

UNIVERSITY
OF
CALIFORNIA

Office of the President Workforce Plan

Five year plan 2019-20 to 2023-24,
Phase 2, April 2019



Executive Summary

Since 2017, the University of California Office of the President (UCOP) has been undergoing an organizational optimization effort. Its objective is to determine how the Office of the President can best carry out its complex functions and services and support the future of the University. As part of this effort, UCOP is developing and implementing a workforce plan strategy and framework to ensure processes and procedures align with staff skills, knowledge and abilities to meet the University's current and future needs.

This paper represents *Phase 2: Gather and Analyze Workforce Data* of UCOP's Workforce Plan and builds upon the work developed in *Phase 1: Setting the Strategic Direction* (January 2017-February 2018). The focus of Phase 2 is additional data gathering and deeper workforce analysis. Listed below is an overview of the activities undertaken in this second phase:

Methodology and Overview includes a workforce summary, benchmarking analyses, division leader interviews, supply analysis, demand analysis and a gap analysis.

Recap of the Phase 1 of UCOP's Workforce Plan provides an overview of the five-phase model and best practice analysis defining UCOP's Workforce Planning framework, completed in February 2018. Environmental factors are identified and a snapshot of workforce demographics is provided. Phase 1 included initial analysis and benchmarking data that was used in the Phase 2 workforce analysis. A comparative analysis on other companies' data/best practices was also part of the Phase 2 effort.

UCOP Workforce Overview focuses on UCOP competencies and how the competencies are used in the Annual Performance Appraisal. The data and analysis gathered in Phase 2 and the outcomes from the OP Restructuring Effort and University of California 10 Campus Study will form the basis for the workforce planning strategy. The core competency analysis looked at 3 years of data from 2015 through 2018 recent performance year (2017-18) to assess competency strengths and opportunities across job families. The team focused on four competency areas: Job Mastery, Collaboration & Communication, Customer/Client Services, and People Management.

- Job Mastery assesses an employee's knowledge, skills and abilities to perform their job function. UCOP employees successfully meet competency expectations in this area.
- Collaboration & Communication and Customer/Client Service are both competency behaviors necessary for strong partnerships and effective working relationships where shared objectives exist given the nature of UCOP's role and systemwide focus of work.
- People Management while UCOP employees meet expectations, it is a competency where we will continue to pursue areas of excellence. This competency is also identified as an opportunity for employee development and was singled out as part of the 2017 UC Employee Engagement Survey and in the UCOP Employee Engagement Survey Results.

UCOP Workforce Gap Analysis compares quantitative and qualitative data on workforce strengths and gaps that the workforce planning team collected for the fiscal year 2018-19. The team surveyed 10 division leaders and the President's Executive Office and conducted face-to-face meetings with 10 divisions (excluding ANR who was in the middle of their restructuring effort). These meetings were to

discuss strategic plans, new or changing organizational initiatives and how the goals/objectives in those plans impact the divisions staffing and development plans for their immediate and future workforce. The conversations with the division leaders and their teams provided rich input in helping to further refine critical jobs or high-risk profiles across UCOP. Some data points used were retirement, separation turnover, vacancy rates and hard to fill positions. The team identified five high-risk profiles to focus on in Phases 3 and 4:

- Financial Analysis
- Institutional Research
- Project Policy Analyst
- Applications Programming
- Systems and Infrastructure Administration

The team also looked at retirement risk. While UCOP has some job families with higher percentages of employees eligible for retirement, it does not necessarily mean these employees will retire in the near term. These are simply data points for planning and awareness building in succession plans and retention.

UCOP Workforce Planning next steps will build on the outcomes from the OP restructuring effort and the 10 campus study; and the analysis and benchmarking from Phase 2 to define the Workforce Planning Strategies to be developed in Phase 3, *Phase 3: Develop the Workforce Strategies and Plan*.

Preface

The University of California Office of the President undertook a workforce planning effort following the California State Department of Human Resources (Cal-HR) workforce plan template. UCOP found the Cal-HR template and phases to be very helpful in working on this plan.

UCOP's Workforce Plan *Phase 3: Develop the Workforce Strategies and Plan*, will be completed and presented to The Regents by March 2020. Comments on this document are welcomed; please send to: ucop-workforce-planning@ucop.edu

Acknowledgements

Nancy Pluzdrak, Executive Director of UCOP Human Resources led the workforce planning team. Team members (in alphabetical order) are Karen Arnold, Elizabeth Bakanic, Nancy Chen-Lane, Shamsah Ebrahim, Peter Holker, Kelly Howard, Miranda Josafat, Thera Kalmijn, Jonas Lerma, Charles Masten, Aaron McCoy, Amit Prayag, Annie Prozan, Gale Sheean-Remotto, and Merideth Wakeman.

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UCOP Workforce Plan Phase 2

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A. Introduction

The University of California (UC) is the preeminent public research university in the country and the world, attracting top researchers, administrators and professionals from industry, academia and other research organizations. The University of California system comprises ten campuses, five medical centers and three national labs. It is the third largest employer and the fourth largest healthcare delivery system in the State of California.

The University of California Office of the President (UCOP) is UC's systemwide headquarters. UCOP has two broad functions. Its primary function is to support the President in executive leadership of the University and to assist the President in providing information and analyses to the Regents of the University so that their responsibilities may be achieved. Its secondary function is to provide services to the wider University community.¹ In this capacity, UCOP manages the UC system's fiscal and business operations. It supports academics, research and public service activities across the campuses, medical centers and national labs. It provides centralized services that ensure systemwide coherence and/or promote efficiencies by leveraging economies of scale. And it pilots and supports projects and systemwide programs.

In 2018, the University of California celebrated its 150th anniversary. The President urged the UC community to celebrate this milestone not simply by looking to the past, but by laying the groundwork to continue to have a progressive, strong university system that serves the State, the nation, and the world for the next century and beyond.

In keeping with this, the Office of the President underwent a review and restructuring effort. The objective was to determine how the Office of the President can best carry out its complex functions and services and support the future of UC. The review assessed ways the Office of the President could more effectively and efficiently support UC's teaching, research, and public service mission. The restructuring effort continues to evolve through consultation, decision-making and implementation. Building UCOP's workforce of the future as part of this restructuring effort will be critical: it requires an assessment of skills, knowledge, competencies and capabilities as well as a deep understanding of current and future needs.

As part of the University's continuous commitment to improvement, a third party review was undertaken in 2018 and the University of California's 10 Campus Study² was created. This study captured the campus perspective of the relationship between the Office of the President and the campuses and UCOP's programs and activities in support of the University's mission.

Outcomes from both the restructuring effort and the 10 campus study will be included as the workforce planning team develops the workforce strategy.

¹ Working Group on the Roles of the Office of the President (2008, January). Report of the Working Group on the Roles of the Office of the President to the Governance Committee of the Board of Regents. Retrieved from <http://regents.universityofcalifornia.edu/regmeet/jan08/g4attach.pdf>

² Review of the Sjoberg and Evashenk "The University of California 10-Campus Study," <https://regents.universityofcalifornia.edu/regmeet/jan19/g5attach.pdf>

Today's workforce spans six generations. To remain productive and vibrant, an organization needs to balance the challenges, needs and expectations of incoming generations with those of the existing workforce. The generational challenge is by no means the only concern. The need for a comprehensive approach to strategic workforce planning is driven by a multitude of issues³:

- skill shortages or gaps
- loss of talent
- the costs of new talent
- mitigating risk
- the changing demographic of the workforce, and
- evolving business models or business strategies to meet changing demands.

Investing in workforce planning will enable UCOP to address all of the aforementioned challenges. Therefore, to ensure UCOP has the talent to support the University's vision and mission into the future, workforce planning is a business imperative.

A.1. Workforce planning five phase model

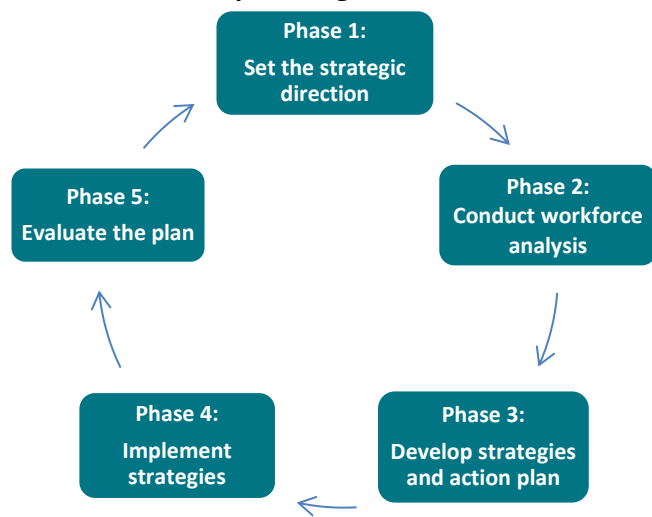
UCOP decided to implement the CalHR workforce planning module (Cal Workforce Planning Model: <http://www.calhr.ca.gov/state-hr-professionals/Pages/workforce-planning.aspx>) which includes five phases:

- **Phase 1:** Set the strategic direction for the workforce planning program. Organize executive support and review strategic goals.
- **Phase 2:** Analyze our workforce by gathering organizational data, identifying skill gaps and conducting a workforce analysis.
- **Phase 3:** Develop the workforce strategies and plan. The workforce strategies are based on the workforce analysis and leverages the outcomes of the restructuring effort and the 10 campus survey. Once the workforce analysis is complete and the outcomes of the restructuring effort and 10 campus survey are evaluated, the workforce planning team will assess and identify strategies, e.g., recruitment, retention, employee development, etc. How the organization will approach institutional knowledge sharing and succession planning are a critical components of this phase.
- **Phase 4:** Implement strategies. Based on the learnings from Phases 1 through 3, develop an action plan and best practices for implementing the workforce strategy. The action plan will include how the strategies will be evaluated in Phase 5.
- **Phase 5:** Monitor, evaluate and revise the workforce plan. Based on the evaluation method identified in Phase 4, monitor and evaluate the workforce plan for iterative changes to refine the plan. As the UCOP workforce evolves, so should the design of the workforce plan.

A visual representation of the UCOP workforce planning framework is shown in Figure 1.

³ Camden Delta (2011, September). Real organizations, real challenges: The state of strategic workforce planning. Retrieved from http://www.camdendelta.com/wp-content/uploads/2013/03/CamdenDelta_TheStateOfWorkforcePlanning2011.pdf

Figure 1. UCOP’s workforce planning framework



Phase 1 was completed and presented to the [UC Regents in March 2018](#). This report references portions of Phase 1 where appropriate but the focus is on Phase 2.

A.2. Methodology for Phase 2 development

The development of UCOP’s Workforce Plan Phase 2 launched with an analysis of the following:

- UCOP workforce summary
- Workforce headcount by location
- Race/ethnicity
- Gender

Additional benchmarking included:

- Exit interview trends
- Hiring trends
- Separation trends
- Retirement trends
- Vacancy and recruitment trends

Creating these benchmarks was preparatory work for identifying metrics for Phase 4.

Combined with this quantitative data, the Workforce Plan workgroup surveyed and conducted interviews with leadership of 10 UCOP divisions to understand their workforce needs. Leveraging this information, the workgroup identified points of alignment between the quantitative and qualitative data and further refined critical jobs.

A.3. Phase 2 report overview

In Phase 1, the Workforce Plan workgroup (“the workgroup”) leveraged data gathered in Phase 1, which defined the strategic direction and conducted a workforce analysis. Workforce analysis is the foundation of any workforce plan and involves three distinct steps: (1) Supply Analysis, (2) Demand Analysis, and (3) a Gap Analysis.

To evaluate current resources, the Supply Analysis leveraged demographic and environmental impact data collected in Phase 1. Evaluating current data is foundational for identifying future needs and informing strategy.

To assess immediate and upcoming needs, a Demand Analysis was undertaken. The workgroup conducted interviews with division leaders. Short-term and long-term resource needs by job function were identified. Core competencies and skills to perform the jobs were captured.

In the Gap Analysis step, the workgroup compared the supply analysis data against the demand analysis data to project unmet needs or surpluses and identify associated risk factors.

As part of the overall workforce analysis, the workgroup's findings were evaluated against selected, comparable workforce planning best practices. The team looked at higher education, general industry and the State of California.

B. Phase 1 recap

B.1. Phase 1 report

The UCOP white paper, *Workforce Planning for UCOP: Setting the Strategic Direction* laid the foundation for UCOP's workforce planning. It provided the:

- Background
- Business case
- Approach
- Research and benchmarking
- Workforce planning framework
- Strategic direction
- Conclusion and next steps

UCOP completed a best practice analysis of 27 top teaching and research institutions, CalHR, and the Corporate Executive Board's (CEB) Best Practice Analysis of 35 different companies. The findings led UCOP to follow the CalHR best practice model and adding a few steps.

Phase 1 included a stakeholder analysis, a preliminary analysis of the current workforce and an environmental impact analysis. More detail on Phase 1 is in [Appendix I](#).

B.2. Strategic direction

In Phase 2, setting the strategic direction, UCOP followed six steps:

1. Obtain executive support
2. Establish stakeholder ownership
3. Align workforce planning efforts with UCOP's strategic direction
4. Gain a preliminary understanding of the current workforce
5. Identify environmental factors that impact UCOP's workforce needs
6. Analyze current and future impact of these environmental factors

The workforce planning process is an ongoing organization-wide commitment to ensuring the right people are in the right roles doing the right things. There must be ownership at multiple levels for successful design and implementation.

A survey of 400 professionals conducted through a partnership between the Human Capital Institute and Work Day⁴ reveals that senior leadership support is critical to moving workforce planning forward. Equally critical is that workforce planning be conducted organization-wide, not just as an HR initiative. This is difficult in practice: 56% of survey respondents indicated that the Human Resources function owns their workforce planning process, while only 5% indicated that organization managers own the process.

UCOP Human Resources develops the overall workforce planning process including:

- Identifying roles and responsibilities
- Ensuring the necessary data are available
- Developing support tools for assessment of talent and planning and for attracting, recruiting, developing and retaining talent
- Training the organization on process and tools
- Evaluating and monitoring the success of the workforce plan
- Capturing and communicating iterative changes necessary for continued growth

While Human Resources can lead the process, it takes leaders from across the organization to invest in and own workforce planning. From departments and divisions to executive leadership, a commitment to a strong, skilled and efficient workforce will ensure that UCOP has the right competencies and capabilities.

UCOP's executive sponsors for workforce planning represent the most senior management at UCOP: President Janet Napolitano and Executive Vice President-Chief Operating Officer and Chief of Staff to the President, Rachael Nava. To lead the process, a cross-functional UCOP Workforce Planning workgroup was created. Led by the Executive Director of UCOP Human Resources, the workgroup is joined by representatives from a number of UCOP departments including Budget and Finance, Human Resources, Systemwide Human Resources, Systemwide Information and Technology Services, Systemwide Financial Planning and Analysis, and Institutional Research & Academic Planning. UC Merced and UC Irvine also provided input about workforce planning efforts at their campuses.

Additional key stakeholders were identified:

- UC Board of Regents
- UC Student Regent
- UC Campuses
- Systemwide Executive Budget Committee
- Academic Senate
- UCOP Division Leaders
- UCOP Department Managers
- UCOP Employees
- Human Resources Leadership Council including Systemwide HR

A stakeholder engagement plan was created and stakeholders will continue to be consulted at strategic points to inform and advise during the development of the workforce plan.

⁴ Jenna Filipkowski (2014, November 20). *Successful Strategic Workforce Planning through Collaboration – Human Capital Institute in partnership with Work Day*. Retrieved from <http://www.hci.org/hr-research/successful-strategic-workforce-planning-through-collaboration>

UCOP has 11 divisions. Below are high-level descriptions of each division's responsibilities:

President's Executive Office

The President's Executive Office (PEO) includes the President and a small group of individuals who provide systemwide strategy and policy advice and support and manage presidential calendaring and correspondence.

The Title IX Systemwide office also sits in the PEO, providing direction and support for the Title IX offices at the University's ten campuses, five medical centers, Lawrence Berkeley National Laboratory (LBNL), Agriculture and Natural Resources, as well as the Office of the President. This office implements systemwide initiatives and best practices in harassment prevention and response, provides investigative support, and develops and delivers education and training to Title IX offices and other University partners.

Academic Affairs

Academic Affairs builds on the energy and academic strength of UC's campuses to enhance the system's educational impact. The division manages programs that help position UC and California as engines of economic, social and cultural development. The division ensures that UC remains on the cutting edge of innovation in teaching and learning by supporting new academic initiatives, and collaborating with the leadership of the Academic Senate. The division supports UC in enhancing diversity and a culture of inclusion and directs planning, policy development and strategy in such areas as K-12 academic preparation, international academic activities, library planning and services, research and student affairs.

Agricultural & Natural Resources

The Division of Agriculture and Natural Resources (ANR) is a statewide research and extension of the University of California, responsible for carrying out the fundamental tenets of California's land grant institution, which includes the Agricultural Experiment Station (AES) and Cooperative Extension (CE) missions. ANR is a statewide network of researchers and educators dedicated to the creation, development and application of knowledge in agricultural, natural and human resources.

ANR has a unique role within the University of California. ANR academics conduct research and educate communities directly linked to UC's AES and CE responsibilities, and develops and implements programs in every California County. ANR leadership is actively engaged in ensuring the success of ANR programs and is a critical voice for the State of California's land grant mission.

Office of the Chief Financial Officer

The Office of the Chief Financial Officer has oversight of financial and capital project management at the campuses, academic medical centers and Lawrence Berkeley National Laboratory. Areas of responsibility include budget analysis and planning, accounting and financial controls, risk management, capital markets financing, capital resource management, strategic sourcing and external relationships with rating agencies, investment houses, banks, financial auditors and financial regulators.

Office of the Chief Investment Officer

The Office of the Chief Investment Officer (CIO) reports jointly to the President and the Board of Regents and manages a portfolio of investments in excess of \$100 billion, composed of defined benefit and defined contribution retirement funds, endowment funds and the system's cash assets. The investment objective for

all funds under management is to maximize long-term total returns while assuming appropriate levels of risk. These investments provide substantial benefits to current and retired employees and support the University's mission of education, research and public service. The office also provides fiduciary oversight, adhering to appropriate laws, policies and guidelines established by the Board of Regents of the University of California.

Office of the Chief Operating Officer

The Chief Operating Officer Division has oversight of several operational areas across the University and provides systemwide leadership and oversight of human resource administration and information technology. The division also oversees systemwide operational services, which include the UCPATH Center and the UCPATH implementation. The energy services and sustainability department manage energy procurement and efficiency programs. This division also oversees systemwide and UCOP strategy and program management initiatives as well as internal UCOP operations.

Ethics, Compliance and Audit Services

The Office of Ethics, Compliance and Audit Services (ECAS) reports jointly to the President and the Board of Regents. ECAS provides direction, education, and oversight for the presidential policy process; investigatory services; auditing and monitoring; and guidance and resources to the University to optimize ethical and compliant behavior, provide assurance, and improve operations through effective controls and process. The Office of Audit Services provides the Regents, President and senior management independent and objective assurance as to appropriate management control mechanisms in place, and consulting services designed to add value and to improve operations.

External Relations & Communications

External Relations and Communications (ER&C) focuses on increasing public understanding and support for the University by communicating UC's value and impact on the lives of people in local communities, California, and the nation and advocating for University interests with the state and federal governments. ER&C helps establish, support and strengthen relationships with internal and external constituencies – such as alumni and philanthropists, business and industry – and, in coordination with campuses, facilitating their support for the University. ER&C also conducts legislative policy analysis for the University and cultivates advocates and supporters internally and externally.

Office of General Counsel

The Office of the General Counsel (OGC) reports jointly to the Board of Regents and to the President. Oakland-based attorneys perform legal services for the Regents and the Office of the President and directly supervise all of the University's litigation. Resident counsel, the first legal resource for the University's campus activities, report to the general counsel and, along with the attorneys in Oakland, function as a single legal office.

Organized into five broad practice groups, the Oakland-based attorneys provide legal support to the attorneys and managers on the campuses and medical centers in specialized areas of law. These include business transactions; construction; copyright and trademark; educational affairs; governance; health law and medical center services; labor, employment and benefits; land use and environmental health and safety; legislative affairs; litigation; national laboratory affairs; real estate; and technology transfer. Outside counsel

are retained when OGC lacks a particular expertise or the infrastructure necessary to support the service or when the volume of work exceeds the capacity to provide appropriately timely service.

Office of Innovation & Entrepreneurship

The Office of Innovation & Entrepreneurship (I&E) provides the connective tissue between the UC system and industry, investors, philanthropists and government entities to foster a strong and prolific innovation and entrepreneurial ecosystem that is more expansive than the traditional definition of tech transfer as University innovation. By leveraging across all ten campuses and unifying the innovation and entrepreneurial programs that exist in the UC system, I&E serves as a cohesive unit to create platforms that provide an easier pathway to engage external partners and resources, leading to increased funding support for research, tech commercialization, I&E programs and startup development.

Office of National Laboratories

The Laboratory Management Office (LMO) is responsible for managing UC's prime contract administration and governance at Lawrence Berkeley National Laboratory (LBNL) and for UC's governance of Los Alamos National Laboratory (LANL) and Lawrence Livermore National Laboratory (LLNL) as a member of the Los Alamos National Security, LLC (LANS) and Lawrence Livermore National Security, LLC (LLNS). UC's primary purpose as a member of LANS and LLNS is to maintain LANL and LLNL's scientific excellence and outstanding mission execution. The LMO is responsible for keeping the UC President, Board of Regents and Academic Senate informed of the accomplishments, issues and risks associated with the UC-affiliated national laboratories; providing the information and support, they need to perform their governance and oversight roles related to the laboratories, including as members of the LLC Boards of Governors.

The LMO connects the national laboratories with UC resources, including research and collaboration opportunities, as well as business and operations expertise. The LMO represents the UC Office of the President to the leadership of the Department of Energy (DOE) and its National Nuclear Security Administration (NNSA), and other federal and state agencies on matters related to the UC-affiliated national laboratories.

Secretary of the Regents

The Secretary and Chief of Staff is one of the Principal Officers of the Regents and serves as the primary liaison between and among the Regents and the Administration of the University, working directly with the Board Chair and the President of the University, and with other senior leaders of the Board and University. The Secretary and Chief of Staff is the custodian of certain official corporate records of the University and is responsible for planning and staffing all Board and its Committee meetings. The Secretary and Chief of Staff executes or attests to certain documents, which have been executed on behalf of The Regents, and provides direct administrative support to its members.

UC Health

Health Sciences and Services (HSS) provides leadership and strategic direction to advance the education, research and clinical service missions of the University of California's 17 health professional schools and 11 hospitals, collectively referred to as UC Health. HSS leads and supports systemwide initiatives and programs that add synergy and value beyond the sum of individual campus and medical center contributions.

The division facilitates engagement with the Regents, senior management and campus leaders in decision-making, consultation, information sharing, and strategic thinking and planning for the health sciences. It provides coordination and oversight of health sciences academic affairs and of the business and financial activities of the clinical enterprise. HSS also provides oversight and management of systemwide programs to ensure compliance with UC policies and that objectives and business strategies maximize the value of UC Health to internal and external stakeholders. Other primary functions include monitoring state/national health workforce trends and their impact on UC educational programs, legislative analysis, and representation of UC Health both internally and externally, and advocacy/building public awareness of the value of UC Health and its impact on the lives of Californians and beyond.

Divisional strategic plans

Several of UCOP's eleven divisions have completed divisional strategic plans over the last few years in support of the University's fundamental mission of teaching, research and public service (the entire mission statement is located in [Appendix C](#)). These divisions are:

- Office of the Chief Financial Officer
- Office of the Chief Operating Officer
- Academic Affairs (pending new Provost's review)
- UC Health
- Agriculture and Natural Resources

The Office of General Counsel's plan is on track to be completed this spring, and both External Relations and Communications and the Office of National Labs plans are scheduled for completion in 2019. Another significant strategic plan that was finalized in early 2019 is the Systemwide Title IX office.

Each division's strategic plan focuses on goals to move the organization forward rather than cataloging all services or programs. Common themes across the strategic plans include:

- Commitment to supporting UC's teaching, research, healthcare delivery and public engagement in a manner that matches UC's world-class status
- Achievement across all areas – operations, education, healthcare, research and public service programs – while maintaining the UC pillars of access and affordability
- Core values; integrity; diversity/inclusion; innovation; teamwork/collaboration
- Strategic objectives in five key areas:
 - Advancing the UC mission of teaching, research and public service
 - Policy and advocacy
 - Financial stability
 - Operational effectiveness
 - Workforce/people development

Across the divisions, the "Workforce/people development" goals fall into four areas: diversity and inclusion, career and leadership development, hiring practices, and effective people management.

UCOP is also in the process of completing the UCOP Restructuring Effort launched in 2017. Divisions may experience subtle impacts to their strategic plans due to restructuring decisions. However, the workforce planning strategy will continue to support divisional goals by working with each division to identify the resources needed to achieve its stated mission.

B.3. Methodology

The first step in UCOP's workforce planning was to identify best practices in higher education, general industry, and the State of California. UCOP engaged in multiple discussions with the Chief of Workforce Development Programs and Special Projects Division at Cal-HR to understand the approach they took to build their model; as well as to understand what they are doing to implement their workforce planning strategy. UCOP also participated in the Cal-HR Quarterly Statewide Workforce Planning Forum in October 2017, which provided insight into workforce planning efforts across different State agencies.

Peer higher education institutions were identified as another benchmark. Peer institutions were defined as AAU (Association of American Universities) institutions having a similar size and scope as UC, as well as a central function that supports the different schools and colleges of the organization.

Twenty-seven public and private teaching and research institutions were contacted to identify workforce planning efforts. Seventeen universities responded and nine agreed to be interviewed, of which only two are implementing workforce planning.

Questions were developed to identify common themes, and the Corporate Executive Board's (CEB's) Best Practice Analysis⁵ of 35 different companies was reviewed. This analysis provided insight on the approach general industry is taking towards workforce planning in plan ownership, data and analytics, and budget. Challenges such as lack of leadership commitment, lack of tools, resources, and technology were identified as well as challenges unique to large organizations:

- Most workforce planning efforts are decentralized and not leveraged across the organization
- There is a lack of accurate data internally available to evaluate workforce trends, and
- Many organizations have disparate systems making gathering data challenging.

As a result of the best practice analysis, UCOP added the following steps to Phases 1, of the model shown in Figure 1:

- Benchmarking and best practice analysis
- Launch of a pilot to familiarize UCOP leaders on workforce planning tools/processes

As a part of the FY18/19 budget call, a workforce planning pilot was facilitated. The CFO division and two departments within the COO division, ITS-Technology Delivery Services and UCPath, participated in the pilot. The purpose was to test the workforce planning template to ensure:

- User instructions were clear
- Data in the template were complete
- The template was user friendly
- Output from the workforce planning template was as expected

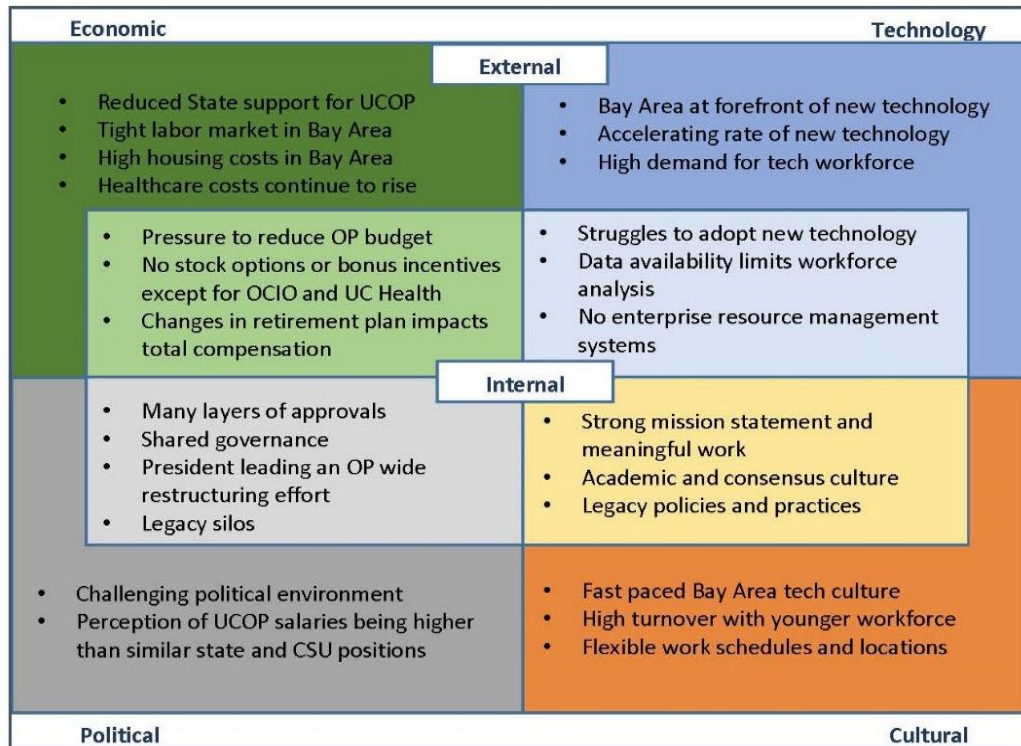
Participants found no major issues and identified a few areas to be revised such as eliminating duplicate data entry or clarifying the difference between promotion increase recommendations versus merits.

⁵ Brian Kropp, Mark Van Buren (2013, May). *CEB Corporate Leadership Council: Benchmarking Current Approaches to Workforce Planning*. Retrieved from: <https://www.cebglobal.com/human-resources.html>

B.4. Environmental factors

Changing internal and external environments impact both the demographics and the needs of any workforce. Factors impacting UCOP’s current and future workforce needs are in Figure 2.

Figure 2. Internal and external environmental factors impacting UCOP’s workforce needs



Some of the challenges outlined above can be impacted by UCOP and others are outside UCOP’s control. Workforce planning can help UCOP navigate economic, technological, cultural and political challenges. As UCOP works through restructuring efforts and workforce planning strategy evolves, decisions will be made to ensure UCOP has an efficient and effective structure to carry out its complex functions and services.

Economic factors

Economic factors in the Bay Area and California impact UCOP, including:

- The Bay Area job market is tight, having reached full employment for the first time in years making the market for skilled labor extremely competitive.
- The cost of living in the Bay Area is one of the highest in the nation. Bay Area home prices and rents continue to outpace inflation year after year, making living in the Bay Area a challenging long-term option for existing employees and a barrier to attracting new employees.
- Unlike other employers in the Bay Area, UCOP generally does not have benefits such as bonus plans, stock options and other perks.
- A recent study on UCOP’s compensation structure found UCOP base salaries are lagging the Bay Area market by 8-10%, making it hard to compete.

Political factors

UCOP is in a challenging political environment locally and nationally. Highlighted below are some political factors:

- Public confidence and credibility
- Impact to federal funding due to budget cuts
- Conversations with the state legislature on the size, priorities, and funding of UCOP and the University
- Impact on staff morale and increased stress as a result balancing implementation of CSA audit recommendations with day-to-day responsibilities. Since April 2017, over 17,000 hours have been logged by UCOP staff on audit response-related tasks.

Cultural factors

UCOP employees identify with the UC's mission and commitment to teaching, research, and public service. UCOP staff are perceived as subject matter experts in their field and are credible, smart, and dedicated. However, UCOP faces challenges in building a culture of highly engaged employees:

- Processes with many layers of decision approvals
- A culture of consensus decision making, which allows a minority group veto power on internal decisions, slowing innovation
- Outdated processes and policies making some work challenging to navigate
- Silos that impede collaboration
- Perception of slow adoption of more flexible work hours and the ability for more employees to work remotely
- Change fatigue and balancing workloads

Technological factors

Technology is developing at a rate which can be both beneficial and challenging. As more work is done in online environments, it will change how work is done. The Bay Area is at the forefront of this technological change, yet UCOP tends to be a late adopter. Challenges include:

- The sophistication of UCOP's workforce analysis is limited by the availability of data
- The UC Path project will create new and more reliable data sources; however, years of data will need to be collected before long-term trends can be analyzed
- UCOP does not have an integrated enterprise resource management (ERM) system that brings together finance, budget, and human capital management systems on a common platform
- The use of several different systems that do not share data easily results in information gaps
- Budget constraints limit employing cutting edge technology, a challenge for efficiently completing tasks and recruiting a more technically savvy workforce

These are just some examples of factors that impact the UCOP workforce. Understanding their impacts informs the workforce plan.

Outlined below is a preliminary analysis that considers the impact of the environmental factors, current trends in the workforce and in demographics.

Impact of environmental factors

- UCOP will continue to experience pressure to reduce its budget, increasing the need for examining how work is done and determining how to refine and streamline processes to create efficiencies.
- The UCOP restructuring effort will require continued UC-wide exploration and changes to respond to recommendations. This ongoing process with unknown outcomes can lead to stress for employees.
- Continued pressures from external stakeholders coupled with a strong tight market for talent can impact on employee culture and engagement. UCOP could experience higher than expected turnover.
- UCOP will need to consider what data managers and users need and how information can be automatically loaded and accessible.
- UCOP has an opportunity to explore technologies and policies that support work flexibility.

Current trends

- A strong economy creates opportunities for candidates to be selective. UCOP will experience more challenges recruiting experienced talent and will need to identify critical skills too costly to hire externally and determine how to develop those skills internally.
- The impact of a tight talent market can increase time to fill a vacancy. This may impact on vacancy rates and productivity at UCOP.
- Generational expectations and behaviors will continue to have an impact on the UCOP workforce. UCOP will continue identifying ways that meet the needs of different generations working together.

Comparison of current trends against demographic needs

- UCOP must plan for potential loss of expertise and institutional knowledge from anticipated increases in retirements over the next two years, as well as attrition due to dissatisfaction and/or fatigue with the workplace culture.
- UCOP is competing in a very challenging market where salaries are very competitive creating potential retention issues
- UCOP restructuring will identify new functions and services needed to support UC and functions and services that may be eliminated. This shift may identify skill, knowledge, and competency gaps in the current workforce.
- Professionals entering the workforce may have a different set of expectations from their employers and do not necessarily see their jobs as careers but simply as a paycheck. This may impact the length of time an employee stays at UCOP creating a need to think differently about retention and turnover.

It will be critical to identify the impacts of these factors. One method would be to look at supply and demand differences between locations such as the market clearing wage for technical talent in Sacramento compared to Oakland.

Much is demanded of UCOP, and much is produced. This workforce plan is the foundation by which UCOP can continue to support the overall mission of the University to meet the growing demands of the premier higher education public institution.

B.5. Demographics

UC note: UC has a separate personnel system from Cal-HR and State agencies and so the Cal-HR key metrics were used as guidelines to create identical or similar metrics using the UC Corporate Personnel System (CPS) that align with the Accountability Report. Some of the Cal-HR metrics were not available using UC data.

The following is a comparative workforce summary of the UCOP workforce to UC systemwide and state of California demographics. The snapshot is from October 2018. The data describe the gender/ethnic distribution of the UCOP career workforce in total and by personnel program.

The demographic overview reveals the following:

- **Full Time Employees (FTE):** With 1,925 employees or 1,747.8 FTE (full-time equivalent), UCOP is one of the smallest UC locations, making up less than one percent of UC employees.
- **Gender balance:** The UCOP workforce is 61.2% women and 38.8% men.
- **Years of service:** The average years of service for UCOP employees is about eight years⁶.

All figures and tables below are for UCOP only, except when noted that the UCOP workforce is being compared to other locations.

Figure 3. UCOP workforce summary, October 2018

In October 2018, UCOP's workforce included 1,925 individuals, representing 1,748 full-time equivalent (FTE) employees. Over half are professional and support staff (PSS). The average age is 47 years and the average service time is 7.5 years.

	Headcount*	FTE**	Avg. Service Years	Avg. Age
Senior Mgmt Group	38	36.3	8.3	55.0
Managers	257	237.0	10.5	52.5
Sr Professionals	498	456.8	8.0	48.9
PSS Represented	195	176.2	6.0	43.3
PSS Non-Represented	861	803.0	6.9	45.5
Academic	55	34.6	9.4	42.2
Student Staff	21	3.7	0.7	21.1
Grand Total	1,925	1,747.8	7.5	47.0
Career Staff	1,668	1,565.2	7.9	47.2

Source: UC Corporate Personnel System

*Headcount represents unique employees with any earnings, regardless of full-time or part-time status. Employees with more than one appointment are counted in their principal position.

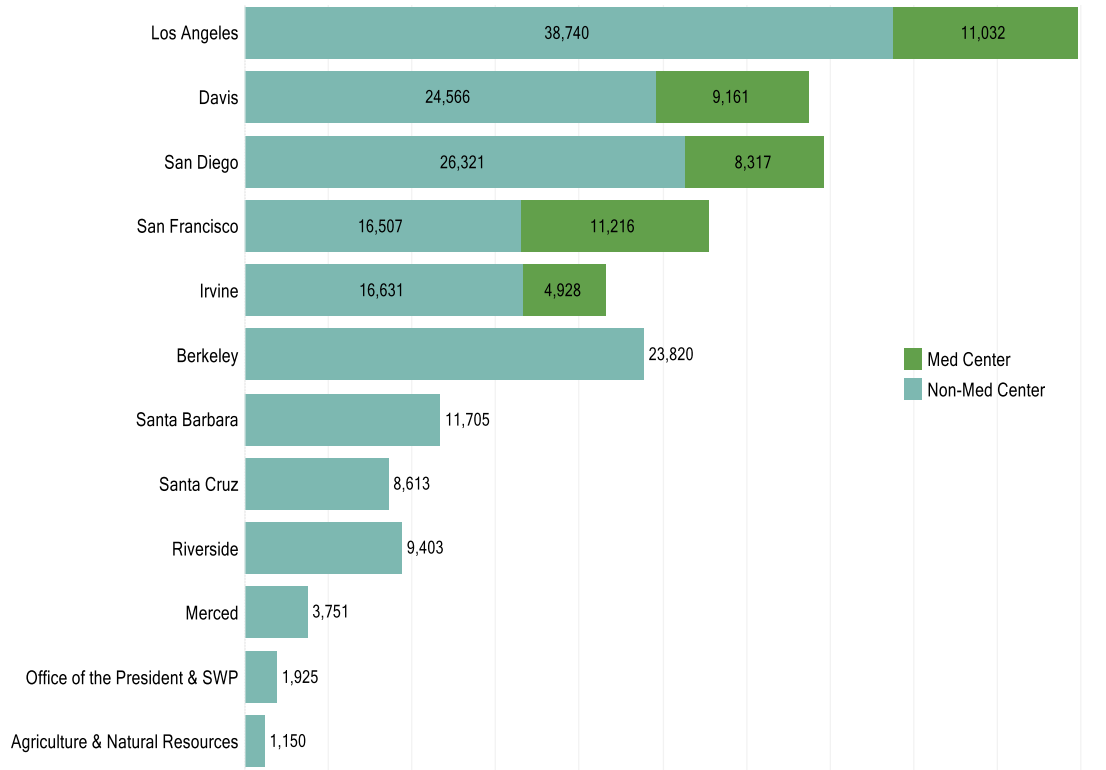
**FTE (full-time-equivalent) statistics provide the effective size of the workforce, representing the percent effort by each employee in each position held.

Figure 4. UC workforce headcount by location, October 2018

⁶ The data source for this information was gathered from the CPS system that derives the information from UCPath. UCPath contains limited historical employee data. Therefore, for years of service eight years may be slightly understated.

UCOP Workforce Plan Phase 2

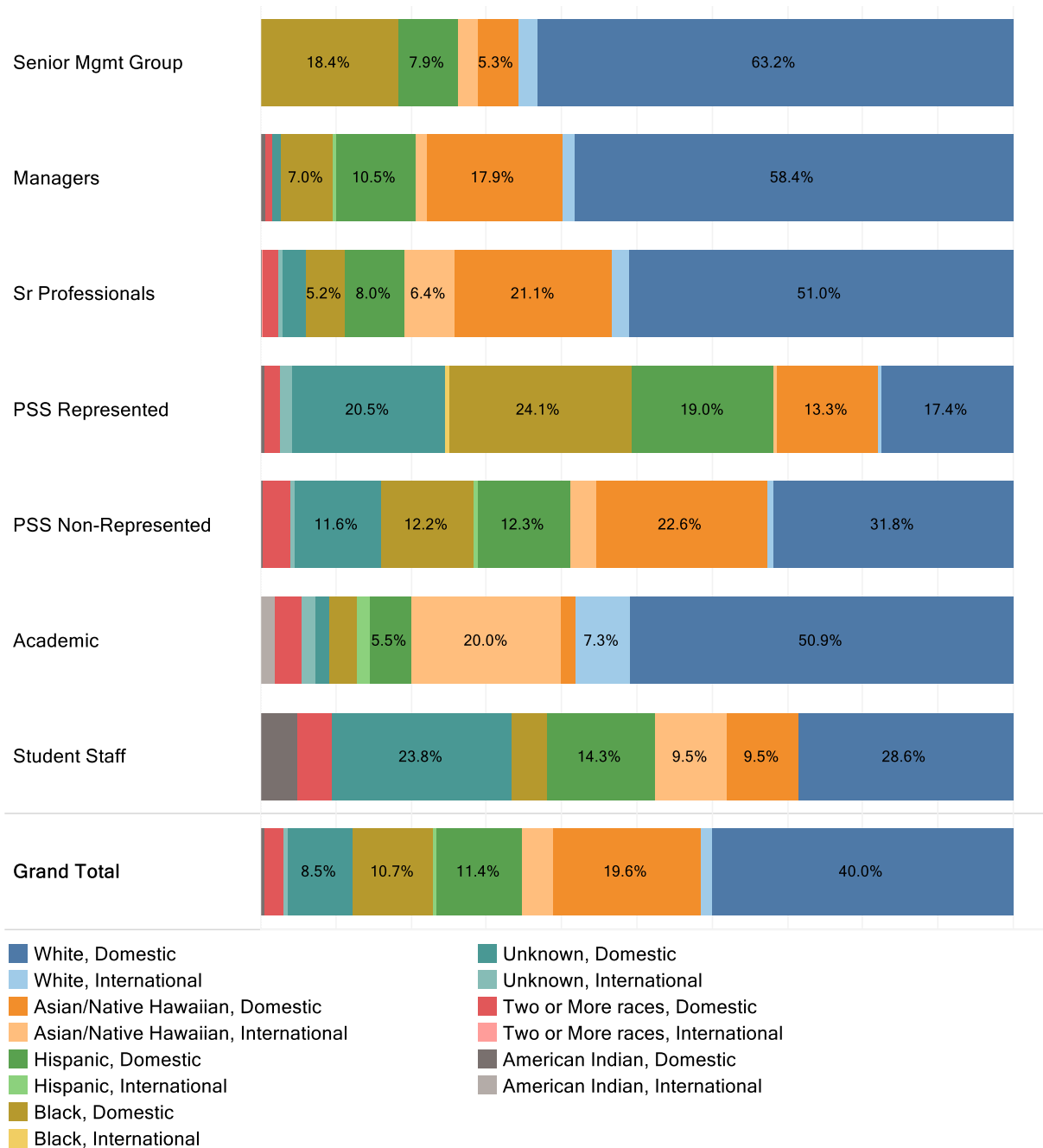
Compared to the other locations in the University of California system, Office of the President is one of the smallest sites in terms of headcount. UCOP represents 0.84% of the UC workforce.



Source: UC Corporate Personnel System

Figure 5. UCOP personnel by race/ethnicity, October 2018

The professional and support staff (PSS) segment is the most diverse whereas management and senior positions are less diverse.



Source: UC Corporate Personnel System

The next Figure 5A has additional details related to Figure 5.

Figure 5A. Table of UCOP personnel by race/ethnicity, October 2018

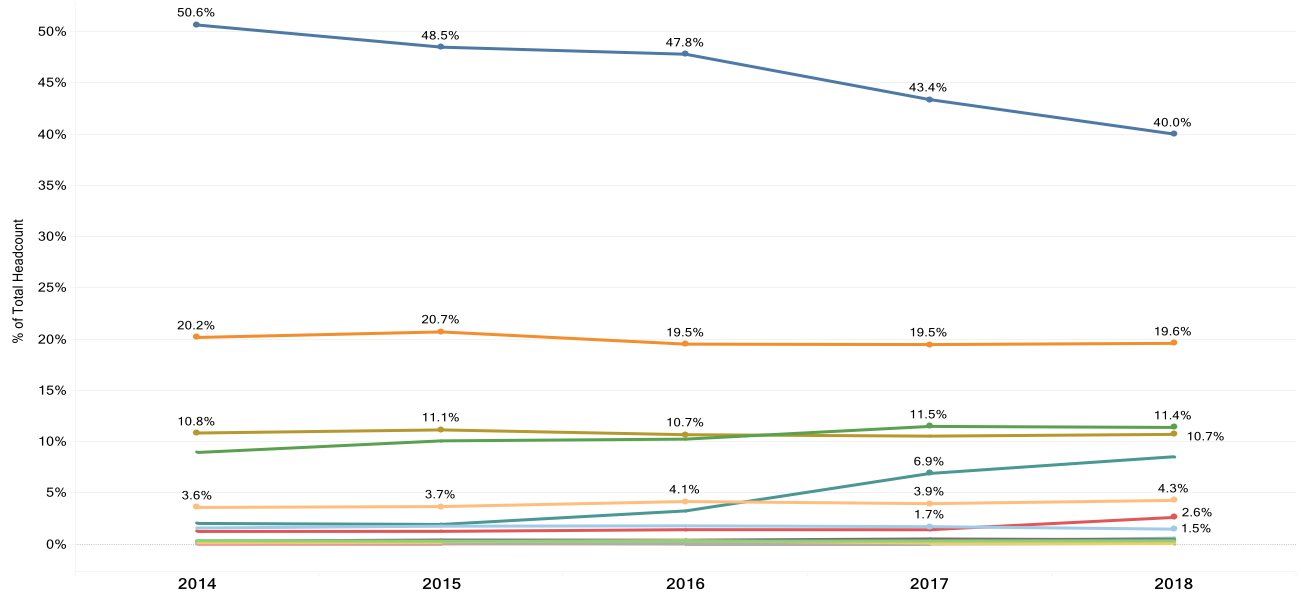
This table displays the UCOP workforce represented by race/ethnicity and citizenship combination. About four out of every ten UCOP employees belong to the domestic white sub-segment. Nearly one of every ten UCOP employees does not identify with any racial/ethnic group.

	White		Asian/Native Hawaiian		Hispanic		Black		American Indian		Two or More races		Unknown	
	Domestic	International	Domestic	International	Domestic	International	Domestic	International	Domestic	International	Domestic	International	Domestic	International
Senior Mgmt Group	63.2%	2.6%	5.3%	2.6%	7.9%		18.4%							
Managers	58.4%	1.6%	17.9%	1.6%	10.5%	0.4%	7.0%		0.8%		0.8%		1.2%	
Sr Professionals	51.0%	2.2%	21.1%	6.4%	8.0%		5.2%		0.2%		2.0%	0.2%	3.0%	0.6%
PSS Non-Represented	31.8%	0.8%	22.6%	3.6%	12.3%	0.5%	12.2%	0.1%	0.3%		3.6%		11.6%	0.5%
PSS Represented	17.4%	0.5%	13.3%	0.5%	19.0%		24.1%	0.5%	0.5%		2.1%		20.5%	1.5%
Academic	50.9%	7.3%	1.8%	20.0%	5.5%	1.8%	3.6%			1.8%	3.6%		1.8%	1.8%
Student Staff	28.6%		9.5%	9.5%	14.3%		4.8%		4.8%		4.8%		23.8%	
Grand Total	40.0%	1.5%	19.6%	4.3%	11.4%	0.3%	10.7%	0.1%	0.4%	0.1%	2.6%	0.1%	8.5%	0.6%

Source: UC Corporate Personnel System

Figure 5B. Demographic trend for UCOP workforce by race/ethnicity

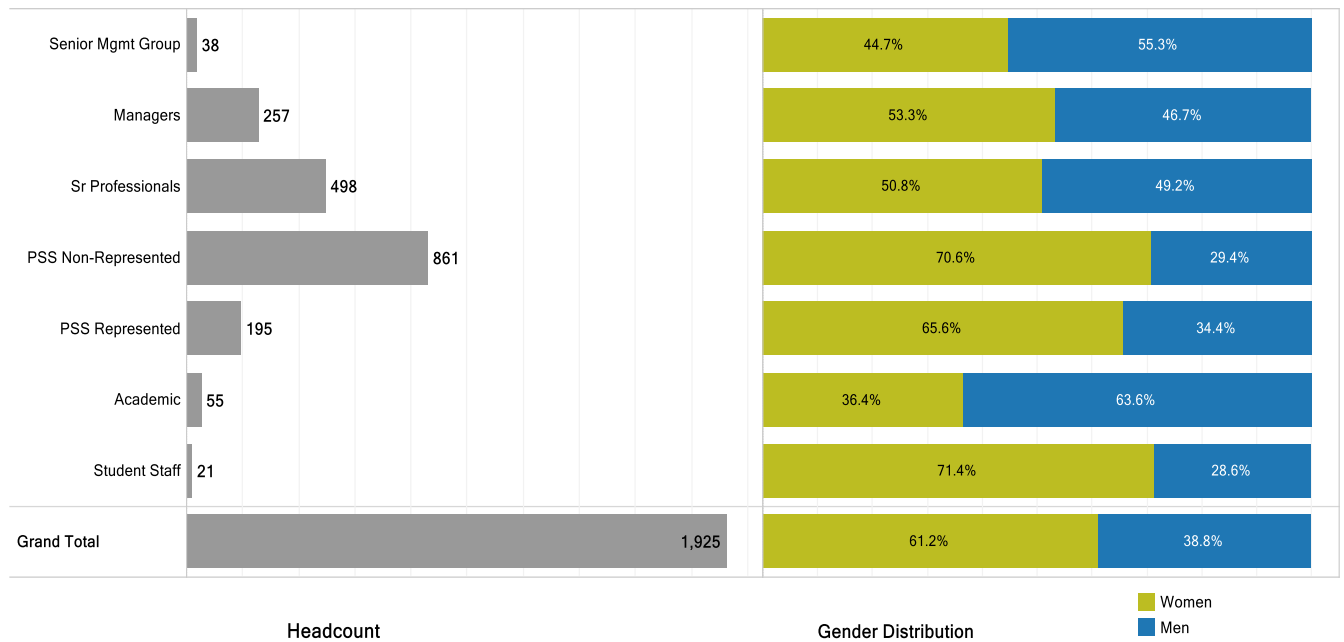
UCOP has sought to improve representation of historically underrepresented domestic racial/ethnic groups. Diversity has increased over the past five years at all staffing levels. The percentage of unrepresented groups increased slightly from 20.7% (year 2014) to 23% (year 2018).



Source: UC Corporate Personnel System

Figure 6. UCOP personnel by gender, October 2018

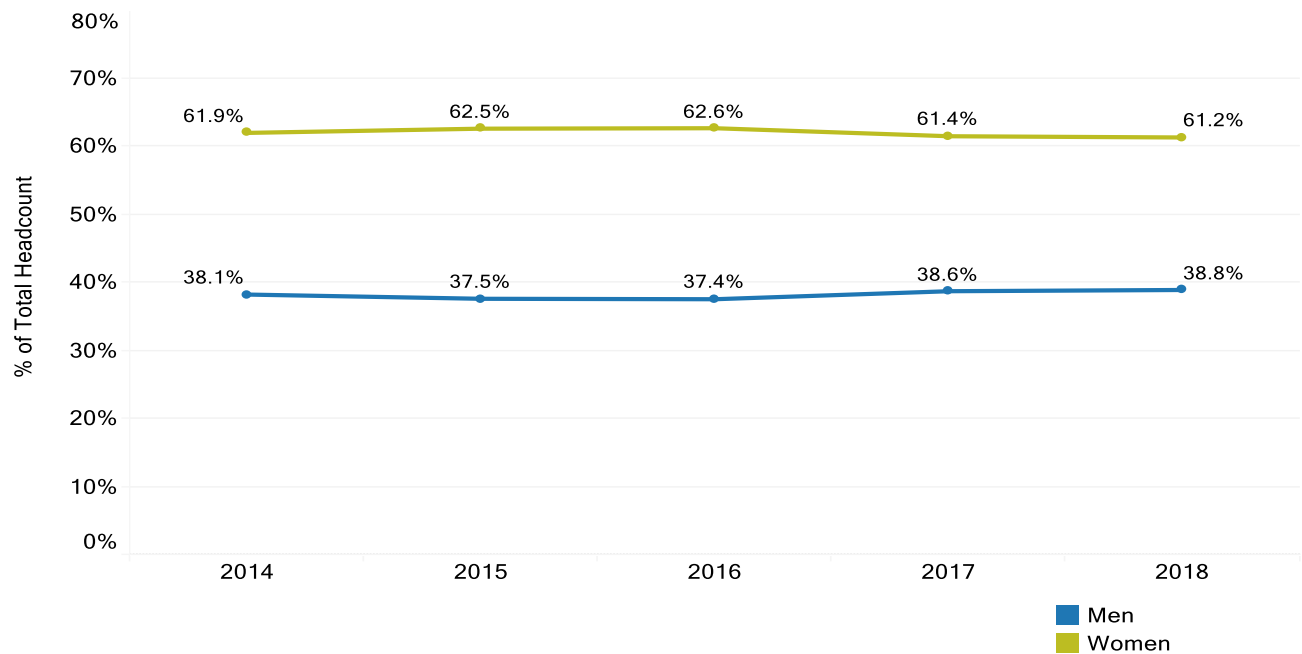
Figure 6 depicts the six out of every ten UCOP employees are women.



Source: UC Corporate Personnel System

Figure 6A. Demographic trend for UCOP workforce by gender

Women have held steady at around 60% of UCOP employees for the past several years.



Source: UC Corporate Personnel System

Summary

A comparative analysis of how UCOP managers statistically compare to diversity statewide found that from a gender perspective UCOP's workforce is most like Cal-HR. UCOP is 61.2% female and 38.8% male. Cal-HR is 65% female and 35% male, whereas the state of California as an employer is 46% female and 54% male. As it relates to ethnicity and race, UCOP manager-level employees are similar to Cal-HR and the state.

C. Workforce overview

The University is committed to continuous improvement. As such, periodic self-reflection of our internal UCOP organizational structure is an important exercise to maintain UC's level of excellence. Over the past few years, the OP leadership team has taken several actions that improve the effectiveness and efficiency of our office while aligning our work in support of the university's core mission. Two key components of this approach are the UCOP Restructuring Effort led by the President and the recently released University of California 10 Campus Study Report⁷ commissioned by the UC Regent Chair.

The comprehensive UCOP organizational review launched late in 2017 included a third party review of all 11 divisions and assessed the organizational design, alignment, portfolio and strategy. This review was an important step to take towards ensuring we have an organization equipped for success and a workforce that can support UC for the long term. All findings were vetted with campus constituents and although gaps were identified in a few areas, the general findings from the divisional reviews supported our current organizational structure. A few of the more notable changes were:

- the streamlining of internal and external communications and government relations work into a single External Relations and Communications division,
- the shifting of the UC Education Abroad Program (EAP) operations from UCOP to the UC Santa Barbara campus near where EAP was already physically located,
- the transition of transactional patent operations from Innovation and Entrepreneurship to Academic Affairs, which aligns the patent policy function with operational services,
- UC Riverside was appointed as the lead campus for the newly integrated UC Mexico Program, which includes UC Mexico Initiative, UC MEXUS, and la Casa de California, and
- moving the Title IX office from Ethics, Compliance and Audit Services to the President's Executive Office

The UCOP restructuring activities will wrap up in early 2020. As such, impacts and outcomes based on final recommendations and decisions will be included in the Phase 3 design where the workforce planning team will be developing strategies and an action plan to help UCOP meet the organization's long-term goals.

The University of California 10 Campus Study was another third party review to elicit the campus perspective of UCOP programs and activities. A working group was established in the summer of 2018 and a response to the Study was completed in January 2019. Following the review UCOP departments and 18 different functions (e.g., Diversity programs, undergraduate research, institutional advancement, operational services,

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etc.) within UCOP, the working group confirmed that little duplication existed between the campuses and UCOP activities and scope of work. While recognizing UCOP's progress in streamlining activities to date, the working group did identify a few areas that could benefit from further refinements.

Overall, there was strong acknowledgement that relations between the campuses and UCOP have improved significantly over the past year. The findings of the working group concluded there was no significant areas of duplication or redundancy; however, clarity around department descriptions and titles would be helpful to eliminate confusion around the nature of the work. Further clarity around distinction between campus and UCOP roles was also identified as an area of opportunity. As related to processes, it was recommended that more attention be paid to streamlining and continuing to improve communications and campus relations.

Insights and information captured through the UCOP Restructuring Effort and the University of California 10 Campus Study will be incorporated where applicable as we enter the next Phase of the workforce planning process: *Phase 3, Develop Strategies and Action Plan*.

C.1. Competencies

Introduction

This section of the report focuses on the UCOP competency model, its development and how competencies are being used at UCOP. This competency analysis informed the gap analysis and qualitative data analysis.

Definition of competencies

Competencies describe how to accomplish goals and job responsibilities. The UCOP Competency model in Figure 7 is based on the 2011 UC Core Competency Model⁸ ([Appendix D](#)). Building a business case for continued investment in staff learning and development, in light of the University's near-term fiscal crises and longer-term emphasis on administrative efficiency was one of the primary reasons for the UC Learning and Development Consortium. At its first meeting in January 2011, Consortium representatives began drafting competencies to be included in the UC Core Competency Model.

The model is a foundational tool for the assessment and development of staff, managers and leaders. Broader applications for the model include the following areas:

- Employment, including job descriptions, job postings, interviewing and selection
- Compensation, including position classification and job family design
- Performance management
- Career development
- Succession management

The model describes targeted, expected, and satisfactory performance, where seeking excellence is the standard. The core competencies in the model are expected to be demonstrated in all employee roles. Managers have additional competencies.

The Consortium, in developing the descriptors and behavioral indicators in the model, has been deliberately broad and inclusive of existing core competencies already developed at several UC

⁸UC Core Competency Model, May 2011, <https://www.ucop.edu/human-resources/files/uc-core-competency-model.pdf>

locations. The Core Competency Model was reviewed and endorsed by the Chief Human Resources Officers at their May 2011 Meeting. The UCOP competency model describes expected behaviors focused on aligning behaviors with results. As such, it is a foundational tool for the assessment and development of individual contributors, managers and leaders. The UCOP competency model consists of one technical, seven foundational, and two leadership competencies as shown in Figure 7. The foundational and technical competencies are expected to be demonstrated in all employee roles. Those responsible for managing others are rated on the two additional leadership competencies.

Figure 7. UCOP competencies

Technical competencies	Foundational competencies	Leadership competencies
Job mastery	Collaboration & communication Customer/client service focus Self-management Innovation & change management Problem solving & decision making Principles of community Stewardship	People management Leadership

Background of competencies in the UCOP performance appraisal process

Ideally, organizations develop their performance appraisal process by defining core competencies that are part of the human resource strategy to form a common language and define behaviors that drive performance across the organization. From there, human resource processes such as recruiting, training and employee development, performance management and development, talent assessment and succession planning, coaching and leadership development, are built. As an organization’s human resource strategy matures, so does the competency model.

At UCOP, the performance appraisal process was built using the core competencies as the foundation and has evolved over the last five to six years. During this time, a competency based performance appraisal was implemented. Figure 8 highlights the current appraisal process.

Figure 8. UCOP performance appraisal process



In this process, employees receive a single rating for business goals, a rating for each competency, and a cumulative rating for overall performance.

Feedback from a 2016 survey resulted in recommended changes to the performance appraisal process:

- Develop a robust communication plan with clear timelines
- Simplify the performance appraisal process

- Continue with 8 competencies – eliminate redundancies
- Continue with 5-point rating scale – refine and clarify definitions
- SMART goal training How to Write Smart Goals
- Continue to provide guidance to assist the organization with building ratings consistency
- Add ratings to individual goals on the annual performance appraisal
- Training on evaluating goals and competencies for all UCOP employees
- Develop and facilitate training for all managers and non-managers
- Train on Halogen (the electronic performance appraisal platform)
- Implement learning labs
- Introduce a mid-year review process
- Ongoing training and education on building a common language and consistent rating process

The recommended changes were implemented and the division leaders supported training across UCOP for the Fiscal Year 2016-17 performance appraisal process focused on SMART goals. Over 1,600 employee and managers attended this training. A second training was developed to include:

- reviewing and evaluating competencies,
- writing and evaluating business goals, and
- providing overall feedback.

Over 1,550 employees and managers attended this training. Attendance at both of these trainings was the beginning of creating a common language and understanding across UCOP about performance expectations and performance measurement. Figure 9 lists UCOP’s performance rating standards reviewed and discussed in the training.

Figure 9. UCOP performance rating standards

Rating	Definition
Outstanding	Exceptional outcomes generated responding to unforeseen or changing circumstances; consistently highest level of performance impact.
Exceeds expectations	Very high level of contribution; consistently performed above and beyond all defined expectations.
Successfully meets expectations	Strong, solid achievement of performance expectations, and at times possibly exceeding expectations. High level of contribution.
Development needed/new and learning	Performance expectations partially met; moderate level of contribution; some critical goals completed; achievement below expectations. Improvement needed in the position. <u>New in position</u> , developing appropriately, performance was good given time in the position.

Competencies are critical because they describe how work is accomplished. For example, principles of community describes the working environment expected at UCOP: collaborative, fair, cooperative, ethical and professional. An employee who is not meeting expectations in this area could be difficult to work with. Even though an employee may be competent at completing the work, lacking principles of community can

impact the overall work. Therefore, significant time was invested discussing the competencies and providing examples for evaluation.

As employees and managers become more familiar with the competency and rating language, consistency will continue to increase. As we begin to see more consistency, confidence in objective ratings will build.

Another area of opportunity was the consistent calibration of ratings. It is important for each manager to be consistent and it is equally important that managers in the department, division, and across divisions rate employees consistently. Calibration of ratings should take place across the organization based on a pre-defined organizational standard. Currently at UCOP, calibration exists only within the division. Moving to a cross-divisional process will build more consistency as leaders listen to each other and the rationale for ratings. This will build rater reliability and trust among managers and non-managers that ratings are fair and equitable.

UCOP has been working over the last three years to build a common language and more consistency in how managers rate competencies helping to build a high performance culture. The next section will provide insight into competency analysis by looking at three years of competency data.

C.2. Core competency analysis

The analysis references the fiscal years 2015-16, 2016-17, and 2017-18. The data must be interpreted with the caveats above, such as rater inconsistency and a lack of calibration within divisions and across divisions.

An analysis of the average rating of core competencies in 2017-18 by job family is shown in Figure 10. A clustering around the rating level 3: successfully meets expectations may be influenced by annual merit pay guidelines that stipulate only a small percentage of employees should be rated as 4 or 5.

Figure 10. UCOP core competency snapshot 2017-18: average rating by job family



Source: UCOP Halogen performance appraisal system

The following are highlights of the 2017-18 cycle of the performance management process:

Strengths

- Job mastery: This competency reflects employees’ proficiency in their jobs, including technical knowledge and skills to accomplish their work effectively. The 2017-18 score demonstrates that the workforce at UCOP successfully meets expectations.
- Collaboration and communication: The data reveal UCOP workforce strengths in collaboration and communication as well as customer/client service focus across all job families. These competencies are reflective of UCOP’s role as a systemwide entity that works with numerous internal and external stakeholders. UCOP strives to build strong partnerships with constituents (including UC campuses and medical centers) and to work collaboratively to meet the shared objective of serving society through teaching, research, and public service.

Areas of opportunity

- People management: People management can be an opportunity for improvement. This competency was also highlighted in the 2017 UC employee engagement survey results. Through training, managers can build people management skills to coach, develop and provide better feedback. UCOP is participating in the UC Systemwide People Management Certificate program to help managers better understand their role, and to help build the skills and knowledge needed to manage people.

- Stewardship: This competency is a gauge of employee’s understanding of managing all resources (i.e. people, financial, time, office supplies, etc.) for making business decisions. A lower score in year 2017-18 relative to scores across other competencies indicates while we successfully meet expectations in this area. This is an area we would like to further improve and build best practice capabilities across the organization.

C.3. Competency analysis – snapshot

Figure 10A is a three-year competency snapshot (2015-16, 2016-17 and 2017-18). This reveals that most ratings remained consistent within the range between 3 (successfully meets expectations) to 4 (exceeds expectations). Although the overall variation is minimal, the following five competencies showed a slightly higher variation:

- Collaboration and communication
- Customer/client service focus
- Job mastery
- Leadership and people management
- Stewardship

Figure 10A. UCOP core competency snapshot 2015-16 to 2017-18: average rating by job family

	Call Center			Communications			External Affairs			Facilities Development and EHS			Finance			General Administration			Human Resources			Information Technology			Investment Management			Legal Services			Research Administration			Student Services		
	2015-2016	2016-2017	2017-2018	2015-2016	2016-2017	2017-2018	2015-2016	2016-2017	2017-2018	2015-2016	2016-2017	2017-2018	2015-2016	2016-2017	2017-2018	2015-2016	2016-2017	2017-2018	2015-2016	2016-2017	2017-2018	2015-2016	2016-2017	2017-2018	2015-2016	2016-2017	2017-2018	2015-2016	2016-2017	2017-2018	2015-2016	2016-2017	2017-2018			
Collaboration and Communication	3.1	3.3	3.3	3.3	3.3	3.5	3.3	3.1	3.8	3.4	3.4	3.4	3.5	3.4	3.4	3.4	3.5	3.5	3.4	3.3	3.4	3.3	3.2	3.3	3.4	3.5	3.8	3.7	3.8	3.9	3.6	3.8	3.7	3.4	3.3	3.4
Customer/Client Service Focus	3.5	3.4	3.4	3.3	3.4	3.4	3.7	3.5	3.8	3.3	3.4	3.4	3.5	3.4	3.5	3.4	3.4	3.5	3.4	3.4	3.4	3.2	3.3	3.6	3.7	3.8	3.7	3.5	3.7	3.7	3.5	3.3	3.3			
Job Mastery	3.0	3.2	3.2	3.2	3.3	3.5	3.2	3.1	3.4	3.1	3.2	3.2	3.3	3.2	3.3	3.3	3.3	3.4	3.4	3.4	3.4	3.4	3.3	3.3	3.5	3.6	3.9	3.6	3.7	3.9	3.5	3.4	3.7	3.2	3.2	3.4
Self Management	3.1	3.1	3.2	3.2	3.4	3.5	3.4	3.3	3.4	3.1	3.1	3.1	3.3	3.2	3.3	3.3	3.2	3.3	3.4	3.3	3.4	3.2	3.2	3.2	3.2	3.5	3.9	3.5	3.5	3.5	3.4	3.5	3.6	3.3	3.2	3.3
Innovation and Change Management	3.2	3.2	3.1	3.3	3.2	3.4	3.3	3.2	3.4	3.2	3.2	3.2	3.3	3.2	3.3	3.3	3.3	3.3	3.3	3.3	3.3	3.3	3.2	3.3	3.3	3.6	3.5	3.3	3.4	3.3	3.6	3.5	3.6	3.4	3.4	3.4
Problem-Solving and Decision-Making	3.2	3.1	3.3	3.2	3.2	3.2	3.0	3.1	3.6	3.1	3.0	3.0	3.3	3.3	3.3	3.3	3.2	3.3	3.4	3.4	3.4	3.3	3.2	3.3	3.3	3.4	3.7	3.4	3.3	3.4	3.3	3.4	3.3	3.2	3.2	3.2
Principles of Community	3.1	3.1	3.2	3.1	3.3	3.3	3.6	3.4	3.5	3.2	3.2	3.2	3.2	3.2	3.2	3.3	3.3	3.3	3.3	3.2	3.2	3.1	3.1	3.1	3.3	3.2	3.4	3.8	3.7	3.3	3.2	3.4	3.3	3.4	3.1	3.1
Stewardship	3.0	3.0	3.0	3.1	3.0	3.1	3.2	3.1	3.3	3.1	3.2	3.2	3.1	3.1	3.1	3.2	3.2	3.1	3.2	3.2	3.1	3.1	3.0	3.1	3.3	3.0	3.4	3.2	3.3	3.1	3.2	3.3	3.2	3.2	3.0	3.0
People Management	3.6	3.3	3.5	3.2	3.1	3.2	3.4	3.0	3.4	3.4	2.9	2.8	3.4	3.1	3.3	3.4	3.2	3.3	3.4	3.4	3.2	3.3	3.2	3.3	3.1	3.0	3.2	3.0	3.6	3.5	3.0	3.3	3.4	3.3	3.3	3.1
Leadership	3.2	3.1	3.5	3.5	3.3	3.2	3.5	3.0	4.0	3.3	3.2	3.2	3.4	3.2	3.3	3.6	3.4	3.3	3.3	3.3	3.1	3.5	3.3	3.2	3.4	3.2	3.5	3.0	3.4	3.0	3.4	3.8	3.6	3.5	3.5	3.1

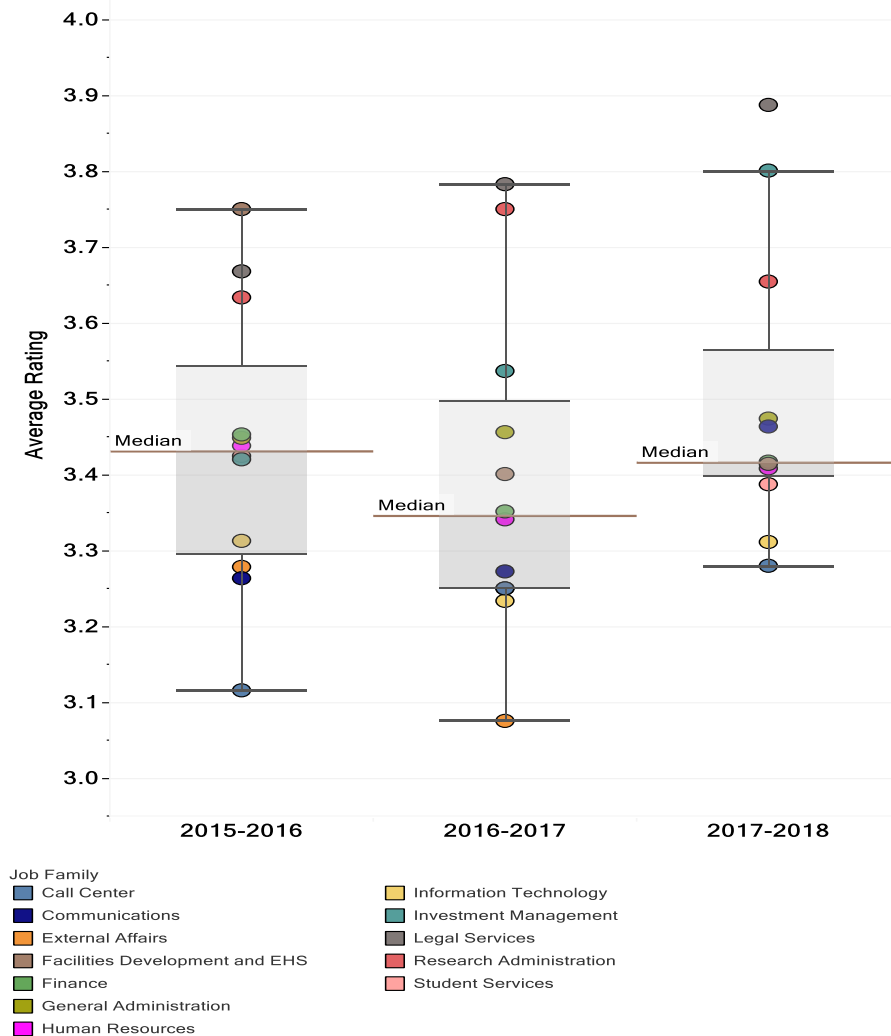
Source: UCOP Halogen performance appraisal system

The following box plot figures display the distribution of competency ratings with five-number summaries: minimum, first quartile, median, third quartile, and maximum. The box plot consists of a central rectangle/box that extends from the first quartile to the third quartile, thus containing the middle 50% of the data set. A vertical segment marks the median, i.e. the center of the data spread. Line segments or whiskers extend from the bottom and top ends of the box to the minimum and maximum values of the data set, respectively. The whiskers indicate visually where the bottom 25% and the top 25% of the data values fall. This approach is useful to visualize the spread of the data and identify outliers.

Collaboration and communication

Figure 11 illustrates how various job families at UCOP have progressed in collaboration and communication during the last three years. While the spread has remained consistent, the median rating in the 3.3-3.4 range is stronger than other competencies. This strength is attributable to UCOP’s strategic positioning to collaborate with stakeholders. A decline from 3.8 to 3.4 was noticed for the EHS and facilities development job families. Legal services and investment management improved in the last three years. The overall rating of 3.3 demonstrates successful achievement of a critical function of this organization.

Figure 11. Collaboration and communication competency ratings by job family, 2015-16 to 2017-18



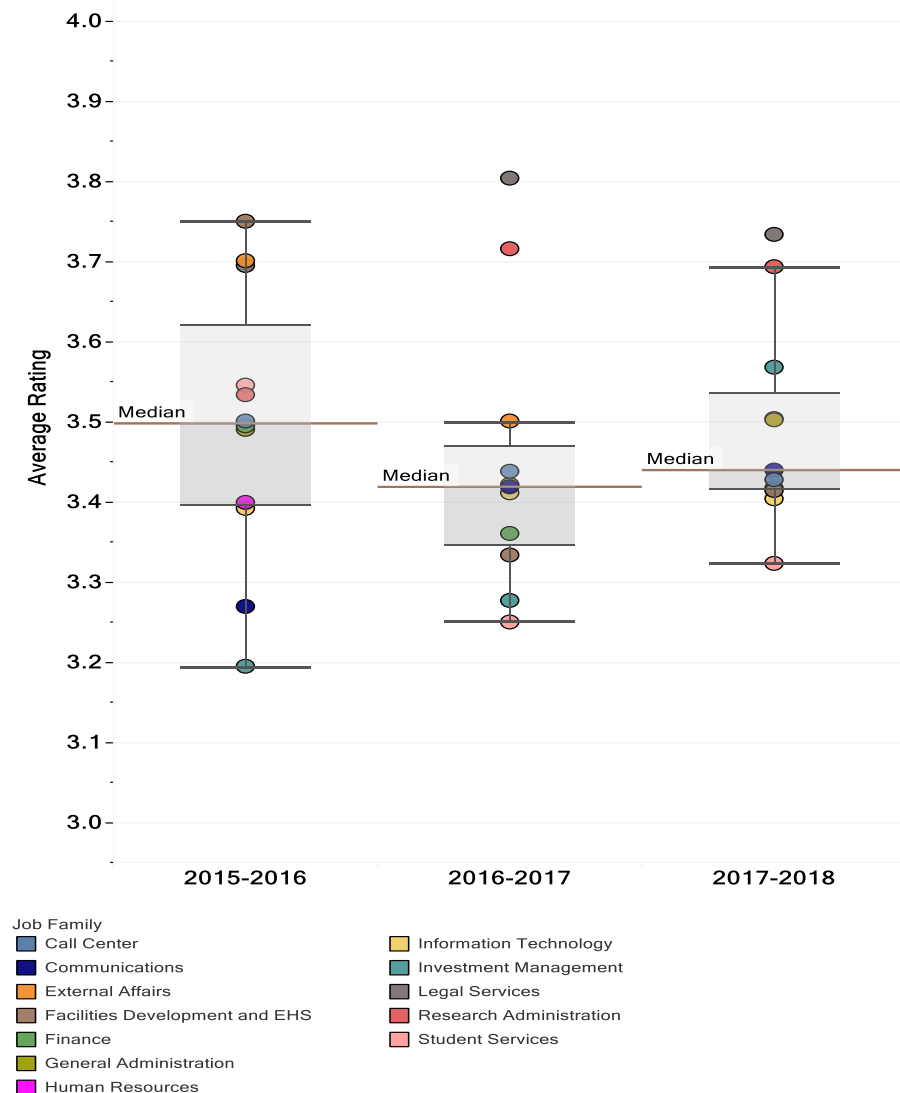
Source: UCOP Halogen performance appraisal system

Customer/client service focus

UCOP’s workforce is dedicated to meeting the expectations and requirements of internal and external customers. The customer/client service competency across job families ranks as another of the highest rated at UCOP. In addition to oversight, UCOP plays a supporting role to the campuses, medical centers and labs, requiring high levels of customer service.

Figure 12 shows that the rating spread for customer/client service has varied. However, the median performance has remained between 3.4 and 3.5. The consistently higher rating on this competency compared to others indicates a service-oriented focus across the organization. While the research administration family improved the average rating from 3.5 to 3.7, the major contributor has been investment management, growing from the average rating of 3.2 in 2015-16 to 3.6 in 2017-18. The median rating above 3.4 demonstrates employees are focused on and committed to delivering high levels of service to their key constituents.

Figure 12. Customer/client service focus competency ratings by job family, 2015-16 to 2017-18



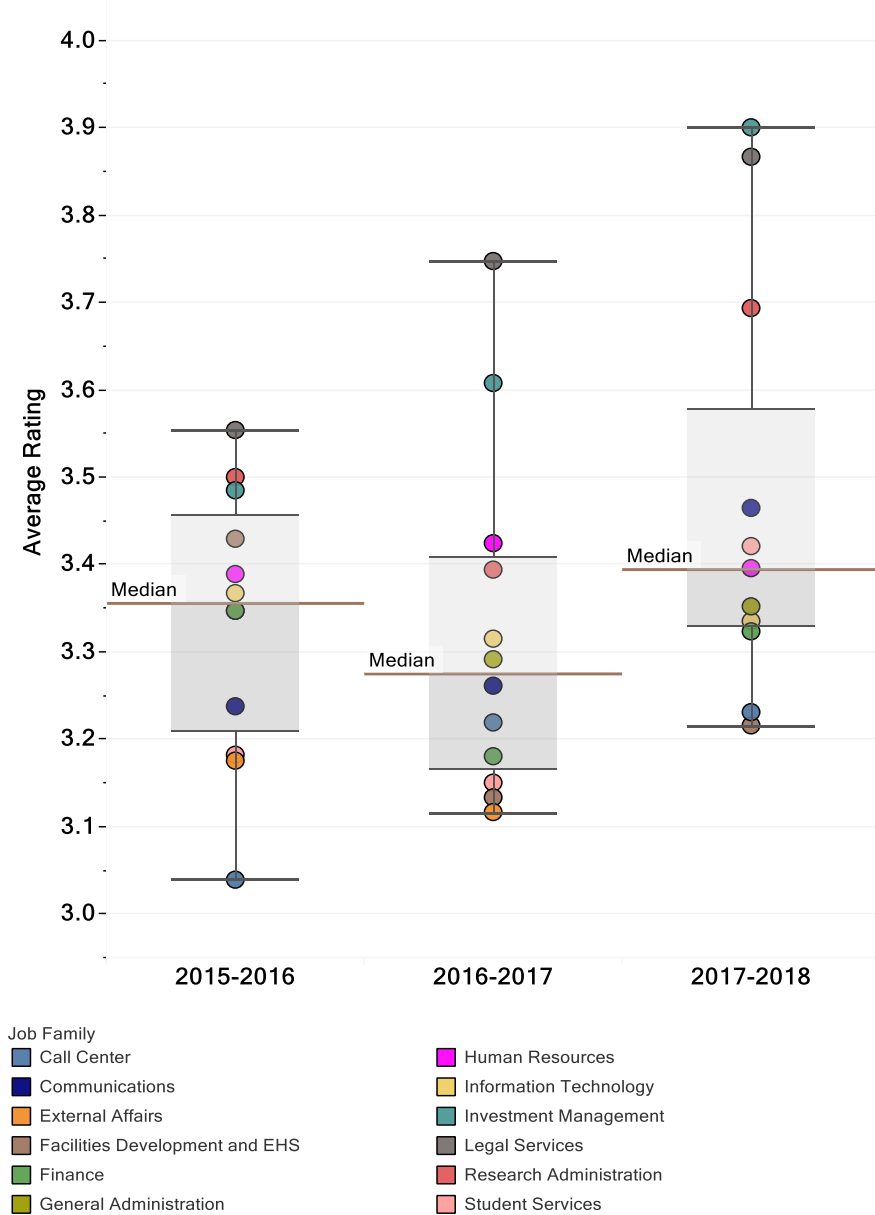
Source: UCOP Halogen performance appraisal system

Job Mastery

As a systemwide organization managing a broad spectrum of fiscal and business operations, UCOP relies on professionals with a variety of skills. Job mastery illustrates how an employee applies skills and knowledge. This competency also measures willingness to learn new skills and develop new knowledge.

As shown in Figure 12A, the median rating for job mastery improved from 3.35 in year 2015-16 to 3.4 in year 2017-18. Job functions like legal services, investment management, research administration and human resources lead with steadily higher ratings for the job mastery competency.

Figure 12A. Job mastery competency ratings by job family, 2015-16 to 2017-18

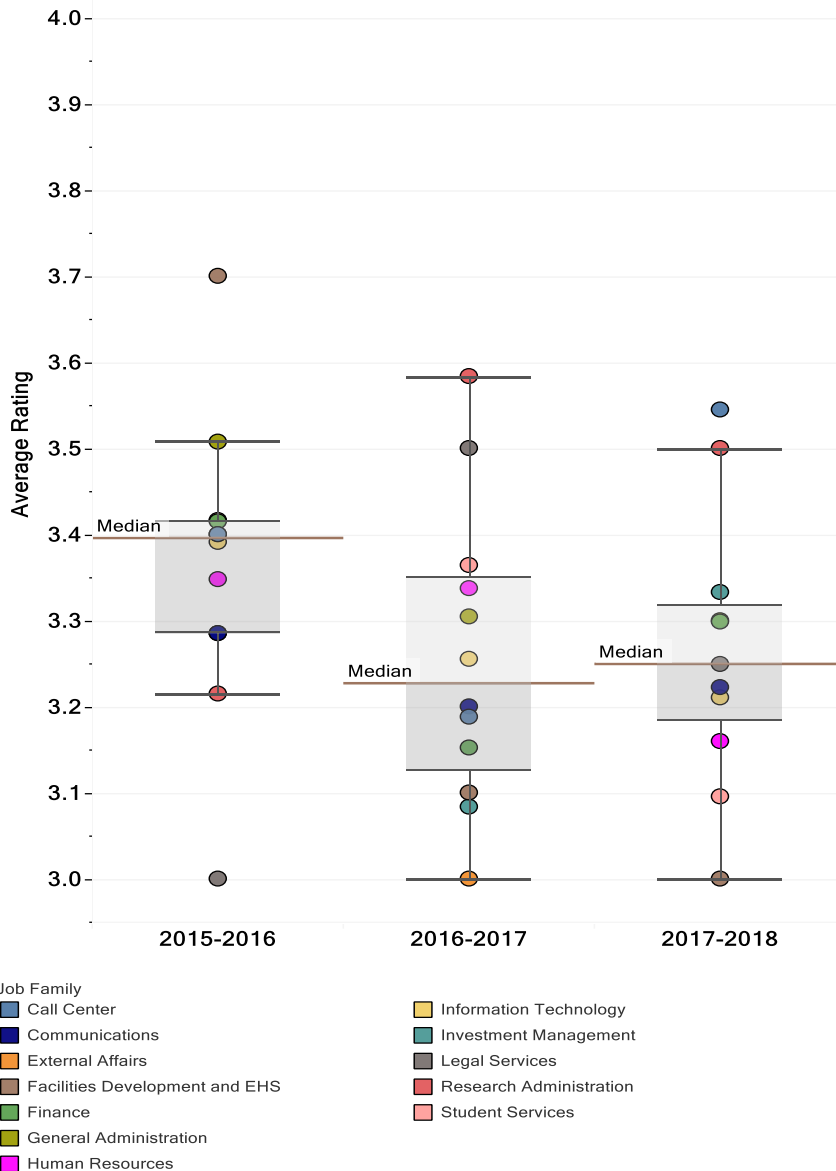


Source: UCOP Halogen performance appraisal system

Leadership and people management

The leadership competency focuses on the strategic aspects of the shared vision, while the people management competency is centered on the tactical aspects of effective performance. The box plot in Figure 13 exhibits a slightly declining trend in leadership competency ratings. The leadership rating has dropped considerably among information technology jobs (from 3.4 to 3.2) as well as facility development/EHS jobs (from 3.7 to 3.0). Ratings improved in legal services and research administration.

Figure 13. Leadership and people management competency ratings by job family, 2015-16 to 2017-18



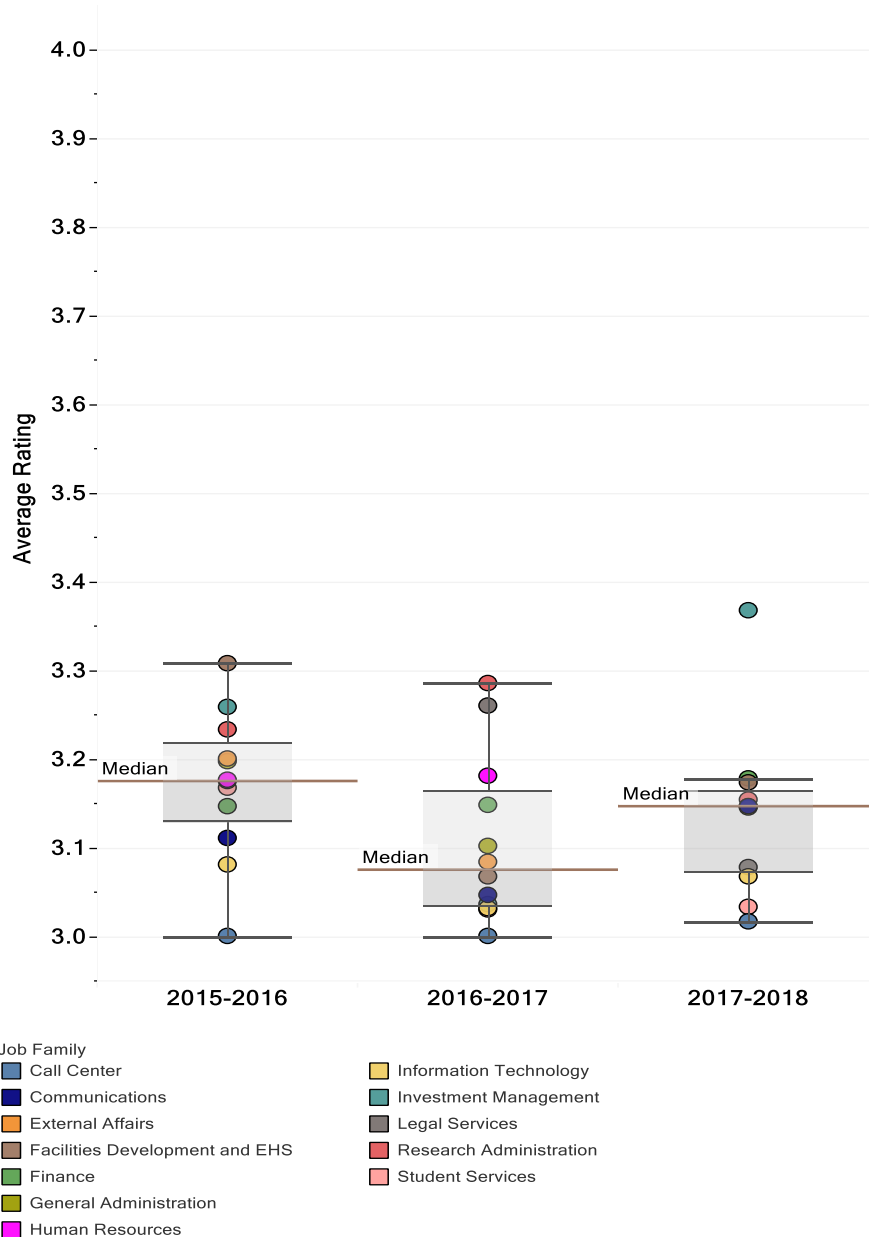
Source: UCOP Halogen performance appraisal system

Stewardship

At UCOP, the stewardship competency indicates whether an employee understands how to manage all resources (i.e. people, financial, time, office supplies, etc.) to make better business decisions.

Although the organization-wide rating for this competency has remained consistent, the lower scores can be viewed as an opportunity to promote better resource awareness, even when an employee does not have direct management responsibility. It is important for all UCOP employees to understand and be accountable for the resources available to each of us. As we move forward this is a competency that UC as an organization is looking to better define and provide more clarity around the behavioral expectations around what it means to be good stewards of our resources.

Figure 14. Stewardship competency rating distribution by job family, 2015-16 to 2017-18



Source: UCOP Halogen performance appraisal system

Figure 14 shows the rating for stewardship between 3.0 and 3.2 is lower than other competencies. The student services job family dropped from 3.2 to 3.0, whereas call center remained flat at 3.0.

Summary

The competency analysis provides an overview of where UCOP is in the application and understanding of competencies and how they impact performance. Leveraging this helped inform the qualitative data gathering and analysis from division leaders. When looking at strategic plans and future talent needs, division leaders were able to focus on the core competency needs and provide insight into talent gaps.

This competency analysis will inform the professional development and knowledge transfer initiatives which will be developed in Phase 3 of the UCOP workforce planning effort.

C.4. Key Leadership Positions

The critical key leadership positions at the Office of the President are the President and her direct reports. The President has 11 divisions reporting directly to her:

- Academic Affairs
- Agriculture and Natural Resources
- Office of the Chief Financial Officer
- Office of the Chief Investment Officer
- Office of the Chief Operating Officer
- Ethics, Compliance & Audit Services
- External Relations and Communications
- Office of General Counsel
- Innovation and Entrepreneurship
- Office of National Laboratories
- UC Health

The Chief Compliance & Audit Officer, Chief Investment Officer, and General Counsel report to both the Board of Regents and the President.

These positions provide leadership for all of the University of California ensuring governance, efficiency and support. At the systemwide level the focus is on ensuring the work of the Office of the President adds value to the campuses and is efficient. This leadership team's effort and influence on the system supports achieving the University's mission.

C.5. Entrance and exit survey results

UCOP uses a tool from Gartner to collect feedback from departing employees. This is not a mandatory process and departing employees do not always receive an exit survey. In rare cases due to short or untimely notification, Human Resources is unable to provide an exit survey.

The exit survey collects information such as the primary reason for leaving and factors that influence the decision to leave, overall experience with the organization, satisfaction with supervisor, satisfaction with the job, effective performance feedback, likelihood of returning to UCOP, and the likelihood of recommending UCOP to a friend or a colleague as a great place to work. Additionally, if leaving for another opportunity, the change in base compensation.

Some challenges to the process include small sample size of survey responses and time lag as reports are one quarter behind.

In addition to exit surveys, UCOP also conducts in-person exit interviews when requested. Findings from the in-person interviews are fairly consistent with the exit surveys. Top reasons identified for departure are:

- Retirement
- Dissatisfaction with work experience, and
- Accepted another position.

The exit survey can be found in [Appendix J](#). UCOP does not conduct a centralized new employee survey: the model decentralizes this function to the divisions and departments.

D. Workforce gap analysis

Introduction

The workforce planning team collected qualitative and quantitative data on workforce strengths and gaps. They identified key UCOP leadership and surveyed them in preparation for face-to-face meetings. The survey instrument can be found in [Appendix F](#). This provided information and data to inform the UCOP workforce planning strategy. A description of the methodology and the results follows.

The Office of the President has 11 divisions containing multiple departments. The goals and objectives of these divisions support the campuses, the Regents and the mission of the University. To understand the workforce gaps within UCOP, the workforce planning team surveyed and met with senior Division leaders and their teams. They discussed the divisional strategic plans, new or changing organizational initiatives and how the goals/objectives in those plans would impact the division's staffing and development plans for their immediate and future workforce. The Office of the President divisions are:

- Academic Affairs
- Agriculture and Natural Resources
- Office of Chief Financial Officer
- Chief Investment Officer of the Regents
- Office of Chief Operating Officer
- Ethics, Compliance & Audit Services
- External Relations & Communications
- Office of General Counsel
- Office of Innovation & Entrepreneurship
- UC National Laboratories
- UC Health

See [Appendix E](#) for an organization chart of UCOP divisions and departments. As a precursor to the meetings, the workforce planning team shared a survey to be completed by each department within the Division. The survey asked about four areas:

- 1) Organizational needs that include strategic plans and division changes that impact staffing within the next year

- 2) Critical skills and the competencies needed for key positions
- 3) Recruiting and retention efforts and challenges for key/critical positions, and
- 4) Initiatives or changes are planned for the next 3- 5 years.

The team followed up with meetings to discuss changes in their divisions such as organizational structure and leadership. As part of the discussion, an overview of the UCOP workforce planning process was provided. This included aligning strategic plans and goals with our workforce goals and needs and budget planning.

D.1. Findings

The findings from the pre-survey and the subsequent meetings with divisional leadership to gather data on current workforce and future needs are outlined on the next pages. Some considerations will also be given to the findings from the University of California's 10 Campus Study which was completed in January 2019. These findings along with any further workforce impacts revealed during the UCOP Restructuring Efforts will be included as part of the overall analysis and workforce planning strategy.

UCOP workforce strengths and gaps

The workforce planning team learned that several divisional strategic plans were impacted by UCOP's restructuring efforts begun in 2018 and scheduled to conclude in early 2019. As a result, as divisions assess the impact, they may be updating their strategic plans. This provides an opportunity to continue to evaluate resources needs for optimization.

In general, the services and activities performed at the Office of the President on behalf of the campuses are consistent with the UCOP Restructuring Effort and the University of California 10 Campus Study findings. Accordingly, outputs from these findings will inform the team's strategy regarding how to structure the workforce planning strategies that will be the focus of Phase 3.

Talent gaps and challenges

- UC experience/institutional knowledge is needed for credibility, efficiency, and effectiveness. This need is strongest in Academic Affairs and OGC.
- Management skills training and development was identified as an opportunity across the divisions.
- Technical skills are needed for many groups: financial, analytical and technical skills sets.
- Advanced analysts are needed in the organization that have superior written and visual communication and customer service skills on top of advanced analytical/data skills.
- IT talent is needed in every division. Some need general resources such as a business analyst or programmer, others need specific skills such as cybersecurity or PeopleSoft.
- Customer service skills continue to be a high priority.
- Training is needed across various groups – training up entry/professional staff.
- Succession planning is needed across the organization.
- Some departments need administrative assistance.
- Some departments are lean and do not have cross training/back-ups.
- Retirements are impacting several departments.

During the discussions about critical skills and competencies needed to successfully deliver on new goals and initiatives, several profiles and skill set needs were identified, including:

- Data analysts,
- Financial accounting and financial modeling professionals, and
- Specialized technical skills that cover areas such as cyber security, programming and data management, and senior healthcare executives to name a few.

Many critical skills and profiles for new initiatives are a result of new technology or modernized processes. Technical skills, data analytics, project management and data management are needed across the divisions, not just in departments where such functions have typically been located. Divisions face challenges hiring these skillsets because of high demand, especially in the Bay Area. This widespread desire for more analytical technical skill sets is an indication the organization is becoming more data-driven.

In discussions with divisional leadership, a recurring theme was finding creative ways to build from within UCOP and UC, creating pipelines to attract experienced UC talent to UCOP. Internal staff are talented, committed to the mission and bring UC policy and process knowledge to the organization. Divisions shared their recruitment challenges with staffing in the current Bay Area labor market. Figures 21 (refer to page 51) and 22 (refer to page 52) describe hard to fill vacancies and critical skills needed.

Hiring trends

Hiring trends within UCOP showed similar themes across divisions:

- Salaries are not competitive with the market (this was consistent in every division).
- Hiring from outside UC: perception exacerbated by slow, disconnected recruiting process that UCOP is a staid, bureaucratic organization in contrast to “fun”, innovative tech workplaces.
- Associated layers of approvals that were not previously in place have created wait times that greatly impact internal and external hiring in a fast-moving market.
- Hiring from UC campuses: UCOP is no longer seen by campuses as “the place to be”; campuses have much more flexibility and autonomy. In many cases, UCOP does not pay as well as campuses do, even with the heavy workload and complex roles.

Strategies

UCOP is searching for talent inside and outside the organization. Its main competitors are other Bay Area private and public organizations as well as higher education nationwide.

Divisions shared hard to fill profiles and recruitment difficulties and discussed ways groups are supporting gaps in staffing: from purchasing services for projects and infrastructure support, to sharing resources across divisions, to hiring temporary staff. Potential strategies are below.

- **Alternatives.** To meet new demands for resources, leaders are evaluating the cost of retaining professional service providers versus reallocating current FTEs given the historic direction for FTE to remain flat.
- **Timeliness.** In a fast-moving talent market, the ability to hire quickly is a barrier for attracting, hiring, and retaining top talent. It is critical to streamline approvals for budget and offer extensions for internal and external candidates. The feedback has been that UCOP hiring approvals are too slow and should be better at building internal UC pipelines to retain top talent with rewards and recognition. If this is not addressed quickly, we will lose to a competitive market.

- **Salaries.** Recruiting in a competitive Bay Area job market and within UC and UCOP networks has been challenging. Recruiting for skills in high demand needs competitive salary and benefits (this was consistent in every department).
- **Staff development.** Divisions are asking for tools and resources to help improve professional development and internal promotion and compensation practices. Leadership programs were a primary need.
- **Recruit from campus pool of graduates.** UC has a broad profile of students and UC graduates can help build diverse talent pools for future UCOP hires.
- **Recognition.** Staff at UCOP work hard and the ability for leaders to recognize staff in creative ways even with new guidelines is important for engagement, morale and retention.
- **Alignment.** Outstanding alignment actions in Career Tracks that may need to be addressed.
- **Retention.** Staff retention concerns surfaced. UCOP staff morale is low based on organizational changes and political uncertainty.

Comparison to External Environmental Factors

In Phase 1 of the workforce plan, an analysis of external factors was performed across four key areas impacting UCOP talent pools: economic, political, cultural and technological.

Systemwide HR leaders studied these factors in a paper entitled “The Case for Engaging in Talent and Succession Management Strategy at UC” ([Appendix H](#)). Currently, organizations are facing high levels of competition for talent, which is expected to intensify. This competition is particularly difficult for UC, as U.S. Bureau of Labor Statistics shows California’s unemployment rate has dropped to a low of 4.2% as of March 2018, and Indeed’s 2018 rankings of the best cities for job seekers includes five cities in California in the top 10 (San Jose, San Francisco, San Diego, Los Angeles, and Sacramento). As recently as 2017, UC’s Staff Workforce Profile showed that 17.6% of all separating employees (both voluntary and involuntary) stated that they were leaving UC for other jobs. This number is expected to grow as the baby-boomer generation moves into retirement over the next decade. To remain competitive with the market, UC needs to find ways to retain and engage employees.

The Employment Development Department (EDD) estimates 2019 unemployment for Alameda County at 2.2%, which means a tightening job market. In a presentation to UC Chief Human Resource Officers, LinkedIn partners indicated that UCOP employees are leaving for private industry as well as non-profit companies.

Several of UCOP’s key profiles include technology-related skills. Tech is an important and growing employment sector, adding 1.5 million jobs since 2010. In fact, tech accounts for almost 10% of all jobs in the US economy, according to the Bureau of Labor Statistics (BLS). The tech and data analytics job profiles are two of UCOP’s high-risk profiles and the most challenging to fill. With the San Francisco and Oakland job market shifting to high tech, Silicon Valley companies are moving into this region, making the already competitive Bay Area landscape even more challenging for higher education.

Beyond the competition for talent, local government has impacted UC’s talent initiatives. Rising taxes create pressures on employees to look for higher paying jobs. UC is a public institution with a duty to taxpayers to utilize financial resources responsibly. Recently, federal funding changes have resulted in the University decreasing its coverage of healthcare and its overall benefits. The overall cost of relocating to California makes attracting talent from out of state difficult. These financial complications create a situation in which UC

needs to find alternative incentives to entice candidates to join the UC community, as well as creating opportunities for career growth for current staff.

The external factor analysis both informed and confirmed the information gathered and discussed with division leaders. In conjunction with the tight job market, the cost of living in the Bay Area, political stresses on the organization, UCOP employee engagement issues and the implementation of several new technologies have put stress on UCOP. One leader stated, “We have to move forward in a holistic way instead of just being caught up in a replacement strategy”.

Summary of gap analysis

The team conducted an evaluation on four risk factors:

- Retirement,
- Separation turnover,
- Vacancy rates, and
- Hard to fill positions

As a result, the team identified key “high risk” profiles based on division leader input, future organization needs, skill gaps, and urgent vacancies, then narrowed further with jobs that cut across the institution. Figure 15 highlights job functions with high risk. Accounting, though medium risk, is included because of associated financial analysis skills being a critical gap.

Phase 3 of the workforce planning effort will focus on addressing skill gaps in talent needed for new initiatives and the recruitment rates of these high-risk profiles, as well as developing tools and resources to address retention.

Figure 15. Risk analysis by job function

Job Function	Summary Score of Risk Analysis (Separation, Vacancy, Retirement, Hard to Fill); 3 = 3 risk areas; 2 = 2 risk areas; 1 = 1 risk area	Risk Rating	NOTES
Accounting	3	Medium Risk	Moving towards planning and budgeting. Need focus on financial analysis, as it is a more critical gap.
Financial Analysis	2	High Risk	Hard to fill, area of future growth with a current skill gap.
Institutional Research	2	High Risk	This job includes data analytics that is an organizational skill gap. It has been a very tough job to recruit for with a few failed searches.
Project and Policy Analysis	3	High Risk	This job includes data analytics that is an organizational skill gap.
Benefits	2	High Risk	High retirement with new technology
Benefits Program Strategy	2		
Applications Programming	3	High Risk	Hard to fill
Communications	2	High Risk	
Systems and Infrastructure Administration	3	High Risk	Hard to fill

D.2. Separation, retirement, vacancy and recruitment trends and forecast

Introduction

Career tracks is the systemwide model for job classification for staff not represented by a union. Career tracks enables UC to define job titles consistently within each location and across the University. Levels for individual contributor, supervisory and management roles within each distinct functional area are defined consistently across occupations and with the labor market for comparable jobs.

Career tracks benefits include:

- Better-defined career paths within job functions.
- Systemwide application allowing employees to see how to advance their career at any UC location.
- Job titles that reflect primary job responsibilities, supporting efforts to recruit and retain qualified employees, and are aligned with pay practices in the local labor market.
- Salary ranges reflecting the local market, allowing managers to make better pay decisions.

Career tracks aligns positions with the Bay Area market. There are 99 distinct job classifications or job functions at UCOP which reflect the wide range of services provided.

Through the analysis, 30 of the 99 functions are flagged as potentially presenting operational risk to the organization when talent is not available. These 30 were flagged as potential high-risk roles due to retirement and attrition. These job functions were identified based on data on separation and turnover analysis, current retirement eligibility, vacancy analysis and in person interviews with key stakeholders. These job functions span across multiple job families and divisions.

Based on the separation trends and the conversation with division leaders regarding the very small request for new employees for new initiatives being added to UCOP, the forecast based on historical data for UCOP is relatively flat FTE with slowly increasing turnover. The forecasts can be found in [Appendix A](#). The separation trends analysis informed the gap analysis conducted with the division leaders, presented in Section C. There were four views into the quantitative and qualitative data: separation; retirement; vacancy; and recruitment.

Separation risk analysis

Cal-HR specifies several key metrics for analyzing separation trends. The summary metrics are defined below and Figure 16 contains the results based on the Cal-HR metrics.

- Headcount represents all unique employees with any earnings at UC, regardless of full-time or part-time status. Employees with more than one type of appointment are counted in their principal position. For more information, please refer to the UC employee headcount dashboard. (<https://www.universityofcalifornia.edu/infocenter/uc-employee-headcount>)
- The retirement % is the percentage of UCOP employees in a classification lost to both service and disability retirements during the last twelve months.
- The transfer % is the percentage of UCOP employees in a classification that laterally transferred to other UC campuses during the last twelve months.
- The voluntary separation % is the percentage of employees in a classification that voluntarily separated from UCOP during the last twelve months. Voluntary separation reasons may include resignation, migration out of the area, job abandonment, pursuit of another employment opportunity, higher education and personal reasons.
- The actual impact (AI) is the proportion of the classification that was lost to separations during a given year.
- The trend analysis (TA) estimates the weighted percentage of employees that can be expected to separate from the classification over a time.

Figure 16. UCOP vacancy summary using Cal-HR metrics

Fiscal Year	Oct. Headcount	Retirement %	Transfer %	Voluntary %	Actual Impact	Trend Analysis
FY 2015-16	1,421	3.6%	2.2%	3.9%	9.8%	8.9%
FY 2016-17	1,571	2.9%	1.4%	3.5%	7.8%	
FY 2017-18	1,615	2.8%	1.7%	4.5%	9.0%	

Career only, excludes Ag & Natural Resources, Multi-campus research units and Education Abroad

To break down the trends, UCOP used its career tracks classifications of jobs by family and function. These classifications group jobs according to areas of service and functional duties. Not only is this

system recently created and reviewed, it provides a more granular level of detail while still being high-level enough to allow for trend analysis and meaningful comparisons for most groups.

[Appendix A](#) contains all job families and functions for career employees with data for 2017-18. Those job functions with a headcount of at least 15 FTE and a three-year separation trend at or above 10% are flagged as potentially at risk. The flag at 10% is the average attrition rate for UCOP, therefore any turnover ratio at 10% or greater is a concern for a lack of service in that job function. These job functions are presented in Figure 17.

Figure 17. UCOP job functions with high separations with headcount >15

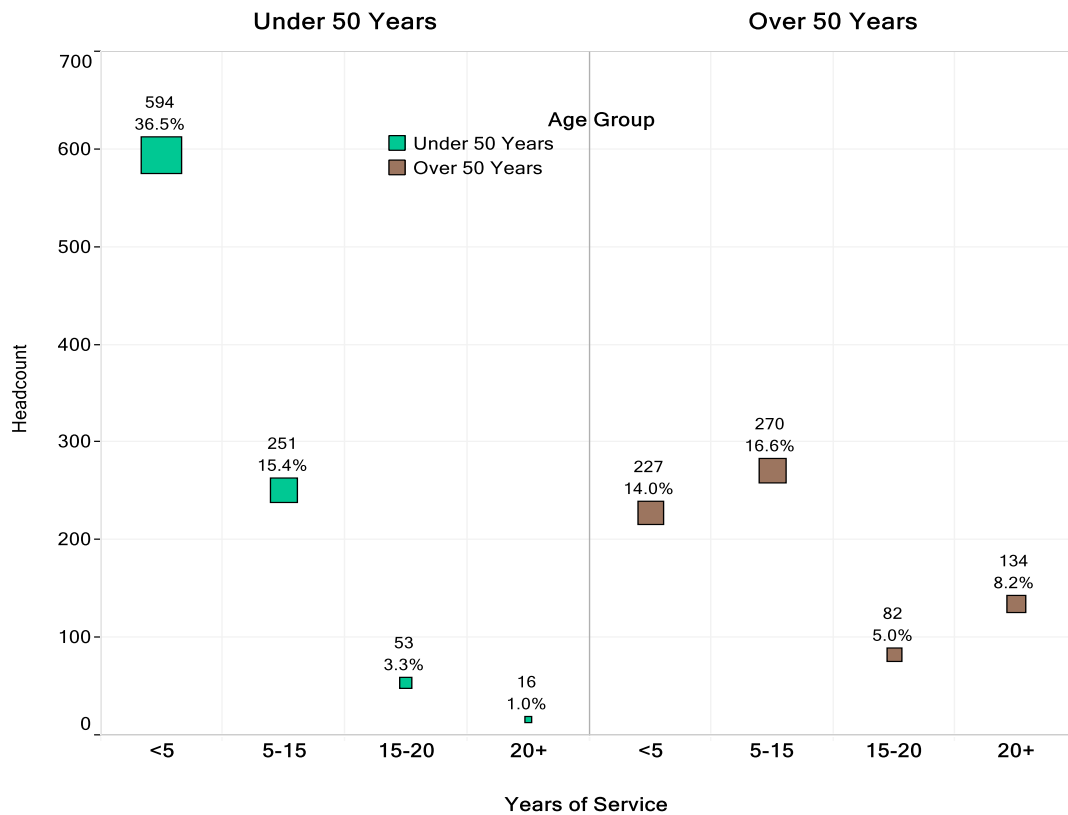
Job family	Job function	Headcount > 15 And Combined turnover > 10%	October Headcount	Combined turnover trend
Finance	Accounting	*	46	15.40%
	Financial analysis	*	38	10.10%
General administration	Administrative operations	*	66	11.20%
	Executive advising	*	23	14.30%
	Institutional research	*	18	17.80%
	Organizational consulting	*	18	11.40%
	Project and policy analysis	*	99	10.50%
Human resources	HR generalist	*	28	12.60%
Senior management group	Senior management group	*	40	10.80%

Source: Separation risk analysis using Cal-HR methodology with UC Corporate Personnel System (CPS). Details located in [Appendix A](#)

Retirement Risk Analysis

Figure 18 shows the retirement profile of the UCOP workforce by age group and years of service as of April 2018. For this analysis, it was assumed that all vested employees are in the 1976 retirement tier which covers employees hired on or before June 30, 2013 (who would have had at least 5 years of service by June 30, 2018). The 2013 and 2016 retirement tiers cover more employees, as such the future potential retirement analysis would necessarily have to include separate analyses for the different retirement tiers. Each retirement tier has its own parameters that must be met to qualify for retirement; therefore, creating the need to further analyze the impact retirements from these tiers will have in future years of the workforce plan.

Figure 18. Career staff retirement eligibility, October 2018



Source: UC Corporate Personnel System

As shown in Figure 19, in October 2018 about 45% of the UCOP workforce was over age 50. Of those, 138 individuals have the 20 or more years of service required to qualify for “full” retirement benefits (although benefits increase until an employee has 40 years of service with minimum age of 60). These individuals are the most likely to retire in the near future. Another 91 individuals over the age of 50 have 15-20 years of service, and could decide to retire soon as well. The remaining 257 individuals over 50 have reached the five-year vesting threshold and may choose to retire with less than full benefits. Taken together, about 30% of the UCOP workforce is likely close to or considering retirement based on these factors. While most individuals do not retire at age 50, it is important to be aware of those eligible. The average age of those retiring between 2016 and 2018 is 61.2. When employees retire, the organization risks a loss of institutional knowledge. Developing a knowledge transfer strategy is an area of opportunity.

Figure 19. Career staff retirement eligibility, October 2018

	Under 50 Years				50 Years and over			
	<5 years of service	5-15 years of service	15-20 years of service	20+ years of service	<5 years of service	5-15 years of service	15-20 years of service	20+ years of service
% of Employees	36.5%	15.4%	3.3%	1.0%	14.0%	16.6%	5.0%	8.2%
Number of Employees	594	251	53	16	227	270	82	134

Source: UC Corporate Personnel System

The figure below identifies the job functions with high retirement risk. Identifying the job families and functions with riskier profiles informs the approach to designing training and development, recruitment and retention strategies. These strategies can help reduce turnover. Additional information about retirement risk for all job functions can be found in [Appendix A](#).

Figure 20. UCOP job functions with high retirement risk

Job family	Job function	Headcount > 15 and vested with age 50+ years > 40%	Headcount (October 2018)	Percent vested with age 50+ years
Communications	Publications and production	*	17	52.9%
Finance	Enterprise Risk Management	*	19	42.1%
General administration	Executive assistance	*	34	41.2%
Human resources	Benefits program strategy	*	20	45.0%
Information technology	Applications programming	*	91	44.0%
	Systems and infrastructure administration	*	27	51.9%
Research administration	Research grant program admin	*	22	45.5%
Senior management	Senior management group	*	36	50.0%

Source: Analysis of UC Corporate Personnel System data using Cal-HR methodology. Additional details in [Appendix A](#).

Vacancy and recruitment analysis

Vacancy and recruitment data were analyzed to determine which job functions were most frequently vacant. An analysis of data from 2015-2017 identified twelve-job functions which have a higher than average time to fill (i.e. average is 215 days) and a higher than average number of requisitions (i.e. average is six requisitions per job function). These job functions were ([also located in Appendix A](#)):

- General communications,
- Accounting,
- Enterprise Risk Management,
- Financial analysis,
- Strategic sourcing,
- Administrative operations,
- Project policy analysis,
- Benefits,
- Systems and infrastructure administration,
- Applications programming,
- Business systems analysis, and
- Information systems

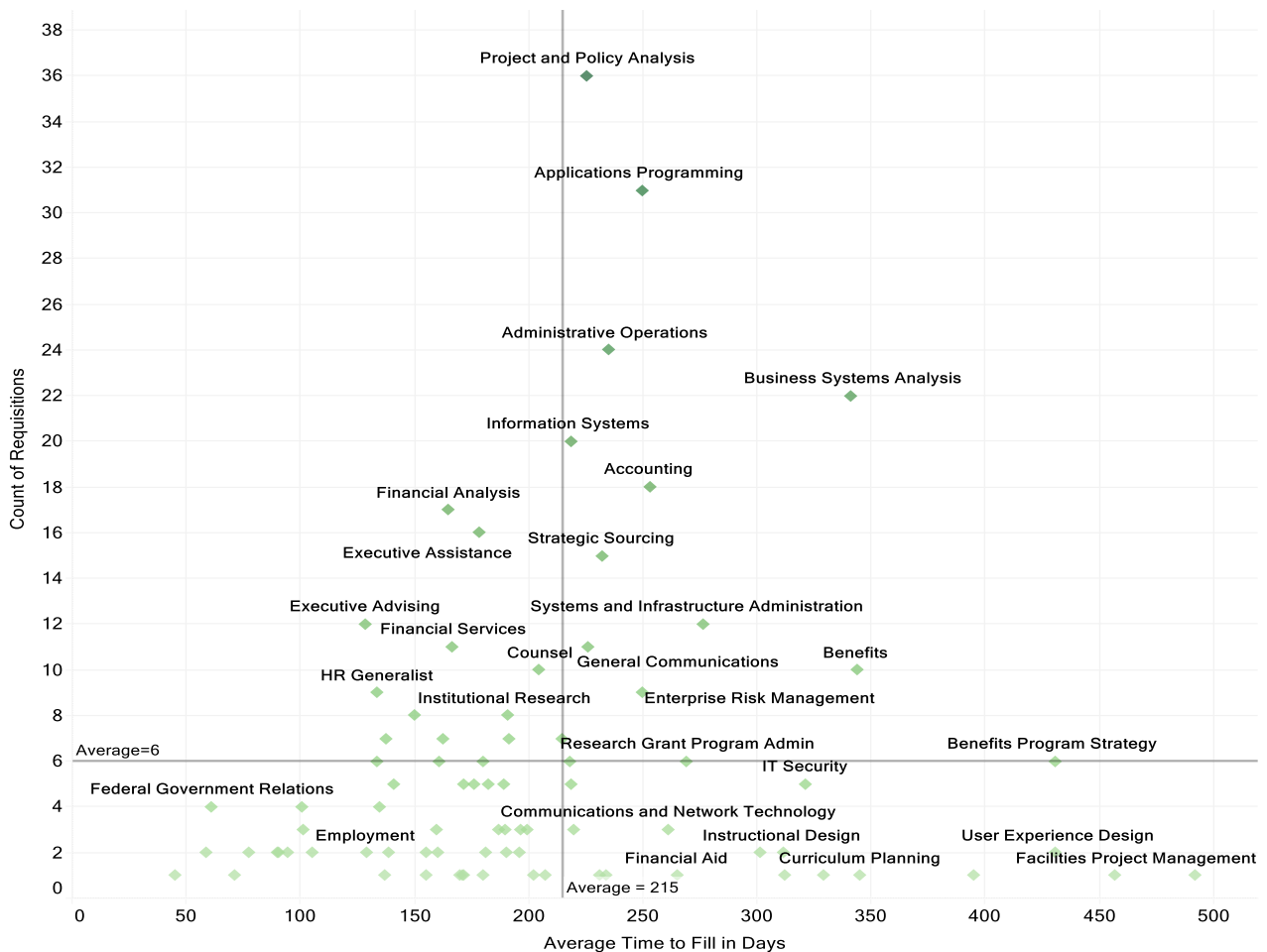
The main factors contributing to these hard to fill jobs are highly sought after skills in the labor market and competition from local companies offering higher salaries and compensation packages. The talent acquisition team and human resource business partners conducted interviews to flag additional job functions that could be considered at risk due to other factors, such as upcoming business needs, and openings for talent pipelines. Nine job functions were identified as requiring high levels of special skills,

and were constantly in high demand. Job functions related to investment management tend to be harder to fill, and it can be difficult to attract applicants who have mid to senior level experience in this industry sector. There is steep competition with private industry due to limitations on compensation packages available at UCOP. Lastly, a majority of the current staff have been in their current role about three to five years. The trend at this tenure is that staff begin looking for growth opportunities that may or may not exist within UCOP.

Job functions related to fundraising, admissions and recruiting are identified as niche roles that require specific skill and experience. Most of the applicants with these specialized backgrounds come from a very small applicant pool from other non-profits or educational institutions. The broad job functions of administrative service and project and policy analysis exist in every division. These have high turnover levels and are harder to fill due to the strong job market.

In addition to UCOP competing for talent for hard to fill and senior roles, time to fill seems to be impacted by several issues. Several items to explore further are approval times for position control to release recruitments into the market, the process to approve a final offer to a candidate and the talent acquisition system limitations. UCOP is currently upgrading the 7+ year talent acquisition system to a new PeopleSoft product.

Figure 21. Time to fill days by job function, 2015 through 2017, UCOP



Source: UCOP CATS recruitment system

While looking at vacancies filled over last three calendar years, job functions shown in Figure 22 have higher than average time to fill and higher than average number of requisitions. UCOP is currently upgrading the applicant tracking system and a ticketing system to help with reporting on the job approval process.

Figure 22. Vacancy and recruitment risk flags

Job family		Job function	Vacancy Analysis risk flag	Hard to fill positions risk flag
			Requisitions above average and number above average	UCOP HR and Talent Acquisition interviews
1	Communications	General communications	*	
2	External affairs	Fundraising		*
3	Finance	Accounting	*	
4		Enterprise risk management	*	
5		Strategic sourcing	*	
6	General administration	Administrative operations	*	
7		Project and policy analysis	*	
8	Human resources	Benefits	*	
9		HR generalist		
10	Information technology	Applications programming	*	*
11		Business systems analysis	*	
12		Information systems	*	
13		Systems & infrastructure administration	*	
14	Investment management	Absolute returns		*
15		Asset allocation & investment strategy		*
16		Fixed income		*
17		Investment risk management		*
18		Private equity investments		*
19		Public equity investments		*
20		Real estate investments		*
21	Student services	Admissions and recruitment		*

Forecast

The workforce at UCOP is forecasted to remain relatively flat based on historic trends with the exception of an additional 100 FTEs to be added in 2019/2020 and another 100 FTEs in 2020-21 during the final phase of the UCPath implementation. Separations are forecasted to rise from 170 in 2017-18 to 202 in 2019-20 retirement rates rise as presented in the retirement risk analysis (based on retiring at age 50). This trend is data point and does not necessarily reflect actual pending retirements. Additional details on the forecasts can be found in [Appendix A](#).

Summary

In Figure 23, the risk profile of UCOP job functions summary is based on the analyses presented in Section B2: separation, retirement, vacancy and recruitment trends and forecast.

Figure 23. Summary of job functions with risk flags

Job family	Job function	Risk Flags				
		Separation*	Retirement*	Vacancy analysis *	Hard to fill positions*	
1	Communications	General communications			*	
2		Publications and production		*		
3	External affairs	Fundraising				*
4	Finance	Accounting	*		*	
5		Enterprise risk management			*	
6		Financial analysis	*			
7		Strategic sourcing			*	
8	General administration	Administrative operations	*		*	
9		Executive advising	*			
10		Executive assistance		*		
11		Institutional research	*			
12		Organizational consulting	*			
13		Project and policy analysis	*		*	
14	Human resources	Benefits			*	
15		Benefits program strategy		*		
16		HR generalist	*			
17	Information technology	Applications programming		*	*	
18		Business systems analysis			*	
19		Information systems			*	
20		Systems & infrastructure administration		*	*	
21	Investment management	Absolute returns				*
22		Asset allocation & investment strategy				*
23		Fixed income				*
24		Investment risk management				*
25		Private equity investments				*
26		Public equity investments				*
27		Real estate investments				*
28	Research administration	Research grant program admin		*		
29	Senior management grp.	Senior management group	*	*		
30	Student services	Admissions and recruitment				*

*Separation = Headcount>15 and Combined turnover trend >10%; Retirement = Headcount > 15 and vested with age 50+ years > 40%; Vacancy Analysis = Requisition count > 6 and Average time to accept offer > 215 days; Hard to fill positions = based on UCOP HR and Talent Acquisition interviews.

The impact of losing long-tenure staff (voluntary separations and retirements) creates a gap of institutional knowledge for UCOP. This risk amplifies when combined with difficulties recruiting replacements for separated staff and retaining strong talent.

E. Conclusion and next steps

This marks the completion of UCOP Workforce Plan *Phase 2: Gather and Analyze Workforce Data*. Phase 2 built on the foundation set in Phase 1 with a deeper dive into the research. Through a demand analysis, the workforce planning team explored core competencies and workforce gap to understand current and projected workforce needs.

Based on the findings in Phase 2, the workforce planning team will concentrate on the identified areas and classifications of risk to develop the workforce strategy and plan. These areas include:

- Recruitment strategy
- Retention strategy
- Employee development strategy
- Knowledge transfer strategy
- Talent and succession planning strategy

These strategies are critical for developing a long-term successful workforce plan that aligns with the divisional strategic plans and will ensure UCOP is attracting, developing, and retaining the best talent—ensuring we have the right people, in the right jobs. Leveraging the research, analysis and findings to date, Phase 3 of the report will focus on the Workforce planning strategy.

In February, the workforce planning team will create a smaller, sub-group to begin looking at the strategies noted above as part of the UCOP Workforce *Phase 3: Develop the Workforce Strategies and Plan*. The proposed strategies will be reviewed with the President for approval with the goal of implementation as part of Phase 4.

Appendices (Phase 1 and 2)

Appendix A: Separation Trend and Forecast (Phase 2)

Appendix B: Separation Snapshot and Retirement Eligibility (Phase 2)

Appendix C: Mission, Vision, Values, and Strategic Map (Phase 1)

Appendix D: Competency Model (Phase 2)

Appendix E: Organizational Chart (Phase 1)

UC Additional Appendices

Appendix F: Division leader survey instrument

Appendix G: Qualitative data from division leaders

Appendix H: The Case for Engaging in Talent and Succession Management Strategy at UC

Appendix I: Phase 1 Report Workforce Planning White Paper

Appendix J: University of California Exit Survey Questions

Appendix A: Separation Trends and Forecast (Phase 2)

Note: UC does not have data to calculate Cal-HR-proposed metric Potential Impact.

Figure A1. UCOP (Career only, excludes ANR, MRUs and Education Abroad), FY 2017-18 by job family and function

Job Family	Job Function	Headcount	Retire-ment %	Transfers %	Voluntary %	Actual Impact	Trend Analysis	Risk Flag	Notes
Grand Total		1,615	2.8%	1.7%	4.5%	9.0%	8.8%		
Audit Compliance and Ethics	Audit	11	7.7%	0.0%	7.7%	15.4%	14.2%		
	Ethics and Compliance	12	0.0%	11.8%	17.6%	29.4%	16.5%		
Call Center	Customer Service	48	0.0%	0.0%	4.0%	4.0%	4.4%		
	Quality Performance Metrics	3	0.0%	20.0%	20.0%	40.0%	33.3%		
Communications	Acquisitions Editor	14	0.0%	0.0%	0.0%	0.0%	5.8%		
	Digital Commun-ications	13	0.0%	0.0%	0.0%	0.0%	3.6%		
	General Commun-ications	12	6.7%	0.0%	13.3%	20.0%	15.9%		
	Media Commun-ications	4	16.7%	16.7%	0.0%	33.3%	20.8%		
	Publications and Production	17	0.0%	0.0%	0.0%	0.0%	5.7%		
	Visual Commun-ications	2	0.0%	0.0%	0.0%	0.0%	0.0%		
	Written Commun-ications	8	0.0%	0.0%	0.0%	0.0%	5.6%		
Educational Services	Instructional Design	6	0.0%	0.0%	0.0%	0.0%	0.0%		
	Professional Development	5	0.0%	14.3%	14.3%	28.6%	18.5%		
	Public Education Services	2	0.0%	0.0%	0.0%	0.0%	0.0%		
External Affairs	Alumni and External Relations	1	0.0%	50.0%	0.0%	50.0%	37.5%		
	Events	6	0.0%	0.0%	14.3%	14.3%	11.3%		
	Fundraising	6	0.0%	12.5%	12.5%	25.0%	15.6%		
	Marketing	13	0.0%	0.0%	0.0%	0.0%	1.8%		
	Sales	1	0.0%	0.0%	0.0%	0.0%	0.0%		
Facilities Development and EHS	Design and Construction Mgt	4	14.3%	28.6%	0.0%	42.9%	28.6%		
	Energy Management	5	0.0%	0.0%	0.0%	0.0%	0.0%		
	Environmental Health and Safety	4	0.0%	0.0%	0.0%	0.0%	0.0%		
	Facilities Project Mgmt	3	0.0%	0.0%	0.0%	0.0%	0.0%		
	Planning	7	0.0%	0.0%	0.0%	0.0%	5.6%		

Job Family	Job Function	Headcount	Retire-ment %	Transfers %	Voluntary %	Actual Impact	Trend Analysis	Risk Flag	Notes
	Real Estate Mgmt	6	0.0%	0.0%	0.0%	0.0%	6.3%		
Finance	Accounting	46	3.6%	3.6%	9.1%	16.4%	15.4%	At Risk	
	Capital Markets Finance	3	0.0%	0.0%	0.0%	0.0%	6.3%		
	Enterprise Risk Mgmt	19	0.0%	0.0%	0.0%	0.0%	1.4%		
	Financial Analysis	38	0.0%	0.0%	7.3%	7.3%	10.1%	At Risk	
	Financial Services	28	3.3%	0.0%	3.3%	6.7%	8.4%		
	Loan Origination	7	0.0%	0.0%	0.0%	0.0%	0.0%		
	Loan Servicing	4	0.0%	0.0%	0.0%	0.0%	0.0%		
	Payroll	46	0.0%	0.0%	2.1%	2.1%	4.4%		
	Procure-ment	5	16.7%	0.0%	0.0%	16.7%	13.3%		
	Strategic Sourcing	25	3.7%	3.7%	0.0%	7.4%	8.6%		
	Systemwide Budget	8	0.0%	0.0%	0.0%	0.0%	7.1%		
	Tax Compliance	6	0.0%	0.0%	0.0%	0.0%	0.0%		
	Travel	4	0.0%	0.0%	0.0%	0.0%	0.0%		
	Treasury	5	16.7%	0.0%	0.0%	16.7%	11.9%		
General Administration	Admin Operations	66	5.4%	1.4%	4.1%	10.8%	11.2%	At Risk	
	Contract Admin	6	0.0%	0.0%	14.3%	14.3%	10.7%		
	Executive Advising	23	3.7%	3.7%	7.4%	14.8%	14.3%	At Risk	
	Executive Assistance	37	0.0%	0.0%	0.0%	0.0%	4.0%		
	Institutional Research	18	8.7%	0.0%	13.0%	21.7%	17.8%	At Risk	Always hiring, rare skillset
	Organizational Consulting	18	0.0%	4.8%	9.5%	14.3%	11.4%	At Risk	
	Product Development	12	6.3%	0.0%	18.8%	25.0%	17.2%		
	Project and Policy Analysis	99	0.9%	8.7%	4.3%	13.9%	10.5%	At Risk	
	Records Management	7	0.0%	0.0%	0.0%	0.0%	7.7%		
	Regulatory Policy and Intel Property	10	0.0%	9.1%	0.0%	9.1%	12.0%		
	Sustainability	3	0.0%	0.0%	40.0%	40.0%	20.0%		
	Vendor Relations Management	12	7.7%	0.0%	0.0%	7.7%	5.5%		
General Services	Facilities Management	6	0.0%	0.0%	14.3%	14.3%	7.1%		
Governmental Relations	Federal Government Relations	7	11.1%	0.0%	11.1%	22.2%	21.7%		
	State Government Relations	9	0.0%	0.0%	10.0%	10.0%	10.0%		

Job Family	Job Function	Headcount	Retirement %	Transfers %	Voluntary %	Actual Impact	Trend Analysis	Risk Flag	Notes
Human Resources	Benefits	88	1.1%	0.0%	2.2%	3.3%	5.3%		
	Benefits Program Strategy	20	4.8%	0.0%	0.0%	4.8%	8.6%		
	Compensation	13	7.1%	0.0%	0.0%	7.1%	8.2%		
	Employee Relations	2	0.0%	0.0%	0.0%	0.0%	0.0%		
	Employment	9	0.0%	0.0%	18.2%	18.2%	11.6%		
	Equal Employment Opportunity	1	0.0%	0.0%	50.0%	50.0%	25.0%		
	HR Generalist	28	3.1%	3.1%	6.3%	12.5%	12.6%	At Risk	
	Labor Relations	11	0.0%	0.0%	0.0%	0.0%	0.0%		
	Systemwide Academic HR	7	0.0%	0.0%	12.5%	12.5%	21.7%		
Information Technology	Applications Programming	94	3.0%	1.0%	2.0%	6.0%	5.7%		
	Business Systems Analysis	87	2.1%	0.0%	8.2%	10.3%	9.0%		
	Business Technical Support	2	0.0%	0.0%	0.0%	0.0%	12.5%		
	Communications and Network Technology	10	0.0%	0.0%	9.1%	9.1%	7.7%		
	Data Systems Management	3	25.0%	0.0%	0.0%	25.0%	20.8%		
	Database Administration	5	0.0%	0.0%	0.0%	0.0%	4.2%		
	Information Systems	48	0.0%	2.0%	0.0%	2.0%	3.8%		
	IT Architecture	7	12.5%	0.0%	0.0%	12.5%	9.0%		
	IT Security	9	10.0%	0.0%	0.0%	10.0%	9.2%		
	Production Control	4	0.0%	0.0%	0.0%	0.0%	0.0%		
	QA and Release Management	16	5.6%	0.0%	5.6%	11.1%	5.6%		
	Systems and Infrastructure Administration	27	6.9%	0.0%	0.0%	6.9%	5.9%		
	Technical Project Management	12	0.0%	0.0%	0.0%	0.0%	3.1%		
	User Experience Design	4	0.0%	0.0%	0.0%	0.0%	0.0%		
Investment Management	Absolute Returns	3	0.0%	0.0%	0.0%	0.0%	6.3%		
	Asset Allocation and Investment Strategy	1	0.0%	0.0%	0.0%	0.0%	0.0%		
	Fixed Income	8	0.0%	0.0%	0.0%	0.0%	0.0%		
	Investment Risk Management	5	0.0%	0.0%	0.0%	0.0%	0.0%		
	Private Equity Investments	5	0.0%	0.0%	0.0%	0.0%	14.9%		
	Public Equity Investments	3	0.0%	0.0%	25.0%	25.0%	26.7%		

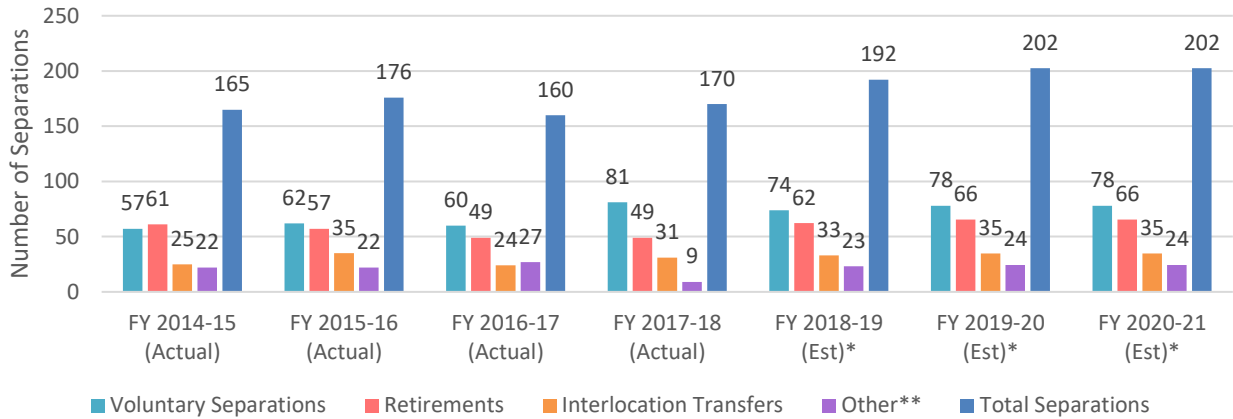
Job Family	Job Function	Headcount	Retirement %	Transfers %	Voluntary %	Actual Impact	Trend Analysis	Risk Flag	Notes
	Real Estate Investments	3	0.0%	0.0%	0.0%	0.0%	11.3%		
Legal Services	Counsel	50	3.7%	1.9%	1.9%	7.4%	6.1%		
	Legal Support	10	0.0%	0.0%	0.0%	0.0%	1.9%		
	Paralegal	14	0.0%	0.0%	0.0%	0.0%	3.3%		
Research Administration	Academic or Research Program Management	1	0.0%	0.0%	0.0%	0.0%	8.3%		
	Contracts and Grants	8	10.0%	0.0%	10.0%	20.0%	16.3%		
	Research Compliance	1	0.0%	0.0%	0.0%	0.0%	0.0%		
	Research Grant Program Admin	23	4.0%	4.0%	0.0%	8.0%	5.1%		
Senior Management Group	Senior Management Group	40	6.7%	0.0%	4.4%	11.1%	10.8%	At Risk	
Student Services	Academic Achievement Counseling	1	0.0%	0.0%	0.0%	0.0%	0.0%		
	Admissions and Recruitment	13	7.1%	0.0%	0.0%	7.1%	9.8%		
	Curriculum Planning	1	0.0%	0.0%	0.0%	0.0%	0.0%		
	Financial Aid	1	0.0%	0.0%	0.0%	0.0%	0.0%		
	K to 14 Academic Preparation	4	0.0%	0.0%	0.0%	0.0%	7.4%		
	Student Life and Development	3	0.0%	0.0%	0.0%	0.0%	0.0%		
	Student Services Advising	3	0.0%	0.0%	0.0%	0.0%	0.0%		
Union (not on career tracks)	Union (not on career tracks)	170	2.7%	0.5%	4.9%	8.1%	7.9%		

Note: The sum total headcount of the individual job functions may be larger than UCOP overall headcount due to individuals holding different jobs with UCOP in a given year. For overall UCOP, an individual would only be counted once; however, when observing individual job functions he/she could appear under multiple groups.

Appendix B: Separation Snapshot (Phase 2)

Voluntary separations have increased slightly over the years and are expected to remain the highest category, particularly if the job market remains strong. Retirements have decreased slightly as the baby boom peak populations have gradually moved out of the workforce. Transfers (that include a break in service) are a modest but typical occurrence inside the UC system. Other reasons (such as unrecorded reasons and involuntary separations) are small and expected to remain low in future years.

Figure A2. Separations



Notes:

* Forecasted Headcount considers additional 100 UCPATH employees in FY 2018-19 and FY 2019-20, holding all other employee levels flat to FY 2017-18 levels.

** 'Other' category of separations includes unrecorded separation reasons as well as involuntary reasons like health, dismissal, death, contract expiry, settlement, military service, layoff, visa expiry, self-employment etc.

* Separation rates are forecasted by averaging separation rates in each category for four prior actual years. These rates are then applied to the headcount to generate total projected separations by category.

Figure A3. Separations data table

Fiscal Year	Voluntary Separations	Retire-ments	Inter- location Transfers	Other **	Total Separations	Voluntary Separ-ations %	Retire-ment %	Inter- location Transfers %	Other ** %	Number of Employees
FY 2014-15 (Actual)	57	61	25	22	165	3.8%	4.0%	1.6%	1.4%	1,519
FY 2015-16 (Actual)	62	57	35	22	176	3.9%	3.6%	2.2%	1.4%	1,575
FY 2016-17 (Actual)	60	49	24	27	160	3.5%	2.9%	1.4%	1.6%	1,704
FY 2017-18 (Actual)	81	49	31	9	170	4.6%	2.8%	1.7%	0.5%	1,775
FY 2018-19 (Est)*	74	62	33	23	192	3.9%	3.3%	1.8%	1.2%	1,875 *
FY 2019-20 (Est)*	78	66	35	24	202	3.9%	3.3%	1.8%	1.2%	1,975 *
FY 2020-21 (Est)*	78	66	35	24	202	3.9%	3.3%	1.8%	1.2%	1,975 *

* Plus 100 UC Path employees starting in 2018-19 and 100 UC Path employees starting in 2019-20. Remainder of UCOP is projected to remain flat.

Retirement Eligibility (Phase 2)

This chart highlights all the Job Functions with their October 2018 headcount and the total percentage near retirement as defined by the yellow, orange and red groups above. Those with a headcount of 15 or more and a percent near retirement above 40% have been flagged as a potential risk function. The 40% threshold was chosen to identify the top one-fourth of the 26 job functions with more than 15 headcount. This analysis feeds into the risk analysis as one component.

Figure A4. Retirement eligibility, UCOP

Job Family	Job Function	Headcount (Oct 2018)	% Near Retirement	Headcount > 15 & Retirement > 40%	Notes
Not Assigned	Not Assigned	12			
Audit Compliance and Ethics	Audit	11	18.2%		
	Ethics and Compliance	11	27.3%		
Call Center	Customer Service	30			
	Quality Performance Metrics	4	25.0%		
Communications	Acquisitions Editor	14	14.3%		
	Digital Communications	12	8.3%		
	General Communications	11	27.3%		
	Media Communications	3	33.3%		
	Publications and Production	17	52.9%	Flagged	
	Visual Communications	2			
	Written Communications	8	37.5%		
Educational Services	Instructional Design	5			
	Professional Development	7	14.3%		
	Public Education Services	1	100.0%		
External Affairs	Alumni and External Relations	1			
	Events	6	16.7%		
	Fundraising	6	33.3%		
	Marketing	13	30.8%		
	Sales	1			
Facilities Development and EHS	Design and Construction Mgt	4			
	Energy Management	5			
	Environmental Health and Safety	4	75.0%		
	Facilities Project Management	3			
	Planning	8	37.5%		
	Real Estate Management	7	57.1%		
Finance	Accounting	46	30.4%		
	Capital Markets Finance	3	33.3%		
	Enterprise Risk Management	19	42.1%	Flagged	
	Financial Analysis	40	32.5%		
	Financial Services	26	34.6%		
	Loan Origination	8	75.0%		
	Loan Servicing	4	50.0%		

Job Family	Job Function	Headcount (Oct 2018)	% Near Retirement	Headcount > 15 & Retirement > 40%	Notes
	Payroll	50	4.0%		
	Procurement	4	25.0%		
	Strategic Sourcing	25	24.0%		
	Systemwide Budget	7	28.6%		
	Tax Compliance	6	33.3%		
	Travel	4	50.0%		
	Treasury	5	20.0%		
General Administration	Administrative Operations	65	38.5%		
	Contract Administration	6	50.0%		
	Executive Advising	22	31.8%		
	Executive Assistance	34	41.2%	Flagged	
	Institutional Research	19	26.3%		
	Organizational Consulting	16	25.0%		
	Product Development	14	14.3%		
	Project and Policy Analysis	88	37.5%		
	Records Management	7	42.9%		
	Regulatory Policy and Intel Property	12	33.3%		
	Sustainability	3			
	Vendor Relations Management	13	53.8%		
General Services	Facilities Management	6	66.7%		
Governmental Relations	Federal Government Relations	6			
	State Government Relations	9	11.1%		
Human Resources	Benefits	98	29.6%		
	Benefits Program Strategy	20	45.0%	Flagged	
	Compensation	13	38.5%		
	Employee Relations	2	50.0%		
	Employment	7	28.6%		
	HR Generalist	1			
	Labor Relations	35	8.6%		
	Systemwide Academic HR	10	70.0%		
Information Technology	Applications Programming	91	44.0%	Flagged	
	Business Systems Analysis	82	23.2%		
	Business Technical Support	3			
	Communications and Network Technology	9	44.4%		
	Data Systems Management	2	50.0%		
	Database Administration	5	20.0%		
	Information Systems	48	39.6%		
	IT Architecture	5	60.0%		
	IT Security	11	36.4%		

Job Family	Job Function	Headcount (Oct 2018)	% Near Retirement	Headcount > 15 & Retirement > 40%	Notes
	Production Control	4			
	QA and Release Management	16	31.3%		
	Systems and Infrastructure Administration	27	51.9%	Flagged	
	Technical Project Management	14	35.7%		
	User Experience Design	4			
Investment Management	Absolute Returns	3			
	Asset Allocation and Investment Strategy	1			
	Fixed Income	8	25.0%		
	Investment Risk Management	4	25.0%		
	Private Equity Investments	5			
	Public Equity Investments	4			
	Real Estate Investments	2	100.0%		
Legal Services	Counsel	50	30.0%		
	Legal Support	11	54.5%		
	Paralegal	13	53.8%		
Research Administration	Academic or Research Program Management	1	100.0%		
	Contracts and Grants	6	33.3%		
	Research Compliance	1			
	Research Grant Program Admin	22	45.5%	Flagged	
Senior Management Group	Senior Management Group	36	50.0%	Flagged	seasoned leaders, skew older with more YoS
Student Services	Academic Achievement Counseling	1			
	Admissions and Recruitment	14	28.6%		
	Curriculum Planning	1			
	Financial Aid	1			
	K to 14 Academic Preparation	7	14.3%		
	Student Life and Development	3			
	Student Services Advising	2	50.0%		
Union (not on career tracks)	Union (not on career tracks)	145	24.1%		

Appendix C: Mission, Vision, Values, and Strategic Map (Phase 1)

UC's Mission

Mission statement from the University of California Academic Plan, 1974-1978

“The distinctive mission of the University is to serve society as a center of higher learning, providing long-term societal benefits through transmitting advanced knowledge, discovering new knowledge, and functioning as an active working repository of organized knowledge. That obligation, more specifically, includes undergraduate education, graduate and professional education, research, and other kinds of public service, which are shaped and bounded by the central pervasive mission of discovering and advancing knowledge.”

The University's fundamental missions are teaching, research and public service.

We teach - educating students at all levels, from undergraduate to the most advanced graduate level. Undergraduate programs are available to all eligible California high-school graduates and community college transfer students who wish to attend the University of California.

We do research - by some of the world's best researchers and brightest students in hundreds of disciplines at its campuses, national laboratories, medical centers and other research facilities around the state.

We provide public service - which dates back to UC's origins as a land grant institution in the 1860s. Today, through its public service programs and industry partnerships, UC disseminates research results and translates scientific discoveries into practical knowledge and technological innovations that benefit California and the nation.

Principles of Community (Values)

The University of California Office of the President is committed to promoting an environment that supports every person in an atmosphere of mutual respect, cooperation, professionalism, and fairness. Realization of this commitment requires awareness and active participation by every member of our community.

We strive to be:

- **Service-oriented:** We seek to advance the goals of the University through responsive and efficient work practices and communications.
- **Ethical:** We practice integrity in every aspect of our work.
- **Open:** We believe that the exchange of ideas requires mutual respect and consideration of our differences.
- **Diverse:** We embrace diversity in all its forms and we strive for a community that fosters an open, inclusive and productive environment in an atmosphere of mutual respect.
- **Just:** We support fairness, respect for individual dignity and equitable access to resources, recognition and rewards.

- **Caring:** We practice mutual respect, trust and support to foster bonds that strengthen working relationships.
- **Commemorative:** We celebrate the heritage, achievements and diversity of the community and the contributions of our members.

Appendix D: Competency Model (Phase 2)

Figure A5. Competency model, UCOP

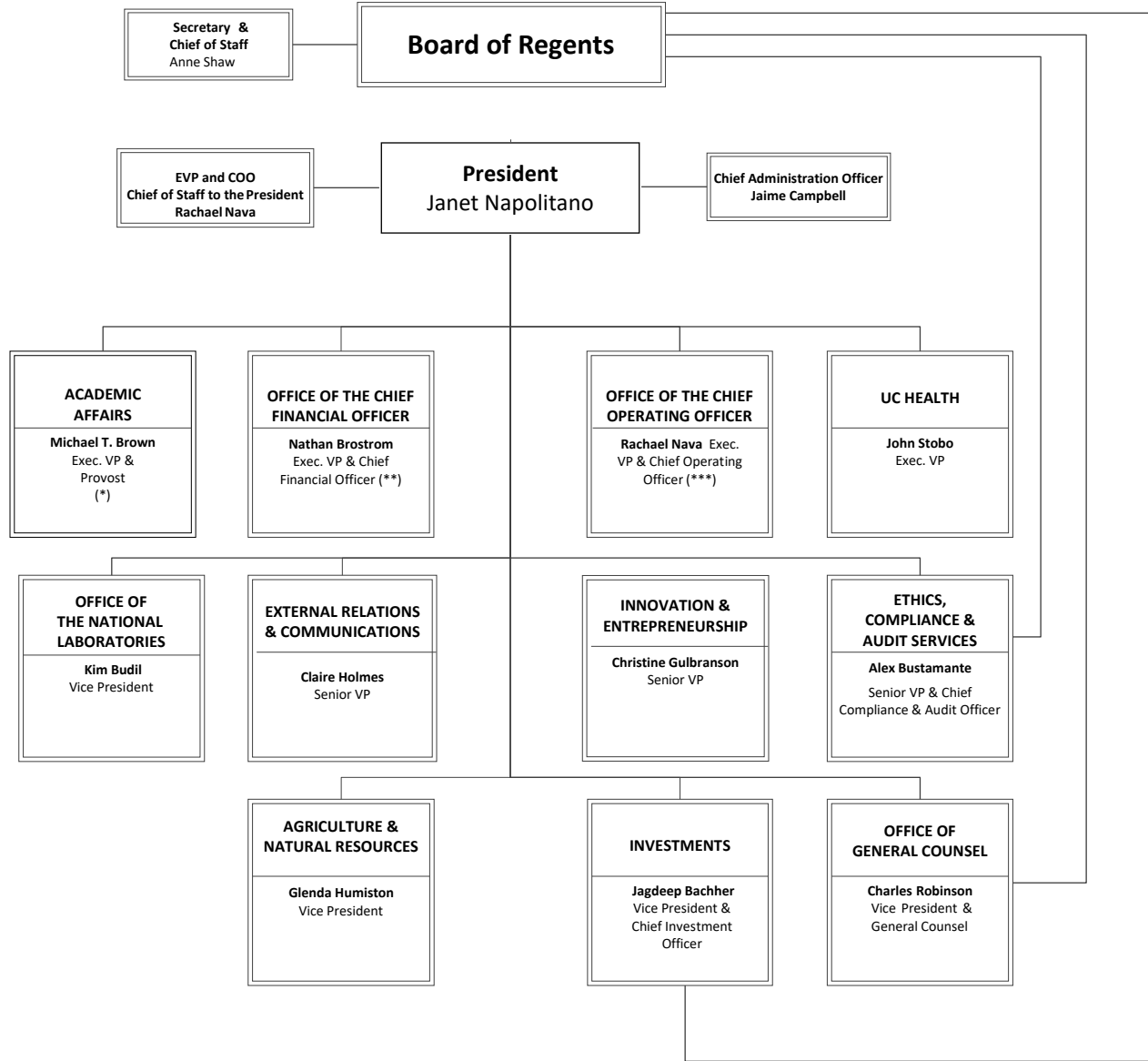
Competencies	Definition	Behavioral Indicators
FOUNDATIONAL COMPETENCIES		
Collaboration and Communication	Builds partnerships and works collaboratively with others to meet shared objectives.	<ul style="list-style-type: none"> • Uses appropriate clear verbal and written communication that is timely. • Demonstrates balance between building and maintaining trusting relationships and getting work done. • Builds constructive and collaborative working relationships to achieve goals. • Willing to share information/knowledge with others.
Customer/Client Service Focus	Dedicated to meeting the expectations and requirements of internal and external customers; gets first-hand customer information and uses it for improvements in products and services; acts with customers in mind; establishes and maintains effective relationships with customers and gains their trust and respect.	<ul style="list-style-type: none"> • Can describe customers' business and expectations. • Demonstrates interest in customers' needs and responds to needs in a timely fashion. • Seeks feedback to ensure customer needs have been met. • Proactively seeks ways to improve service delivery. • Goes beyond basic service expectations
Innovation, Creativity, and Change	Creates new and improved ways for the organization to be successful. Develops new and unique ideas; makes connections among previously unrelated ideas or concepts; tends to be seen as original and value-added in brainstorming settings. Supports change initiatives by defining measurable outcomes, energizing others at all levels, and ensuring continuing commitment when faced with new initiatives; confronts and works through concerns of various stakeholders.	<ul style="list-style-type: none"> • Experiments with new ideas, methodologies and solutions. • Thinks in terms of desired outcomes, not just quick solutions. • Responds positively to change, embraces new opportunities and practices to accomplish goals or solve problems. • Adapts approach, goals and methods to achieve solutions and results appropriate for situation.
Principles of Community	Models and promotes equitable, fair, and inclusive behaviors. Fosters a positive working and learning	<ul style="list-style-type: none"> • Contributes to creating an environment of mutual respect and considers differences to encourage an open exchange of ideas.

Competencies	Definition	Behavioral Indicators
	environment by maintaining a climate of collaboration, fairness, cooperation, ethical behavior, and professionalism.	<ul style="list-style-type: none"> • Is able to see the merits of perspectives other than his/her own. • Is sensitive to and seeks to understand cultural norms, expectations.
Problem Solving/Decision Making	Makes good decisions based upon a mixture of analysis, wisdom, experience, and judgment; most of his/her solutions and suggestions turn out to be correct and accurate when judged over time; sought out by others for advice and solutions.	<ul style="list-style-type: none"> • Uses sound judgment to make clear, transparent and timely decisions based on relevant information and data. • Recognizes issues, problems, or opportunities and proposes solutions. • Evaluates the pros and cons, risks and benefits of different solution options. • Seeks advice from their supervisor and requests help from others when needed.
Self-Management	Sets and manages priorities. Demonstrates execution of goals and objectives that support the overall success of the strategic objectives of the department. Completes work on schedule; produces work that has few if any errors; utilizes resources available to maximize efficiency.	<ul style="list-style-type: none"> • Pursues tasks with sense of purpose and a need to finish objectives despite obstacles and setbacks. • Recognizes critical tasks and is able to prioritize multiple competing tasks or goals. • Uses time effectively to accomplish assigned work and deliverables. • Takes advantage of available resources (individuals, processes, departments, and tools) to complete work efficiently.
Stewardship - Resource Management	Interprets and applies understanding of all the organization's resources (e.g., people, financial, time, office supplies, etc.) to make better business decisions. Demonstrates accountability, discretion, and sound judgment utilizing University resources.	<ul style="list-style-type: none"> • Embraces and promotes ethical values and standard when managing and using resources. • Understands and uses key departmental budgetary priorities in decision making. • Uses individual and UCOP resources effectively and efficiently. • Controls costs and conserves resources. • Works to minimize institutional risk by acting as a responsible agent of the University, by demonstrating accountability, discretion, and sound judgment when managing all financial and operations resources.
TECHNICAL COMPETENCIES		
Job Mastery	Demonstrates technical competence and job knowledge when completing job duties; possesses the skills and knowledge to successfully perform	<ul style="list-style-type: none"> • Uses skills and knowledge and applies them to all aspects of position; willing to learn new skills and knowledge as needed. • Ensures that work and information are complete and accurate; follows up with

Competencies	Definition	Behavioral Indicators
	all parts of the job effectively and in a timely and efficient manner.	others to ensure that agreements and commitments have been fulfilled. <ul style="list-style-type: none"> • Shows personal commitment and takes action to continuously improve.
LEADERSHIP COMPETENCIES		
Leadership/Vision	Paints a compelling picture of the vision and strategy that motivates others to action.	<ul style="list-style-type: none"> • Articulates the vision in a way everyone can understand, appreciate and see their role. • Shows personal commitment to the vision; connects vision to departmental goals, objectives, and outcomes. • Understands the value of building a shared vision. • Talks about future possibilities in a positive way. • Translates vision into action by linking vision to mission, goals, and strategy.
Management of People	Provides challenging and stretching tasks and assignments; holds frequent development discussions; is aware of each direct report's career goals; constructs compelling development plans and executes them; coaches direct reports to accept developmental moves; is a people builder.	<ul style="list-style-type: none"> • Leads by example with consistency of words and actions. • Creates a positive and trusting working environment for team. • Provides helpful, behaviorally specific feedback to others. • Regularly meets with employees to review their progress and development; provides effective coaching and intervenes when necessary to course correct. • Shares information, advice, and suggestions in a timely manner to help others to be more successful.

Appendix E: Organizational Chart and Contact Information (Phase 1)

Figure A6. UCOP organizational chart, December 2018

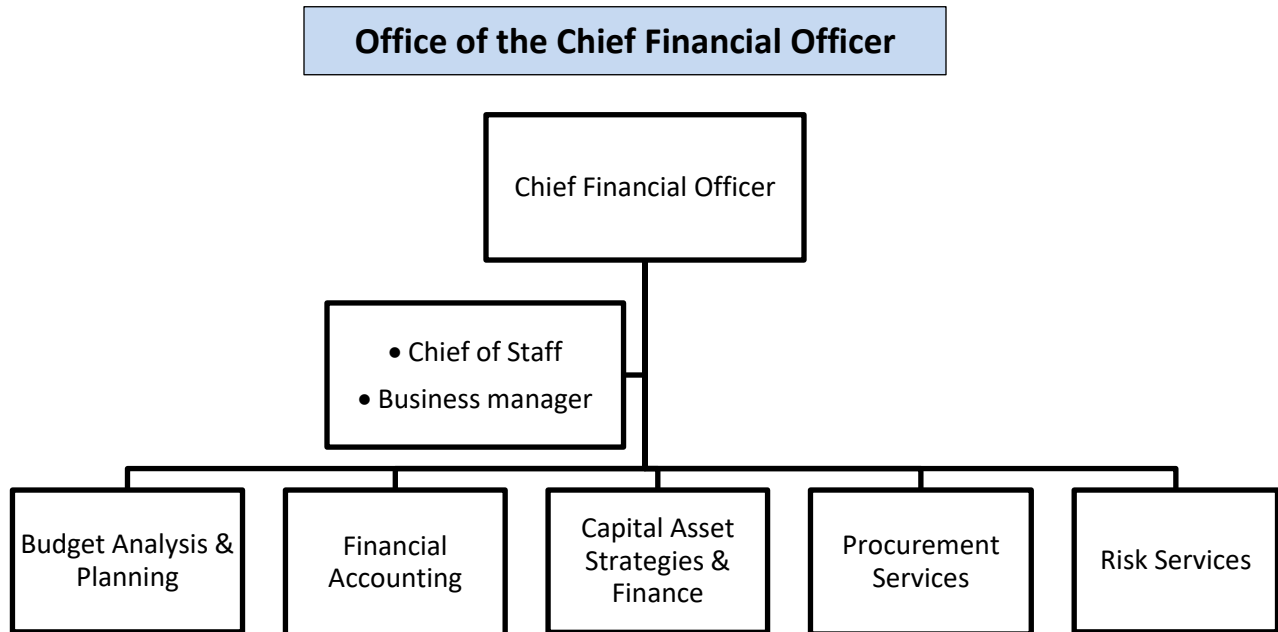
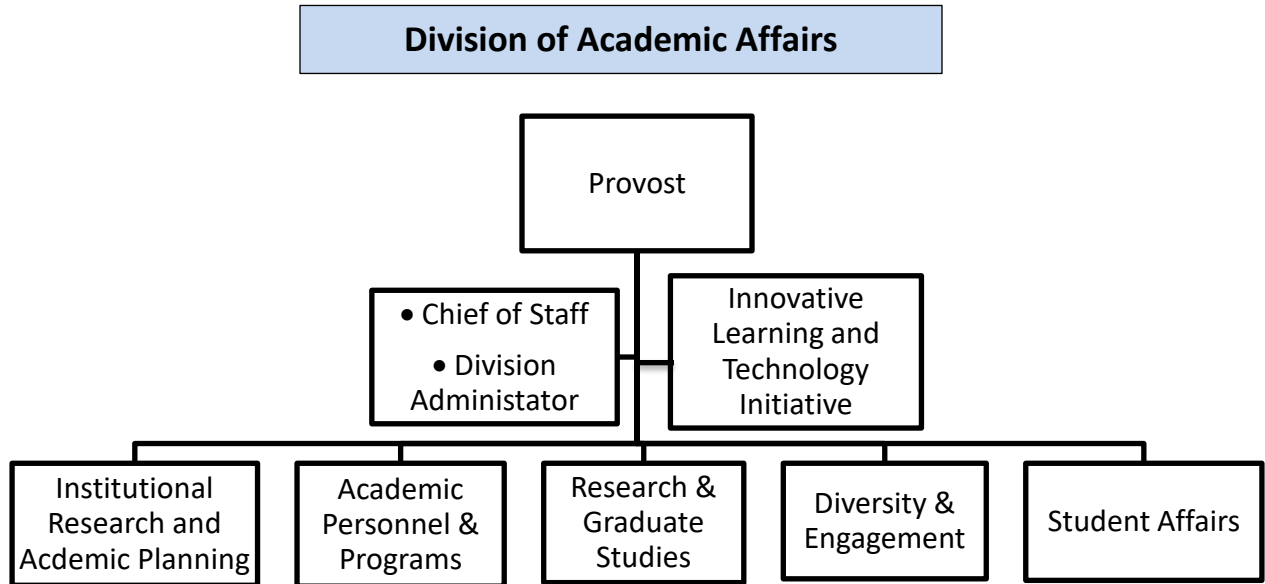


*Acts for the President in her absence.

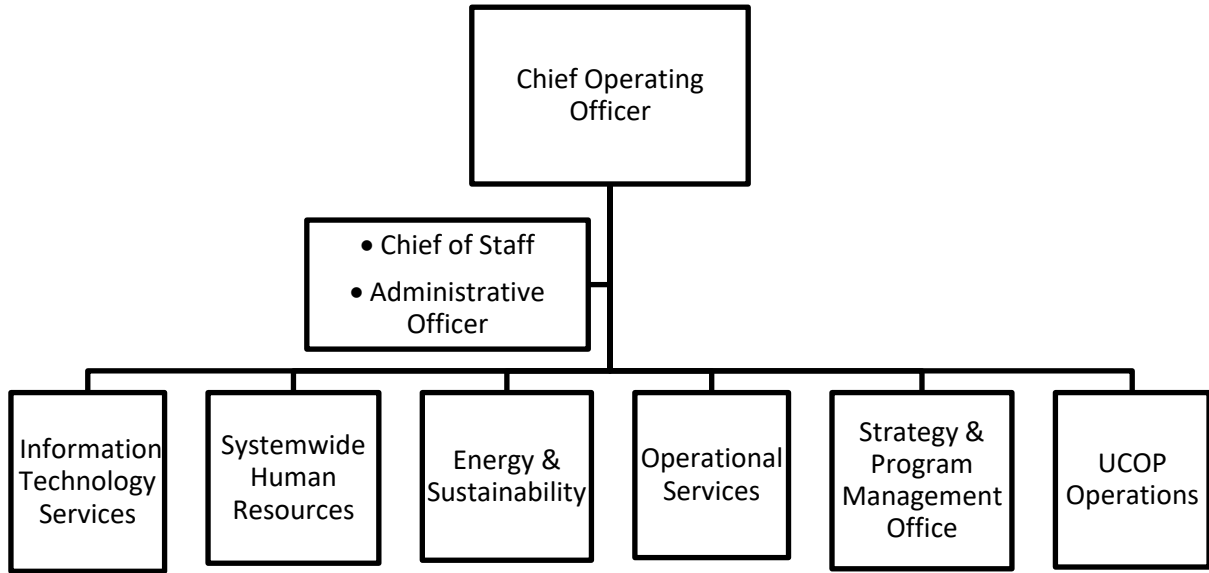
**Acts for the President in her absence and in the absence of the Provost.

***Acts for the President in her absence and in the absence of the Provost and Chief Financial Officer.

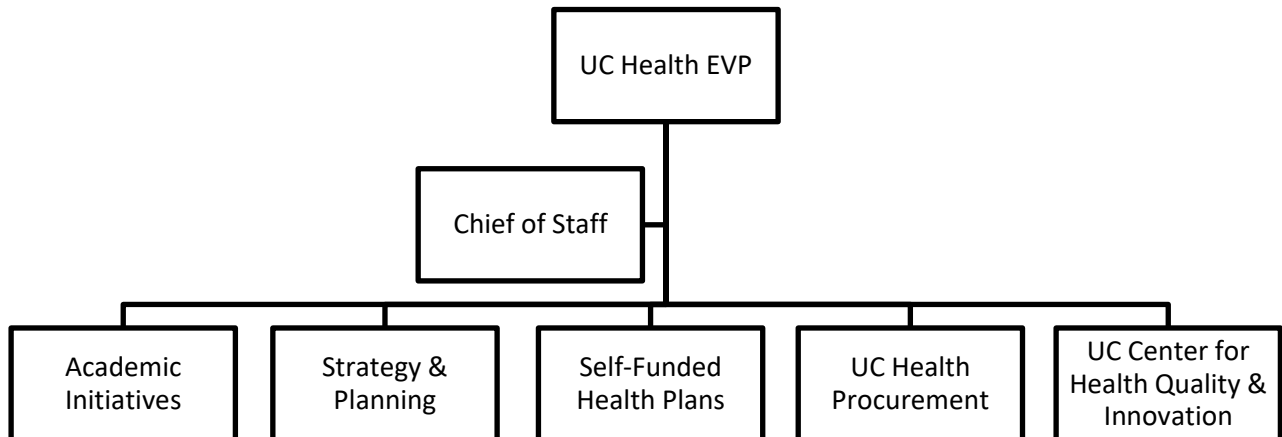
Figure A7. UCOP divisional organization charts, December 2018



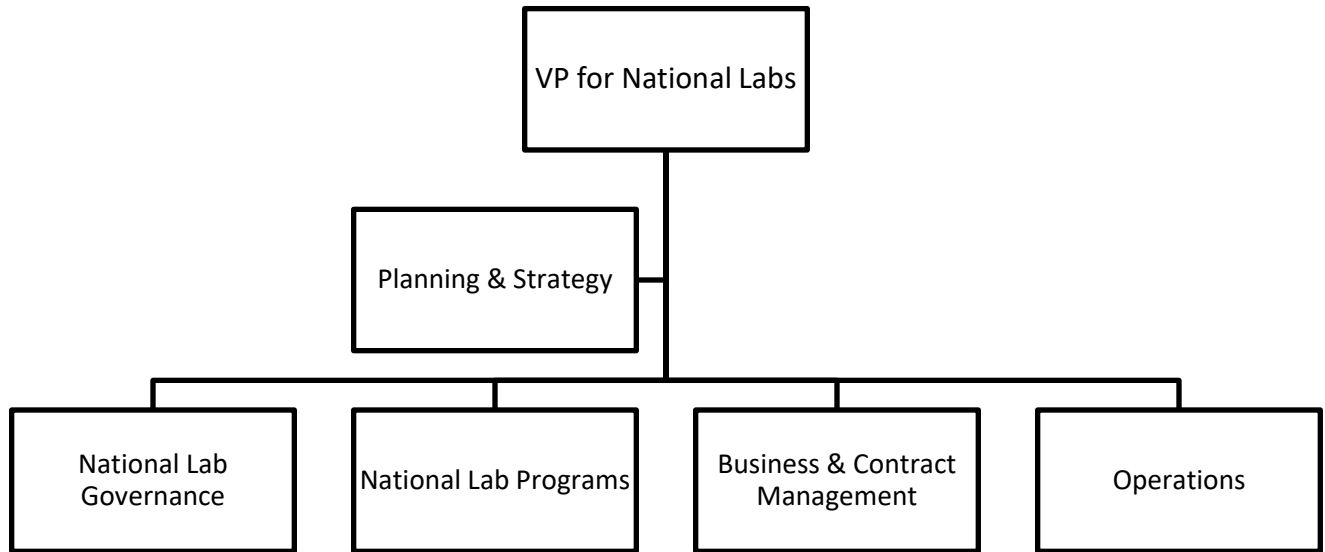
Office of the Chief Operating Officer



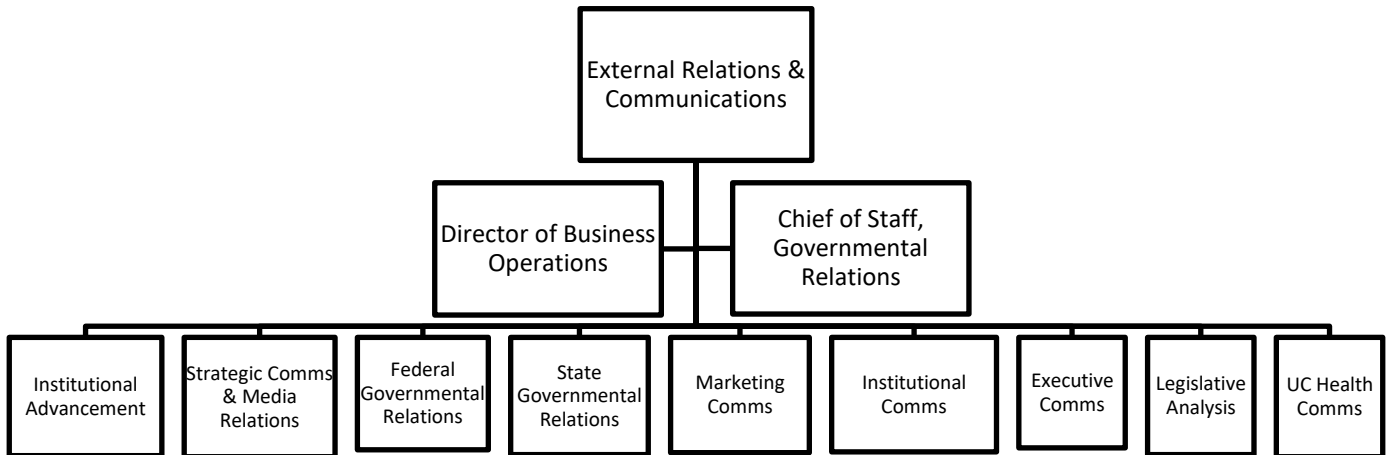
UC Health



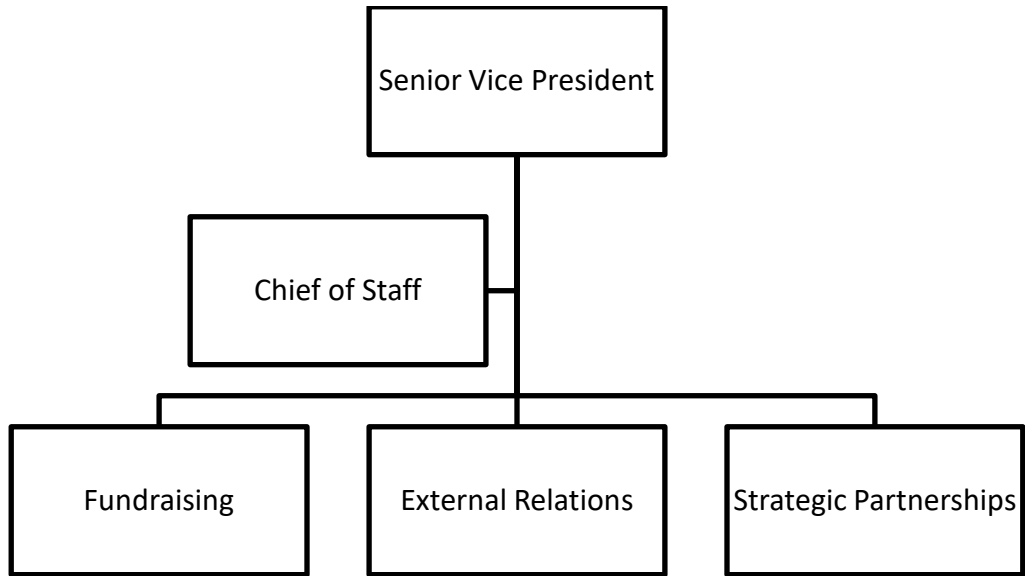
Office of the National Laboratories



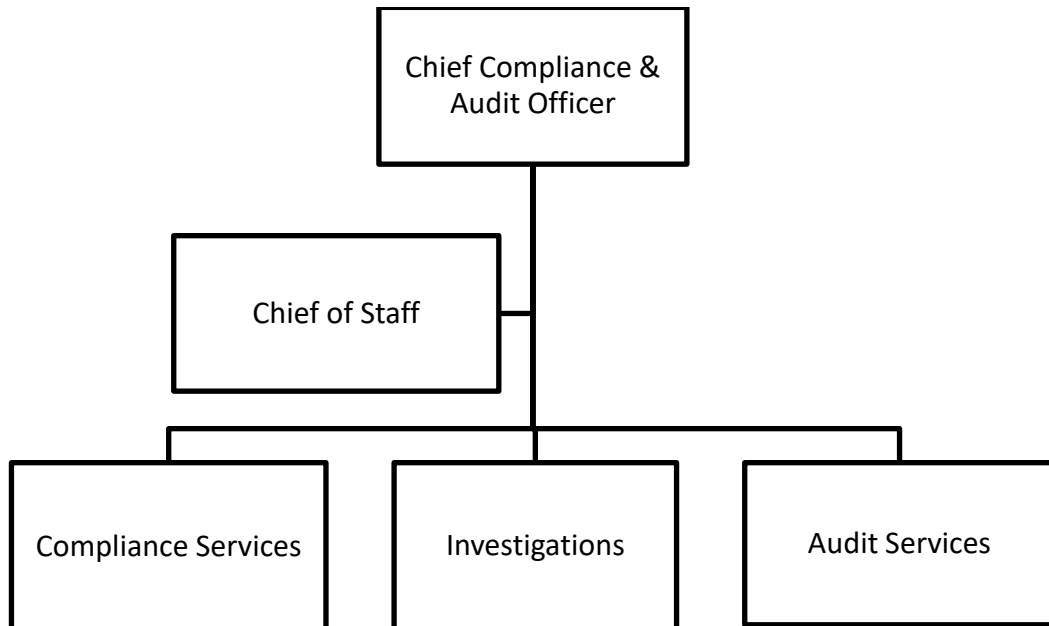
External Relations & Communications



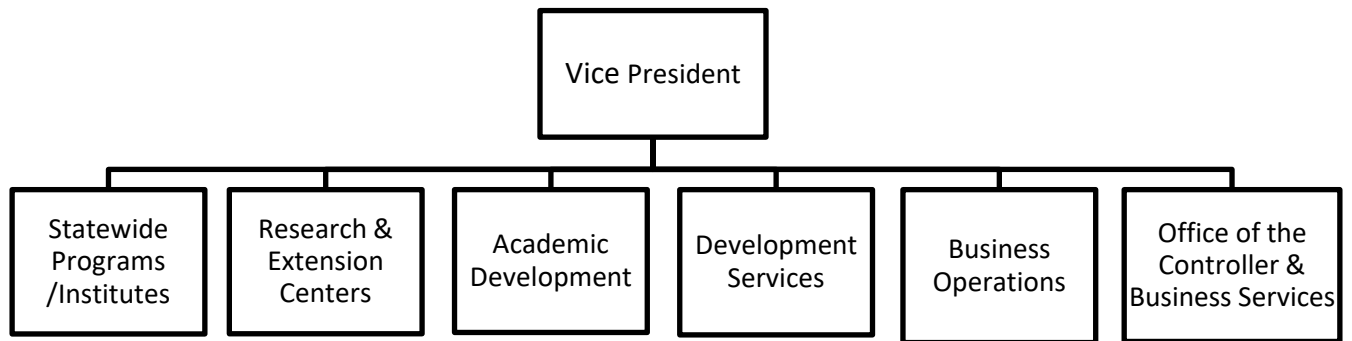
Innovation & Entrepreneurship



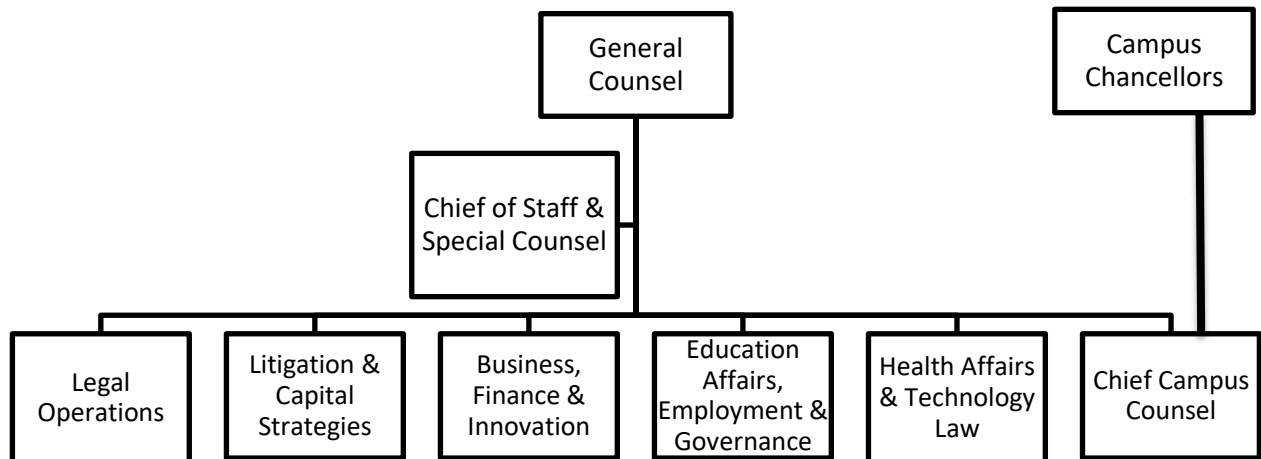
Ethics, Compliance & Audit Services



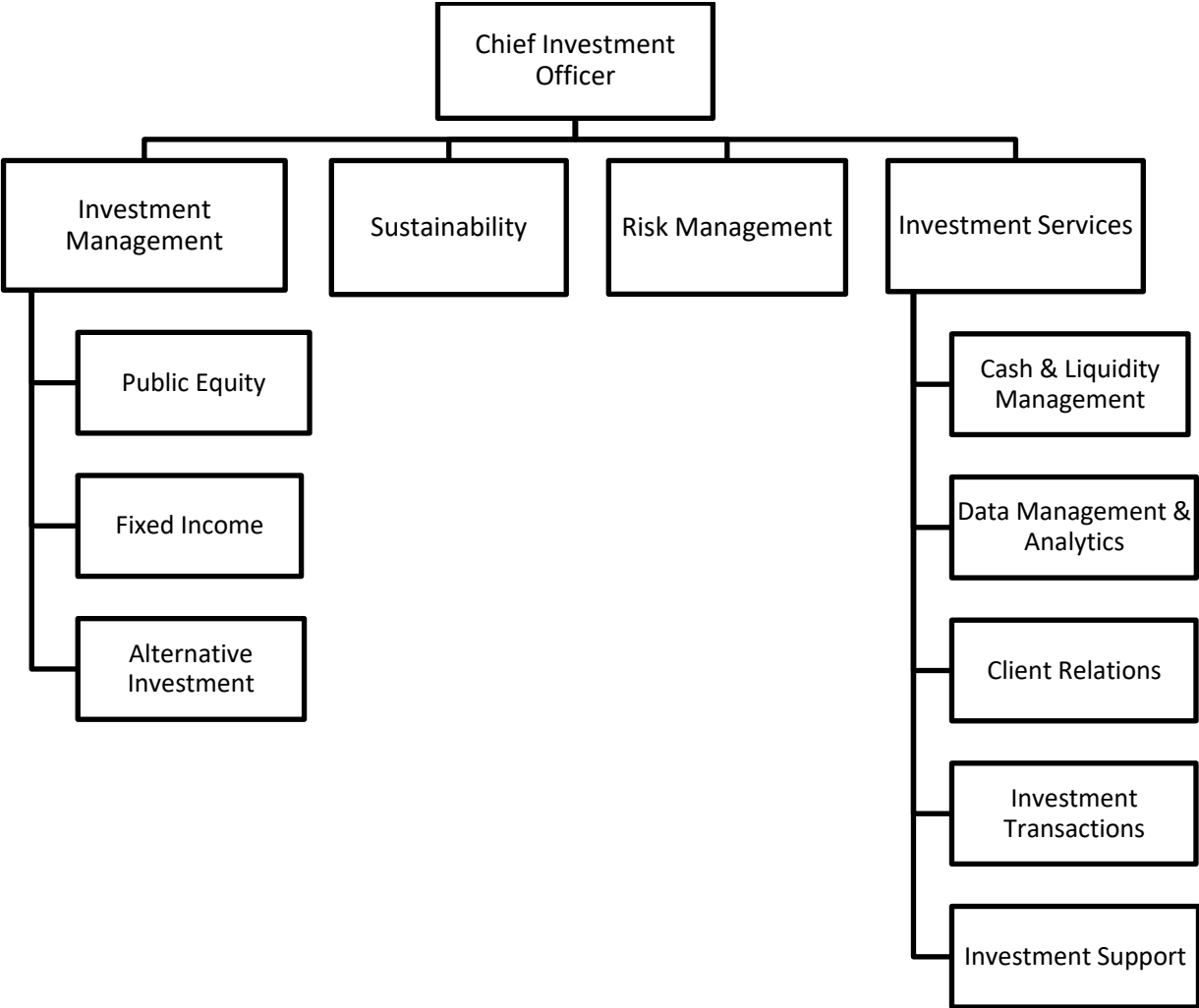
Agriculture & Natural Resources



Office of the General Counsel



Office of the Chief Investment Officer



Additional UC Appendices

Appendix F. UCOP Division Leader Survey Instrument

Division Workforce Planning Survey

Discussion Questions

1. What changes do you anticipate in your organization between now and June 30, 2020?
 - a. If you have a completed **Strategic Plan**, are there any components that have changed since your plan was completed? If so, what and how?
 - b. What **organizational changes** are you planning for your division between now and June 30, 2020 (e.g. from restructuring, internal changes, etc.)?
 - c. What major **organizational initiatives** will impact the staffing and skills required for your organization between now and June 30, 2020?
 - d. Will you **add new** services or functions?
 - e. Are there **any other drivers** for change in your organization and if so, how will they impact staffing?
2. What changes do you expect in needs for staffing and skills?
 - a. What are the **critical skill sets** you need to make the organization a success?
 - b. Please identify **new** roles/positions and the new skills required for the organization that you don't have now. Are there specific educational backgrounds or experience and competency profiles you are looking for?
 - c. Will you have skills becoming **obsolete** due to changes in the department, industry, technology, etc.?
 - d. Are there any areas where skills are **evolving** due to changes in technology or the general industry (e.g. change in IT technologies or other relevant external environment, librarian then vs. now)?
 - e. What skills does your organization **need more of**? (for example training/coaching existing employee in new skills or hiring in new skills e.g. project management, change management skills, LSS skills)
3. What are implications and challenges for Recruiting & Retention?
 - a. If there are **changes in the organization**, what are the key implications to the staffing plan for next year in terms of recruiting and retention?
 - b. What **challenges** does your organization face in recruiting and retention?
 - i. Are there roles or positions that are **difficult to attract or retain**?
 - ii. Are there roles or positions that have higher than average **turnover**?
 - iii. Why does **top talent** leave your organization (e.g. salary growth, seeking promotion/growth opportunities, not a good fit culturally for them, other reasons, all of the above)?
 - iv. Who is your **biggest competitor** in the Bay Area market?
 - v. For key roles, do you source them only from the Bay Area market or from outside the Bay Area as well?
4. Do you see any major changes in the next 3-5 years in your division? If so, what are they?

Appendix G. Qualitative data from division leaders

Figure A8. Qualitative data from division leaders

Division	Recruitment Challenges	Critical Skill Set Needed for Success
President’s Executive Office	Noncompetitive salaries; lack of promotional opportunities. Internal recruitment process is too lengthy.	Relationship –building, navigating and negotiating, convening and consensus-building; strong written and oral communication skills, political acumen and understanding the organization and PEO in the larger UC.
Academic Affairs	<p>Limited candidate pool with specialized skills in the following:</p> <ul style="list-style-type: none"> - Academic personnel with UC campus experience - Experienced diversity and inclusion professionals - Institutional research professionals with writing and data analytics, <p>Hard to fill profiles due to market competition, low classification and inferior professional development opportunities:</p> <ul style="list-style-type: none"> - Admissions and Relations with high schools and community colleges especially articulation - Technical expertise with data and systems development and maintenance - IT roles - Administrative support 	<ul style="list-style-type: none"> - Expertise in academic personnel - Advanced knowledge of higher education and/or UC specifically - Extensive knowledge of People Soft - Critical thinking and high-level writing skills - Data and research analysis - Technical and non-technical digital library experience
Chief Financial Officer	<p>Attraction and retention challenges because of lower salaries as compared to industry standards:</p> <ul style="list-style-type: none"> - Finance/Accounting - Technical roles for help desk, system analyst and business intelligence analytics within Procurement. 	<ul style="list-style-type: none"> - Analytical skills, reporting and creating dashboards - Ability to cross train within CFO group - Critical thinking, problem solving; technical skills - Ability to operationalize department strategy - Relationship Management - Communications (formal, informal, oral, written)

Division	Recruitment Challenges	Critical Skill Set Needed for Success
	<ul style="list-style-type: none"> - Senior Strategic Sourcing professionals Risk Services Subject Matter Expertise is required in all positions and is difficult to attract due to small talent pool in the current labor market 	<ul style="list-style-type: none"> - Negotiation (internal and external) - Project management (business and technical) - Fluidity with procurement systems - Business program and product management - Process improvement (Lean or other methods) - Change Management (stakeholder identification/engagement; training) - Knowledge about sustainable procurement
Chief Investment Officer of the Regents	Senior investment professionals (above Director) which may require external support for hiring	<ul style="list-style-type: none"> - Investment management acumen - Strong technical skills - Belief in the UC mission - Collaborative workstyle
Chief Operating Officer	<p>Hard to fill profiles due to market competition and low classification:</p> <ul style="list-style-type: none"> - Executive and career compensation professionals - Employee Relations Investigators - Data analyst - Labor Relations - Clerical staff - HR Business Partners - Technical roles with PeopleSoft skills, for reporting/analytics skills, and for business analyst skills in support of UCPath. - All facilities, design and project or construction management - Business Resource Center roles are some of the lowest paying jobs at UC. <p>General recruiting challenges:</p> <ul style="list-style-type: none"> - Executive recruitment - L&D and Analytics expertise - UCOP ITS - Projected challenges in recruiting desktop engineers (currently staffed) 	<ul style="list-style-type: none"> - HR specific - analytical skills and investigators - Cross-functional management and collaboration - Ability to lead change management - Technical skills with financial systems and corporate finance - Ability to develop / write policies - Understanding of strategic planning - Presentation skills <p>Specific to Budget Office:</p> <ul style="list-style-type: none"> - Accounting & Compliance for UCOP - Generalist with strong financial skills with the ability to develop and automate reporting packages. - Financial modeling skills

Division	Recruitment Challenges	Critical Skill Set Needed for Success
Ethics Compliance & Audit Services	Specialized expertise is difficult to attract and retain, specifically: - IT/cybersecurity auditors -Workplace Investigators	-Subject matter expertise in export controls (new and critical skill set); healthcare, data analytics, research (critical)
External Relations & Communication	General communication skills Digital skill set	General communication skills Digital skill set
General Counsel	Attraction and retention challenges in the following attorney practice areas: -Health -Intellectual Property -Investments -Non-Profit Organizations It is difficult to attract qualified talent due to market competition and compensation constraints. Other practice areas become difficult to recruit for based on market conditions, e.g., during strong economic growth, real estate, construction and land use attorneys. Limited growth and promotional opportunities are also a factor in retaining top talent.	Legal expertise in following areas is needed at the Counsel IV level: international/commercial law; environmental law and health & safety (OSHA); California Environmental Quality Act/land use entitlements; patent prosecution; litigation (affirmative, defense and PERB); endowment and investment; procurement; construction contracting/defects and competitive bidding; real estate – P3; research/clinical partnerships and joint ventures. Counsel II-III level expertise is needed in the following areas: procurement; white collar crime and Health Corporate transactions. Counsel I level expertise is needed for a Fellowship position. Experienced legal support staff, e.g., LSS, Paralegals, Analysts, will be needed.
Office of Innovation & Entrepreneurship	Business positions are difficult to fill with exceptional candidates because UC salary offers are not competitive to market. We suggest following the UC health compensatory	-Problem solving -Fundraising -Fluency in technology and emerging tech trends -Prior experience in corporations in business

Division	Recruitment Challenges	Critical Skill Set Needed for Success
	<p>guidelines that are more aligned with market</p> <p>Retention issues - Salary not competitive to market -Culture fit -Seeking growth opportunities</p>	<p>development, strategy, and investment capacities</p> <p>-Prior experience operating in a global market a plus --</p> <p>Understanding of IT systems, IT architect, and system design</p>
Systemwide Title IX Office		Data Analysts; compliance professionals
UC National Laboratories	Senior roles in UCNL are difficult to recruit due to the specialized nature of our business.	<p>Staff with deep experience and knowledge of the DOE/NNSA national lab complex and environment.</p> <p>-Staff must be able to engage and influence a diverse set of stakeholders, at very high organizational levels, and often without direct authority.</p>
UC Health	Attraction and retention challenges because of lower salaries and a small candidate pool will impact all senior roles (e.g. in finance, quality / pop health).	Senior executives

NOTE: chart contains feedback regarding hard to fill recruitments and critical skills sets

Appendix H: The Case for Engaging in Talent and Succession Management Strategy at UC



Talent and
Succession Management

Click on the link above to view PDF of *The Case Engaging in Talent and Succession Management Strategy at UC*

Appendix I: Phase 1 Report: UCOP Workforce Planning White Paper



UCOP Workforce
Planning White Pap

Click on the link above to view PDF of the Phase 1, *The Workforce Planning White Paper Final*

Appendix J: University of California Exit Survey Questions



Univ of
California_Exit Surve

Click on the link above to view PDF of the UC Exit Survey