

UNIVERSITY  
OF  
CALIFORNIA

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# Office of the President Workforce Plan

Three year strategy & implementation plan  
2019-20 to 2021-22

## 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.

The UCOP Workforce Plan findings are based on a supply, demand and gap analysis and division interviews that were performed as part of the plan's development. The plan highlights a workforce that is staffed appropriately in most departments while some departments fight to keep up with the demands and workload. Since 2011, UCOP has maintained a flat to minimal increase in headcount and runs the organization as a lean operation providing client satisfaction while working within the resources that are available. UCOP is focusing on efficiencies in a "do more with less" environment while continuing to provide excellent service to our campus communities as demonstrated by the 10 Campus Study report<sup>1</sup>. The UCOP Workforce Plan is another step towards understanding where the organization may need to optimize or address gaps to continue to meet the needs of the UC community and successfully plan for the future.

This report represents five phases of the workforce plan based off the CalHR workforce plan model:

### *[Phase 1: Setting the Strategic Direction \(January 2017-February 2018\)](#)*

Phase 1 set the foundation and outlined the strategic direction for the workforce plan through a best practices analysis, current workforce analysis (including environmental factors and a snapshot of workforce demographics) and the establishing of a Workforce Plan project team. Stakeholder engagement was conducted and a five-phase model was created as a framework for developing UCOP's Workforce Plan. The Phase 1 effort culminated with a presentation to the [UC Regents in March 2018](#) and a five-phase model approach.

### *[Phase 2: Gather and Analyze Workforce Data \(March 2018-February 2019\)](#)*

*The Workforce Plan* report continued to evolve throughout Phase 2 leveraging the workforce plan five phase framework. Building off the strategic direction established in Phase 1, Phase 2 focused on further data gathering and deeper 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.

In step one the Supply Analysis was undertaken and leveraged demographic and environmental impact data collected in Phase 1 to evaluate current resources which is foundational for identifying future needs and informing strategy. 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.

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<sup>1</sup> Review of the Sjoberg and Evashenk "The University of California 10-Campus Study," <https://regents.universityofcalifornia.edu/regmeet/jan19/g5attach.pdf>

To assess immediate and upcoming needs, in step two a Demand Analysis was undertaken. The workgroup conducted interviews with division leaders. Short-term and long-term resource needs by job function were identified and 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. The workforce analysis focused on four competency areas: (1) Job Mastery, (2) Collaboration and Communication, (3) Customer/Client Services, and (4) People Management. The analysis also identified five high-risk profiles: (1) Financial Analysis, (2) Institutional Research, (3) Project Policy Analyst, (4) Applications Programming, (5) Systems and Infrastructure Administration. These high-risk profiles formed the basis for the workforce strategy and implementation plans developed in Phases 3 and 4.

### *Phase 3: Develop the Workforce Strategies and Plan (March 2019-October 2019)*

The workforce planning process is an ongoing organization-wide commitment to ensuring the right people are in the right roles doing the right things and requires ownership at every level. The data and analysis gathered in Phases 1 and 2 along with outcomes from the OP Restructuring Effort and the University of California 10 Campus Study informed the workforce planning strategy. Based on the analysis findings, the workforce planning team focused on five areas: (1) Talent Acquisition, (2) Knowledge Sharing, (3) Employee Development, (4) Retention and (5) Talent Assessment and Succession.

The strategic goals and objectives for the aforementioned five areas of focus outlined in Phase 3 of the Workforce Plan, address how to close the gaps identified in Phase 2 and provides actionable ways for successfully achieving the defined strategies.

### *Phase 4: Implementation of Strategies*

As we enter our third year of the workforce plan development, UCOP will be focusing on a three-year implementation plan broken down into two main sections: a 90-Day action plan and a long-term implementation plan.

90-Day Action Plan (August 2019-November 2019). The 90-day action plan was designed to begin testing the implementation strategies within 2019. The 90-day plan includes tasks foundational to the longer term implementation strategy over the next three years and addresses activities in five areas of focus that span the employee lifecycle: Talent Acquisition (recruitment), Employee Development, Knowledge Share, Retention and Talent Assessment and Succession.

Two to Five Year Implementation Strategy (December 2019-December 2022). Phase 4 includes implementation strategies for the next three years in the same five areas of focus that the 90-day action plan is based. These strategies will be evaluated and measured for success allowing for course correction as the organization's workforce plan evolves.

### *Phase 5: Monitor, Evaluate and Revise the Workforce Plan (December 2019-2022)*

Phase 5 outlines the organization's plans for monitoring and evaluating the workforce plan strategies over the next three years. The workforce planning team has identified initial metrics to begin evaluating the strategies and implementation plan. Because a workforce plan should be fluid to address the changing needs of the organization, the documented strategies for evaluation may require updating.

UCOP will periodically assess the workforce plan and research industry standards for continued alignment with best practices while engaging with divisional leaders to ensure the strategies and implementation activities continue to align with the organization's goals and needs.

## 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](mailto: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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## 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, six 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.<sup>2</sup> 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 strong, progressive university system that serves the State, the nation, and the world today, tomorrow 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 independent review assessed ways the Office of the President could more effectively and efficiently support UC's teaching, research, and public service mission. The resulting activities and 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 to be successful in an increasingly competitive marketplace.

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 Study<sup>3</sup> 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 have been included as the workforce planning team developed the workforce strategy.

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<sup>2</sup> 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>

<sup>3</sup> Review of the Sjoberg and Evashenk "The University of California 10-Campus Study," <https://regents.universityofcalifornia.edu/regmeet/jan19/g5attach.pdf>

UCOP Human Resources (HR) has identified seven strategic goals as part of their department’s three year plan based on a vision to create “a fair and equitable work environment where employees feel valued, engaged and empowered to grow and achieve.” The seven goals listed below were also used as part of a framework by which the strategy and implementation plans were developed:

- Build and maintain standard and consistent procedures to enhance the resources and information available to all UCOP employees.
- Manage and reduce organizational risk across UCOP.
- Build the caliber and expertise of Human Resources staff to enhance our ability to support department, division, and UCOP-wide initiatives and business processes.
- Improve Human Resource processes through leveraging technology to improve efficiency.
- Develop our strategic and advisory relationships with our clients.
- Model and build diversity, inclusion, and engagement in partnership with Employee Engagement and Diversity Group (EEDG) to drive employee engagement.
- Be recognized as a leader in creating the tools for effective workforce management and talent development in higher education.

These goals provided outcome drivers to guide the department in setting their approach and action plan to execute as part of the overall workforce plan.

## B. Phase 1: Setting Strategic Direction

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 K](#).

### B.1. Methodology

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In Phase 1, 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 Day<sup>4</sup> 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. A communications and change management plan will be created as part of the solution to secure leadership buy-in.

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 was 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

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<sup>4</sup> 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>

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.

## **B1.1 UCOP's 10 Divisions**

UCOP is the central hub for managing the University's business operations and finances. Along with the President's Executive Office and the Secretary of the Regents Office, there are ten divisions that comprise UCOP. Below are high-level descriptions of each of UCOP's division or office and their respective responsibilities.

### *B1.1.1 President's Executive Office*

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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.

### *B.1.1.2 Academic Affairs*

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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. The division includes the management of University innovation and 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.

### *B.1.1.3 Agricultural & Natural Resources*

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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.

#### *B.1.1.4 Office of the Chief Financial Officer*

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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.

#### *B.1.1.5 Office of the Chief Investment Officer*

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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.

#### *B.1.1.6 Office of the Chief Operating Officer*

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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.

#### *B.1.1.7 Ethics, Compliance and Audit Services*

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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.

#### *B.1.1.8 External Relations & Communications*

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External Relations and Communications (ERC) 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. ERC 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. ERC also conducts legislative policy analysis for the University and cultivates advocates and supporters internally and externally.

#### *B.1.1.9 UC Legal*

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The UC Legal office 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 UC Legal lacks a particular expertise or the infrastructure necessary to support the service or when the volume of work exceeds the capacity to provide appropriate timely service.

#### *B.1.1.10 Office of National Laboratories*

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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.

#### *B.1.1.11 Secretary of the Regents*

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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.

### *B.1.1.13 UC Health*

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UC Health provides leadership and strategic direction to advance the education, research and clinical service missions of the University of California’s 18 health professional schools and 12 hospitals. UC Health 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. UC Health 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.

## **B.1.2 Divisional strategic plans**

Several of UCOP’s 13 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 E](#)). These divisions are:

- Office of the Chief Financial Officer
- Office of the Chief Operating Officer
- Academic Affairs (pending Provost approval)
- UC Health
- Agriculture and Natural Resources
- UC Legal
- External Relations and Communications

The Office of National Labs strategic planning launched in 2019 and is scheduled to be completed in 2020. Another significant implementation 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 cover five key areas:
  - People

- Financial Stability
- Operational Excellence
- Policy and Advocacy
- Executing the Mission

Across the divisions, the “people” development goals fall into four areas: diversity and inclusion, career and leadership development, hiring practices, and effective people management. UCOP Restructuring Efforts that were launched in 2017 were completed in 2019. Divisions may still experience subtle impacts to their strategic plans with any restructuring decisions that are still in the implementation process. While the “People” goal is the heaviest focus of the workforce planning team, to be an effective partner, the team needs to understand each divisions complete strategic plan. 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 as their strategic plans evolve.

## B.2. Identifying best practices

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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 (refer to full list in [Appendix A](#))

Questions were developed to identify common themes, and the Corporate Executive Board’s (CEB’s) Best Practice Analysis<sup>5</sup> 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.

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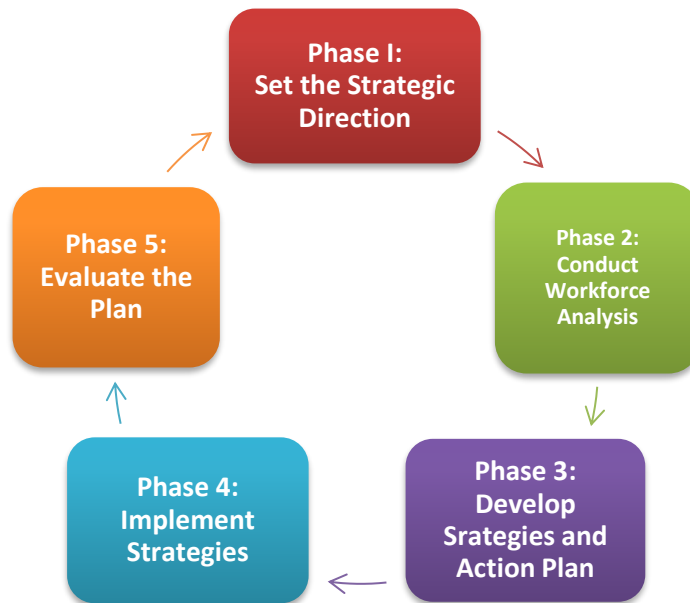
<sup>5</sup> Brian Kropp, Mark Van Buren (2013, May). *CEB Corporate Leadership Council: Benchmarking Current Approaches to Workforce Planning*. Retrieved from: <https://www.cebglobal.com/human-resources.html>



As a result of the best practice analysis, UCOP included two additional steps within Phase 1 of the model depicted in Figure 1 below:

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

**Figure 1. UCOP’s Workforce Planning Framework**



Though the CalHR model was leveraged as a guideline, the UCOP organizational structure is slightly different so the workforce planning team determined the five phase framework would be most effective for UCOP’s workforce planning effort.

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

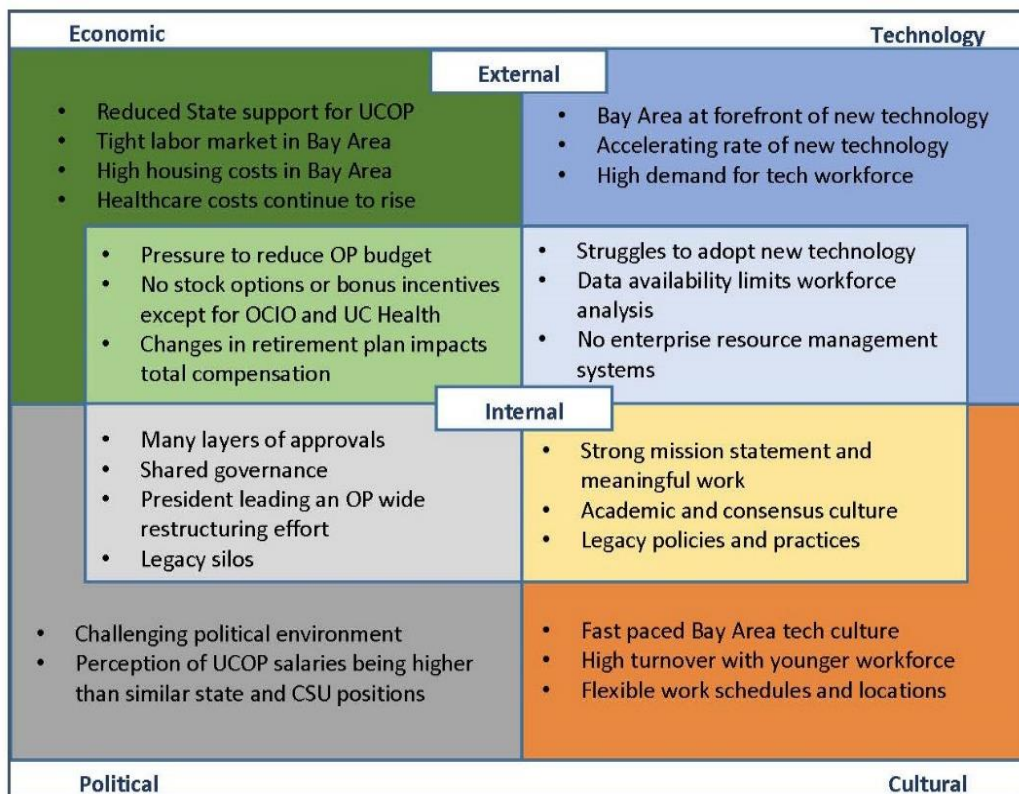
Participants found no major issues and identified a few areas to be revised such as eliminating duplicate data entry or clarifying the difference between promotion increase recommendations versus merits.

### B.3. Environmental factors

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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 and prepare for potential impacts. As UCOP works through restructuring efforts and the 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.

### B.3.1 Economic factors

- 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 affordable 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.

### B.3.2 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.
- Continuous 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 of balancing implementation of CSA audit recommendations with day-to-day responsibilities. Since April 2017, over 22,000 hours have been logged by UCOP staff on audit response-related tasks.

### **B.3.3 Cultural factors**

UCOP employees by and large 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 and prolonging the ability to execute on decisions.
- 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.

### **B.3.4 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 the work gets 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 currently 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, impeding the ability to be productive and efficient in completing tasks, and recruiting a more technically savvy workforce.

These are just some examples of factors that impact the UCOP workforce. Understanding these impacts and work towards ways to mitigate helps to inform the workforce plan strategy.

### **B.3.5 Impact of environmental factors**

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

- UCOP will continue to experience pressure to reduce its budget, increasing the need for examine how work can be accomplished 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 potentially experience higher than expected turnover.
- UCOP will need to consider what data managers and users need and a more automated process for loading information and making it easily accessible.
- UCOP should take the opportunity to explore technologies and policies that support work flexibility.

### **B.3.6 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 and determine how to develop those skills internally to avoid costly external contracts.
- 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.

### **B.3.7 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 its leadership and a significant level of work is produced by our employees. 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 while promoting our workforce development.

## **B.4. Demographics**

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*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 describes 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 years<sup>6</sup>.

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

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.

**Figure 3. UCOP workforce summary, October 2018**

	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
<b>Grand Total</b>	<b>1,925</b>	<b>1,747.8</b>	<b>7.5</b>	<b>47.0</b>
<b>Career Staff</b>	<b>1,668</b>	<b>1,565.2</b>	<b>7.9</b>	<b>47.2</b>

*Source: UC Corporate Personnel System*

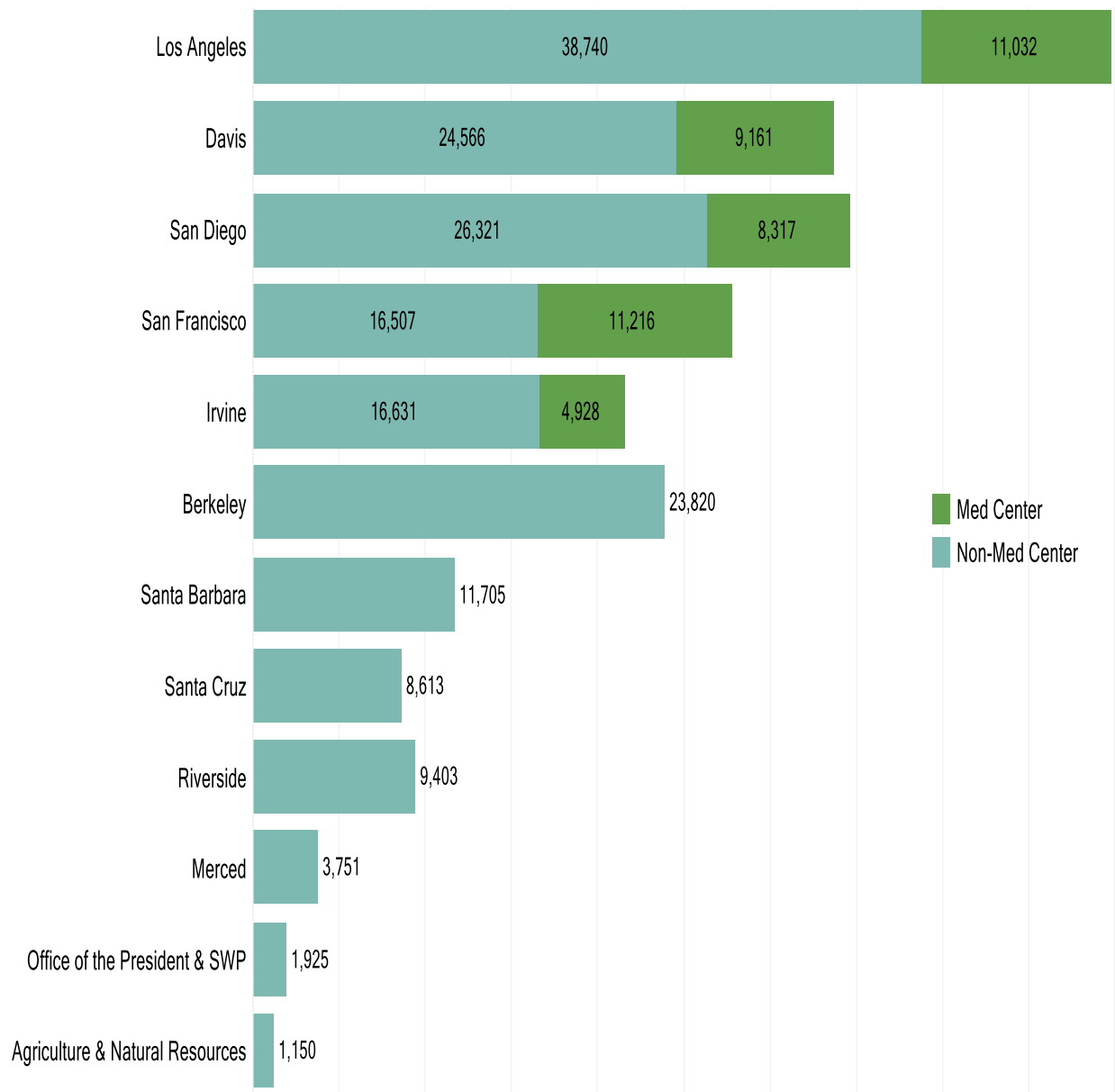
\*Headcount represents unique employees with any earnings, regardless of full-time or part-time status. Employees with more than one appointment are counted in their principal position.

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

Relative to the other locations in the University of California system, the Office of the President is one of the smallest sites in terms of headcount. UCOP represents 0.84% of the overall UC workforce as seen in Figure 4.

<sup>6</sup> 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.

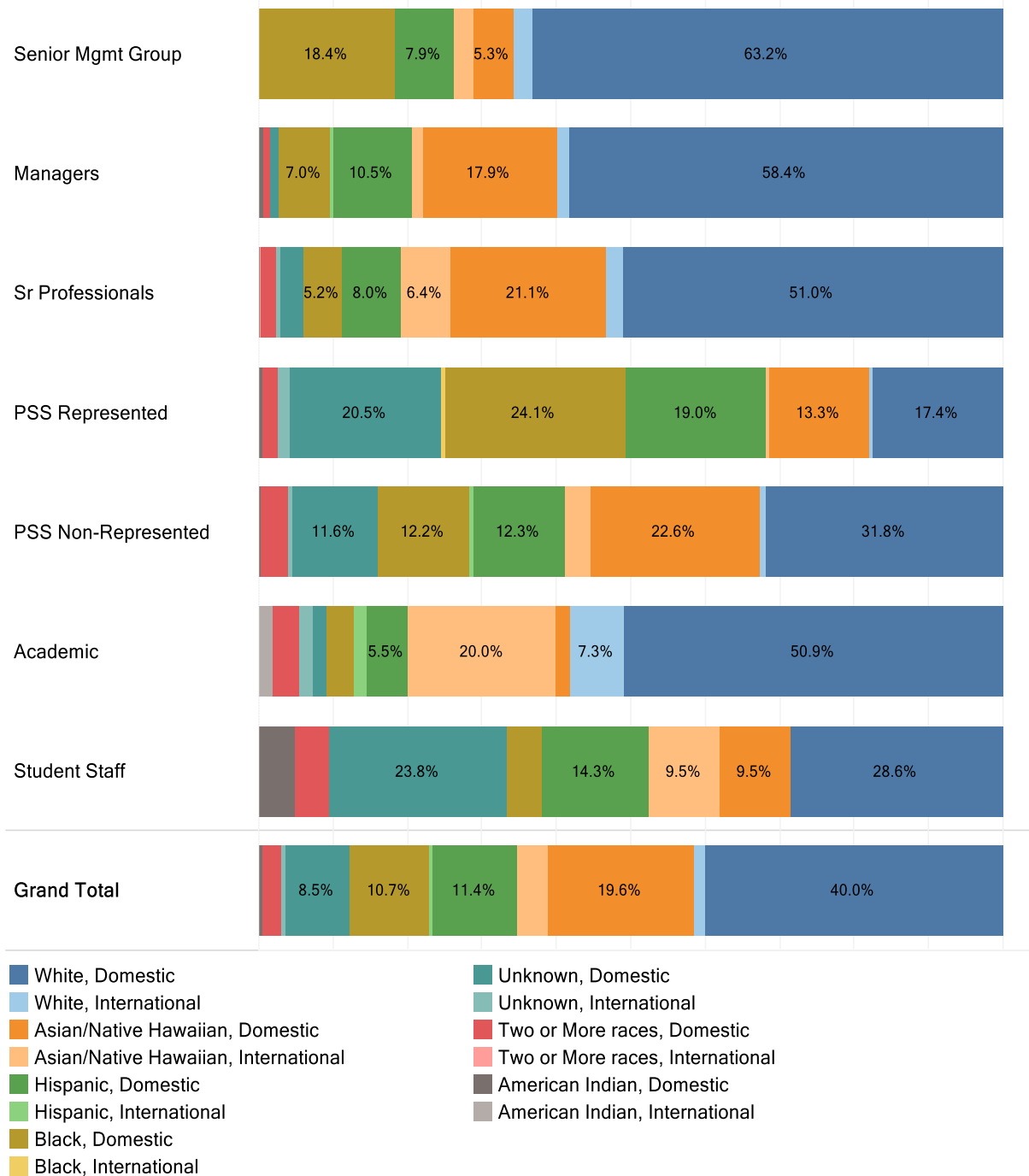
**Figure 4. UC workforce headcount by location, October 2018**



Source: UC Corporate Personnel System

Of the overall staff, UCOP’s professional and support staff (PSS) segment is the most diverse whereas management and senior positions are less diverse as demonstrated in Figure 5. For more detailed information about UCOP’s diversity refer to subsequent Figures 5A and 5B.

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



Source: UC Corporate Personnel System

The next figure, Figure 5A 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.

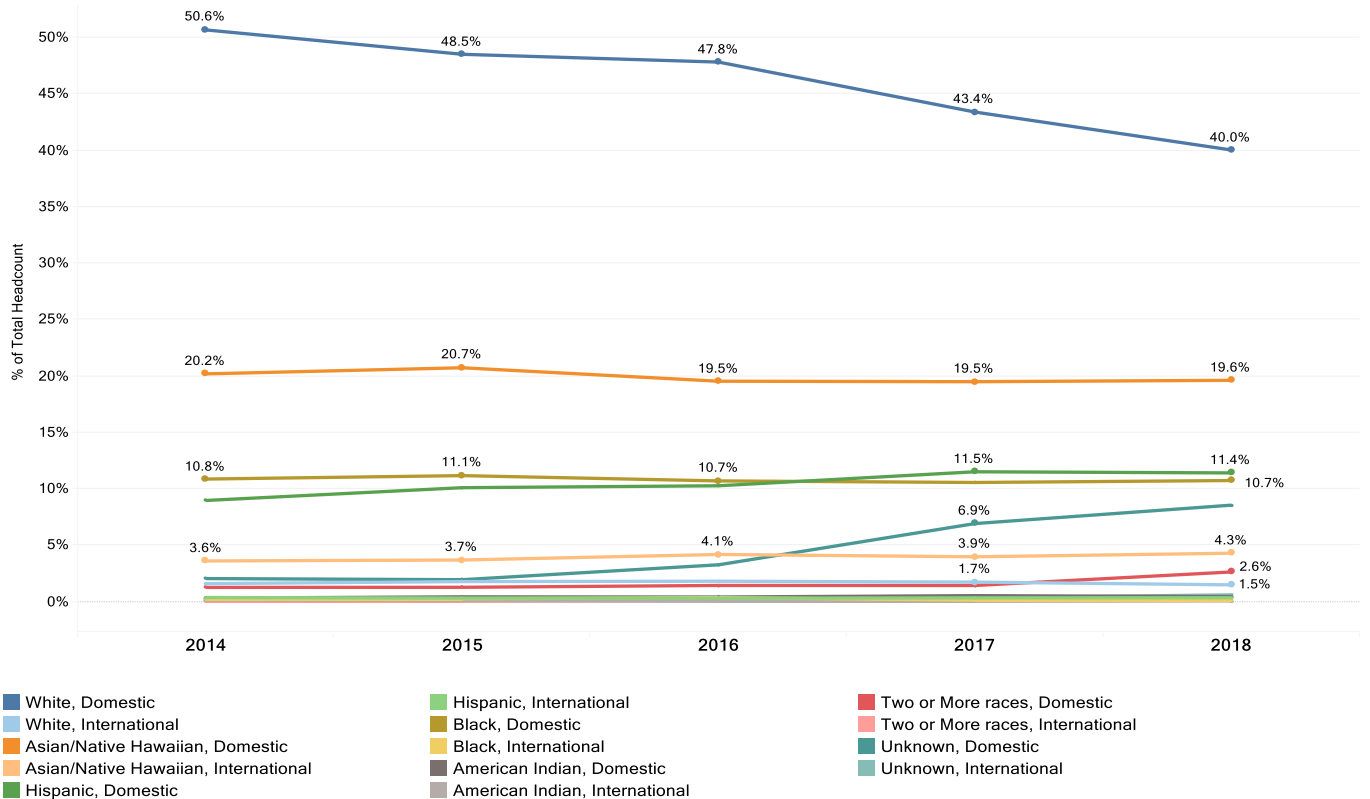
**Figure 5A. Table of UCOP personnel by race/ethnicity, October 2018**

	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

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. As noted in Figure 5B, the percentage of unrepresented groups increased slightly from 20.7% (year 2014) to 23% (year 2018).

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

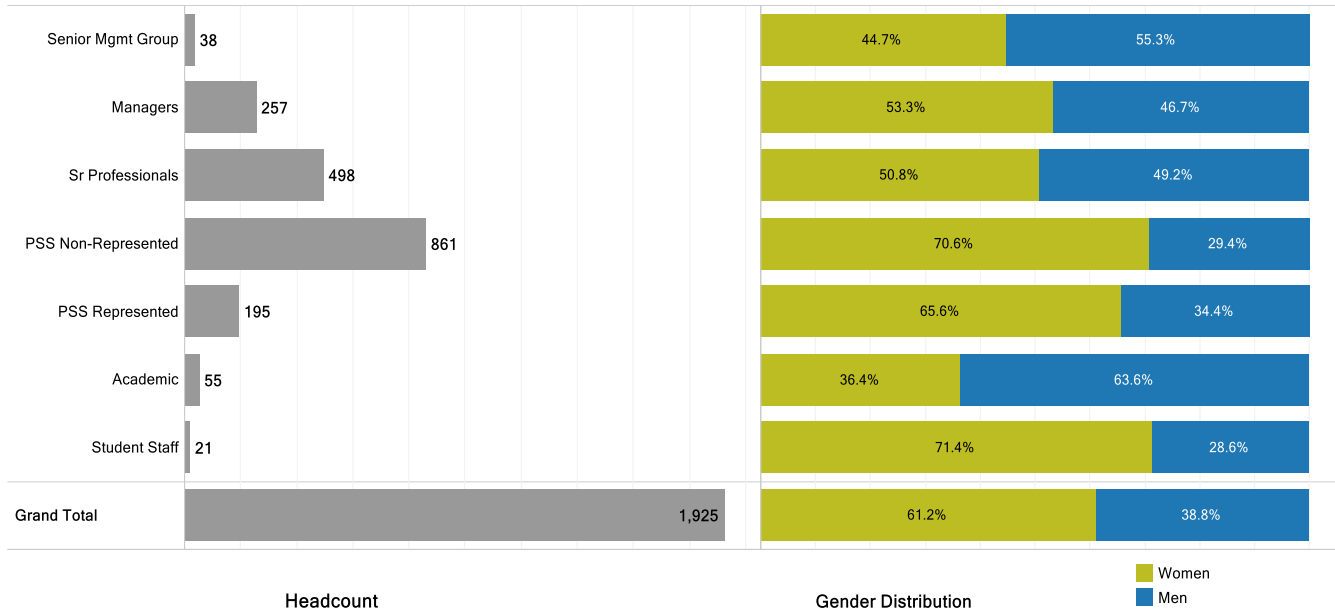


Source: UC Corporate Personnel System



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

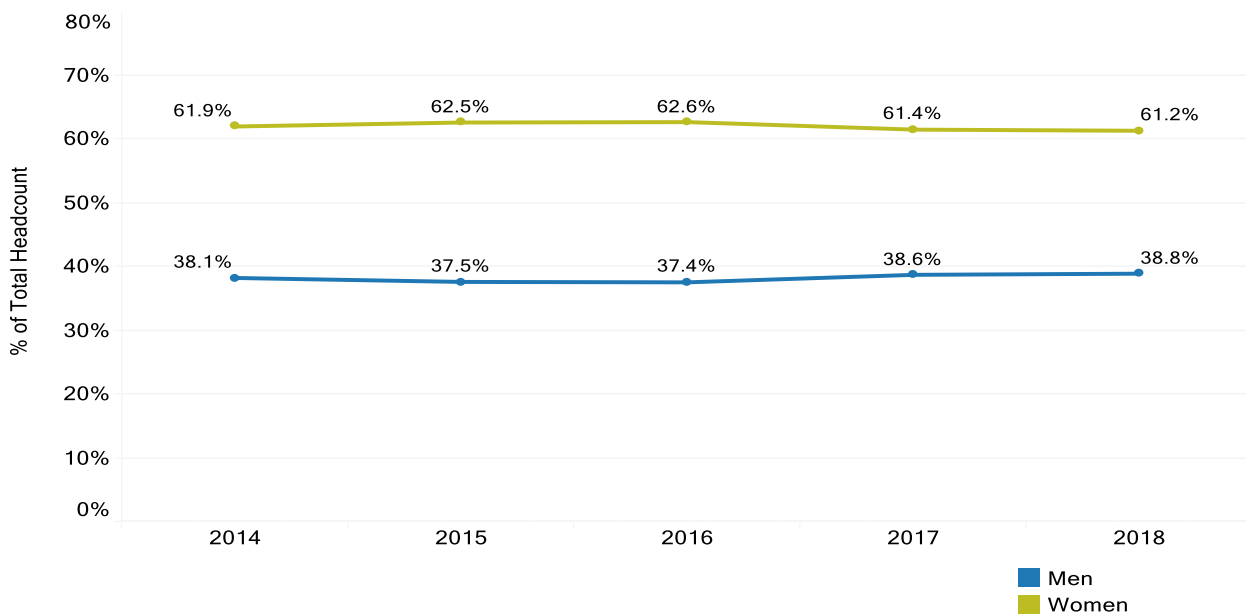
**Figure 6. UCOP personnel by gender, October 2018**



Source: UC Corporate Personnel System

As demonstrated in figure 6A, women have held steady at around 60% of UCOP employees for the past several years.

**Figure 6A. Demographic trend for UCOP workforce by gender**



Source: UC Corporate Personnel System

## B.5. Analysis summary

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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.

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 issues<sup>7</sup>:

- 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.

Leadership investment in workforce planning has provided UCOP's local Human Resources the opportunity to engage with stakeholders from across the organization in a needs assessment and envisioning of future workforce demands to meet strategic goals. This effort has provided the organization with the necessary information and data points to most effectively address all of the aforementioned challenges. Moving forward, to ensure UCOP has the talent to support the University's vision and mission into the future, continuous examination and investment in workforce planning is a business imperative.

## B.6. A five phase model framework

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UCOP determined the CalHR workforce planning model<sup>8</sup> could be used as a framework to implement the UCOP workforce plan. The CalHR model most closely aligns with the UCOP organization structure and the UCOP model 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

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<sup>7</sup> 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](http://www.camdendelta.com/wp-content/uploads/2013/03/CamdenDelta_TheStateOfWorkforcePlanning2011.pdf)

<sup>8</sup> Cal Workforce Planning Model: <http://www.calhr.ca.gov/state-hr-professionals/Pages/workforce-planning.aspx>

are critical components of this phase.

- Phase 4: Implement strategies. Based on the learnings from Phases 1 through 3, UCOP Human Resources will develop an action plan and best practices for implementing the workforce strategy. Due to the timing of this report, two implementation strategies were developed. A 90-Day Action Plan was created to demonstrate the early activities that UCOP Human Resources will execute to begin the implementation phase of the plan. A long-term strategy was also developed and both the action plan and the long term strategy includes how progress 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 too will the design of the workforce plan.

Based on the identified phases, UCOP Human Resources developed the workforce plan that will guide the organization over the next three years and beyond.

## C. Phase 2: Gather and analyze workforce data

Workforce planning is the process of analyzing, forecasting, and planning workforce supply and demand, assessing gaps, and determining target talent management interventions to ensure that an organization has the right people - with the right skills in the right places at the right time - to fulfill its mandate and strategic objectives.<sup>9</sup> In Phase 2, the Workforce Plan workgroup (“the workgroup”) leveraged data gathered in Phase 1 while collecting additional UCOP and industry data, to have a deeper and broader analysis conducted of its workforce. The foundation for UCOP’s workforce analysis involved three distinct steps: (1) analysis of the current workforce or Supply Analysis, (2) analysis of immediate and upcoming workforce needs or Demand Analysis, and (3) comparing workforce demand and supply and identifying risks or Gap Analysis.

### C.1. Methodology for Phase 2 development

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The development of 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

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<sup>9</sup> Workforce Planning. National Institutes of Health, <https://hr.nih.gov/workforce/workforce-planning>

Combined with this quantitative data, the 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. The aforementioned benchmarks became preparatory work for identifying metrics for Phase 4.

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 also 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.

## C.2. Workforce overview

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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 recent efforts contributed to key components of this approach were the UCOP Restructuring Effort led by the President and the 2018 University of California 10 Campus Study Report<sup>10</sup> commissioned by the UC Regent Chair.

The comprehensive UCOP organizational review launched late in 2017 included a third party review of all 10 divisions and the President's Executive Office and assessed the organizational design, alignment, portfolio and strategy. This review was an important step to take towards ensuring the organization is 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 outcomes from the reviews 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

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<sup>10</sup> <https://regents.universityofcalifornia.edu/regmeet/jan19/g5attach.pdf>

- 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 2020 as will some additional divisional strategic plans. As such, impacts and outcomes based on final recommendations and decisions will be included as part of the iterative process for continuing to develop and design 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, 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. These findings were presented to the Regents in 2019.<sup>11</sup>

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 the workforce plan team enters the next Phase of the workforce planning process: *Phase 3, Develop Strategies and Action Plan*.

### C.3. Competencies

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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.

#### C.3.1 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 Model<sup>12</sup> ([Appendix F](#)). 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 lead to the creation of the UC Learning

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<sup>11</sup> Review of the Sjoberg Evashenk "University of California 10 Campus Study, <https://regents.universityofcalifornia.edu/regmeet/jan19/g5.pdf>

<sup>12</sup>UC Core Competency Model, May 2011, [https://www.ucop.edu/human-resources/\\_files/uc-core-competency-model.pdf](https://www.ucop.edu/human-resources/_files/uc-core-competency-model.pdf)

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 UC Core Competency 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 based on their job function.

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

**C.3.2 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 designed and 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 further evolving 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 the trainings. Attendance at both of these trainings began the creation of a common language and understanding across UCOP about performance expectations and performance measurement. Below in Figure 9 lists UCOP’s performance rating standards that were reviewed and discussed during 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 of this competency could be difficult to work with and possibly disruptive to the rest of the department or organization. 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 which in turn, builds confidence in the objective ratings.

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.4. Core competency analysis

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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:

**C.4.1 Strengths**

1. 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.
2. 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.

## C.4.2 Areas of opportunity

1. **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.
2. **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 the organization successfully meet expectations in this area, however this is an area UCOP would like to further improve and build best practice capabilities across the organization.

## C.5. 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	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	3.5	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	3.5	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	3.3	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	3.3	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	3.3	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	3.3	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	3.3	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	3.1	3.1	3.2	3.2	3.1	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	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	3.4	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

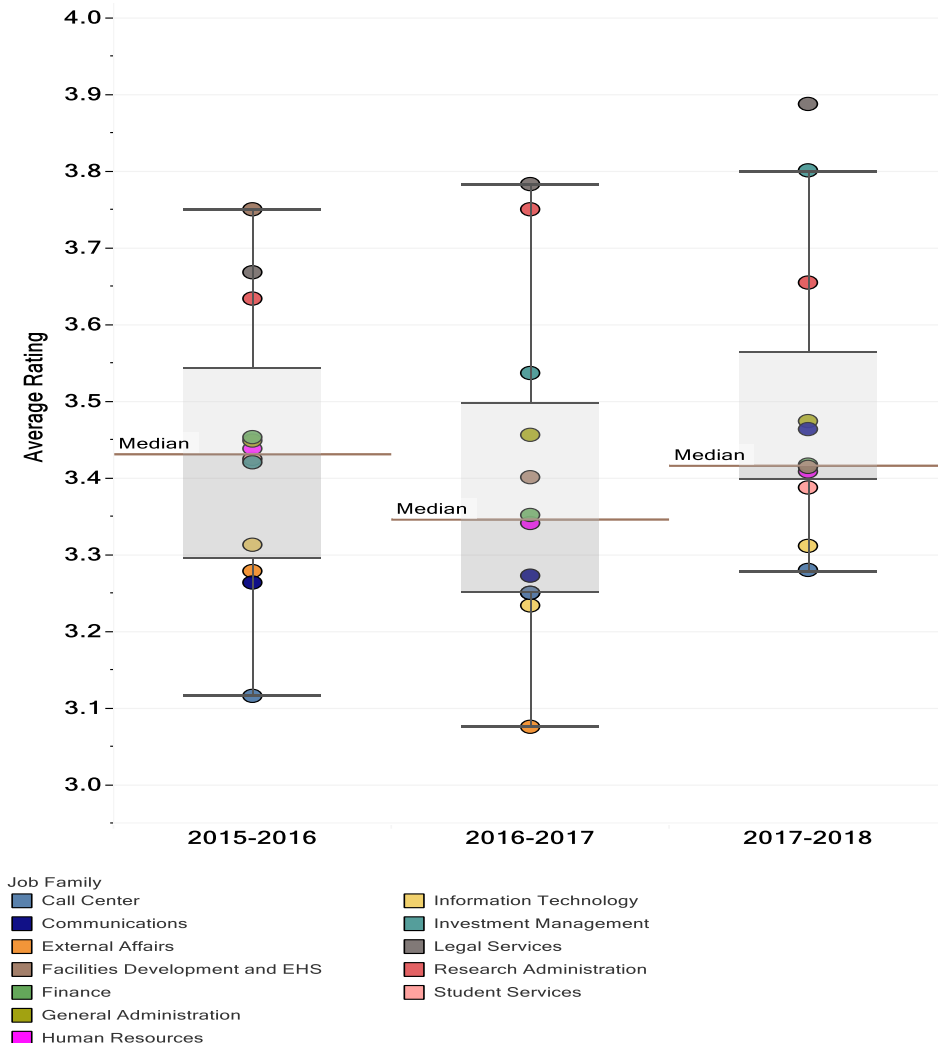
Source: UCOP Halogen performance appraisal system

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.

### C.5.1 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**



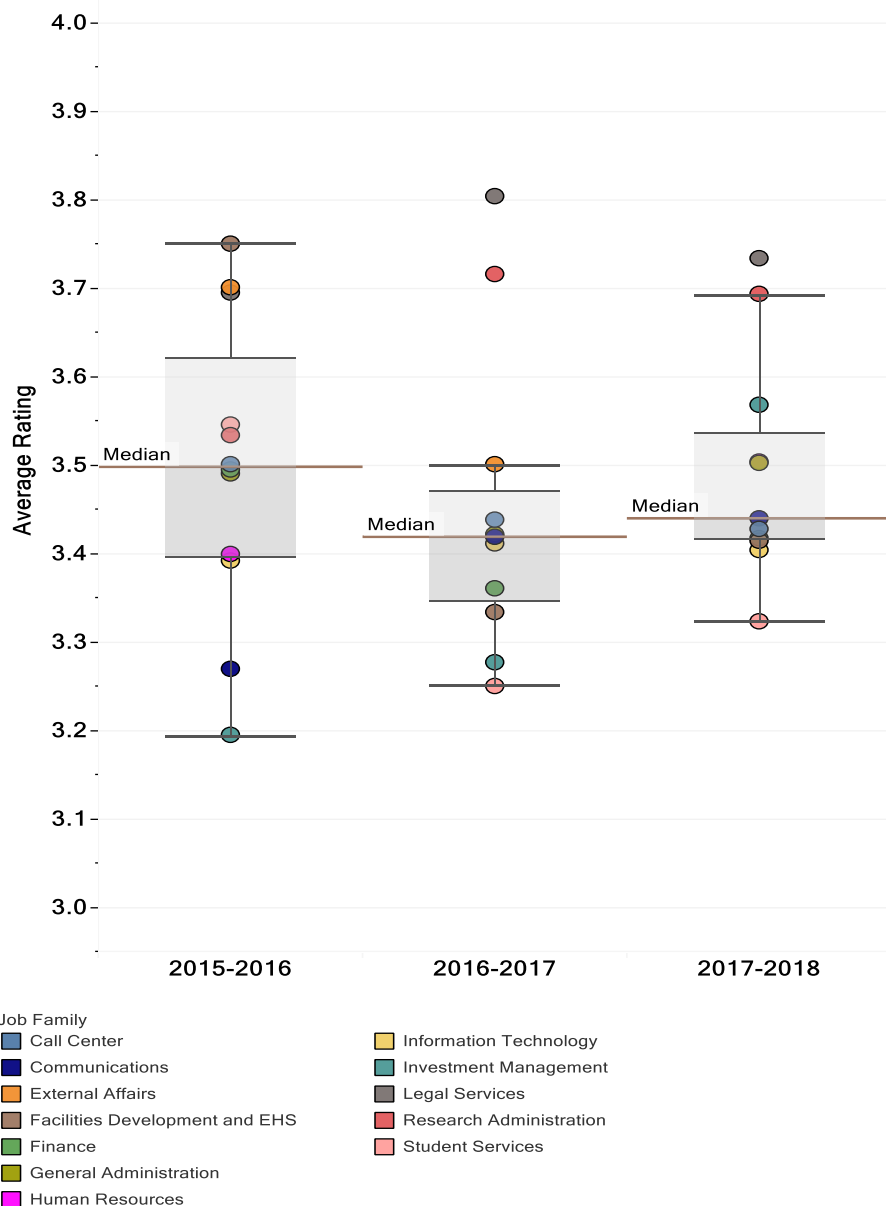
Source: UCOP Halogen performance appraisal system

## C.5.2 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**



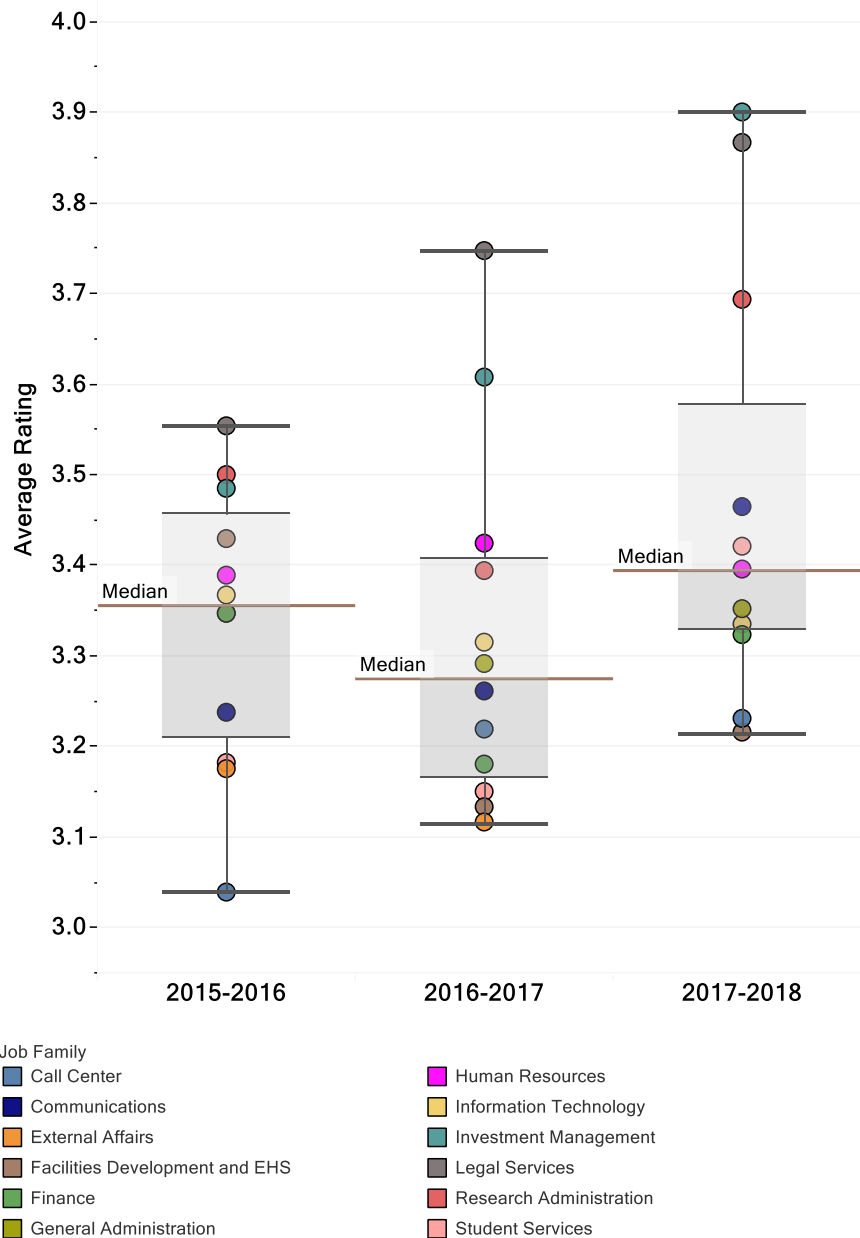
Source: UCOP Halogen performance appraisal system

### C.5.3 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**

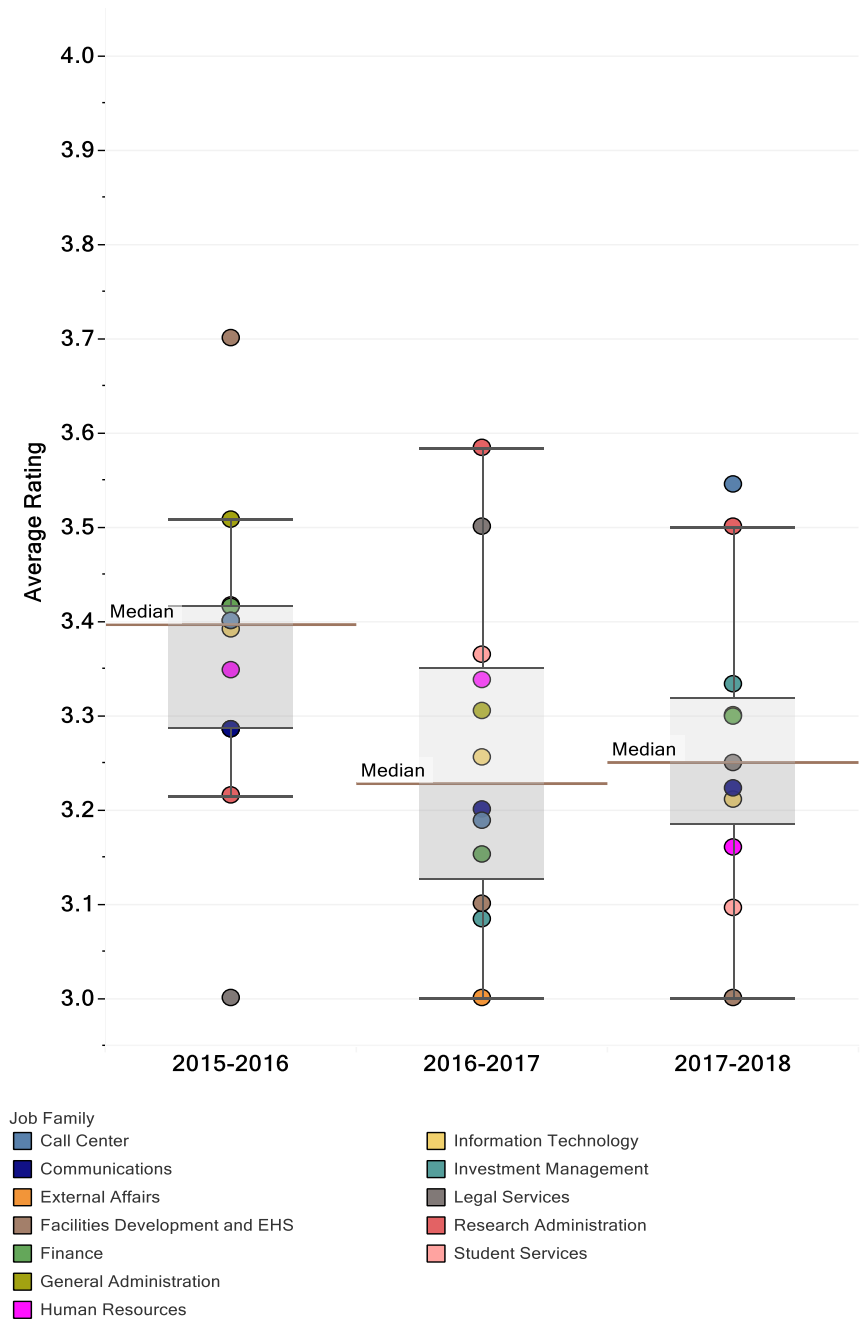


Source: UCOP Halogen performance appraisal system

### C.5.4 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**



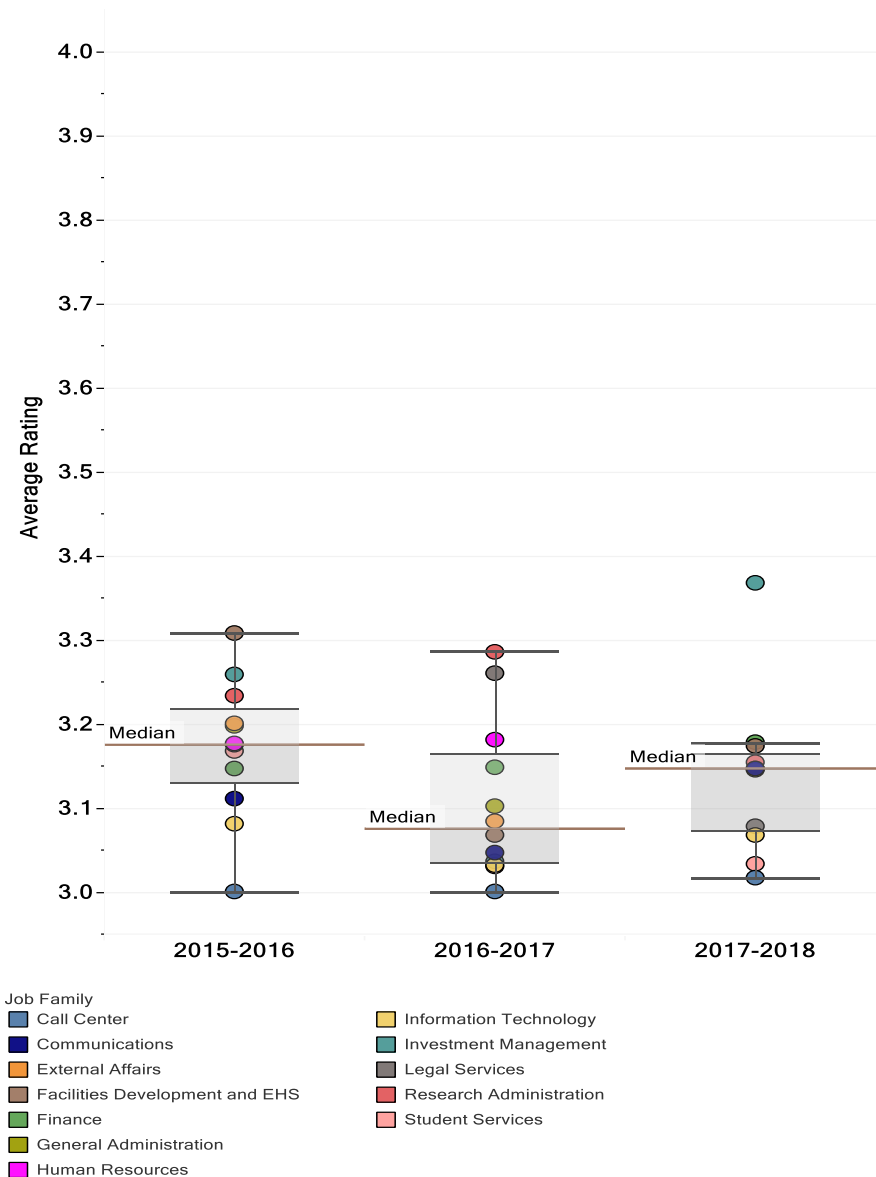
Source: UCOP Halogen performance appraisal system

### C.5.5 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. Moving 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 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.

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



Source: UCOP Halogen performance appraisal system

## C.5.6 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 information informed 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.6. Key leadership positions

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The critical key leadership positions at the Office of the President are the President and her direct reports. The President has 10 divisions reporting directly to her:

1. Academic Affairs
2. Agriculture and Natural Resources
3. Office of the Chief Financial Officer
4. Office of the Chief Investment Officer
5. Office of the Chief Operating Officer
6. Ethics, Compliance & Audit Services
7. External Relations and Communications
8. UC Legal
9. Office of National Laboratories
10. 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.7. Entrance and exit survey results

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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, UCOP 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 L](#). UCOP does not conduct a centralized new employee survey: the model decentralizes this function to the divisions and departments.

## C.8. Workforce gap analysis

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### C.8.1 Introduction

The working group 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 H](#). 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 as outlined in [C.6 Key Leadership Positions](#) and contains multiple departments. The strategies and goals 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 strategies/goals in those plans would impact the division's staffing and development plans for their immediate and future workforce.

See [Appendix G](#) 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 inquired around 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 divisional strategic plans and goals with UCOP's workforce needs and budget planning.

## C.9. Survey and interview findings

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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. Considerations have also be given to the findings from the University of California's 10 Campus Study. These findings along with

any further workforce impacts revealed during the ongoing UCOP Restructuring Efforts will be included as part future analysis and workforce planning strategy.

### **C.9.1 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 2019. As a result, as are divisions assessing the impacts, they will be reviewing against their strategic plans. This provides an opportunity to continue to evaluate resource and workforce needs for optimization.

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

### **C.9.2 Talent gaps and challenges**

- UC experience/institutional knowledge is needed for credibility, efficiency, and effectiveness. This need is strongest in Academic Affairs and UC Legal.
- 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 skill sets 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.

### **C.9.3 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.

### **C.9.4 Recruitment 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 build stronger internal UC pipelines to retain top talent with rewards and recognition. If this is not addressed quickly, the organization will lose out 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 that are not necessarily monetary and based on 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.

### **C.9.5 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 J](#)). 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 employers. 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) calculated unemployment for Alameda County at 2.5%<sup>13</sup> as of September 2019 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

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<sup>13</sup> [https://www.labormarketinfo.edd.ca.gov/file/lfmonth/oak\\$pd.pdf](https://www.labormarketinfo.edd.ca.gov/file/lfmonth/oak$pd.pdf)

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.”

### C.9.6 Summary of gap analysis

The team conducted an evaluation on four risk factors:

1. Retirement,
2. Separation turnover,
3. Vacancy rates, and
4. 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; the recruitment rates of identified high-risk profiles; and 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

## C.10. Separation, retirement, vacancy and recruitment trends and forecast

### C.10.1 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 C. 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.

### **C.10.2 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%	

NOTE: 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 C](#) 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%

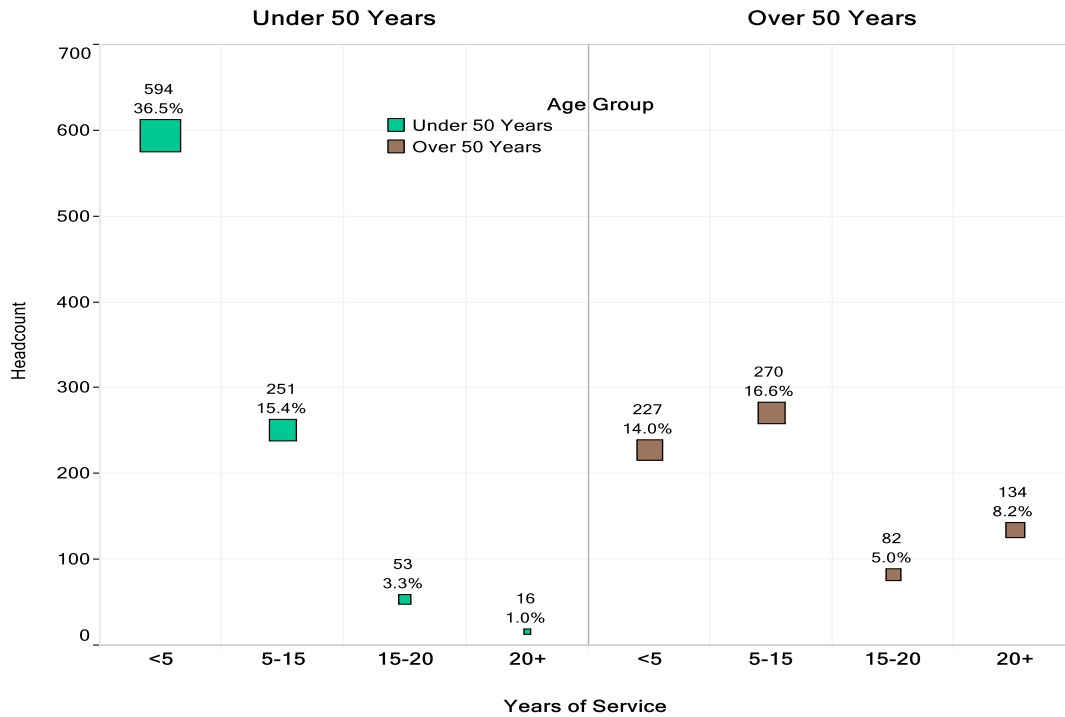
Source: Separation risk analysis using Cal-HR methodology with UC Corporate Personnel System (CPS). Details located in [Appendix A](#)

### C.10.3 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 knowledge transfer strategy has been identified as 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%
# 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 C](#).

**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 C](#).

### C.10.4 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

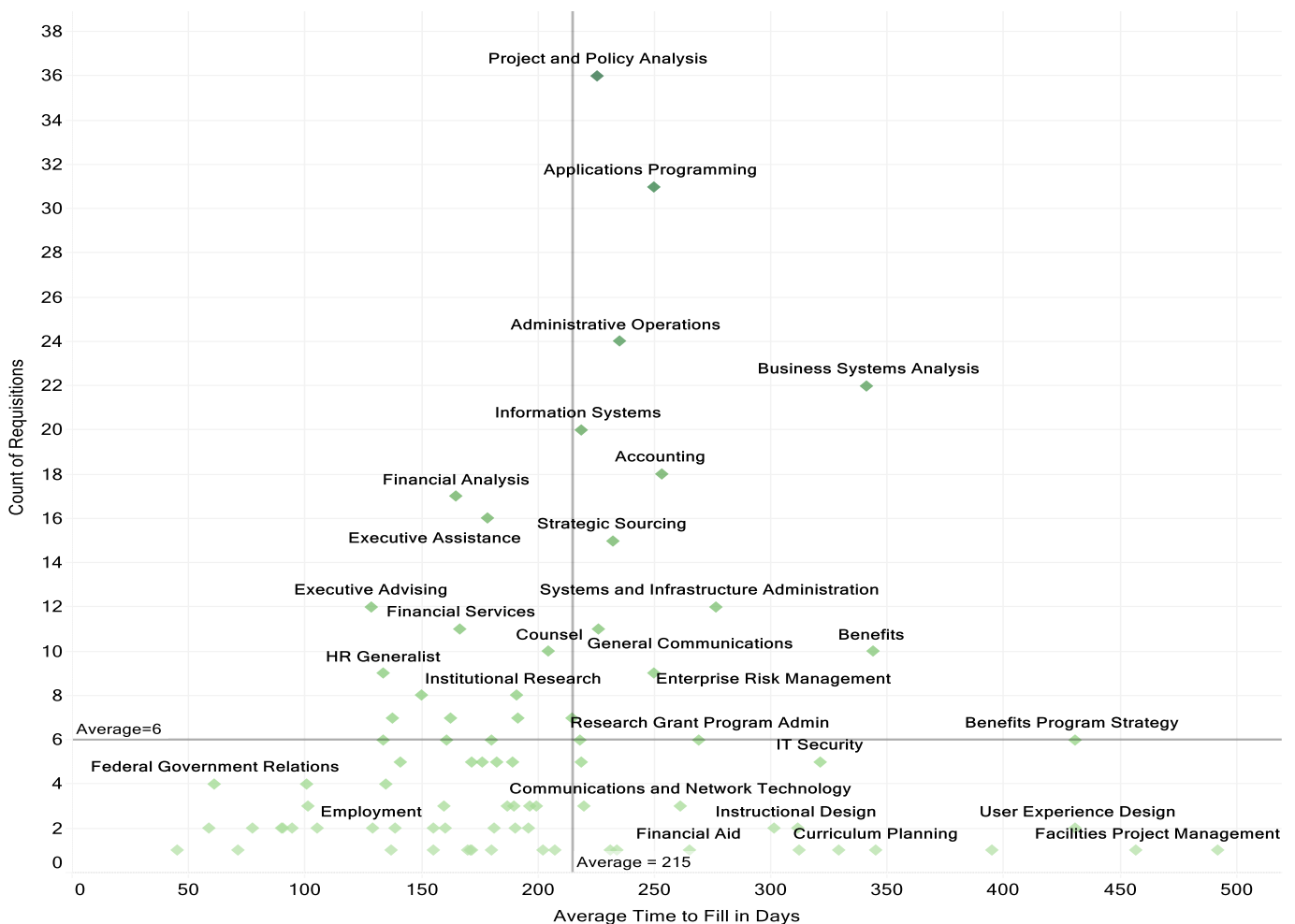
The main factors contributing to these hard to fill jobs are highly sought after skills in the labor market and competition from local companies offering higher salaries and compensation packages. The talent acquisition team and human resource business partners conducted interviews to flag additional 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 more than eight year old 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	*

### C.10.5 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 as retirement rates rise as per the retirement risk analysis (based on retiring at age 50) presented in section C.10.3. This trend is a data point and does not necessarily reflect actual pending retirements. Additional details on the forecasts can be found in [Appendix C](#).

### C.10.6 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.

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 gaps to understand current and projected workforce needs. Phase 3 will look at the overall strategies and implementation plan the working group developed for a successful workforce plan.

## D. Phase 3: Develop the Workforce Strategy and Action Plan

### D.1. Workforce Strategy and Plan

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#### D.1.1 Introduction

The Phase 3 workforce strategy and plan is a culmination of the work that was performed in Phase 1 and Phase 2. In Phase 1 UCOP Human Resources laid out the foundation for the strategic direction. This strategic direction formed the framework for the design of the workforce plan and defined the data and benchmarking that the local Human Resources team would collect and analyze in Phase 2. The data analysis and findings were also compared with industry data which provided additional information to create the overarching strategy for building, nurturing and growing a workforce to meet UCOP's current organizational needs and to plan for the future.

The Phase 2 data analysis and benchmarking activities revealed four risk factors to address as part of the overall workforce plan strategy:

1. Retirement,
2. Separation turnover,
3. Vacancy rates and,
4. Hard to fill positions.

Through further evaluation of these risk factors, the workforce planning team identified key "high risk" profiles which led to the determination of where the UCOP workforce plan strategy should focus:

1. Recruitment,
2. Retention,
3. Employee development,
4. Knowledge sharing and,
5. Talent assessment and succession planning.

The overall findings of the research, needs assessment interviews with division leaders and analysis affirmed UCOP's staffing level generally meets our current needs but our resources are stretched thin. As the organization grows, providing ongoing support to the 10 campuses, six medical centers and two labs will require a continual review of the workforce, skills and competencies. In Phase 2, the findings highlighted the need to focus on strategies that engage and motivate our current workforce. Furthermore, the data showed the need to develop a strong talent acquisition strategy that will help address UCOP's increasing [older employee demographic](#) by cultivating a deeper talent pool.

The workforce strategy includes succession planning activities for transferring expertise and institutional knowledge. However, the restructuring effort further highlighted the need for new functions and services to facilitate the organization's growth that will require strategies to address the shift in skill, knowledge and competency gaps.

In developing the workforce plan, the Human Resources team is adopting a long-term strategy approach to address the gaps and high risk profiles. The strategies outlined in this section reflect a year's worth of organizational and industry research; incorporating the impacts and outcomes of the UCOP restructuring activities and 10-campus survey; and assessing the impact of findings from the Phase 2 interviews with the divisional leaders on their strategic goals to ensure UCOP can attract, cultivate, and retain the talent to meet the organization's needs now and into the future. In the subsequent phase, Phase 4: the Implementation Plan, the chapter is divided into two main sections: a 90-day action plan to demonstrate the implementation and evaluation of the workforce plan strategies in the short term in accordance with California State Auditor's Recommendation #38; and 2) A long-term implementation plan how to meet future implementation objectives. Each strategy area is discussed below in further detail.

### **D.1.2 Recruitment Strategy**

Talent Acquisition is the Human Resources practice of continually attracting, recruiting and onboarding skilled individuals to efficiently and effectively meet an organization's often dynamic needs. To support the overall mission of the University and remain competitive in today's market, UCOP must do more than react to each individual vacancy as it presents itself. UCOP must look to proactively cultivate and nurture a strong talent pool for anticipated future workforce needs. The Talent Acquisition team will look to build this talent pool from both internal (i.e., current UCOP or UC employees) and external sources.

The team met with divisional leaders to conduct a needs assessments along with research data that identified industry and organizational trends, the team consulted with leadership to implement an effective near - and long-term program for meeting the organization's talent needs. As a result of this work, the team has started to proactively seek out qualified and skilled talent while building the UC brand as a top employer in Oakland and Riverside.

#### *Recruitment Strategic Objectives*

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Outlined below are five areas the Talent Acquisition team will focus on as part of implementing an effective recruitment program at UCOP.

##### *Predictive Analytics and Workforce Planning*

Create data-driven tools to determine patterns and a predictive model of future trends to help design the talent acquisition strategy and plan.

To address the needs of the current and future workforce, the Talent Acquisition team will perform regular evaluations. The team will leverage the findings gathered from the UCOP strategic workforce plan where skill gaps were identified in five key job profiles (financial analysis, institutional research, project policy analyst, applications programming, systems and infrastructure administration).

Understanding the identified needs and gaps will help define strategies to attract, recruit and onboard future talent.

Data will be gathered from the following among other sources to design the most effective reports and dashboard:

- The new talent acquisition system (TAM) will use stats from Google analytics jobs landing page,
- Workforce Administration module in UCPATH,
- New jobs landing page,
- Social media tools (e.g., LinkedIn, Instagram and Twitter).

The Talent Acquisition team will incorporate data analysis from these tools as part of the regular evaluation process to help our organization understand if outreach and strategic talent acquisition efforts are working effectively. UCOP will identify additional tools to inform our Bay Area talent pool of what talent is in the market, enabling UCOP to further target strong talent with the right skill set as part of an outreach campaign. For example, Gartner's Talent Neuron is a tool combining big data and statistical insight that the organization could leverage to inform sourcing and recruitment strategies to support key business priorities and workforce planning.

The UCPATH Workforce Administration module is an existing tool the organization intends to more fully utilize. This tool can highlight how employees move through job functions at UCOP and across the University organization to create career pathing for internal and external career staff reports. This effort will intersect with the talent assessment and succession planning initiative, both locally and systemwide, and will help UCOP create a talent assessment process to build talent profiles for key positions and eventually all key job profiles.

### [Building an Employer Brand](#)

Enhance our UC brand and build an employee value proposition (EVP) that highlights UC as an employer of choice, attracting qualified and talented individuals who choose UC to grow their careers.

Developing a strong employer brand is a key marketing strategy to build awareness about UC as an employer of choice and to tell the "UC story." Currently the organization does not communicate a persuasive story as to why a job seeker should consider our organization as a career choice. The branding deliverables will include an UC employee value proposition (EVP) and a brand-focused landing page for the new talent acquisition system to attract and influence strong candidates with the right skill set.

Furthermore, the new talent acquisition system will enhance the candidate experience through streamlining the application process and will include a portal where applicants, both internal and external, can check their application status. An added feature of the site will be dedicated to highlighting "hot" jobs and heavily promote UCOP's high risk jobs identified during the Phase 2 gap analysis to reduce lag time for filling these positions.

### [Recruitment Planning and Pipeline Strategy \(source and recruit job candidate\)](#)

Create targets that define what talent looks like from entry-level talent graduating from UC campuses to more experienced candidates to meet the organization's needs. In a tight job market a planful

approach is critical to identify strong talent. Diversity will be a key consideration while UCOP leverages internal and external sourcing/recruitment strategies for hiring the ideal talent into competitive roles.

To recruit top talent, UCOP Human Resources will be developing a number of different deliverables within the recruitment plan and pipeline strategy as part of our long-term approach:

- **Candidate Profile Development:** Design a template for identifying profiles, skills and competencies needed to recruit the successful candidates to fill the 5 jobs identified during the gap analysis. The design will include “profile sizzle sheets” that defines the recruitment strategy for each profile. The recruiting team will work closely with hiring managers to build the template’s detailed profile on what is needed for the role and identify where to seek talent. The key components of the design will highlight the education, experience, skills, competencies and what is required to be effective and successful within the role. The “sizzle” is “what is needed” to make the job attractive to candidates in the current market. The recruiter and hiring manager will work together to produce this document before launching the search in the Bay Area market or nationally.
- **Pipeline Development:** The talent pipeline will be designed to address the talent gaps identified within the UCOP workforce plan. Five profiles were identified and the success rate will be measured through a targeted outreach approach. This strategy will include expanding professional networks online and in-person; increasing our yield ratio for each profile pipeline with more in-depth assessment tools; behavioral questions used within the interview process and an assessment of our retention ratio within each job profile. Another key focus will be to explore ways to increase UC campus recruiting to try and grow identified hard-to-fill UCOP jobs, for example targeting soon-to-be or recent UC graduates as a viable candidate pool.
- As part of the recruiting process, the Talent Acquisition team will design and, in some cases revise UCOP’s recruitment process and highlight new processes that align with our latest talent acquisition technology (People Soft - TAM). Specifically the team will:
  - Develop in-person and online training
  - revise our hiring manager online toolkit;
  - create job aides for the new talent acquisition system;
  - train hiring managers and HR/Recruiters on the new talent acquisition system; and,
  - collaborate with the Retention team on a playbook for recruiting and hiring for managers i.e. onboarding guide;

## Technology

Leverage our recruiting technology tools to create a rubric of success so UCOP can attract talent and enhance our candidate and hiring manager experience beginning with the recruitment process and through the employee’s lifecycle. The ways in which the Talent Acquisition team will do this include several approaches:

- **New applicant tracking system (PeopleSoft TAM).** Design and Implement a new applicant tracking system to create a better candidate experience when applying for jobs at UCOP. The new technology will allow us to integrate social media platforms such as LinkedIn, allowing our applicants to apply for jobs directly from external platforms and through their mobile devices. This new applicant tracking system will also allow us to share UCOP opportunities with friends or other referrals directly through other socials media sites, enhancing our brand and visibility with Bay Area and Riverside applicants and hires.



- Integrated interactive landing page. Design and implement an interactive UCOP landing page that integrates with the new TAM applicant tracking system and social media further enhancing our UC brand and visibility with applicants and hires. Based on the success of this tool, UCOP will look at long-term strategies to widen the reach which will include UC students as another pipeline.
- Social media promotion. Leverage and promote the UC brand on social media sites and develop a protocol for highlighting jobs on identified high engagement sites, such as LinkedIn, Instagram and Twitter.
- Artificial intelligence. Exploring the capacity and cost effectiveness of including artificial intelligence in future implementation plans. UCOP Human Resources would like to understand how artificial intelligence (AI) technology can enhance the candidate experience. This strategy could include online scheduling for applicants and technology widgets that immediately answer questions from applicants, such as how does the selection process work or what are the components of the background check process, just to name a few.

### Refine UCOP's Onboarding Program

The talent acquisition team will partner with the retention work group to research and better understand the gaps and challenges with the current onboarding process. Findings will help inform how to streamline and develop a more effective strategy. This will enable the continued nurturing of new hires from their first day of work through job training and knowledge sharing that will empower the employee to do their job with confidence. Based on the findings and further research of industry best practices, the team will design a UCOP onboarding model and 90-day onboarding roadmap to share with hiring managers. Details of this objective are located in the next section, Retention Strategy.

### D.1.3 Retention Strategy

Employee retention is the ongoing effort to ensure consistent performers and most capable employees remain long-term with UCOP. The average tenure for career employees is eight years. The UCOP Workforce Plan Phase 2, Appendix B: Separation Snapshot, indicates that voluntary separations have increased slightly over the years and are expected to remain in the highest separation category particularly if the job market remains strong. Part of a retention strategy includes integrating with talent acquisition to attract and hire the right people for the right jobs at the outset. A mix of new voices and innovative thinking from outside the organization with legacy, long-term employees would be a positive combination within UCOP's workforce.

A key retention objective for UCOP is to identify actions and opportunities that provide an environment to keep employees engaged and motivated as productive team members while experiencing UC as a preferred employer in the Bay area. According to Gallup's State of the American Workplace (2017)<sup>14</sup>, the American workforce has more than 100 million full-time employees and only one-third of these employees are engaged at work. At least 51% of the workforce is actively searching for new jobs. If the organization focuses on strategies that will encourage and motivate employees,

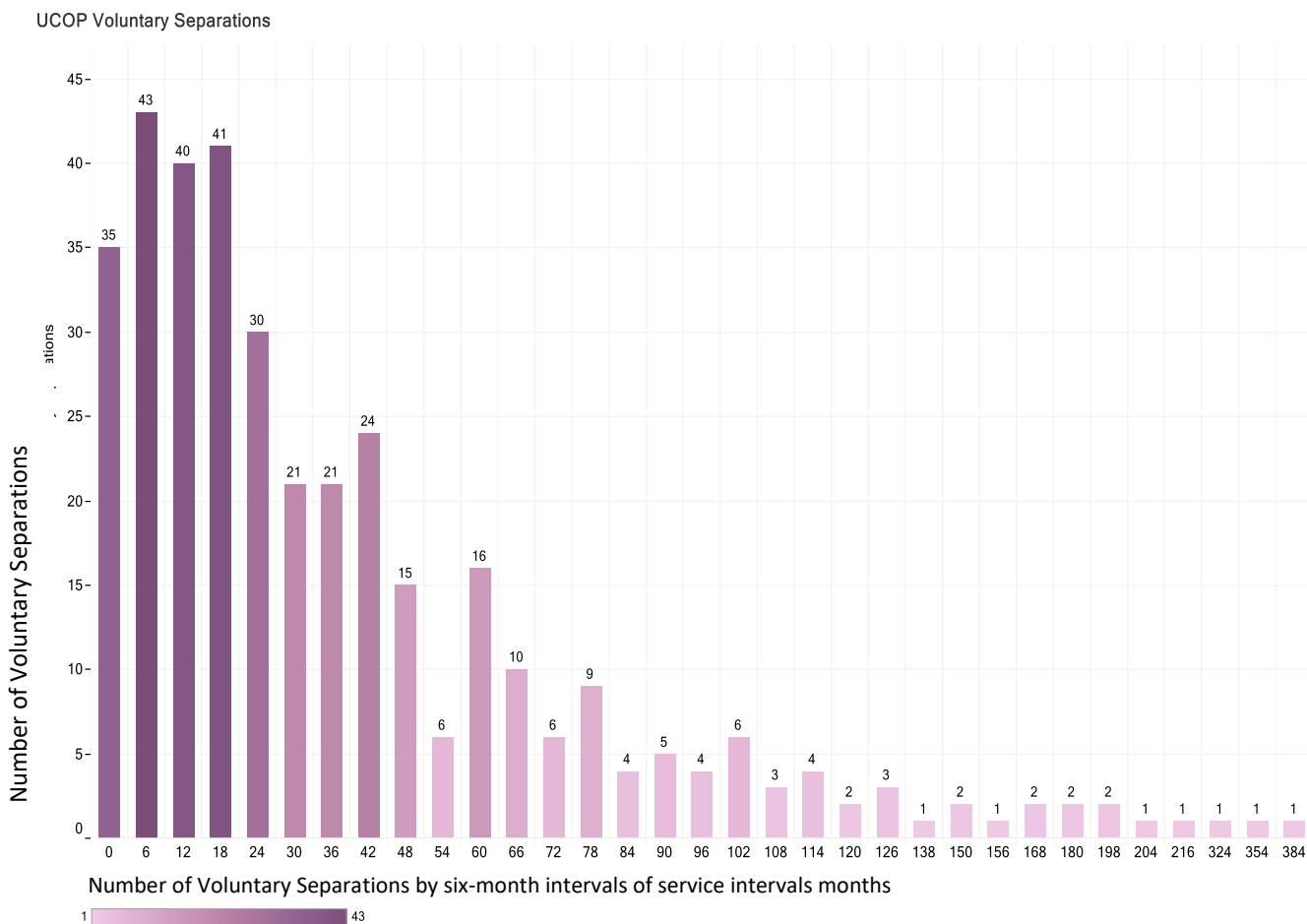
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<sup>14</sup> State of the American Workplace, Gallup, 2017, <https://www.gallup.com/workplace/238085/state-american-workplace-report-2017.aspx>

particularly high-performing employees, to stay, the result will produce a positive impact on engagement.

A successful retention program attracts and develops strong candidates. It is more cost effective to retain high quality employees than to recruit, train and culturally integrate new employees. According to Gartner (Source: 2017 Turnover Benchmarking Survey. n=665 organizations) Trends in Employee Turnover and Staffing (2017)<sup>15</sup>, employees are less likely to leave an organization that offers professional development. Furthermore, the average organization loses more than \$18,000 for every employee who quits. This includes the costs associated with recruiting and training a new hire and the lost productivity associated with a job vacancy. This number does not include the financial effects of the intangible loss such as organizational knowledge and experience. At UCOP in the last four fiscal years, the voluntary turnover rate of career employees is higher in the first two years of employment, particularly between months 6 and 24. Figure 24 displays a histogram based on the voluntary separations of career employees at UCOP in last five fiscal years (FY 2015 to FY 2019). The x-axis shows number of voluntary separations while y-axis indicates six-month intervals of service months. At UCOP in the last five fiscal years, the voluntary turnover rate of career employees is higher in the first two years of employment, particularly between months 6 and 24.

**Figure 24. UCOP histogram of the voluntary separations between FY2015 and FY 2019**



<sup>15</sup> Turning Around Employee Turnover, Gallup, 2017, <https://news.gallup.com/businessjournal/106912/turning-around-your-turnover-problem.aspx>

To understand how best to retain employees, it is important to first learn why employees leave the organization which can be accomplished by consistently administering exit surveys and conducting exit interviews. As reported in Phase 2 of this report, UCOP uses a tool from Gartner to collect exit feedback. While exit surveys are being conducted at UCOP, this process is not mandatory which makes it challenging to draw conclusions from the current survey data due to the small sample size.

Knowing why employees leave UCOP is just as important as identifying the factors influencing why people stay. The talent leaders across the system (e.g. The Talent Management Consortium) is leading an effort to conducting stay interviews or “Career Conversations” with employees at all levels. There is currently work being done to develop a stay interview process which the Retention team will examine and may adopt as part of the future implementation of the retention strategy.

Data gathered from the organization wide engagement survey provides a line of insight into how employees feel and respond to UCOP’s culture. The findings can be leveraged and measured against the overall retention strategy.

Our long-term retention vision is to provide an environment that gives every employee the opportunity to be supported, engaged, motivated and focused on their success while committing to a long-term, fulfilling career at the Office of the President.

### *Retention Strategic Objectives*

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There are multiple factors that contribute to retention and can depend on the type of organization and demographic distribution. Many of the initiatives that contribute to employee retention are being addressed as part of the overall development of the workforce planning strategy including employee development, talent acquisition and knowledge sharing. Three key objectives will be focused on to achieve the retention vision: Refining the onboarding process, data-driven decision making and promoting the current flexible work policy.

#### *Refine Onboarding Process*

According to the Society for Human Resource Management (SHRM), employees are most at risk of voluntary separation during the first year of employment. As such, it is important that onboarding new hires be a strategic process that lasts at least six months. How employers handle the first few days and months of a new employee’s experience is crucial to ensuring high retention. To retain employees, the stage by leveraging the work of Council of University of California Staff Assembly (CUCSA) who produced a comprehensive onboarding report in 2015<sup>16</sup> that included a robust onboarding and culture integration process. UCOP’s initiative to redesign the onboarding process will focus on:

- **Onboarding guide.** Create a manager-driven onboarding guide to integrate and acculturate new employees to UCOP that will include tools, resources and guidance to assist them in being successful and productive. Embedded in the guide will be guidance to hiring managers to ensure that all new hires are matched with a “buddy.”
- **Onboarding process map.** Create a process map document for the human resources team and hiring managers to ensure understanding of the sequence of events beginning with pre-arrival activities through the first 90 days of the new employee experience.
- **Buddy Guidelines.** Based on the success of Employee Engagement and Diversity Group’s

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<sup>16</sup> <https://cucsa.ucla.edu/wp-content/uploads/sites/85/2018/02/SAMPLE-Onboarding-Workgroup-Report.pdf>

(EEDG) pilot program, UCOP Human Resources will create a document for distribution to buddies as identified by hiring managers. The document will provide a roadmap on what it means to be a buddy to a new employee. Included in these guidelines will be buddy responsibilities, a suggested schedule of activities and timing, and tips for a successful relationship.

- Training and awareness building. Marketing and training for all current managers and newly promoted managers to understand onboarding as a commitment to relationship building, integrating into the UCOP culture, attending New Employee Orientation, and completing all the necessary paperwork to get new employees set up on all our systems.

This objective represents the launch point of our retention strategy with the goal of introducing the tools outlined above and measuring the impact using a questionnaire for new employees and hiring managers. Using a Likert scale (a five point scale used to allow the individual to express how much they agree or disagree with a particular statement) the organization will evaluate utilization and satisfaction with the onboarding tools and process.

### Data-driven Decision-making

UCOP Human Resources will work with our UCOP institutional research partners, perform external research and leverage internal survey data to inform ongoing decisions and recommendations related to retention programs and strategies. The focus will be on the following initiatives to meet this objective:

- Exit surveys and interviews. Review, revise and consistently execute exit surveys and interviews to understand why people separate from UCOP and if there are trends in the types of roles or employee type that turnover more frequently. This will provide updated and current metrics to inform on the progress of our retention efforts.
- Research industry best practices. Determine the best format and process for conducting targeted stay interviews by reviewing industry best practices. Leveraging the existing systemwide process will also be investigated. Stay interviews will provide insight into the behavioral characteristics and drivers that foster long-term employment at UCOP.
- Systemwide engagement survey data. Review and evaluate bi-annual, systemwide engagement survey results to establish a baseline of engagement and to determine if our retention strategies are successful.

### Promote Current Flexible Work Policy

UCOP currently has a flexible work policy in place. Based on anecdotal feedback, this policy is underutilized and there appears to be a lack of consistent understanding on the nature of the policy and how to implement. Tangentially, managers may not have a clear understanding of best practices for managing employees in a flexible work arrangement.

A strategy will be developed to clarify and acculturate the use of the current flexible work policy for UCOP. To promote a shift in culture research-based education will be provided to managers on the organizational benefit of this workplace program as it supports retention efforts According to Gallup, 51% of employees say they would change jobs for one that offered them a flexible schedule with and 37% would do the same for the ability to work where they want at least part of the time. Gallup also found that employees who spend at least some (but not all) of their time working remotely have higher engagement than those who don't ever work remotely. The autonomy and flexibility could give rise to

higher performance and greater connections between employees and their company. Remote working is on the rise. According to a 2016 Society for Human Resource Management (SHRM) study, 60% of companies offer their employees telecommuting opportunities. In addition to education, training and tools for managers to support the supervision of employees participating in a flexible work arrangement will be provided.

#### **D.1.4 Employee Development Strategy**

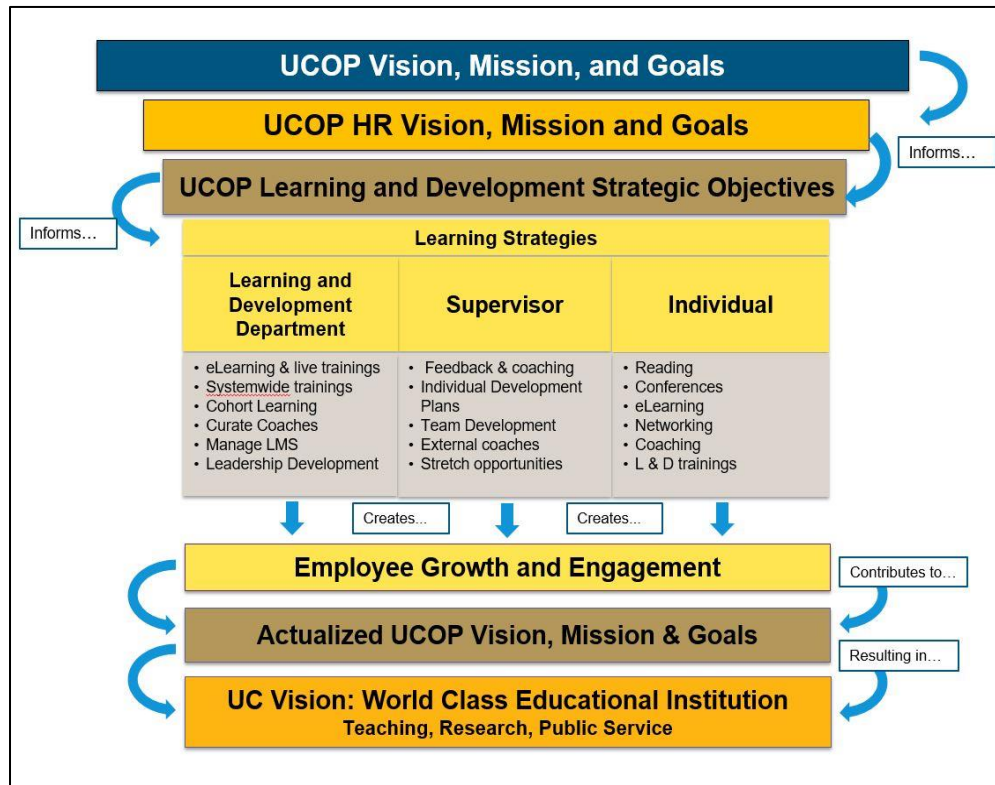
A strategic employee development plan has the potential to positively affect all aspects of an employee's life cycle, and indeed, all focus areas within this workforce plan. For recruitment, having a robust employment development program is a strong draw for potential talent. For retention, aligning an employee development program with organizational, departmental and individual professional needs can lead to reduced turnover and increased productivity and engagement. For knowledge sharing and succession planning, the practices themselves are a form of employee development. Thus, a strong, robust and integrated employee development program is key to the success of any workforce plan.

The UCOP employee development plan is designed to meet our organization's current work force needs, and also support the skill building for future needs. As outlined in Phase 2 of the workforce plan, the UCOP employee development plan will be aligned to our core competencies. Additionally, data gathered through feedback from employee development class surveys, department leadership meetings, one-on-one meetings with senior leaders, UCOP engagement surveys, and human resource business partners, indicates there needs to be need an employee development plan that supports all levels of employees within the organization. The successful plan includes a strong marketing strategy so that all employees are aware of the opportunities and can easily access the information. Based on the feedback and the analysis from Phases 1 and 2 of the workforce plan, a vision, mission, and strategic objective was created to guide the employee development strategy.

##### *Employee Development Strategic Objectives*

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Designing a learning culture will help to empower employees to expand their knowledge and hopefully their career opportunities within UCOP and beyond. With a strong Learning and Development program the organization can increase the skills needed for employees to perform their jobs more effectively while at the same time encouraging growth which in turn can impact retention. Below is a visual representation of the vision, mission and goals associated with UCOP's Learning and Development Strategic Objectives.



Listed below are the high-level employee development UCOP strategies that will be part of the long-term employee development implementation.

- **Create a Learning Culture.** Creating a learning culture will empower UCOP employees to create and self-manage their individual professional development plans that support growth and career path choices. The Employee Development team will design an employee training program inclusive of how to create individual development plans and also train supervisors on how to create team development plans that will further support their staff's individual development plans. Lastly, UCOP's Human Resources will promote organization-wide policies to support learning and development goals.
- **Create a Mentoring and Learning Environment.** Build a coaching, learning and development environment with curricula and programs that address the learning needs of the organization. A coaching and development framework will be created and applied to all aspects of employee development and talent management and an outreach plan to communicate information and build awareness around access and use for systemwide learning and development programs.
- **Align Resources.** Alignment of tangible and intangible resources to enact our learning and development and human resources vision, mission, and goals, will continue to ensure access to learning and development opportunities for all UCOP employees through effective marketing and communications. Partnerships will be built across departments to effectively leverage internal resources and external resources for learning and development. This partnership will include trainings delivered by other parts of the organization to fully leverage and share resources as available between departments.
- **Data-Driven Decisions.** Develop data dashboards that will pull information from the Learning Management System classes and surveys, and webpage traffic from google analytics and LINK (e.g., # of clicks on sites, Learning, and Development LINK articles, Classes and Workshop page on LINK). Decisions on how to best facilitate educating the

organization on learning and development utilization and effectiveness and further measure the effectiveness of trainings and learning and development strategies will be derived from analyzing this data.

- **Awareness Building.** Increase organization-wide awareness of learning and development opportunities for all employees through a marketing and communication strategy. Additionally, UCOP's Human Resources will facilitate the training resources and upkeep of learning and performance technology platforms to increase ease of employee navigation and the availability of continuous learning and development for the long-term.

### **D.1.5 Knowledge Transfer Strategy**

Knowledge sharing within an organization is collaboration with a purpose: finding answers and solving problems, leveraging applications and tools at organization's disposal, collaborating with cross-functional teams, minimizing operational risks, and formally maintaining institutional knowledge. Building the knowledge base and managing the institutional assets is an iterative process that grows and evolves with the business. Knowing who knows what, who needs to know what and how to transfer that knowledge is critical. Establishing a strong knowledge base is fundamental and making the knowledge base available to the right people, at the right time to help avoid costly errors, work more efficiently, and produce the best business outcomes.

It is important to note the differences between the types of knowledge that exists within UCOP: explicit, implicit and tacit knowledge.

Explicit knowledge is the most basic form of knowledge that can be easily articulated, recorded, communicated, and stored for future use or reference, e.g., White papers, Budget Manual, research report, process maps, Quick Reference cards.

Implicit knowledge is knowledge that is applied in a practical way and that doesn't depend on context. An example would be skills that can transfer from one job to another.

Tacit knowledge is the knowledge gained from personal experience of working in a particular team/role/function. It's the information that is most difficult to write down, articulate or present in tangible form.

Historically, cross-training within and outside the divisions has not been a focus for UCOP and as a result, vital knowledge has been lost when separations occurs. In addition, documentation on key information and business process may be lacking in many divisions. A culture shift is needed to encourage knowledge sharing which relies on the habit and willingness of each employee to not only open up about institutional information but also seek out and/or be receptive to the knowledge sources available.

UCOP will create processes and tools for UCOP staff to ensure institutional knowledge is transferred; that departments' work is seamless through personnel changes; business continuity is maintained regardless of the employee turnover; and employees have access to the resources they need to successfully perform their job function.

This graphic illustrates a proposed framework of knowledge sharing at UCOP. Like any other change, it is best to break it down into smaller yet achievable segments and think about how the organization can implement each segment.



### *Knowledge Transfer Strategic Objectives*

The components listed below outline a high-level strategy for creating, disseminating, and managing knowledge sharing at UCOP to nurture productivity and increase idea-sharing within a department. Since knowledge sharing may not look the same for each department or division and is something that is iterative as departments grow and change, these components will also evolve to meet the organization’s needs. Some more granular strategies for addressing specific knowledge sharing within a division or job function will be explored during this implementation process and over the long term.

#### *Level 1, Initiate: Policies and Procedures*

One of the first steps is for UCOP Human Resources to grow awareness around knowledge sharing is to identify knowledge/process owners in each department and their roles for ensuring most current knowledge is documented and accessible while encouraging work shadowing and coaching. A methodology for how position profiles will be identified and knowledge captured and shared will be developed for deployment by departments.

#### *Level 2, Develop: Build Leadership Support and Training*

Educate and train leaders on the importance of knowledge sharing and the resources and tools available. Leaders will be encouraged to support knowledge sharing and participate in designing a plan as a component of retention and a succession management tool.

#### *Level 3, Standardize: Knowledge Management System*

Identify/deploy an accessible resource where employees can access the training, development, or knowledge needed to perform their tasks, develop their skill set and close knowledge gap. This will encourage ideas and information sharing within and outside of departments creating a deeper pool of expertise across the organization.

#### *Level 4, Optimize: Continuous improvements*

Establish an entity/group to identify, establish, and curate the resources and best practices of institutional knowledge transfer. The repository should be reviewed regularly to continuously update and build on existing knowledge.



## Communication Plan and Change Management Strategy

A communication strategy for disseminating knowledge transfer will be created. The knowledge share repository and resources will be centralized for departments to access and maintain. Resources and tools for systemwide knowledge sharing will also be curated, and a change management plan will explore impacts and a change management strategy that focuses on shifting the culture to one in which knowledge transfer is encouraged.

### **D.1.6 Talent Assessment and Succession Strategy**

Talent and Succession Strategy is a strategic approach the organization takes to assess and plan for its short- and long-term talent needs. Taking the time organizationally to plan and align talent enables the organization to better achieve its objectives. Currently, organizations are finding the competition for talent at very high levels, and the competition continues to increase. For UCOP and the University of California (UC) overall, this is a very challenging issue.<sup>17</sup> The 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 include five cities in California in the top 10 (San Jose, San Francisco, San Diego, Los Angeles, and Sacramento).

Additionally, UCOP's retirement trend is another key area and critical piece of data that must be noted in this strategy. In Phase 2 of the Office of the President's Workforce Plan it was noted there are 486 employees over the age of 50 who are eligible to retire. Between the years of 2016-2018, the average age of those retiring at UCOP was 61.2. The organization is at risk of losing institutional knowledge. As such the talent and succession planning strategy closely aligns with the knowledge sharing strategy. It is critical for continuity across the organization as long-tenured employees plan for retirement or other reasons for leaving UCOP that a pipeline and process are in place to find a qualified successor with ample time for knowledge transfer.

Talent assessment and succession planning is a critical strategy for UCOP and UC, more broadly. UCOP Human Resources has partnered closely with the Systemwide Talent Management team and the Human Resource Leadership Collaborative (HRLC) on a systemwide talent assessment and succession initiative. The HRLC is comprised of the Chief Human Resource Officers (CHROs) from all the UC campuses/locations and medical centers and the department leaders from Systemwide Human Resources. A subset of this group collaborated on a white paper [\*The Case Engaging in Talent and Succession Management Strategy at UC\*](#) which focuses on why a talent and succession management strategy at UC is a business imperative.

In a tight and competitive job market attracting talent is difficult; however, retaining your strongest talent becomes even more difficult. A talent and succession planning strategy that includes a pipeline for responding to retirements or vacancies and a methodology for knowledge transfer is a critical business need. At UCOP approximately 36% of the budget is a human capital expense. Managing talent and ensuring the organization retains, develops and has the most productive and engaged employees will result in a better return on the UCOP's investment. It will also save money as standard turnover costs are more than \$18,000 for every employee who quits. Therefore, UCOP must build a purposeful

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<sup>17</sup> <https://hbr.org/2015/09/when-the-competition-is-trying-to-poach-your-top-employee>

strategy with a framework and methodology that allows us to effectively and consistently assess our talent and plan for succession in critical roles in a way that is fair and equitable.

## Vision

Talent & Succession Planning for the University of California means keeping the organization ready for today while preparing for tomorrow. The organization does this by ensuring we have the right people with the right skills, supporting a diverse employee population, and encouraging employees to grow and develop.

## Strategic Objective

UCOP Human Resources will develop a talent bench strength strategy that focuses on understanding and building the future skills and capabilities needed for the long-term success of the organization. This will be accomplished by aligning the talent and succession planning strategy with the talent acquisition strategy, employee development strategy, retention strategy, and knowledge sharing strategy.

UCOP Human Resources is taking a proactive approach to retaining talent in the organization by building a strong talent bench, identifying the talent needed to meet future organizational goals and allowing for planning of critical jobs. The bench strength strategy is also designed to retain high performers and high potentials through competency development and career path options. The elements of a strong bench strength strategy are: talent reviews, succession planning, and talent development<sup>18</sup>.

Talent review is an ongoing process where proactive and regular discussions take place to plan and make decisions on talent needs for the employee and business performance and success.

Succession planning is a business risk management function. It just happens to be about people. Succession planning is designed to review the vacancy risks and identify retention and development plans to reduce this risk.

Talent development provides job experiences and formal training resources to build skills, enhance strengths and address gaps.

All successful organizations understand the importance of retaining and developing talent. UCOP is not only concerned about its organization but must consider the development of talent across the UC system. In order to raise awareness across the organization, the Northern Cohort of the UC Coro Leadership selected the project of Talent and Succession Strategy as their 2019 UC-Coro Systemwide Leadership Collaborative Project. Project Sponsors include the executive directors of UCOP Human Resources, Systemwide Talent Management, and the Contracts, Business, and Finance, UC National Laboratories.

Implementing a talent and succession strategy creates significant change in an organization. It changes the way leaders think about talent and how talent is managed and retained across the organization. Therefore, behavior change and a mindset change across the organization is a key implementation

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<sup>18</sup> Doris Sims Spies, SPHR, *The Talent Review Meeting Facilitator's Guide: Tools, Templates, Examples and Checklists for Talent and Succession Planning Meetings*

component. This can be addressed by educating and building awareness and executing on a strong change management plan.

Consistency is critical in a talent and succession strategy. It is important to have a defined toolkit, a consistent process for conducting talent reviews, and skilled facilitators to lead the discussions and capture information. This approach inherently builds confidence and credibility in the process. Also, important is the ability to pilot the process and tools in the early stages of the rollout to test and refine to build a stronger process.

The talent and succession strategy for UCOP and the broader UC is critical for the organization to be able to attract, develop, and retain talent in this very competitive market. In a job market where unemployment is at its lowest in 30 years, employees have their choice of where to work. Ensuring UCOP has a talent and succession strategy in place with leadership buy-in will allow the organization to proactively plan for our talent needs.

## E. Phase 4: Implementation Plan

### E.1 Phase 4: 90-Day Action Plan

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Each area of focus identified in Phase 2 and the subsequent strategy outlined in Phase 3 has an associated implementation strategy. The implementation is based on identified goals and objectives to successfully meet the strategy through action steps and respective metrics in the short term (90 days) and longer-term implementation (up to three years). The metrics gathered in the short term will assist UCOP HR to determine if a course correction is needed to further evolve and strengthen the workforce plan over the long term.

The implementation plan outlined below in Section E.1 represents the first 90-days of implementation from August 16, 2019 through November 22, 2019. The 90-day Action Plan will provide UCOP's Human Resources an opportunity to begin to test their workforce plan and short-term implementation strategies and provide foundational information and data to inform the long-term workforce implementation plan described in E.2, Phase 4: Long-term Implementation Plan (December 2019-December 2022).

#### E. 1.1 Recruitment Strategy Action Plan

##### *E.1.1.1 Strategic Objectives*

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Through the execution of several concurrent strategic work streams, UCOP Talent Acquisition will implement an effective near- and longer-term recruitment program for meeting the workforce needs of the Office of the President (including Oakland, Sacramento, DC, and Riverside). The Talent Acquisition team will proactively seek out qualified and skilled people, cultivating a relationship that encourages them to bring their unique skillset to the organization. The team will build the UC brand as a top employer most specifically in Oakland and Riverside using data to attract talent and analyze their performance; and leverage data (e.g., predictive analytics) to demonstrate to the organization the value of our talent acquisition strategy and continuing efforts to identify current and future needs in support of the UCOP mission.

E.1.1.2 Action Plan

<b>Objective #1. Create data-driven tools to determine patterns and a predictive model of future trends to help design the talent acquisition strategy and plan.</b>		
<b>Strategy Area</b>	<b>Action Steps</b>	<b>Metric/Milestones</b>
Improved Talent Acquisition strategy with better usage of talent acquisition analytics	<ol style="list-style-type: none"> <li>1. Leverage the analytics shared in Phase 2 of the workforce plan and design an IT position strategy</li> <li>2. Initiate the recruiting for job profiles identified during the gap analysis and assess time to fill: <ul style="list-style-type: none"> <li>• Financial Analysis</li> <li>• Institutional Research</li> <li>• Project Policy Analyst</li> <li>• Applications Programming</li> <li>• Systems and Infrastructure Administration</li> </ul> </li> <li>3. Create a workflow process to hire IT positions with Recruiters, Business managers, and IT managers and define their strategy for hiring IT profiles</li> </ol>	<p>Metrics:</p> <ul style="list-style-type: none"> <li>• Establishing time to fill baseline</li> </ul> <p>Milestone:</p> <ul style="list-style-type: none"> <li>• Hiring Manager’s Toolkit</li> <li>• ITS Strategy Recruitment Draft</li> </ul>
<b>Objective #2. To enhance our UC brand and build an employee value proposition (EVP) to highlight UCOP as an employer of choice to attract qualified and talented individuals to choose our organization to build their careers.</b>		
<b>Strategy Area</b>	<b>Action Steps</b>	<b>Milestone</b>
Building awareness of branding and strategy for recruiting	<ol style="list-style-type: none"> <li>1. Host two trainings for hiring managers teaching a how-to recruit and the importance of incorporating social media</li> <li>2. Approve job landing page wireframe</li> <li>3. Design, program and develop job landing page (11/20/19)</li> <li>4. Soft launch job landing page (12/6/19)</li> </ol>	<ul style="list-style-type: none"> <li>• Detailed wireframe/ requirements of talent acquisition landing webpage</li> </ul>
<b>Objective #3. Create targets that define what talent looks like and build a diverse internal and external sourcing/recruitment strategy for hiring the ideal talent into competitive roles.</b>		
<b>Strategy Area</b>	<b>Action Steps</b>	<b>Metrics/Milestones</b>
Develop Recruitment Resources for UCOP Hiring Managers	<ol style="list-style-type: none"> <li>1. Design and develop the hiring manager’s toolkit</li> <li>2. Develop training materials for manager “Hiring for success training”</li> <li>3. Host two trainings, “OP recruitment” and “implicit bias”</li> </ol>	<p>Milestones:</p> <ul style="list-style-type: none"> <li>• Outline of TAMs training content</li> <li>• Hiring manager’s toolkit</li> </ul> <p>Metrics:</p> <ul style="list-style-type: none"> <li>• Number of training sessions/hours delivered</li> <li>• Number of hiring</li> </ul>

		managers trained
Pipeline Strategy	<ol style="list-style-type: none"> <li>1. Develop Talent Acquisition strategy for IT positions and repeat for data analytics role</li> <li>2. Begin replicating for all the other identified profiles</li> <li>3. Integrate with Knowledge share (ongoing)</li> </ol>	Milestone: <ul style="list-style-type: none"> <li>• Talent Acquisition Strategy Draft for IT position</li> </ul>
<b>Objective #4. Leverage our recruiting technology to create a rubric of success so UCOP can attract talent and enhance our candidate and hiring manager experience within the recruitment process and beyond.</b>		
Strategy Area	Action Steps	Metrics/Milestones
Recruitment Technology	<ol style="list-style-type: none"> <li>1. Develop TAM gateway to enhance the applicant experience <ul style="list-style-type: none"> <li>• TAM UAT Testing (9/30/19 - 11/22/19)</li> </ul> </li> <li>2. Collaborate with L&amp;D to design a training plan for TAM (11/22/19)</li> </ol>	Metrics <ul style="list-style-type: none"> <li>• Number of test cases run</li> <li>• Number of issues/ bugs reported</li> </ul> Milestone: <ul style="list-style-type: none"> <li>• Outline of TAMs training contents</li> </ul>

## E. 1.2 Retention Strategy Action Plan

### E.1.2.1 Strategic Objectives

To ensure that every employee is highly engaged, motivated and focused on success by committing to a long-term, fulfilling career at the Office of the President through a robust onboarding and culture integration process.

### E.1.2.2 Action Plan

<b>Objective #1. To enhance the experience of a new employee from pre-boarding, onboarding, and progress during their first 90 days of employment</b>		
Strategy Area	Action Steps	Milestones
Develop an Onboarding checklist for hiring managers	<ol style="list-style-type: none"> <li>1. Develop Hiring Manager Onboarding Checklist as part of the Onboarding guide using categories: <ul style="list-style-type: none"> <li>• Pre-boarding</li> <li>• First Day</li> <li>• First Week</li> <li>• 30-90 days</li> </ul> </li> </ol>	<ul style="list-style-type: none"> <li>• Onboarding Checklist for hiring managers</li> </ul>
Create Onboarding	<ol style="list-style-type: none"> <li>1. Develop a Hiring Manager Process Map for the HR Team and hiring managers. Reinforces understanding of the sequence of events</li> </ol>	<ul style="list-style-type: none"> <li>• New hiring process map for hiring managers</li> </ul>

Hiring Manager Process Map	<p>beginning with pre-arrival activities through the first 90 days of the new employee experience</p> <ol style="list-style-type: none"> <li>2. Recommend prioritizing the hiring manager process map</li> <li>3. Identify ownership and responsibility of roles for overall onboarding process</li> <li>4. Determine workflow and propose recommendations to Exec. Dir. HR</li> </ol>	
<b>Objective #2. Include a New Employee Buddy Initiative within the onboarding process increasing each new hire's ability to contribute in their role quickly, raising new hire's comfort level and understanding of UCOP culture, reinforcing new hire's decision to join UCOP, and leading to higher retention and stronger long-term performance.</b>		
Strategy Area	Action Steps	Milestone
Draft New Employee Buddy Initiative Guidelines	<ol style="list-style-type: none"> <li>1. Modify EEDG buddy guidelines to integrate into Onboarding Guidelines</li> <li>2. Modify EEDG buddy guidelines for hiring managers on buddy responsibilities and a matching strategy to pair buddies with new employees <ul style="list-style-type: none"> <li>• Create Buddy Initiative overview for leadership approval and ensure leadership's understanding of goals of the New Employee Buddy initiative.</li> </ul> </li> <li>3. Identify support needed by hiring managers to implement buddy initiative</li> <li>4. Create guide for buddies to outline responsibilities and recommended activities</li> <li>5. Review with stakeholders and communicate Buddy Initiative to hiring managers (11/7/19)</li> </ol>	<ul style="list-style-type: none"> <li>• New employee Buddy initiative guidelines for hiring managers and buddies</li> </ul>

### E.1.3 Employee Development Action Plan

#### E.1.3.1 Strategic Objectives

The Employee Development team empowers all UCOP employees to understand, access, champion, and effectively use learning and development strategies to support growth and development for present and future roles. The action plan focuses on one of the identified high-risk job profiles, IRAP Analyst.

#### E.1.3.2 Action Plan

<b>Objective #1. Improve awareness to learning and development opportunities</b>		
Strategy Area	Action Steps	Metrics/Milestones
Marketing Plan for Learning Resources	<ol style="list-style-type: none"> <li>1. Draft plan with WFP work team <ul style="list-style-type: none"> <li>• Identify target and sub-target audiences</li> <li>• Match audience to targeted learning</li> </ul> </li> </ol>	<ul style="list-style-type: none"> <li>• Draft of Marketing Plan for Learning Resources</li> </ul>

	<p>opportunities</p> <ul style="list-style-type: none"> <li>• Identify methods of communication (customer persona)</li> <li>• Determine communication channels</li> <li>• Determine content and frequency</li> <li>• Plan includes benchmarks</li> <li>• Experiment with different marketing strategies as the plan is built</li> </ul>	
Experiment with Methods to Increase Visibility of Learning Opportunities	<ol style="list-style-type: none"> <li>1. Measure and analyze metrics per the following (11/22/19): <ul style="list-style-type: none"> <li>• Present at department, division, and team meetings about learning and development opportunities</li> <li>• Posters in all buildings</li> <li>• List of classes by topic for managers</li> <li>• Website revision for webpages on LINK and UCOP HR page</li> <li>• Meet regularly with partners across organization (Business Partners, LINK) to partner on awareness building</li> </ul> </li> </ol>	<ul style="list-style-type: none"> <li>• Number of class sessions offered per month</li> <li>• Number of participants per month</li> <li>• Distribution of registration referral sources</li> <li>• Engagement comparison (participants per session per month) between in-person vs online courses</li> <li>• Number of clicks on class &amp; workshop webpage via LINK</li> <li>• Number of clicks on LINK articles</li> </ul>

**Objective #2. Create an cross functional Employee Development advisory team**

Strategy Area	Action Steps	Milestone
Cross-functional Employee Development Advisory Team	<ol style="list-style-type: none"> <li>1. Draft plan with WFP work team on role of advisory team</li> <li>2. Create a list of potential advisory team members</li> </ol>	<ul style="list-style-type: none"> <li>• Outline of employee development Advisory Team formation plan</li> </ul>

**Objective #3. Determine training plan for e-performance and TAMS**

Strategy Area	Action Steps	Milestone
Training Plan for TAMS and ePerformance	<ol style="list-style-type: none"> <li>1. Draft plan with ED and RA WFP work teams <ul style="list-style-type: none"> <li>• Review current job aides &amp; e-learning from UC Path</li> <li>• Determine what training materials and tools</li> </ul> </li> </ol>	<ul style="list-style-type: none"> <li>• Training Plan Framework for TAMs and e-Performance</li> </ul>

	need to modified or created	
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## E.1.4 Knowledge Transfer Action Plan

### E.1.4.1 Strategic Objectives

UCOP Human Resources will develop processes and/or tools for UCOP staff to ensure institutional knowledge is transferred, that departments' work is seamless through personnel changes, business continuity is maintained regardless of the employee turnover, and employees have access to the resources they need to successfully perform their job function.

### E.1.4.2 Action Plan

<b>Objective #1. Conduct focus group interviews to gather the explicit, tacit and institutional knowledge that is needed to perform in the benefits program strategy and HR generalist job functions (i.e., areas flagged with high retirement risk in Phase 2 report)</b>		
<b>Strategy Area</b>	<b>Action Steps</b>	<b>Metrics/Milestones</b>
Develop strategy for gathering input to build position profile	<ol style="list-style-type: none"> <li>1. Leverage profile of HR business partner as "pilot" via Focus Group <ul style="list-style-type: none"> <li>• Develop pre-survey questions regarding process, policies, systems, internal knowledge, external knowledge, etc.</li> <li>• Aggregate and analyze response</li> <li>• Scheduling focus group meeting that includes business partners to assess knowledge needs</li> </ul> </li> </ol>	<p>Milestones:</p> <ul style="list-style-type: none"> <li>• Completed profile of HR business partner's knowledge needs</li> <li>• Summary report &amp; recommendations</li> </ul> <p>Metrics:</p> <ul style="list-style-type: none"> <li>• Number of participants in the HRBP focus group</li> <li>• Number of internal knowledge sources identified</li> <li>• Number of external knowledge sources identified</li> </ul>
<b>Objective #2. Identify internal and external knowledge resources</b>		
<b>Strategy Area</b>	<b>Action Steps</b>	<b>Milestone</b>



Develop HR Generalist survey and include Analysis and Summary report recommendations	<ol style="list-style-type: none"> <li>1. Draft HR Generalist survey</li> <li>2. Draft Analysis and Summary report recommendations</li> <li>3. Asset mapping of current HR materials and resources</li> <li>4. Identify gaps</li> <li>5. Determine methodology to collect information to address gaps</li> </ol>	<ul style="list-style-type: none"> <li>• HR Generalist Survey</li> <li>• Analysis and Summary report with recommendations</li> </ul>
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## E.1.5 Talent Assessment and Succession Action Plan

### E.1.5.1 Strategic Objectives

UCOP Human Resources enable business leaders to understand, utilize, and project the talent needs as well as to minimize the impact of employee turnover by using effective succession planning toolkit.

### E.1.5.2 Action Plan

<b>Objective #1. Develop revised talent and succession planning toolkit documents tailored for the UC and non-HR end users.</b>		
<b>Strategy Area</b>	<b>Action Steps</b>	<b>Milestone</b>
Talent Assessment and Succession	<ol style="list-style-type: none"> <li>1. Customize Success Plan Toolkit and quick reference guide</li> <li>2. Determine the tools that should be a part of the toolkit</li> <li>3. Review and modify the tools as needed</li> <li>4. Update branding of the toolkit</li> </ol>	<ul style="list-style-type: none"> <li>• Succession Planning Quick Start Guide</li> </ul>
<b>Objective #2. Conduct surveys and interviews to determine understanding of talent and succession planning across UC.</b>		
<b>Strategy Area</b>	<b>Action Steps</b>	<b>Metrics</b>
Awareness and Understanding	<ol style="list-style-type: none"> <li>1. Survey leaders across UC</li> <li>2. Conduct face to face interviews with campus leaders</li> <li>3. Analyze data</li> </ol>	<ul style="list-style-type: none"> <li>• Number of survey invitees</li> <li>• Number of survey response</li> <li>• Survey response rate</li> <li>• Number of F2F interviews conducted</li> </ul>
<b>Objective #3. Create a Quick Start Guide to accompany toolkit</b>		
<b>Strategy Area</b>	<b>Action Steps</b>	<b>Milestone</b>
Talent Assessment and Succession	<ol style="list-style-type: none"> <li>1. Develop a Succession Plan Guide questionnaire with key questions to determine readiness for launching talent assessment and succession planning</li> </ol>	<ul style="list-style-type: none"> <li>• Succession Planning-Quick Start Guide</li> </ul>

Objective #4. Report out on learnings from campus pilots		
Strategy Area	Action Steps	Metrics/Milestone
Talent Assessment and Succession	<ol style="list-style-type: none"> <li>1. Identify learnings from key campus pilot locations</li> <li>2. Identify key learnings and takeaways</li> </ol>	Metric: <ul style="list-style-type: none"> <li>• Number of campus pilot locations</li> </ul> Milestone: <ul style="list-style-type: none"> <li>• Key Learnings report</li> </ul>

## E.2 Phase 4: Long-term Implementation Plan

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The long-term implementation plan will be developed over the next six months (10/2019-3/2020) and will outline actionable steps to move the organization through the workforce plan strategies over the next three years into 2022, continuing to align with the organization’s overall goals.

The strategies outlined in chapter D, *Phase 3: Develop Workforce Strategies* will guide the organization over the next three years as lessons are learned and implementation plans are executed. The strategies may evolve as the organization’s needs change.

As part of the overall implementation, a communication and change management plan is in development. A change impact assessment has been drafted and stakeholders identified. As the long-term implementation begins, the communication and change management plan will be initiated and UCOP Human Resources will partner closely with division leadership to manage, control and communicate changes as they are executed.

UCOP’s Human Resources team will provide ongoing strategic management and assessment of the workforce plan to ensure as the organization evolves so too, will the Workforce Plan. Going forward, the Workforce Plan will be reviewed and updated annually to incorporate key learnings, new analysis and new strategic objectives ensuring continued alignment with the organization’s overall goals. Course corrections will be addressed and communicated so that UCOP can progress in practical ways to continue ensuring the right people are in the right roles doing the right things.

## Appendix I: Support Documentation

Appendix A: Workforce Planning Benchmarking Analysis - Set of Comparable Institutions (Phase 1)

Appendix B: Comparison Workforce Planning Models (Phase 1)

Appendix C: Separation Trend and Forecast (Phase 2)

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

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

Appendix F: Competency Model (Phase 2)

Appendix G: Organizational Chart (Phase 1)

## Appendix A: Workforce Planning Benchmarking Analysis - Set of Comparable Institutions

AAU member universities—62 in the United States and two in Canada—are on the leading edge of innovation, scholarship, and solutions that contribute to scientific progress, economic development, security, and well-being. The 62 AAU universities in the United States award nearly one-half of all U.S. doctoral degrees and 55 percent of those in the sciences and engineering.\*

Listed below are the 27 comparable institutions we reached out to in our benchmark study:

University	Type	Student Headcount
Brown University (Providence, RI)	Private	8,619
California Institute of Technology (Pasadena, CA)	Private	2,231
Columbia University in the City of New York (New York, NY)	Private	29,250
Cornell University (Ithaca, NY)	Private	21904
Harvard University (Cambridge, MA)	Private	21000
Johns Hopkins University (Baltimore, MD)	Private	23,073
Massachusetts Institute of Technology (Cambridge, MA)	Private	11,301
Northwestern University (Evanston, IL)	Private	21,208
Stanford University (Palo Alto, CA)	Private	15,877
State University of New York at Buffalo, NY	Public	30,183
Stony Brook University (Stony Brook, NY)	Public	25,272
University of Chicago (Chicago, IL)	Private	14,954
University of Colorado Boulder (Boulder, CO)	Public	33,681
University of Colorado, Colorado Springs	Public	12,422
University of Colorado, Denver	Public	15,008

University of Colorado System (total)	Public	65,375
University of Illinois at Chicago, IL	Public	28,484
University of Illinois at Urbana-Champaign (Champaign, IL)	Public	47,826
University of Illinois System (total including Springfield-6,990)	Public	83,300
University of Michigan-Ann Arbor (Ann Arbor, MI)	Public	46,002
University of Michigan Consolidated	Public	
University of Minnesota - Duluth, MN	Public	11,168
University of Minnesota-Twin Cities (Minneapolis, MN)	Public	47,364
University of Minnesota System (5 campuses: Cookston, Duluth, Morris, Rochester, Twin Cities)	Public	67,949
University of Pennsylvania (Philadelphia, PA)	Private	24,630
University of Texas at Austin (Austin, TX)	Public	51,000
University of Virginia (Charlottesville, VA)	Public	22,391
University of Washington (Seattle, WA)	Public	43,762
University of Wisconsin-Madison (Madison, WI)	Public	43,275
Yale University (New Haven, CT)	Private	12,223

\* Referenced from: <https://www.aau.edu/who-we-are/our-members>

## Appendix B: Comparison of workforce planning models

Workforce Planning Steps	CAL HR Model	UCOP Model	HCI Model	Mercer Model
<b>Phase 1: Set the Strategic Direction for the Workforce Plan</b>				
Obtain executive support for the workforce plan.	P	P		P
Build a project team from all parts of the organization, and garner feedback from key stakeholders throughout.	P	P		
Best practice analysis: Identify and compare work-force planning models used by peer institutions		P		
Review organizational strategic plan: align workforce planning to mission and critical functions.	P	P	P	P
Conduct preliminary analysis of available workforce data		P		
Identify internal and external environmental factors that impact the department's workforce needs.	P	P	P	
Analyze impact and future implications of these factors on the org's mission and critical functions.	P	P		
Workforce Planning Steps	CAL HR Model	UCOP Model	HCI Model	Mercer Model
<b>Phase 2: Gather and Analyze Workforce Data (continued)</b>				
Conduct a pilot to socialize with leadership the process of assessing current staff and future		P		
Perform a supply analysis to understand current workforce (composition and competencies).	P	P	P	P
a. Gather and use three years of employee staffing data for the trend analysis (part c).	P	P	P	
b. Develop competencies for each level of the organization; use an assessment process to understand workforce competency.	P	P		
c. Evaluate and forecast the impact of separations and demographics on each classification.	P	P	P	P
d. Compare your workforce profile to statewide data to gain perspective on statewide trends.	P	P		

<b>Workforce Planning Steps</b>	<b>CAL HR Model</b>	<b>UCOP Model</b>	<b>HCI Model</b>	<b>Mercer Model</b>
<b>Phase 2: Gather and Analyze Workforce Data (continued)</b>				
Perform a demand analysis to understand current and projected workforce needs.	<b>P</b>	<b>P</b>	<b>P</b>	<b>P</b>
a. Factor in input from division/program area leaders about critical positions and future needs.	<b>P</b>	<b>P</b>	<b>P</b>	<b>P</b>
b. Identify the workforce staffing and competencies needed to meet current and future demands.	<b>P</b>	<b>P</b>	<b>P</b>	<b>P</b>
Compare current and future workforce supply to the current and future demands (gap analysis).	<b>P</b>	<b>P</b>	<b>P</b>	<b>P</b>
Develop a list of classifications by risk level to prioritize strategy development in Phase 3.	<b>P</b>	<b>P</b>	<b>P</b>	<b>P</b>
<b>Phase 3: Develop the Workforce Strategies and Plan</b>				
Classify issues: recruitment, retention, employee development, knowledge transfer, succession planning, etc	<b>P</b>	<b>P</b>		
Present to Steering Committee gap analysis findings and list of at-risk classifications to determine priorities	<b>P</b>	<b>P</b>	<b>P</b>	<b>P</b>
Work together to develop strategies to address gaps and issues in at-risk classifications.	<b>P</b>	<b>P</b>	<b>P</b>	<b>P</b>
Determine which solutions will be recommended to senior leadership, and present these for approval.	<b>P</b>	<b>P</b>	<b>P</b>	<b>P</b>
Develop a comprehensive workforce plan which includes data, analysis, and strategies for addressing identified needs.	<b>P</b>	<b>P</b>	<b>P</b>	<b>P</b>
Create an action plan w/specific, measureable, achievable, realistic and time-based metrics for each strategy.	<b>P</b>	<b>P</b>	<b>P</b>	<b>P</b>
<b>Phase 4: Implement Strategies</b>				
Follow action plan and evaluate progress.	<b>P</b>	<b>P</b>	<b>P</b>	<b>P</b>
2. Establish governance to ensure accountability and success.	<b>P</b>	<b>P</b>	<b>P</b>	<b>P</b>
3. Provide training to all parties identified in action plan regarding their responsibilities, tools & resources needed.	<b>P</b>	<b>P</b>	<b>P</b>	
4. Develop a communication plan to share progress, and maintain engagement/ support for the plan's strategies.	<b>P</b>	<b>P</b>	<b>P</b>	<b>P</b>
<b>Phase 5: Evaluate the Workforce Plan</b>				
1. Monitor progress against milestones.	<b>P</b>	<b>P</b>		
2. Evaluate the workforce plan and ongoing activities related to the plan's strategies.	<b>P</b>	<b>P</b>	<b>P</b>	<b>P</b>
3. Adjust the plan to make course corrections and to address new workforce issues.	<b>P</b>	<b>P</b>		
4. Add appendices to the workforce plan with all changes and updates to the plan.	<b>P</b>	<b>P</b>		

## Appendix C: 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%		
Educational Services	Written Commun-ications	8	0.0%	0.0%	0.0%	0.0%	5.6%		
	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%		



Job Family	Job Function	Headcount	Retire-ment %	Transfers %	Voluntary %	Actual Impact	Trend Analysis	Risk Flag	Notes
Finance	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%		
	Real Estate Mgmt	6	0.0%	0.0%	0.0%	0.0%	6.3%		
	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%		
General Services	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%		
	Facilities Management	6	0.0%	0.0%	14.3%	14.3%	7.1%		

Job Family	Job Function	Headcount	Retire- ment %	Transfers %	Voluntary %	Actual Impact	Trend Analysis	Risk Flag	Notes
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%		
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%		
Information Technology	Systemwide Academic HR Applications	7	0.0%	0.0%	12.5%	12.5%	21.7%		
	Programming Business Systems Analysis	94	3.0%	1.0%	2.0%	6.0%	5.7%		
	Business Technical Support	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%		

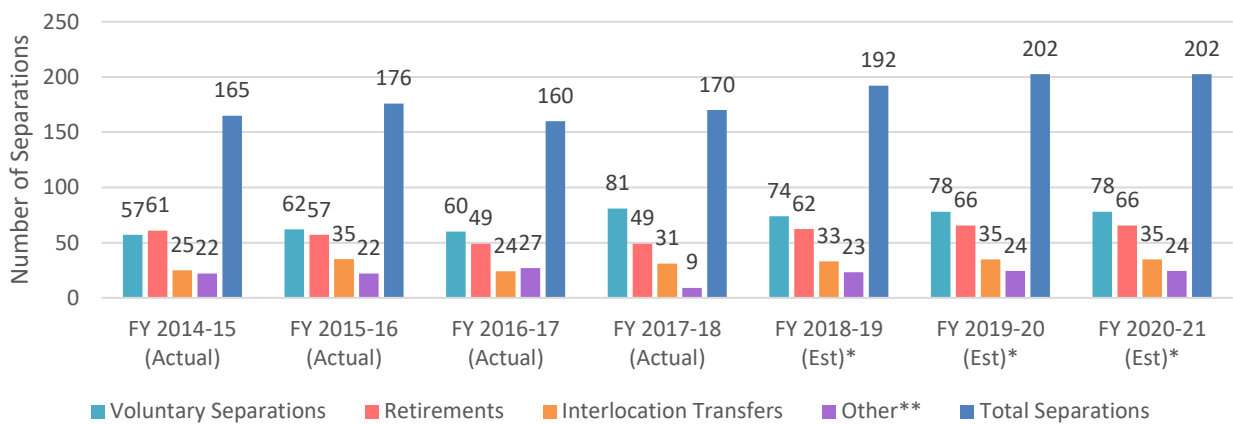
Job Family	Job Function	Headcount	Retire- ment %	Transfers %	Voluntary %	Actual Impact	Trend Analysis	Risk Flag	Notes
	Fixed Income	8	0.0%	0.0%	0.0%	0.0%	0.0%		
	Investment Risk Management	5	0.0%	0.0%	0.0%	0.0%	0.0%		
	Private Equity Investments	5	0.0%	0.0%	0.0%	0.0%	14.9%		
	Public Equity Investments	3	0.0%	0.0%	25.0%	25.0%	26.7%		
	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 D: 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 *

Fiscal Year	Voluntary Separations	Retirements	Inter-location Transfers	Other **	Total Separations	Voluntary Separations %	Retirement %	Inter-location Transfers %	Other ** %	Number of Employees
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%		
	<b>Publications and Production</b>	17	52.9%	Flagged	
	Visual Communications	2			
Educational Services	Written Communications	8	37.5%		
	Instructional Design	5			
	Professional Development	7	14.3%		
External Affairs	Public Education Services	1	100.0%		
	Alumni and External Relations	1			
	Events	6	16.7%		
	Fundraising	6	33.3%		
	Marketing	13	30.8%		
Facilities Development and EHS	Sales	1			
	Design and Construction Mgt	4			
	Energy Management	5			

Job Family	Job Function	Headcount (Oct 2018)	% Near Retirement	Headcount > 15 & Retirement > 40%	Notes	
Finance	Environmental Health and Safety	4	75.0%			
	Facilities Project Management	3				
	Planning	8	37.5%			
	Real Estate Management	7	57.1%			
	Accounting	46	30.4%			
	Capital Markets Finance	3	33.3%			
	<b>Enterprise Risk Management</b>	19	42.1%		Flagged	
	Financial Analysis	40	32.5%			
	Financial Services	26	34.6%			
	Loan Origination	8	75.0%			
	Loan Servicing	4	50.0%			
	Payroll	50	4.0%			
	Procurement	4	25.0%			
	Strategic Sourcing	25	24.0%			
	Systemwide Budget	7	28.6%			
	Tax Compliance	6	33.3%			
	General Administration	Travel	4	50.0%		
Treasury		5	20.0%			
Administrative Operations		65	38.5%			
Contract Administration		6	50.0%			
Executive Advising		22	31.8%			
<b>Executive Assistance</b>		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%			
	<b>Benefits Program Strategy</b>	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%				

Job Family	Job Function	Headcount (Oct 2018)	% Near Retirement	Headcount > 15 & Retirement > 40%	Notes
Information Technology	<b>Applications Programming</b>	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%		
	Production Control	4			
	QA and Release Management	16	31.3%		
	<b>Systems and Infrastructure Administration</b>	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			
	<b>Research Grant Program Admin</b>	22	45.5%	Flagged	
Senior Management Group	<b>Senior Management Group</b>	36	50.0%	Flagged	seasoned leaders, skew older with more YoS
Student Services	Academic Achievement	1			
	Counseling				
	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%			

Job Family	Job Function	Headcount (Oct 2018)	% Near Retirement	Headcount > 15 & Retirement > 40%	Notes
Union (not on career tracks)	Union (not on career tracks)	145	24.1%		



## Appendix E: 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 F: Competency Model (Phase 2)

Figure A5. Competency model, UCOP

Competencies	Definition	Behavioral Indicators
<b>FOUNDATIONAL COMPETENCIES</b>		
Collaboration and Communication	Builds partnerships and works collaboratively with others to meet shared objectives.	<ul style="list-style-type: none"> <li>• Uses appropriate clear verbal and written communication that is timely.</li> <li>• Demonstrates balance between building and maintaining trusting relationships and getting work done.</li> <li>• Builds constructive and collaborative working relationships to achieve goals.</li> <li>• Willing to share information/knowledge with others.</li> </ul>
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"> <li>• Can describe customers' business and expectations.</li> <li>• Demonstrates interest in customers' needs and responds to needs in a timely fashion.</li> <li>• Seeks feedback to ensure customer needs have been met.</li> <li>• Proactively seeks ways to improve service delivery.</li> <li>• Goes beyond basic service expectations</li> </ul>
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;	<ul style="list-style-type: none"> <li>• Experiments with new ideas, methodologies and solutions.</li> <li>• Thinks in terms of desired outcomes, not just quick solutions.</li> <li>• Responds positively to change, embraces new opportunities and practices to accomplish goals or solve problems.</li> <li>• Adapts approach, goals and methods to achieve solutions and results appropriate for situation.</li> </ul>

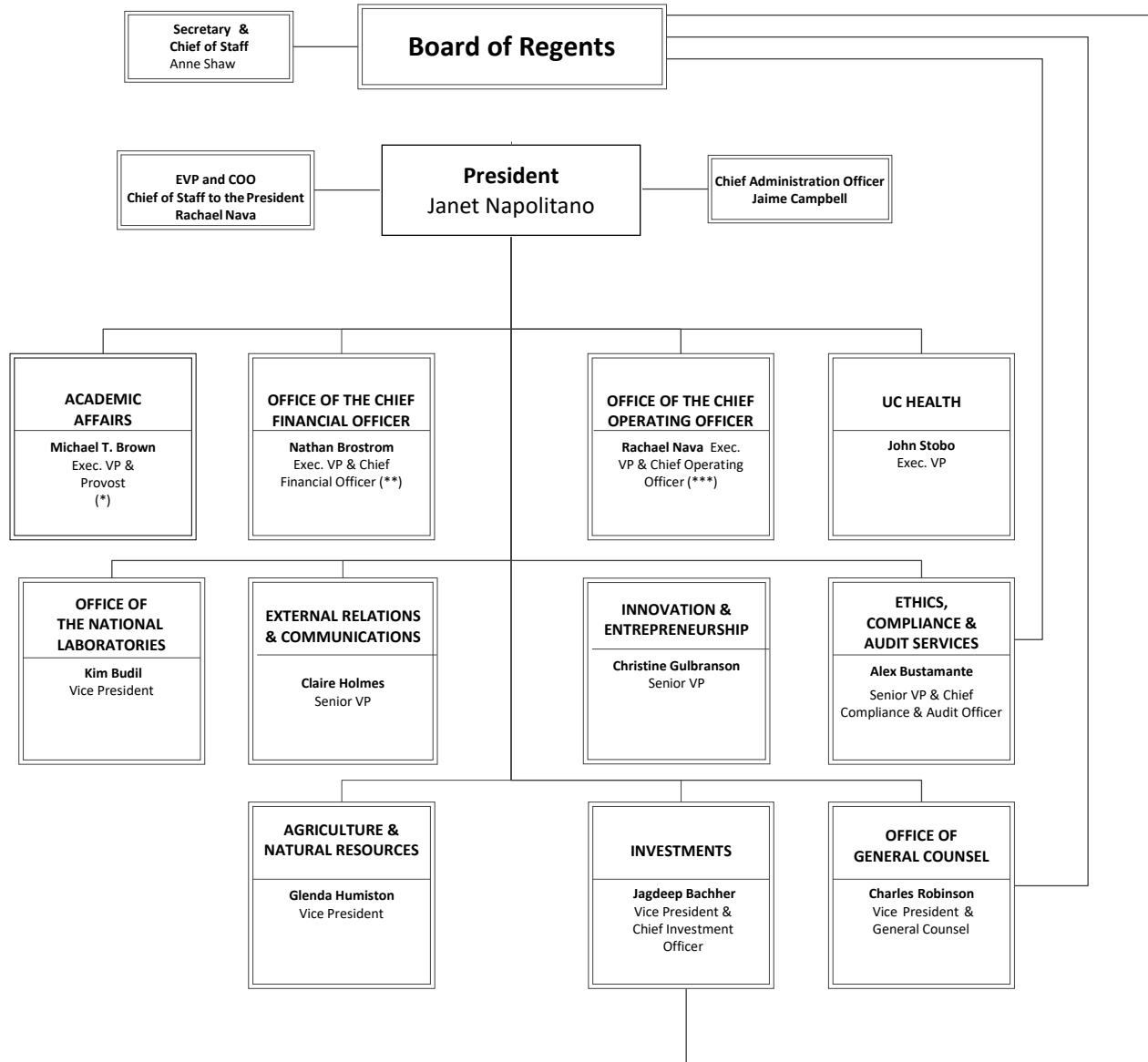
Competencies	Definition	Behavioral Indicators
Principles of Community	<p>confronts and works through concerns of various stakeholders.</p> <p>Models and promotes equitable, fair, and inclusive behaviors. Fosters a positive working and learning environment by maintaining a climate of collaboration, fairness, cooperation, ethical behavior, and professionalism.</p>	<ul style="list-style-type: none"> <li>• Contributes to creating an environment of mutual respect and considers differences to encourage an open exchange of ideas.</li> <li>• Is able to see the merits of perspectives other than his/her own.</li> <li>• Is sensitive to and seeks to understand cultural norms, expectations.</li> </ul>
Problem Solving/Decision Making	<p>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.</p>	<ul style="list-style-type: none"> <li>• Uses sound judgment to make clear, transparent and timely decisions based on relevant information and data.</li> <li>• Recognizes issues, problems, or opportunities and proposes solutions.</li> <li>• Evaluates the pros and cons, risks and benefits of different solution options.</li> <li>• Seeks advice from their supervisor and requests help from others when needed.</li> </ul>
Self-Management	<p>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.</p>	<ul style="list-style-type: none"> <li>• Pursues tasks with sense of purpose and a need to finish objectives despite obstacles and setbacks.</li> <li>• Recognizes critical tasks and is able to prioritize multiple competing tasks or goals.</li> <li>• Uses time effectively to accomplish assigned work and deliverables.</li> <li>• Takes advantage of available resources (individuals, processes, departments, and tools) to complete work efficiently.</li> </ul>
Stewardship - Resource Management	<p>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</p>	<ul style="list-style-type: none"> <li>• Embraces and promotes ethical values and standard when managing and using resources.</li> <li>• Understands and uses key departmental budgetary priorities in decision making.</li> <li>• Uses individual and UCOP resources effectively and efficiently.</li> <li>• Controls costs and conserves resources.</li> </ul>

Competencies	Definition	Behavioral Indicators
	<p>sound judgment utilizing University resources.</p>	<ul style="list-style-type: none"> <li>• 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.</li> </ul>
<b>TECHNICAL COMPETENCIES</b>		
<p>Job Mastery</p>	<p>Demonstrates technical competence and job knowledge when completing job duties; possesses the skills and knowledge to successfully perform all parts of the job effectively and in a timely and efficient manner.</p>	<ul style="list-style-type: none"> <li>• Uses skills and knowledge and applies them to all aspects of position; willing to learn new skills and knowledge as needed.</li> <li>• Ensures that work and information are complete and accurate; follows up with others to ensure that agreements and commitments have been fulfilled.</li> <li>• Shows personal commitment and takes action to continuously improve.</li> </ul>
<b>LEADERSHIP COMPETENCIES</b>		
<p>Leadership/Vision</p>	<p>Paints a compelling picture of the vision and strategy that motivates others to action.</p>	<ul style="list-style-type: none"> <li>• Articulates the vision in a way everyone can understand, appreciate and see their role.</li> <li>• Shows personal commitment to the vision; connects vision to departmental goals, objectives, and outcomes.</li> <li>• Understands the value of building a shared vision.</li> <li>• Talks about future possibilities in a positive way.</li> <li>• Translates vision into action by linking vision to mission, goals, and strategy.</li> <li>• Leads by example with consistency of words and actions.</li> </ul>
<p>Management of People</p>	<p>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</p>	<ul style="list-style-type: none"> <li>• Creates a positive and trusting working environment for team.</li> <li>• Provides helpful, behaviorally specific feedback to others.</li> <li>• Regularly meets with employees to review their progress and development; provides effective coaching and</li> </ul>

Competencies	Definition	Behavioral Indicators
	<p>accept developmental moves; is a people builder.</p>	<p>intervenes when necessary to course correct.</p> <ul style="list-style-type: none"> <li>• Shares information, advice, and suggestions in a timely manner to help others to be more successful.</li> </ul>

# Appendix G: Organizational Chart and Contact Information (Phase 1)

Figure A6. UCOP organizational chart, December 2018

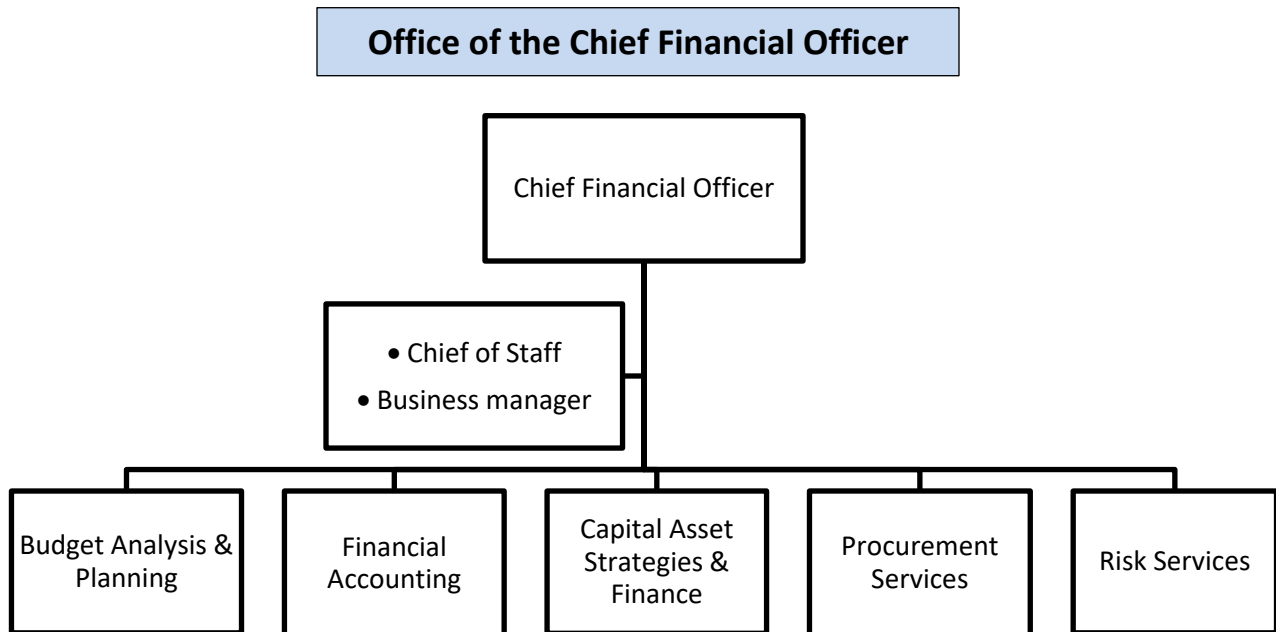
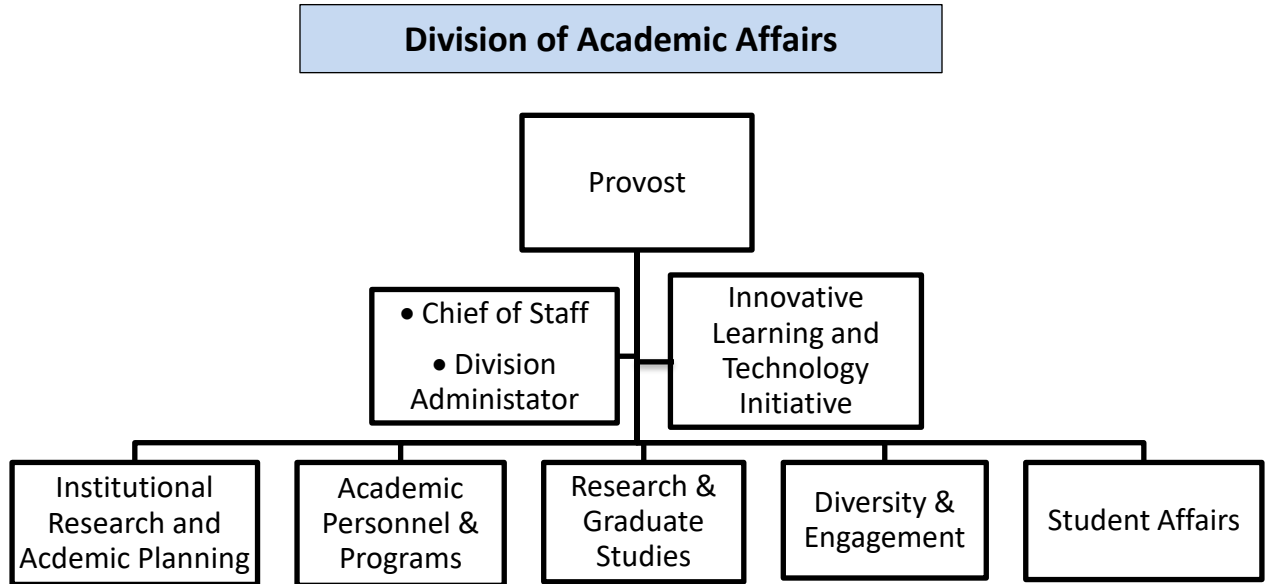


\*Acts for the President in her absence.

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

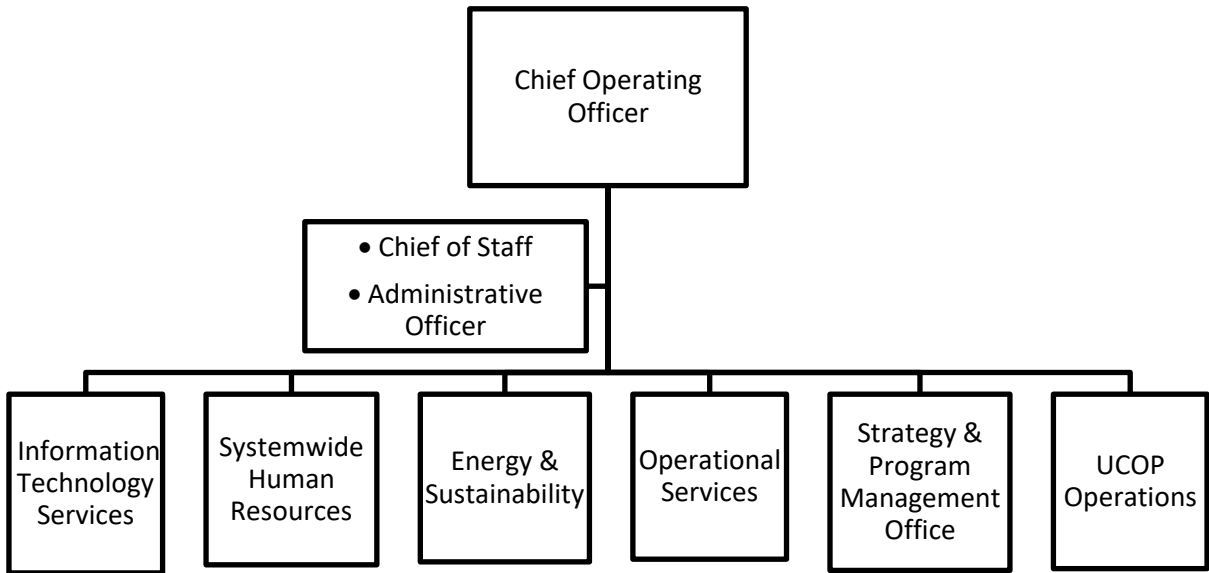
\*\*\*Acts for the President in her absence and in the absence of the Provost and Chief Financial Officer.

Figure A7. UCOP divisional organization charts, December 2018

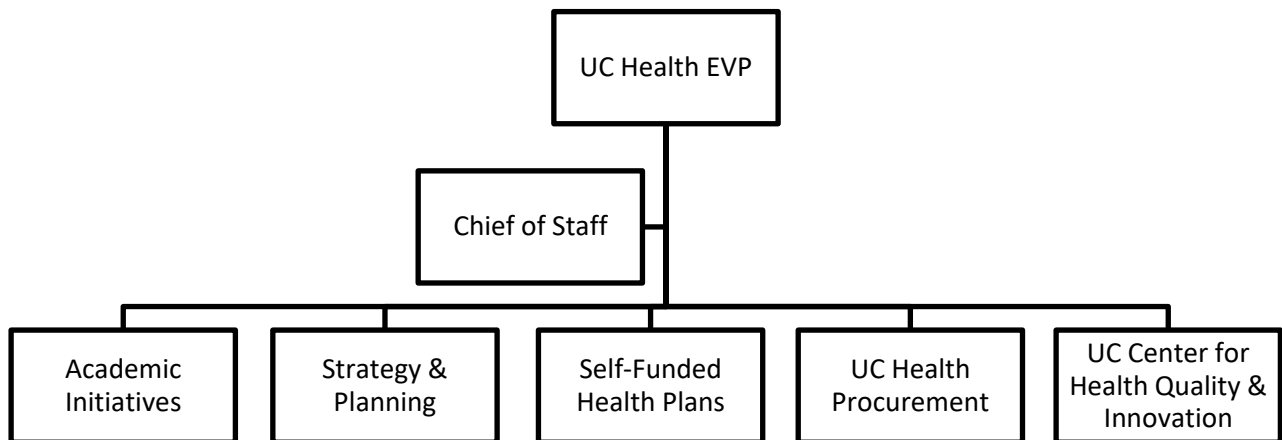




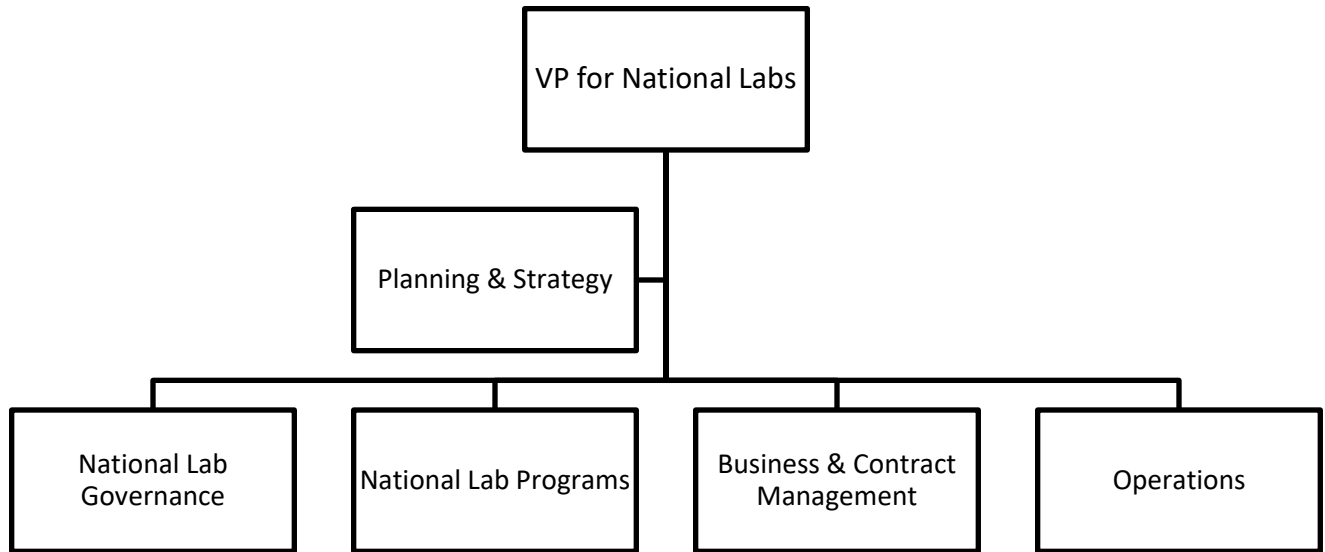
**Office of the Chief Operating Officer**



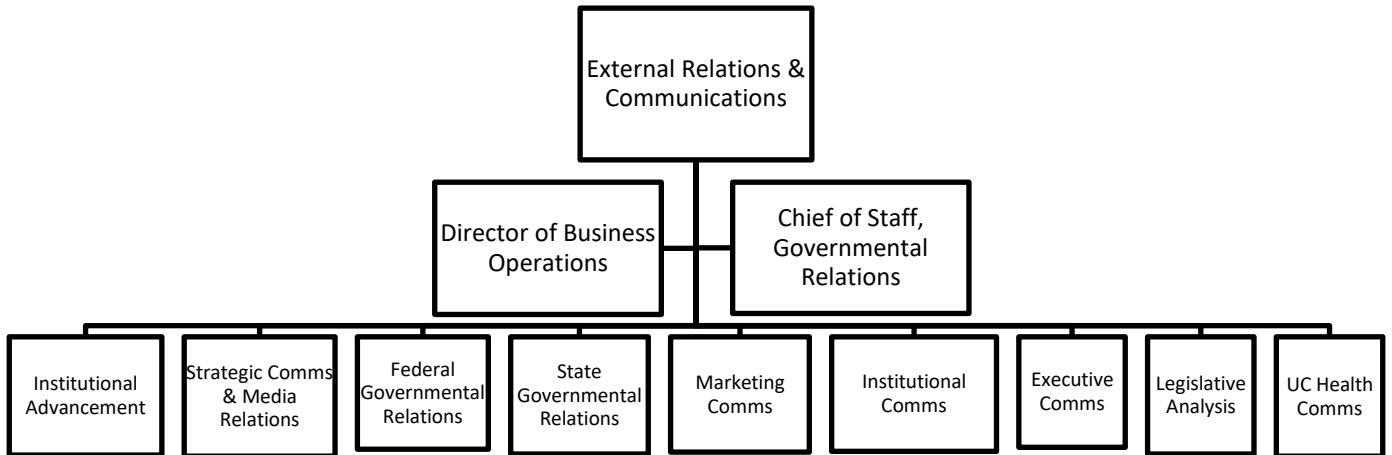
**UC Health**



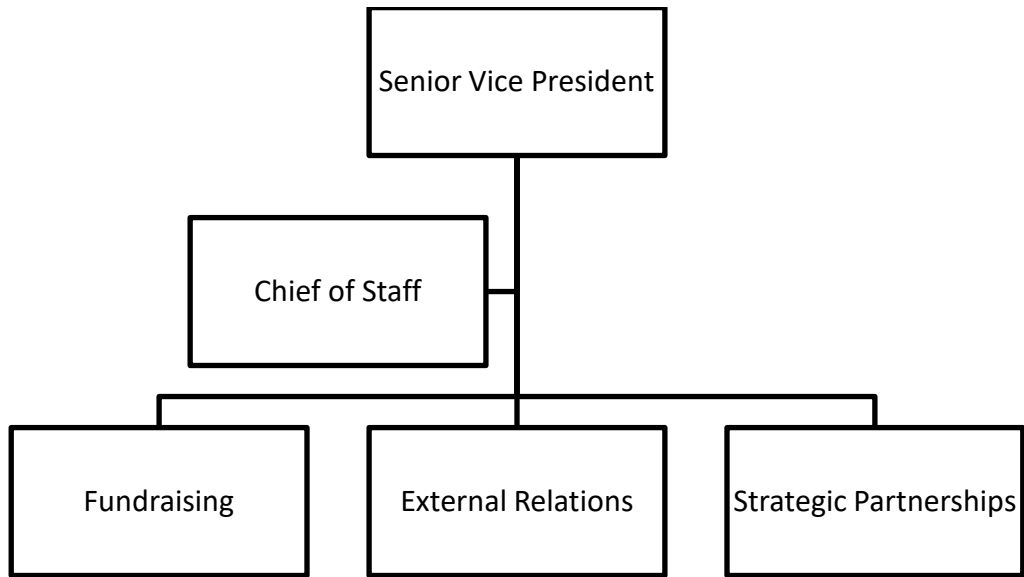
**Office of the National Laboratories**



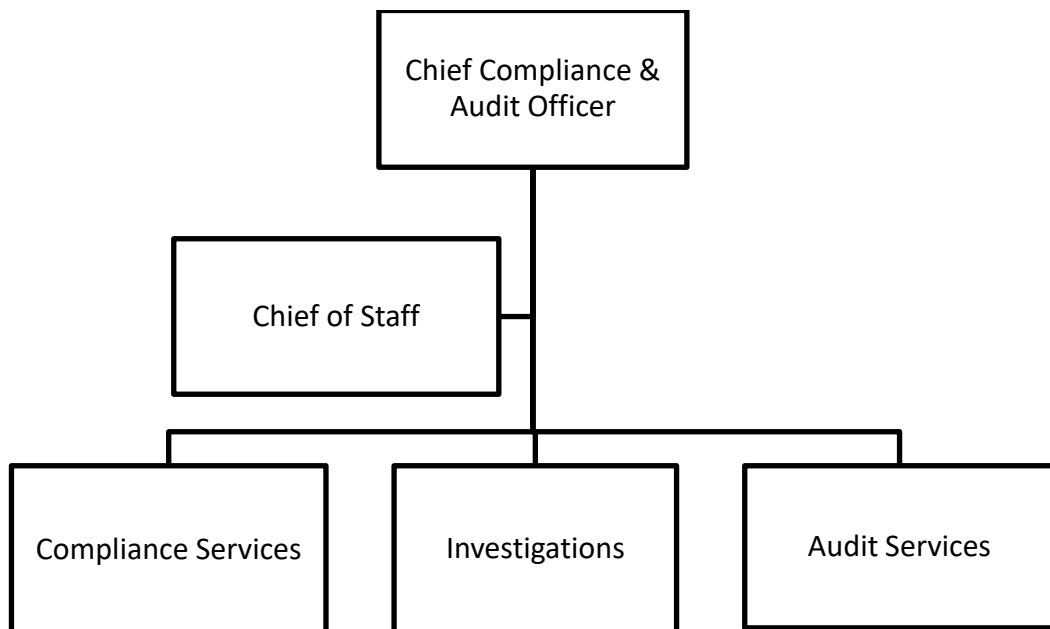
**External Relations & Communications**



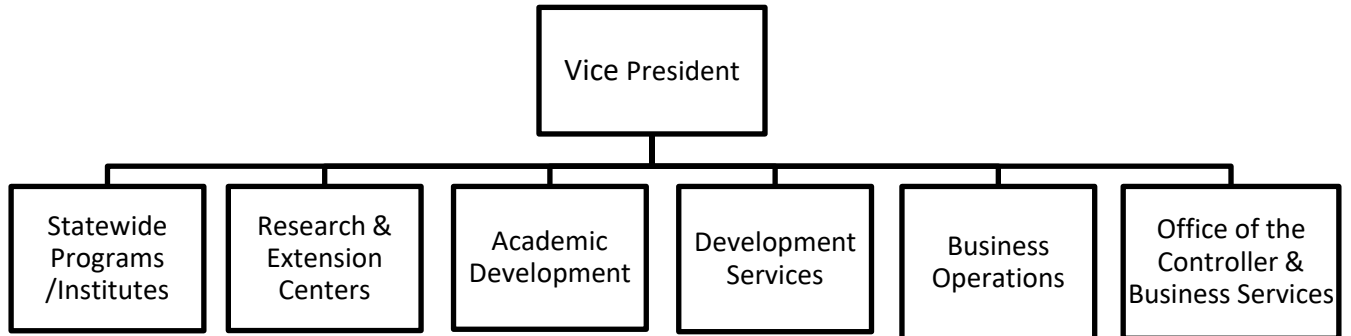
## Innovation & Entrepreneurship



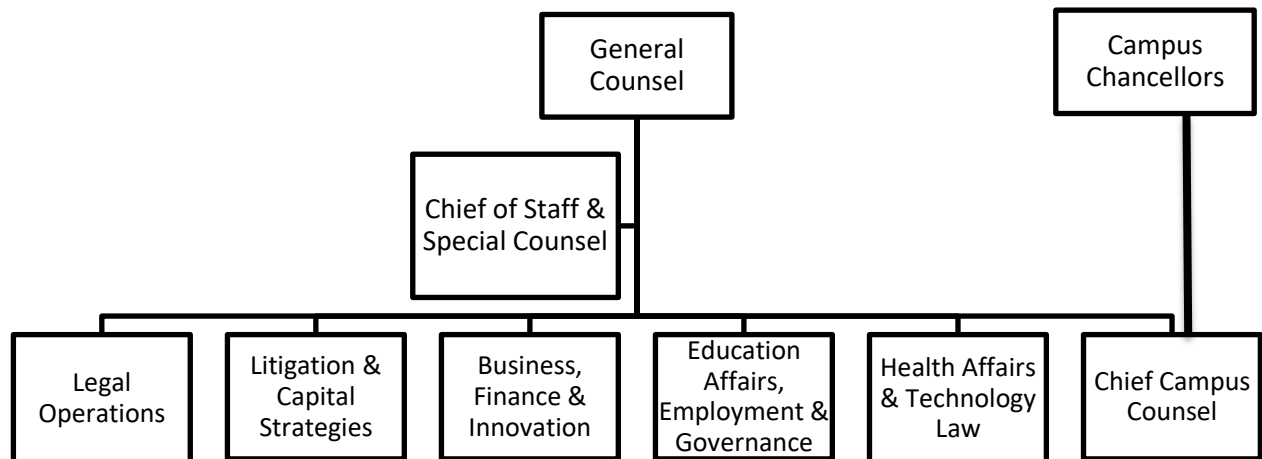
## Ethics, Compliance & Audit Services



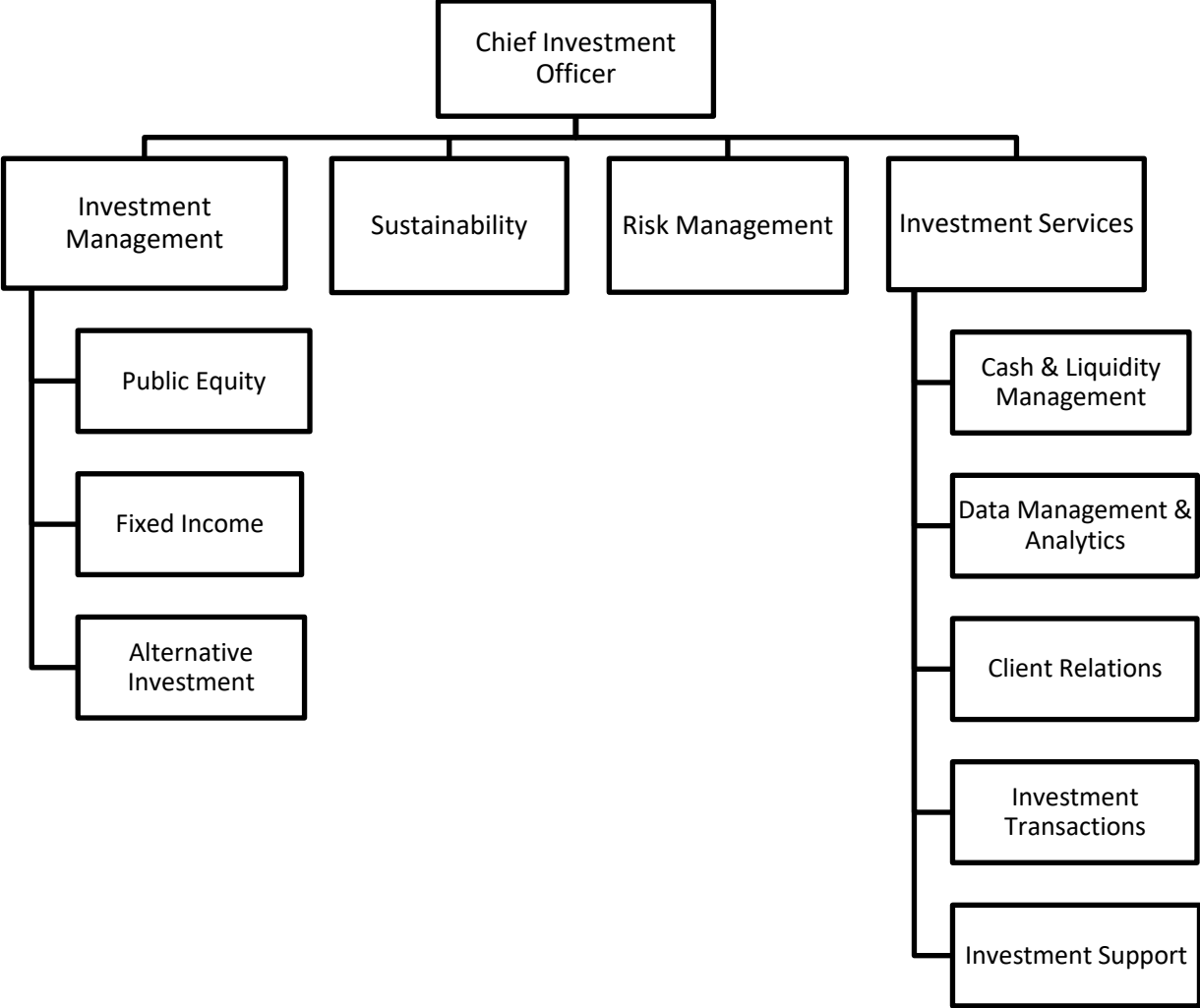
## Agriculture & Natural Resources



## Office of the General Counsel



**Office of the Chief Investment Officer**



## Appendix 2: Additional Information

### Appendix H. 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?
2. If you have a completed *Strategic Plan*, are there any components that have changed since your plan was completed? If so, what and how?
3. What *organizational changes* are you planning for your division between now and June 30, 2020 (e.g. from restructuring, internal changes, etc.)?
4. What major *organizational initiatives* will impact the staffing and skills required for your organization between now and June 30, 2020?
5. Will you *add new* services or functions?
6. Are there *any other drivers* for change in your organization and if so, how will they impact staffing?
7. What changes do you expect in needs for staffing and skills?
8. What are the *critical skill sets* you need to make the organization a success?
9. 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?
10. Will you have skills becoming *obsolete* due to changes in the department, industry, technology, etc.?
11. 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)?
12. 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)
13. What are implications and challenges for Recruiting & Retention?
14. 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?
15. What *challenges* does your organization face in recruiting and retention?
16. Are there roles or positions that are *difficult to attract or retain*?
17. Are there roles or positions that have higher than average *turnover*?
18. 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)?
19. Who is your *biggest competitor* in the Bay Area market?
20. For key roles, do you source them only from the Bay Area market or from outside the Bay Area as well?
21. Do you see any major changes in the next 3-5 years in your division? If so, what are they?

## Appendix I. 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	Limited candidate pool with specialized skills in the following: <ul style="list-style-type: none"> <li>- Academic personnel with UC campus experience</li> <li>- Experienced diversity and inclusion professionals</li> <li>- Institutional research professionals with writing and data analytics,</li> </ul> <p>Hard to fill profiles due to market competition, low classification and inferior professional development opportunities:</p> <ul style="list-style-type: none"> <li>- Admissions and Relations with high schools and community colleges especially articulation</li> <li>- Technical expertise with data and systems development and maintenance</li> <li>- IT roles</li> <li>- Administrative support</li> </ul>	<ul style="list-style-type: none"> <li>- Expertise in academic personnel</li> <li>- Advanced knowledge of higher education and/or UC specifically</li> <li>- Extensive knowledge of People Soft</li> <li>- Critical thinking and high-level writing skills</li> <li>- Data and research analysis</li> <li>- Technical and non-technical digital library experience</li> </ul>
Chief Financial Officer	Attraction and retention challenges because of lower salaries as compared to industry standards: <ul style="list-style-type: none"> <li>- Finance/Accounting</li> <li>- Technical roles for help desk, system analyst and business</li> </ul>	<ul style="list-style-type: none"> <li>- Analytical skills, reporting and creating dashboards</li> <li>- Ability to cross train within CFO group</li> <li>- Critical thinking, problem solving; technical skills</li> <li>- Ability to operationalize department strategy</li> </ul>

Division	Recruitment Challenges	Critical Skill Set Needed for Success
	<p>intelligence analytics within Procurement.</p> <ul style="list-style-type: none"> <li>- Senior Strategic Sourcing professionals</li> </ul> <p>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</p>	<ul style="list-style-type: none"> <li>- Relationship Management</li> <li>- Communications (formal, informal, oral, written)</li> <li>- Negotiation (internal and external)</li> <li>- Project management (business and technical)</li> <li>- Fluidity with procurement systems</li> <li>- Business program and product management</li> <li>- Process improvement (Lean or other methods)</li> <li>- Change Management (stakeholder identification/engagement; training)</li> <li>- Knowledge about sustainable procurement</li> </ul>
Chief Investment Officer of the Regents	Senior investment professionals (above Director) which may require external support for hiring	<ul style="list-style-type: none"> <li>- Investment management acumen</li> <li>- Strong technical skills</li> <li>- Belief in the UC mission</li> <li>- Collaborative workstyle</li> </ul>
Chief Operation Officer	<p>Hard to fill profiles due to market competition and low classification:</p> <ul style="list-style-type: none"> <li>- Executive and career compensation professionals</li> <li>- Employee Relations Investigators</li> <li>- Data analyst</li> <li>- Labor Relations</li> <li>- Clerical staff</li> <li>- HR Business Partners</li> <li>- Technical roles with PeopleSoft skills, for reporting/analytics skills, and for business analyst skills in support of UCPath.</li> <li>- All facilities, design and project or construction management</li> <li>- Business Resource Center roles are some of the lowest paying jobs at UC.</li> </ul>	<ul style="list-style-type: none"> <li>- HR specific - analytical skills and investigators</li> <li>- Cross-functional management and collaboration</li> <li>- Ability to lead change management</li> <li>- Technical skills with financial systems and corporate finance</li> <li>- Ability to develop / write policies</li> <li>- Understanding of strategic planning</li> <li>- Presentation skills</li> </ul> <p>Specific to Budget Office:</p> <ul style="list-style-type: none"> <li>- Accounting &amp; Compliance for UCOP</li> <li>- Generalist with strong financial skills with the ability to develop and automate reporting packages.</li> <li>- Financial modeling skills</li> </ul>



Division	Recruitment Challenges	Critical Skill Set Needed for Success
	<p>General recruiting challenges:</p> <ul style="list-style-type: none"> <li>- Executive recruitment</li> <li>- L&amp;D and Analytics expertise</li> <li>- UCOP ITS - Projected challenges in recruiting desktop engineers (currently staffed)</li> </ul>	
Ethics Compliance & Audit Services	<p>Specialized expertise is difficult to attract and retain, specifically:</p> <ul style="list-style-type: none"> <li>- IT/cybersecurity auditors</li> <li>-Workplace Investigators</li> </ul>	<p>-Subject matter expertise in export controls (new and critical skill set); healthcare, data analytics, research (critical)</p>
External Relations & Communication	<p>General communication skills Digital skill set</p>	<p>General communication skills Digital skill set</p>
General Counsel	<p>Attraction and retention challenges in the following attorney practice areas:</p> <ul style="list-style-type: none"> <li>-Health</li> <li>-Intellectual Property</li> <li>-Investments</li> <li>-Non-Profit Organizations</li> </ul> <p>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.</p>	<p>Legal expertise in following areas is needed at the Counsel IV level: international/commercial law; environmental law and health &amp; 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.</p> <p>Counsel II-III level expertise is needed in the following areas: procurement; white collar crime and Health Corporate transactions.</p> <p>Counsel I level expertise is needed for a Fellowship position.</p>

Division	Recruitment Challenges	Critical Skill Set Needed for Success
Office of Innovation & Entrepreneurship	<p>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 guidelines that are more aligned with market</p> <p>Retention issues - Salary not competitive to market -Culture fit -Seeking growth opportunities</p>	<p>Experienced legal support staff, e.g., LSS, Paralegals, Analysts, will be needed.</p> <ul style="list-style-type: none"> <li>-Problem solving</li> <li>-Fundraising</li> <li>-Fluency in technology and emerging tech trends</li> <li>-Prior experience in corporations in business development, strategy, and investment capacities</li> <li>-Prior experience operating in a global market a plus --</li> </ul> <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> <ul style="list-style-type: none"> <li>-Staff must be able to engage and influence a diverse set of stakeholders, at very high organizational levels, and often without direct authority.</li> </ul>
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 J: 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 K: 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 L: University of California Exit Survey Questions



Univ of  
California\_Exit Surve

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