



# Academic Human Resources Annual Report 2006-2007

## EXECUTIVE SUMMARY

This report highlights the progress Academic Human Resources has made during 2006-07 on the goals from our 10 Year Plan. The mission of Academic Human Resources is to help the campus recruit and retain excellent and diverse faculty and academic appointees.

- AHR made several important **staff hires** due to turnover in 2006-07, including welcoming a new Assistant Vice Chancellor for Academic Human Resources.
- Assignment of **responsibility for the Senior Management Group (SMG)** to AHR was not anticipated in the Ten Year Plan and required reassignment of significant resources within AHR again in 2006-2007.
- AHR participated in 4 **executive level searches** for the positions of Vice Chancellor of Student Affairs, Vice Chancellor of Information Technology, Dean of Arts and Dean of Engineering, requiring AHR to reassign existing staff in order to manage the recruitments.
- AHR continued implementation of the faculty **bio-bibliography application, Bio-Bib Net**, a project originally suggested by the Executive Budget Committee (EBC) process. There are now approximately 250 accounts on Bio-Bib Net spread across all divisions.
- The move of the highly successful **Division Database** to a more robust platform is continuing. "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). The Division Database has become an essential tool for departments, divisions, and central offices to manage academic human resource data and actions. Div Data's security and functionality are essential for the management of human resource functions for academic employees.
- The **percentage of recruitments resulting in new faculty hires has decreased** from 83% in 2004-05 to 68% in 2006-07.
- UCSC continues to have one of the most diverse faculty in the UC system, and diversity remains a priority for the campus. The **turnover rate by ethnicity** remained the same at 24%; the turnover rate by sex increased for females from 47% in 2005-06 to 68% in 2006-07. The overall turnover rate for ladder-rank faculty increased from 3% to 5%, reflecting an increase in retirements.
- The **Diversity Awards program** recognized campus diversity efforts by allocating \$29,000 to support departments' diversity efforts leading to long-term improvement of the "pipeline".
- The **Dual Career Service/Faculty Relocation Assistance Program (DCS/FRAP)** coordinator met with 136 candidates during the 2006-07 recruitment cycle, a 27% increase from 2005-06. Of these, 15 partners/spouses were assisted by the Dual Career Service with their job search. Two of the 136 were faculty that the campus was working to retain.

- The Dual Career Service continues to work with the **Higher Education Recruitment Consortium** to advertise positions and network with other higher education institutions to assist transitioning faculty families with employment.
- **Formal charges** of violation of the Faculty Code of Conduct increased 100% from 2005-06.
- **Training and development opportunities had to be reduced** again this year due to the reassignment of AHR staff to SMG issues. Nevertheless, several workshops were held for campus constituents.



The following is a detailed report, including data, about Recruitment and Retention, Diversity, Advancement, Administrative Support, Complaint Resolution, Policy Review/Implementation, and Training and Development.

## RECRUITMENT AND RETENTION

### Senior Management Group and Academic Administrators

AHR participated in 4 **executive level searches** for the positions of Vice Chancellor of Student Affairs, Vice Chancellor of Information Technology, Dean of Arts and Dean of Engineering. AHR redirected existing staff to assist with the heavy workload involved in conducting numerous executive searches simultaneously.

### Ladder-Rank Recruitment Success

In 2006-07, the campus successfully hired 37 new ladder rank faculty members. Of this \_\_, there were 4 Target of Excellence hires and 2 Presidential Postdoctoral Fellows hired.

**Table 1: Ladder Rank Searches**

Year	# Of Searches	# Searches Filled	# Of Searches Closed without Hire	# Of New Hires**
2001-02	31	13 (42%)	18 (58%)	13
2002-03	40	25 (63%)	15 (37%)	28
2003-04	44	31 (78%)	9 (22%)	39
2005-06	29	24 (83%)	5 (17%)	32
2006-07	40	27* (68%)	11* (30%)	37**

\*\*At this time, there are still two recruitments under review (Engineering and American Studies). The outcome will alter totals for 2006-07.

\*Number of new hires may be greater than the number of searches filled since multiple hires may be made from one search.

### Source of Applicants

Professional journals and professional organizations continue to be productive sources for attracting applicants. There has been a slight increase in applicants using the UCSC website and other websites to learn about openings. Professional journal ads continue to be the largest source of applicants. The Higher Education Recruitment Consortium (HERC) website contains all positions at higher education institutions in the northern California region, and may be useful for partner dual career issues, however, few candidates learn of UCSC opportunities there.

Table 2: Source of Applicants (Where do applicants find out about UCSC jobs?)

Source(s)	Percent of total responses		
	2003-04	2005-06	2006-07
	1998 applicants reporting	2590 applicants reporting	4270 applicants reporting
"Professional Journal"	28%	31.2%	39%
"Professional Organization"	15%	15.3%	25%
"Chronicle of Higher Education" & Posted Announcement	14%	13.6%	16% 7% Posted
"UCSC Web Site"	11%	13.5%	13%
"Other (Please Specify)"	7%	2.6%	7%
HigherEdJobs.com & "Other Web Site"	4%	6.5%	6%
"UCSC Bulletin"	2%	1.9%	<1%
"HERC Web Site"	.44%	.1%	<1%
"Workplace Diversity"	.04%	0	0

### Non-Senate Recruitments and Waivers

Ongoing pool searches allow departments to continually accept applications for short term, temporary positions and reduce the resources devoted to searches, while increasing the opportunity to attract qualified candidates.

Table 3: Non-Senate Searches and Waivers

Year	Number of Temporary Searches	Number of Waivers	Number of Exemptions
2002-03	45 (28 were ongoing pool searches)	170	86
2003-04	57 (20 were ongoing pool searches)	181	100
2004-05	46 (36 were ongoing pool searches)	119	88
2005-06	53 (9 were pool searches)	140	91
2006-07	64 (9 were pool searches)	114	150

### Turnover of Ladder-Rank Faculty

The turnover rate for 2006-07 was 5% with 25 ladder rank separations, an increase compared to the last 3 years. The average turnover rate for the past 10 years is 4%.

**Table 5: Ladder-Rank Turnover**

Aca Year	Resign	Retire	Terminate	Deceased	Total Separations	Total Faculty	Percent Turnover	Percent Retire	Percent Resign	New Appts
02-03	10	8	0	0	18	494	4%	44%	56%	19
03-04	8	7	0	1	16	508	3%	44%	50%	33
04-05	10	11	0	1	22	534	4%	50%	45%	42
05-06	9	5	1	2	17	548	3%	29%	53%	32
06-07	10	15	0	0	25	556	5%	60%	40%	32
Total	47	46	1	4	98	2640	4%	47%	48%	158

Note: Numbers are for Professor series appointees, Lecturer SOE are not included.

Numbers are taken for entire year (e.g. any LR here between 7/1 and 6/30, even if not here for entire year)

Appointments are counted in the year effective rather than in the year recruited or offered.

**Table 6: Turnover by Ethnicity**

Aca Year	White				Minority				Total	Total Minority	Total White
	Resign	Retire	Terminate	Deceased	Resign	Retire	Terminate	Deceased			
02-03	4	6	0	0	6	2	0	0	18	44%	56%
03-04	8	5	0	0	0	2	0	1	16	19%	81%
04-05	7	10	0	1	3	1	0	0	22	18%	82%
05-06	7	4	0	2	2	1	1	0	17	24%	76%
06-07	4	15	0	0	6	0	0	0	25	24%	76%
Total	30	40	0	3	17	6	1	1	98	26%	74%

**Table 7: Turnover by Sex**

Aca Year	Female				Male				Total	Total Female	Total Male
	Resign	Retire	Terminate	Deceased	Resign	Retire	Terminate	Deceased			
02-03	4	6	0	0	6	2	0	0	18	56%	44%
03-04	8	5	0	0	0	2	0	1	16	81%	19%
04-05	7	10	0	1	3	1	0	0	22	82%	18%
05-06	5	1	0	2	4	4	1	0	17	47%	52%
06-07	6	2	0	0	4	13	0	0	25	68%	32%
Total	30	24	0	3	17	22	1	1	98	58%	42%

**Table 8: Ladder rank separations by sex and ethnicity for 2006-07 by division**

	Male			Female			Total	Total Female	Total Minority
	White	Minority	Unknown	White	Minority	Unknown			
Arts	3	0	0	1	0	0	4	25%	0%
Engineering	0	2	0	1	0	0	3	33%	67%
Humanities	3	0	0	0	2	0	5	40%	40%
Phys&Bio Sciences	7	0	0	0	1	0	8	13%	13%
Social Sciences	2	0	0	2	1	0	5	60%	20%
Total	15	2	0	4	4	0	25	32%	24%

## Dual Career Service (DCS) and Faculty Relocation Assistance Program (FRAP)

AHR provides these two special programs as recruitment tools. The eligible clients are candidates or appointees who are members of the Academic Senate or who hold equivalent academic titles, and members of the Senior Management Group. Generally, the programs target new hires, but the services have been used as retention tools as well.

1. **DCS** was launched in 1999 in order to respond to spousal employment needs identified in the past by candidates for ladder-rank appointments. It provides assistance and support during the employment searches of the spouse/partner of candidates and appointees. Some of the services the program offers are job search planning, resume/c.v. consultation, arranging networking opportunities with area employers, referrals, and interview practice. Also, the DCS provides a website which may be viewed at [ahr.ucsc.edu/dcs](http://ahr.ucsc.edu/dcs).
2. **FRAP** was launched in 2001 in order to respond to faculty relocation needs. Common areas of interest for relocating families are childcare/schools, community, housing, and benefits. The Coordinator provides customized assistance by directing families to the appropriate campus or community resource. FRAP has a website that may be viewed at [ahr.ucsc.edu/frap](http://ahr.ucsc.edu/frap).

The DCS/FRAP Coordinator markets the programs to the Academic Departments in the fall of each year. Departments are encouraged to schedule appointments with the Coordinator for their faculty candidates during the interview visits. This provides candidates a respite from hectic interview schedules as well as the opportunity to discuss issues that may not be considered during the Departmental interview (childcare, benefits, housing, leaves, spousal employment, etc.) These meetings also establish a foundation for future client relationships.

Both programs have glossy brochures that can be used by recruiting departments and are also included in the informational packets compiled by AHR and sent out to final candidates.

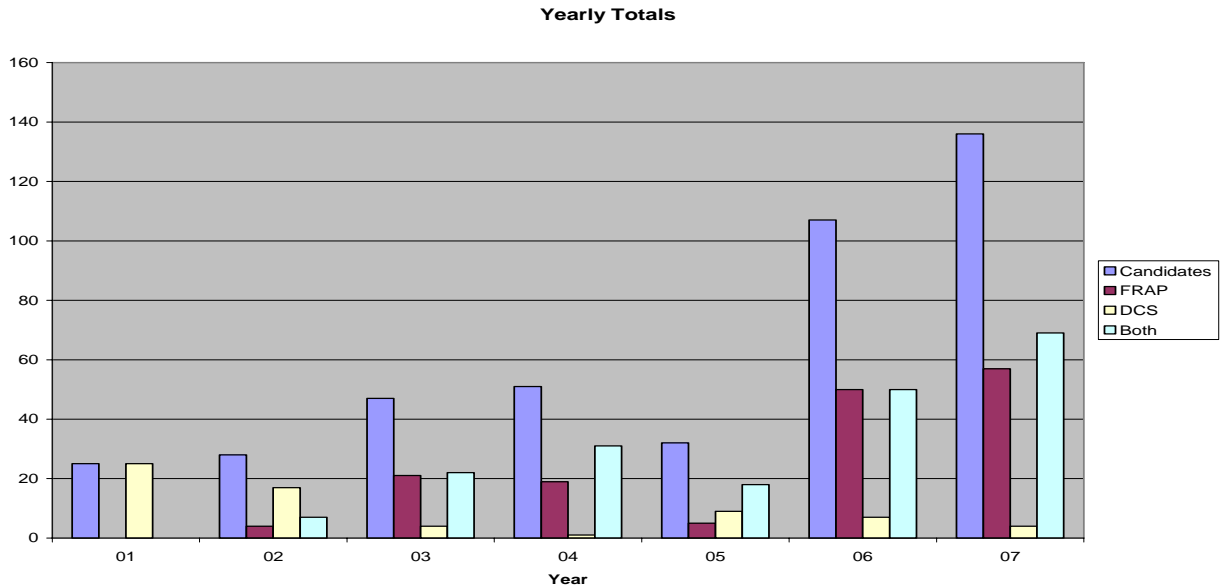
### Statistics for 2006-07

Division	Candidates	FRAP	DCS	Both	DCS Clients	New Hire	Retention
SMG	3	3				3	
Arts	10	6		4	1	10	
Engineering	26	9		17	4	26	
Humanities	17	7	1	9	3	17	
Phys & Bio Sciences	56	23	1	32	2	55	1
Social Sciences	24	11	1	12	5	23	1
Total	136	59	3	74	15	134	2

The DCS/FRAP coordinator met with 136 candidates during the 2006-07 recruitment cycle. Of these, 15 partners/spouses were assisted by the DCS (from a group of 36 open recruitments = 42%). Two of the 136 were current faculty who had retention issues. The areas of interest of the candidates are well-balanced between the two programs. (Not all recruiting departments used the programs.)

### Statistics for Academic Years 2000-01 to 2006-07:

The following graph shows an overview of the past seven years starting with the academic year 2000-2001. The number of candidates seen has increased dramatically. This is most likely a result of marketing efforts as well as the growing reputation of the programs.



**Sample of occupations of DCS Clients:**

- |                         |                               |                            |
|-------------------------|-------------------------------|----------------------------|
| Recording Engineer      | Public Affairs                | Family Law and Mediation   |
| Bilingual Teacher       | Communication Specialist      | Physician (Internist)      |
| IT Programmer Analyst   | Librarian                     | Biotech/Pharmaceutical     |
| Artist                  | Consultant                    | Reading Specialist         |
| Ethnomusicologist       | Realtor                       | Mechanical Engineer        |
| Environmental Lawyer    | Language and Speech Therapist | Database Specialist        |
| Administrator           | Economics Researcher/Analyst  | Marketing/Public Relations |
| Psychology student      | Computer Scientist            | Graphic Artist             |
| Clinical trials manager | Construction worker           | Medicinal Chemist          |
| Education Policy Expert | Volunteer                     | Archivist                  |

**HERC**

The DCS/FRAP Coordinator attends the quarterly meetings of the **Northern California's Bay Area Higher Education Recruitment Consortium (HERC)** as a resource for networking and for information on HR "Best Practices". AHR established HERC in the spring of 1999. Norcal HERC is comprised of 48 area campuses that have worked together to facilitate up-to-date information, resources, technology, networking, and outreach programs to be effective in recruiting and retaining a diverse and qualified faculty and staff. 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. One particular interest of HERC is finding effective ways to assist spouses and partners of our faculty and staff to secure area employment. The program is now administered from UCOP.

Because of the success of the Northern California HERC, other regional HERC's have been formed following the founding consortium's model: Southern California HERC, New England HERC, Metropolitan New York/Southern Connecticut HERC, and upstate New York HERC. This year, a national HERC will be launched.

## DIVERSITY

As of July 1, 2006, UCSC's ladder rank faculty was 35% women (all ethnicities) and 25% ethnic minorities (men and women combined). The number of women faculty decreased from last year (193 to 191). The number of ethnic minority faculty increased from 126 last year to 129 this year. Since 1975 (the earliest year for which comparable data is available), women have increased from 16% to 35% and ethnic minorities have increased from 9% to 25% of ladder rank faculty. Diversity among faculty peaked in 2002 with 25% minority and 35% women. The percentage decreases in minority and women faculty are impacted by both separations and an increased faculty size. As availability of minority and female faculty increases, so should their representation among UCSC faculty.

More information on faculty diversity can be found at the EEO/AA website: <http://www2.ucsc.edu/eo-aa/pdf/ExecSummary0607.pdf>.

### 2006-07 Diversity Fund Awards: Helping to increase the candidate pipeline

The Diversity Fund Program encourages longer-term efforts to increase the "pipeline." Approximately \$29,000 was provided to fund the program. The Senate Committee on Affirmative Action and Diversity reviewed the proposals and forwarded recommendations to the Campus Provost/Executive Vice Chancellor, staffed by AHR.

## SUMMARY OF PERSONNEL ACTIONS

During 2006-07, 257 personnel actions for ladder-rank Senate faculty, including 59 appointment files, were processed. Approximately two-thirds of the actions processed were EVC/Chancellor authority and one third were Dean authority.

**Table 9: Number of Senate Actions**

Year decision made	Number of Senate files	EVC Authority	% EVC Authority	Dean Authority	% Dean Authority	EVC Authority Holdovers	Appointment Reviews (Dean and EVC)
2002-03	231	149	65%	82	35%	10	47
2003-04	218	139	64%	81	37%	12	53
2004-05	218	143	66%	75	34%	14	39
2005-06	239	177	74%	62	26%	14	46
2006-07	257	174	68%	83	32%	12	59

Total number of files omits deferrals but includes appointments. Numbers include ladder-rank only, not Lecturers w/SOE. Files with retroactive effective dates are counted in the year the decision is made.

There was 1 Career Equity review in 06-07, which was decided July 6, 2007. One Career Equity review from 05-06 is still pending.

### Timeline

As in the past, the time taken to complete a personnel action is correlated with the number of units reviewing the file. The median time taken to process a personnel action in 2006-07 was roughly 5 months (161 days) for actions decided by the Dean; 9 months (263 days) for actions decided by the EVC or Chancellor but not involving an *ad hoc* committee; and 10 months (288 days) for actions involving an *ad hoc* committee and decided by the EVC or Chancellor. The average time is the same as the median time for EVC/Chancellor authority actions that do not involve an *ad hoc* committee; it is about a month longer otherwise.

NOTE: For the timeline data, each process step is calculated separately, so total time is not a combination of the average or median time for each step. These numbers do not include deferrals or appointments. Files with retroactive effective dates are counted in the year the decision is made

**Timeline: Dean Authority Actions**

The median time taken to process a personnel action decided by the Dean was roughly the same in 2006-07 as in 2005-06. The average time decreased by three weeks.

**Table 10: Dean Authority Files 2006-07**

	Days in Dept	Days in Div (pre-CAP)	Days in CAP	Days in Div until Decision (post-CAP)	Total Time	Change Total Days from last year
Median	97	9	21	22	161	2 more days
Average	101	27	24	24	176	21 days less
Max	242	124	55	86	290	712 days less
Min	7	0	6	0	14	63 days less

Number of files: 44

**Table 11: Dean Authority Files 2005-06**

	Days in Dept	Days in Div (pre-CAP)	Days in CAP	Days in Div until Decision (post-CAP)	Total Time	Change Total Days from last year
Median	91	20	19	2.5	159	1 less day
Average	104	35	23	32	197	30 more days
Max	307	99	62	820	1002	741 more days
Min	6	0	5	0	77	6 fewer days

Number of files: 34

**Table 12: Dean Authority Files 2004-05**

	Days in Dept	Days in Div (pre-CAP)	Days in CAP	Days in Div until Decision (post-CAP)	Total Time	Change Total Days from last year
Median	105	8	20	5	160	7 more days
Average	102	19	22	21	167	3 fewer days
Max	214	78	62	108	261	202 fewer days
Min	35	0	13	2	83	20 more days

Number of files: 51

**Table 13: Dean Authority Files 2003-04**

	Days in Dept	Days in Div (pre-CAP)	Days in CAP	Days in Div until Decision (post-CAP)	Total Time
Median	83	9	26	13	153
Average	102	17	28	24	170
Max	444	51	53	143	463
Min	36	0	11	1	63

Number of files: 42

**Timeline: EVC/Chancellor Authority Actions Without *Ad Hoc***

In 2006-07, the time taken to process a personnel action decided by the EVC or Chancellor but not involving an ad hoc committee was about a month more than in 2005-06. On average, it took a Department almost 5 months (136 days) to process a file of this type in 2006-07, as opposed to 3 months (99 days) in 2005-06, and 4 months (121 days) in 2004-05.

**Table 14: EVC Authority Actions without Ad Hoc Committee 2006-07**

	Day in Dept	Days in Div	Days AHR to CAP no slate	Days CAP to AHR	Days AHR to Admin	Days Admin to Decision	Total time in AHR	Total Time	Change Total Days from Last Year
Median	130	62	2	14	5	7	7	263	28 more days
Average	136	74	3	18	7	16	10	265	33 more days
Max	576	188	15	129	88	352	89	670	50 fewer days
Min	4	1	0	1	0	0	0	28	24 more days

Number of files: 112 (15 more files than last year, 9 files were holdovers from earlier years). CAP acted as the ad hoc committee in 42 cases – these are included in Table 14.

**Table 15: EVC Authority Actions without Ad Hoc Committee 2005-06**

	Day in Dept	Days in Div	Days AHR to CAP no slate	Days CAP to AHR	Days AHR to Admin	Days Admin to Decision	Total time in AHR	Total Time	Change Total Days from Last Year
Median	85	70	2	13	4	8	5	235	26 fewer days
Average	99	75	4	20	4	9	7	232	31 fewer days
Max	283	223	43	126	35	48	47	720	159 fewer days
Min	1	1	0	0	0	0	0	4	5 fewer days

Number of files: 97 (26 fewer files than last year, 7 files were holdovers from earlier years). CAP acted as the ad hoc committee in 23 cases.

**Table 16: EVC Authority Actions without Ad Hoc Committee 2004-05**

	Day in Dept	Days in Div	Days AHR to CAP no slate	Days CAP to AHR	Days AHR to Admin	Days Admin to Decision	Total time in AHR	Total Time	Change Total Days from Last Year
Median	115	67	1	17	2	10	4	261	68 more days
Average	121	73	4	21	3	21	7	263	51 more days
Max	438	187	141	154	20	633	141	879	236 more days
Min	1	2	0	2	0	0	0	9	13 fewer days

Number of files: 123 (53 more files than last year, 8 files were holdovers from previous years). CAP acted as the ad hoc committee in 12 cases.

**Table 17: EVC/Chancellor Authority Actions without Ad Hoc Committee 2003-04**

	Day in Dept	Days in Div	Days AHR to CAP no slate	Days CAP to AHR	Days AHR to Admin	Days Admin to Decision	Total time in AHR	Total Time
Median	91	41	2	16.5	4	8	9	193
Average	113	42	7	18	7	13	14	212
Max	529	98	93	45	43	136	93	643
Min	5	0	0	3	0	2	0	22

Number of files: 70 CAP acted as the ad hoc committee in 27 cases.

**Timeline: EVC/Chancellor Authority Actions With *Ad Hoc***

The time taken to process a personnel action involving an *ad hoc* committee took significantly less time in 2006-07 than in 2005-06. On average, it took almost three months (84 days) for the *ad hoc* committee to be formed, review the file, and write its report compared to almost four months (107 days) in 2005-06, and one month (27 days) in 2004-05.

**Table 18: EVC/Chancellor Authority Actions with Ad Hoc 2006-07**

	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
Median	137	43	72	15	3	10	288	68 fewer days
Average	144	60	84	17	4	12	342	60 fewer days
Max	306	373	522	78	27	50	822	56 more days
Min	6	7	18	1	0	1	106	61 fewer days

Number of files: 34 files (9 fewer files than last year)

**Table 19: EVC/Chancellor Authority Actions with Ad Hoc 2005-06**

	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
Median	143	52	86	20	4	8	356	76 more days
Average	157	61	107	27	4	10	402	127 more days
Max	369	182	283	84	20	34	768	119 more days
Min	0	0	42	7	0	0	167	79 more days

Number of files: 43 files (6 more files than last year)

**Table 20: EVC/Chancellor Authority Actions with Ad Hoc 2004-05**

	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
Median	150	53	8	17	2	12	280	1 more day
Average	102	38	27	51	6	16	275	113 fewer days
Max	227	107	81	126	19	41	649	466 fewer days
Min	39	3	0	11	0	1	88	129 fewer days

Number of files: 37 (15 more files than last year)

**Table 21: EVC/Chancellor Authority Actions with Ad Hoc 2003-04**

	Days in Dept	Days in Div	Days in Ad Hoc	Days CAP to AHR	Days AHR To Admin	Days Admin To Decision	Total Days
Median	138	47	72	20	3	13	279
Average	185	61	84	20	10	16	388
Max	624	333	205	44	79	61	1115
Min	93	7	23	1	0	0	217

## Administrative Services and Support

### Academic Division Data Base ("Div Data")

In 1997-98 AHR 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 and automating the generation of contract-required correspondence. "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). Div Data provides regular extracts to the Identity Management System (CruzID) and the Curriculum Leave Planning system.

AHR has developed a beta on-line bio-bibliography system, which currently has about 250 accounts spread over all of the divisions. The system benefits the faculty and departments by eliminating double data entry, allowing faculty to have more direct control over their bio-bib, and providing the ability to reformat the bio-bib into a C.V. It also has provided AHR with experience in handling personnel documents online which will be useful in future development of an online review process system.

A second project in development is to move Div Data to another more robust platform. Discussions continue with IT and other stakeholders concerning specifications and needs have occurred. Because Div Data is essential to the academic personnel function across the campus, functionality must be maintained during the project.

AHR continued to provide other data and received over 100 information requests that required ad hoc report generation; and continued to provide standard reports to units across campus. The need to integrate data from multiple systems continues and requires continued development of technical expertise, not only in AHR but also in other offices on the campus.

### **Formal Complaints of Violation of the Faculty Code of Conduct**

AHR staffs the Committee on Charges, an administrative committee composed of Senate faculty. On behalf of the Campus Provost, the Committee on Charges reviews formal complaints filed against Academic Senate members charged with unacceptable conduct in violation of the Faculty Code of Conduct (APM 015) to determine whether there is probable cause to warrant the initiation of a disciplinary action by the administration. Following its review, the Committee writes a report to the Campus Provost, which includes the Committee's assessment of the complaint and the evidence submitted, a recommendation to dismiss the complaint or to initiate disciplinary action, and a recommendation of the specific disciplinary sanction proposed (from the list of authorized sanctions included in APM 016), if any.

There were two new formal complaints filed in 2006-07, an increase from the previous year which had seen a significant decrease from prior years.

Following is a table summarizing formal complaint activity beginning in 2002-03:

Academic Year	Complaints Held Over from Prior Year	New Complaints Filed	Complaints Resulting in Initiation of Discipline
02-03	0	7	0
03-04	4	4	4
04-05	0	5	0
05-06	3	1	2
06-07	0	2	1

### **Policy Review and Implementation**

The following lists policy and procedure development, reviews or implementations that occurred during 2006-07.

APM 110-4: Academic Personnel Definitions

APM 230-17 and -18: Visiting Appointments, Terms of Service and Salary

APM 279-20: Clinical Professor, Volunteer Series, Conditions of Employment

APM 360-80-a: Librarian Series, Procedures

APM 710-14, -38: Leaves of Absence/Sick Leave, Eligibility for Accrual and Relation with FML Entitlement

Proposed New Academic Personnel Policy 765: Eligibility for Death Benefits

CAPM 900.700 - Substantive Change - Addition of provisions and campus procedures for the exceptional substitution of significant university service for teaching in qualifying for a sabbatical leave in residence

CAPM 900.700 - Substantive Change - Creation of a Ladder-Rank Faculty Leave Application form for Family Friendly Leaves

CAPM 108.000 - Substantive Change - Creation of policy for waiver of recruitment for spousal/domestic partner hire

CAPM 418.000 - Substantive Change - Creation of provisions and campus procedures for the reconsideration of decisions in ladder rank academic personnel files

CAPM 006.000 - Technical Change - Policy on delinquent narrative evaluations updated to reflect current campus procedures, databases and forms

Several Policies (CAPM 106.520, Appendix 2, 406.220, 408.220, 410.220) were amended to reflect new local Santa Cruz divisional by-laws 13.4.4 and 13.4.5.

Consensual Relationships Policy

## **DEVELOPMENT AND TRAINING**

The following workshops were offered by AHR during 2006-07:

- Recruitment sessions with faculty search committees (with each division)
- Retirement workshops in cooperation with the Academic Senate and Benefits Office
- CAP Orientation
- Department Chair workshops
- New Faculty Orientation and Welcome Event
- Academic Personnel Review Process for Assistant Professors
- Payroll Personnel System procedures and academic policy for campus department staff
- Academic Division Data Base ("Div Data") training for divisions and departments

Attendees at these sessions appreciate not only the content, but also the opportunities to learn from and share ideas with their colleagues. The New Faculty Orientation and Review Process sessions receive consistently high ratings. The Academic Personnel Review Process for Assistant Professors offers three sessions that help Assistant Professors understand many of the policies and procedures in academic personnel reviews.

Academic Human Resources sponsors a day long, New Faculty Orientation and Welcome event for incoming ladder-rank faculty. The program is designed to give new faculty a mix of campus history, student demographics, teaching and research resources, information about shared governance, and important time to network with each other and their divisional deans. The day concludes with an informal event for new faculty and their families and provides an important time for socializing across divisional borders.

Briefings and workshops about the academic personnel review process are provided to department chairs and their managers to provide them with conceptual and operational tools to assist them in the faculty review process. In addition, sessions are

offered each year that are specifically intended for assistant professors, to guide them through the mid-career/tenure review process, the various university leave policies, and to offer tips and resources for questions they may have during their probationary period. These sessions are highly rated by attendees. In all these sessions, there is the additional learning and benefit that takes place from the voicing of issues and concerns with the opportunity to clarify misunderstandings and to dispel rumors.

## Conclusion

AHR remains dedicated to providing the campus with the highest level of service possible.

Priorities for the next year include:

- Completing the move to a new platform for Div Data
- Continuing the Bio-Bib Net project
- Maintaining reasonable turn around time on recruitment and advancement actions

Areas in the Ten Year Plan for the future:

- Computer Based Training
- Mediation program
- Chair orientation