

Workshop #4 – Academic Data Requirements

Introduction

This document summarizes the fourth Human Resources Information System requirements workshop, dealing with Academic requirements, held on Tuesday, May 29, 2001. The first section is a matrix of Academic data and process requirements. The matrix encompasses the *new or enhanced* data and information requirements discussed in the workshop. The data and information currently used in PPS, including those in development (e.g. online merits), are assumed to be default requirements of any replacement system. Additionally, existing data and information that supports other HR office processes (e.g., Applicant Tracking, Academic Personnel System) will continue to be a requirement. The second section captures the policy issues that arose throughout the workshop discussion.

Section 1: Academic Data Requirements

Academic Data and Process Requirements	Priority Level	Comments
1. Core Data		
1.1. Bio-bibliographic information for faculty	High	<ul style="list-style-type: none"> • Accessible centrally, by department, and by faculty • Allow for easy update process by faculty member or assistant • Would like to pull information from different systems to populate bio-bibliographic information
1.2. Ability to audit on additional compensation limits	Medium	

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1.3. Accurate record of history that can be sorted	High	<ul style="list-style-type: none"> • Accurately record retroactive data • Combine historical data from various legacy systems into one system • Ability to override or correct history by a central office
1.4. A similar look and feel for both staff and academic HR views of data	High	
1.5. Capture data by importing electronic documents or scanning hardcopy documents as images for automating faculty appointment and review processes	Medium	<ul style="list-style-type: none"> • Currently there are more internal documents that need to be captured • UCSB is now taking letters of recommendation electronically
1.6. Personnel reviews for current faculty and appointment of new faculty	High	<ul style="list-style-type: none"> • Divisions can see their own reviews, but not others • Track cycle time for reviews • Track recommendations and final decisions
2. Reporting Needs		
2.1. Easier way to address system wide reporting requirements	High	<ul style="list-style-type: none"> • Reporting should come from the HR system as the system of record (not payroll) • System wide data does not always match what the campus has, so there is a need to work off of the same data source
2.2. Edits to manage/audit health science compensation plan requirements and NIH Caps	High	To notify department approaching NIH CAP
2.3. Salary studies	Medium	<i>e.g.</i> , What does someone in a position make at another University location

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2.4. Salary history reports for an individual	High	<ul style="list-style-type: none"> • Critical to a department putting a dossier together • Should be easy to interpret, without having to piece together rate changes with dates, and looking back at a calendar to determine why
2.5. Recruitment reports (gender and ethnicity data)	High	A snapshot of what is happening with recruitment across campus including start up costs, retention data, employee history, partner hires, and reasons for deselection
2.6. Faculty database reporting	High	Populated with bio-bibliographical data
2.7. Faculty workload report	High	
2.8. Report identifying a person's primary appointment	Medium	<ul style="list-style-type: none"> • Currently difficult to get complete information about faculty who hold appointments in more than one department. • The security mechanisms currently in place prevent people in the "primary" department from having access to information entered by the "other" department(s) (e.g., workload, students mentored, etc.)
2.9. Reporting on information loaded from other systems	Medium	
2.10. Flexible reporting through exporting data to other tools	High	
2.11. Allow campuses to share public queries	Medium	
2.12. Capture all transactions and not just a snapshot at a given time	High	
2.13. Automatic generation of reports and letters	High	
3. Planning and Analysis		
3.1. Recruitment resources	Medium	Track source data on where successful candidate found out about the job

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3.2. Age analysis	Medium	Analysis of staff and faculty age to better predict when different levels of recruitment will be necessary
3.3. Benchmarking	High	<ul style="list-style-type: none"> • How many staff does it take to support a faculty FTE? • How much staff space is needed?
3.4. Hard to fill and unfilled positions	Medium	Explore causes of this condition
3.5. Faculty leave planning	Medium	Discover trends in order to better plan class schedules
3.6. Interface with other systems to analyze workload, space requirements, etc.	Medium	
3.7. Separation trends	Medium	Where are former faculty going after leaving UC
3.8. Faculty benefit use	Medium	Who might take advantage, or are taking advantage, of certain family friendly benefits
3.9. Trends in undergraduate majors	Medium	To ascertain effects of enrollment trends on departmental size and budgeting
3.10. General trend analysis	High	Impact on space, FTE requirements, enrollment, etc.
3.11. Manage the changing Visa status of international fellows	Medium	
3.12. Analysis of gender equity in terms of salary, committee service, and space	High	
3.13. Budget planning	High	<ul style="list-style-type: none"> • Need to keep track of budgetary provisions • Keep track of unfilled FTE's • Update staffing list (depends on timeliness of payroll updates)
3.14. Recruitment tracking	High	<ul style="list-style-type: none"> • Used to update the long range FTE tracking

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3.15. Automated range adjustment or any mass action instead of individual transactions	High	<ul style="list-style-type: none"> • The ability to see a lower level of granularity if a person has more than one increase in salary that takes effect on the same day • Analyze the effects of retroactive increases • Ability to range adjust on faculty not on scale
3.16. Off scale salaries	High	<ul style="list-style-type: none"> • What do they cost? • How many people are being paid that way?
3.17. Statistical modeling of expected faculty growth	Medium	<ul style="list-style-type: none"> • Initial cost • Impact on campus
3.18. Housing	Low	Find out where faculty live and if they have family in order to determine what kind of housing programs are needed
4. Accruals – Leave Usage		
4.1. Terms of employment for graduate students	High	Track the number of quarters/semesters they have taught
4.2. Unit 18	High	<ul style="list-style-type: none"> • Required to do annual calls for personnel review • Track pre and post 6 year appointments
4.3. Tenure Clock	High	Track time on the tenure clock and time off the clock—ability to override
4.4. Years at Rank and Step	High	
4.5. Non-tenure ladder track faculty	High	Notice of cycle (appraisal due dates, terminal appointment year; exceptions/extensions such as stop the clock)
4.6. Tracking sabbatical accruals and usage	High	<ul style="list-style-type: none"> • Advancing credits • Dropping below a certain time level and not accruing credits • Automating accruals and totals after usage
4.7. FMLA	High	

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4.8. Track senior management severance pay	High	
4.9. Ability to keep track of which policies are used for particular leave actions	Medium	Should be able to enter a leave plan for the entire academic year
4.10. Continue to track sabbatical leave and retirement benefits for faculty who take on administrative positions	High	
4.11. Track leave activity for all levels of employees (including less than 30 days)	High	
4.12. Ability to take different leaves consecutively and put them in the system all at once	High	
4.13. Leaves in multiple appointments	High	Leave taken from one position but not another
4.14. Tracking eligibility of international academic employees with Visas	Medium	<ul style="list-style-type: none"> • Their status • How far along are they in the Visa process • Do they have a 2 year home requirement
4.15. Medical Comp plans	High	<ul style="list-style-type: none"> • Calculations for faculty with multiple appointments • Flag NIH Caps
5. Title Codes		
5.1. The codes need to be simplified in a new system	Medium	There is no structure and consistency to title code numbers
5.2. Continue to do discreet adjustments to salary	High	
5.3. Allow some people to not automatically be range adjusted	High	<i>e.g.</i> , If an employee was hired with the understanding that their salary already encompassed the next increase they would not need to be range adjusted
6. Extramural Support		
6.1. A report to alert before someone is paid over NIH Cap	Medium	
6.2. Track grants for each faculty member	High	<ul style="list-style-type: none"> • What grants and how much • Information need for dossier

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6.3. Track when people apply for extramural grants	High	<ul style="list-style-type: none"> • Tracked on a departmental basis • Helpful for merit promotion files • Faculty can look at what grants are currently out there and see which track they should take
6.4. Budgeting	High	<ul style="list-style-type: none"> • Cost sharing • Staffing figures vs. support figures for grants
6.5. Effort reporting – A21 reporting	High	Feeds off of payroll reporting
6.6. Track multiple affiliations with other departments for ladder faculty	High	
6.7. Non-employee (unpaid post docs, volunteers, etc.)	High	<ul style="list-style-type: none"> • Track who is on campus • Whether they need patent agreements or not
6.8. Collect data on exceptional Principal Investigator (non-faculty)	Medium	Timed Appointments
6.9. Track Organized Research Units (ORU)	Medium	<ul style="list-style-type: none"> • Multi-disciplined groupings of faculty, cutting across several fields of study, for research • May need to track faculty who are also members of an ORU or who may not be University faculty
7. Collective Bargaining		
7.1. Time and status for Unit 18	High	Analysis and reporting on Unit 18
7.2. Easily make changes to the system as required by newly negotiated contracts	High	When a contract is signed, time is of the essence and the labor relations staff may not always be aware of the time frame needed to implement salary changes to appear in a paycheck <i>before</i> agreeing on a mutual date with the union.
7.3. Planning and modeling the effects of implementing scales and new benefits	High	

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7.4. Reporting to the union	High	<ul style="list-style-type: none"> • Standard monthly • Annual • Quarterly • Ad-hoc
7.5. Supply union with proper addresses	High	Integrate systems so that addresses are accurate, consistent, and easily retrievable
7.6. Identify academic supervisors for TA's	Medium	
7.7. Track grievances and complaints	High	Determine trends to see if grievances cluster under certain supervisors, or if a supervisor needs some kind of training or disciplinary action, etc.
7.8. Salary by agreement for Unit 18	High	As opposed to a salary with a percentage increase
7.9. Proper definitions of supervisors	Medium	<i>e.g.</i> , Someone could supervise people outside of their unit, but not be a supervisor within his or her unit
8. Affirmative Action / Diversity Issues		
8.1. Allow people to identify multiple ethnicities	High	<ul style="list-style-type: none"> • Ethnic category choices should be consistent with census data collection • For academic utilization analyses, it may still be necessary to combine categories to match availability data.
8.2. Common, consistent AA data across the system	High	<ul style="list-style-type: none"> • Each campus has set up its affirmative action data differently • Flexibility to capture availability data and run adverse impact analysis reports • If a person elects multiple ethnic options, he or she should only be listed once in an ethnicity count
8.3. Capture gender and ethnicity for applicant pool and hires	High	Applicants should be able to self identify when they apply for a job on-line

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8.4. Track the diversity of places from which faculty are recruited	High	Where is staff coming from?
8.5. Availability vs. underutilization	Medium	Report on the impact a hire has on campus underutilization
8.6. Graphical display of availability	Medium	
8.7. Track composition of search committees by gender and ethnicity	High	
8.8. Electronic authorizations and/or post notifications of hires and ad approvals	Medium	Approval flow from department, to dean, to vice chancellor
8.9. Identify hires that have not gone through the search process (e.g., target-of-opportunity)	High	Who is on a short term contract and will eventually be required to go through a search for that position
8.10. Who did not accept a position and why	Medium	Track all candidates and be able to record what happened to them
8.11. Track faculty who resign and then take a research position	Medium	
8.12. Capture data on any outside offers for faculty	Medium	<ul style="list-style-type: none"> • Where did offer come from • How much was offer
8.13. Track what happens to individuals after they leave graduate programs and fellowships	Low	Departments currently keep that data, but they lose track of people rather easily
8.14. Track compensation plan components for faculty	High	
8.15. Track historical actual pay	High	
9. General Requirements		
9.1. Scalable system	High	Meet the continuing needs of a campus
9.2. Ability to pull out system wide data	High	
9.3. No duplicate data entry with any other systems and easy interface for data sharing	High	
9.4. Web enablement and workflow	High	Need solid security

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9.5. Accommodate different data definitions on staff side and academic side of HR	Medium	
9.6. Allow campuses to process their individual exceptions	High	
9.7. Ability to edit for exceptions	High	

Section 2: Policy Issues

1. Auditors want hardcopy back up to on-line information
2. Issue of who supports the system (central or local) – reassurance that campus needs will be addressed
3. Campus would like to share public queries so that each campus does not have to replicate reports
4. Negotiators need to understand how campuses differ and which campus is doing what
5. Determine how different campuses will be impacted by what is being negotiated at bargaining
6. No direct key exists between the pay and appointment distributions

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APPROVAL: Academic Data Requirements

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