosted solution by our current vendor is the best option for the immediate future.
- International Scholars Operations (ISO) supports academic units in bringing international scholars to our campus, and ISO facilitates and monitors immigration compliance according to federal laws. However, the complexity and ever changing regulatory environment places an increasing burden on AP resources to manage an increasing number of compliance requirements and audits. In the past two years, we have experienced an increase in site visits by federal agencies related to our international scholars program. In order to manage and be prepared for future audits, we are seeking to enhance public access to our H visa documentation through improved data organization and standardization of these files.

- **Service Enhancement and Web Development:**

Examples of new web projects envisioned by Academic Personnel that would be responsive to the needs of our clients include Promotions and Tenure Management, Faculty Reappointments, and migration of Word and Acrobat documents used by academic personnel and administrators to web-based processes. In addition to these web projects supporting our academic personnel, PRIME web reporting will allow departments, such as Planning and Budgeting or Office of Research, quicker access to academic personnel data used throughout the year. The overarching goals of these development efforts would be enhanced communication, improved workflow, and enhanced services to users.

4. **Academic and Administrative Units:** Considering your strategic plans (particularly if they assume growth) please provide a short summary (1-2 pages at most) that relates these plans to your current space assignment. In particular, you might consider the following questions when drafting your response:

- a) Does your current space inventory meet current programmatic requirements? Contrarily, does the type or quality of the space place any constraints on your ability to meet program requirements? If not, please provide specific quality or space type concerns (location, specific quality concern, etc.).
- b) Will your unit be able to accommodate your growth plans within existing inventory of space? If additional space will be necessary, please describe the amount, type, or quality of *additional* space you may need to meet programmatic objectives and growth plans.

During the 2011-13 biennium, Academic Personnel invested in the reconfiguration of its assigned space to optimize its functionality. The reconfiguration included the addition of modular spaces within pre-existing open spaces and an increase in the number of modular spaces in areas already arranged with modular units. With this reconfiguration, AP planned for additional work space needs that would be associated with a growth in permanent and/or temporary personnel. Therefore, the current space inventory for AP meets our current requirements and has the capacity to accommodate the space needs associated with the above requests for investment.

5. **Academic and Administrative Units:** Should the 2013 Legislature lift the ongoing salary freeze and allow increases, we certainly hope that state funding will be provided for GOF increases. In the event that state funding for compensation is not available, all units should have plans to cover GOF/DOF salary increases out of tuition or other fund sources. Should no tuition revenue be available to your unit, Provost Reinvestment Funds may be dispatched to provide support for increases. Please provide your units' plans to cover expenses associated with salary increases. A salary and tuition revenue model is available on the OPB website; this model is designed to give you a sense of the magnitude of the support that will be required at various percentage increases.

Academic Personnel's only non GOF/DOF funding source is the fee associated with processing international visas. The administrative fee is set to cover costs associated with supporting departments, schools, colleges and campuses with their international scholars' visa requirements. We conduct an annual fee analysis and adjust the fee in order to cover all known cost of any salary increase for personnel funded from this source of revenue.

For the past several years, AP experienced recruitment and retention challenges. With a legislative freeze on state compensation coupled with a recovering job market, AP is unable, at times, to compete with external market rates and non-UW organizations. Ironically, we also, on occasions, have to compete with internal UW units who are concurrently recruiting for the same set of talents and skills. Since our funding sources have been reduced by consecutive years of budget reductions, AP is limited in its ability to be flexible with competitive compensation.

Aside from our fee revenue, Provost Reinvestment Funds will be necessary to provide any increases to employees in Academic Personnel who are supported with GOF and/or DOF allocations.

To address our recruitment, retention, and professional growth and development challenges, AP is requesting a permanent salary allocation. This allocation would enrich our effort to attract, retain and support professional development of AP team members who provide essential services and are subject matter experts in their respective fields. A permanent allocation of 2% based on all budgeted staff positions in AP would help improve our recruitment and retention competitiveness. However, with a 3% allocation, AP can begin to support critical professional growth and development for current members of the AP team.

- 2% permanent salary allocation: \$38,000
- 3% permanent salary allocation: \$57,000

6. **Academic and Administrative Units:** Your unit may have identified growth plans in the Annual Academic Plan workbook; if so, as part of question 1 your unit should have included a description of the funds necessary, including Provost Reinvestment Funds, to support such growth. For this section, however, please provide specific requests of Provost Reinvestment Funds for new initiatives. Please provide a one-page summary of these requests, articulating how much funding is requested by an initiative, whether temporary or permanent funds are requested, and how the funds would be spent (new positions, systems, etc.).

Permanent Funding Request for:

- **Information Management and Data Integrity**

As outlined in question #3, PRIME is the primary source and most accurate representation of information with regard to our academic personnel, including their primary appointment/affiliation within the University and the degrees that they hold. If PRIME is not updated as institutional changes occur, then PRIME will be unable to maintain accurate and readily usable data. This will result in a need for technology or paper based work-arounds. Therefore, it is critical that PRIME be maintained with the right systems support and recruiting an additional Senior Computer Specialist or Web Developer would allow AP to maintain data integrity. The annual cost of salary and benefits for this full-time position is \$100,000.

- **University Affirmative Action Plan Software**

Ensuring that we are able to effectively and efficiently complete the University of Washington's annual Affirmative Action Plan, the cost to maintain *Berkshire BALANCEapp Affirmative Action Software* is approximately \$16,000 per year.

The total annual permanent funding request for new positions and systems is \$116,000.

Temporary Funding Request for:

- **Affirmative Action Data Form Collection**
- **International Scholars Public Information and Audit Management**
- **Service Enhancement and Web Development**

Affirmative Action Data Form collection and International Scholars public information are two important functions for maintaining federal compliance. While AP is exploring electronic solutions, most of the data and information collection, at this time, still requires staff hours. We estimate an annual salary and benefits cost for hourly staff support to be \$15,000. For AP service enhancement and web development, the anticipated funding need is \$30,000 inclusive of salary and benefits. This is based on .25FTE web developer position. Total annual temporary funding request is \$45,000.

This is a two year temporary funding request, total of \$90,000, for the 2013-15 biennium.
