

Senate Budget Committee Report on Human Resource Final Actions: FYs 13-17

September 4, 2017

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Purpose: Determine the impact of Human Resource actions concurrent with recent budget allotments and reductions on faculty and staff employment at UND.

Background: The University of North Dakota has undergone a series of state-mandated allotment and budget reduction processes beginning in FY16 due to revenue shortfalls. In anticipation of each of these reductions, the administration created Voluntary Separation programs for faculty and staff to incentivize long-serving employees to retire. This study assesses the impact of these programs on employment in the context of other types of Human Resources actions. The work presented here is a collaboration between Human Resources, the Office of the Vice President for Academic Affairs, and the University Senate Budget Committee.

Summary:

Benefited instructional faculty decreased by 49 positions in FYs 16 & 17 combined. This compares with a net increase of three positions for the preceding three fiscal years. About 63% of the decline during the reduction years was due to the voluntary separation program. Tenure-track hires remained relatively stable during this period. In contrast, the reduction in the number of non-tenure track positions have been declining since FY14. For staff, FY13 saw transfers of 60 to the NDUS in addition to a net decline of 43 positions (resignations-hires) mostly due to resignations and retirements. The next two years were stable, with hires nearly matching resignations/retirements. Then in FYs 16 & 17, staff positions declined by 169 mainly because of the SVSIP voluntary separation program. An increase in reductions in force also contributed to the decline, whereas hires and resignations remained stable compared to previous years. Overall, UND's total benefited employee pool decreased by 218 during FYs 16 and 17. This represents a 7.9% reduction compared to Fall 2015 employment numbers. Of this, staff reductions saw an overall decrease of 8.7% whereas instructional faculty declined by 6.1%. The magnitude of these reductions in workforce should be considered in light of the FYs 16 & 17 9% allotment/reduction and the FY18 12% permanent budget reduction.

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Definitions and explanations of terms:

Final HR actions: Those Human Resources actions that resulted in termination or employment of faculty or staff within a given fiscal year. All data are from HRMS.

Benefited employee headcount: HR reports annual aggregate employment statistics on its “HR Trending Employment – Total University” Internal Dashboard. These data are collected annually and represent a snapshot of employment on November 1 of each fiscal year. For purposes of this study, the headcount includes both full-time and part-time benefited employees.

HRMS: Human Resources Management Services is the software used by NDUS to maintain a unified platform for reporting and managing all personnel-related information. This is the primary source for any employee data pertaining to the University of North Dakota.

iDashboard: Human Resources at UND uses [Internal Dashboards](#) maintained by Institutional Research. This is a repository for obtaining general information about current and trending employment statistics. Its data, derived from HRMS, are similar to those reported annually to IPEDS. The Dashboard does not explicitly define its filters. Data from this secondary source may vary somewhat from other sources. Access to the iDashboards are password-protected.

IPEDS: The National Center for Education Statistics, within the US Department of Education, administers the [Integrated Postsecondary Education Data System](#). UND Human Resources submits data annually to IPEDS. These data are similar to those in the iDashboard. IPEDS is a public database.

Benefited vs. non-benefited: This report only describes benefited employees. A large cohort of unbenefited part time instructional faculty makes significant contributions to instruction. These are not included in the analysis because tracking of non-benefited part time employees requires different metrics.

Academic vs. non-academic: For the purposes of this report, Academic refers to the iDashboard academic bands Faculty/Instructors/Lecturers and Research Scientists but excludes Postdoc Research Fellow. Non-academic includes total benefited employment less academic as defined here.

Positions vs. FTE: The HR office provided final HR actions for both positions (headcount) and FTEs for benefited employees. The average FTE was 96% of Headcount across the four employee classes reported here. For clarity, this analysis reports only headcounts (positions). This percent of FTE relative to headcount also holds for the iDashboard total benefited employee data.

Voluntary separations: Headcounts in this group include all staff and tenured faculty who met the qualifications for the [SVSIP](#) and [TVSIP](#) programs, requested to participate, and were approved by the University.

Resignations/Retirements/Death: This includes any HR action, except for voluntary separations, not initiated by the university.

Tenured Faculty Phased Retirement Program – The University offered this third buy-out option during the consecutive budget reductions. It is not included in the HR actions because these individuals remain employed with the university.

Reductions in Force/Non-renewals/Non-offer Special Appointment (fixed term contract): This includes all HR actions initiated by the University.

Reduction in Force: UND adheres to [NDUS policy regarding Reduction in Force](#). “When necessary to achieve a reduction in force, institutions may terminate or reduce from full to part-time or hours worked of any staff employee due to an organizational or procedural change, diminished workload, lack of funds, or other exigency.”

Non-renewal: UND adheres to [NDUS policy 605.3 regarding non-renewal, termination or dismissal of faculty](#). “A probationary appointment may be terminated, without cause, with notice to the faculty member that the appointment will not be renewed.” Since the Board did not declare financial exigency, there were no terminations of tenured faculty appointments during this time.

Non-offer Special Appointment (fixed term contract): This applies to all faculty that are not probationary or tenured. [NDUS policy 605.3 regarding non-renewal, termination or dismissal of faculty](#) states that a “special appointment terminates at the end of the term stated on the contract and may be renewed at the discretion of the institution”.

Tenured faculty: All benefited instructional faculty with tenure status.

Tenure-track faculty: All benefited probationary faculty.

Non-tenure-track faculty: All benefited special appointment instructional faculty. This does not include postdoctoral fellows with research appointments.

Staff: All employees less tenured and tenure-track, and non-tenure track faculty. Coaches are included in staff numbers.

Hires: All HR actions resulting in a new contract of employment.

Transfers to NDUS: The staff FY13 data contains a special category of HR actions that apply to a group of 60 UND Information Technology and Internal Auditing employees who transferred from UND to NDUS.

Net change: The net change in employment status as measured by final HR actions within a given fiscal year.

Percent change: The percent difference between the total employment as of November 1 in a given fiscal year and the net change in HR actions for that fiscal year.

Table 1. Final HR actions – Tenured faculty.

Action	Tenured faculty									
	FY13		FY14		FY15		FY16		FY17	
	Positions	FTE	Positions	FTE	Positions	FTE	Positions	FTE	Positions	FTE
Voluntary Separations	NA	NA	NA	NA	NA	NA	-18	-18.00	-13	-13.00
Resignations/Retirements/Death	0	0.00	-8	-8.00	-11	-10.75	-21	-21.00	-14	-13.50
RIF/Non-Renewals/Non-Offer Special Appointment	0	0.00	-1	-1.00	0	0.00	0	0.00	0	0.00
Hires	0	0.00	1	1.00	2	2.00	2	2.00	0	0
Net change in positions	0	0	-8	-8	-9	-8.75	-37	-37	-27	-26.5

Table 2. Final HR actions – Tenure track faculty

Action	Tenure track faculty									
	FY13		FY14		FY15		FY16		FY17	
	Positions	FTE	Positions	FTE	Positions	FTE	Positions	FTE	Positions	FTE
Voluntary Separations	NA	NA	NA	NA	NA	NA	N/A	N/A	N/A	N/A
Resignations/Retirements/Death	-1	-1.00	-1	-1.00	-1	-1.00	0	0.00	-3	-2.75
RIF/Non-Renewals/Non-Offer Special Appointment	0	0.00	-1	-1.00	-1	-0.60	0	0.00	-1	-1.00
Hires	5	5.00	14	14.00	22	22.00	12	12.00	19	19.00
Net change in positions	4	4	12	12	20	20.4	12	12	15	15.25

Table 3. Final HR actions – Non-tenure track faculty

Action	Non-tenure track faculty									
	FY13		FY14		FY15		FY16		FY17	
	Positions	FTE	Positions	FTE	Positions	FTE	Positions	FTE	Positions	FTE
Voluntary Separations	NA	NA	NA	NA	NA	NA	N/A	N/A	N/A	N/A
Resignations/Retirements/Death	-38	-34.04	-33	-28.74	-38	-34.90	-37	-34.44	-36	-35.50
RIF/Non-Renewals/Non-Offer Special Appointment	-1	-0.65	-14	-13.25	-25	-24.60	-13	-12.23	-21	-18.88
Hires	50	48.15	36	31.71	47	45.10	43	42.00	52	51.90
Net change in positions	11	13.46	-11	-10.28	-16	-14.4	-7	-4.67	-5	-2.48

Table 4. Final HR actions – Staff

Action	Staff									
	FY13		FY14		FY15		FY16		FY17	
	Positions	FTE	Positions	FTE	Positions	FTE	Positions	FTE	Positions	FTE
Voluntary Separations	NA	NA	NA	NA	NA	NA	-52	-49.85	-61	-60.25
Resignations/Retirements/Death	-209	-204.00	-203	-196.00	-211	-205.05	-214	-208	-200	-198.42
RIF/Non-Renewals/Non-Offer Special Appointment	-23	-80.85	-10	-8.80	-18	-17.50	-28	-27.50	-46	-42.95
Transfers to NDUS	-60	0.00	0	0.00	0	0.00	0	0.00	0	0.00
Hires	183	181.60	200	197.33	224	223.13	206	204.11	226	225.00
Net change in positions	-109	-103.3	-13	-7.47	-5	0.58	-88	-81.19	-81	-76.62

Table 5. Total HR actions: FTE/Headcount

	Total HR actions: FTE/Headcount				
	FY13	FY14	FY15	FY16	FY17
Tenured	NA	1.00	0.98	1.00	0.96
Tenure track	1.00	1.00	0.98	1.00	0.99
Non-tenure track	0.93	0.89	0.95	0.95	0.98
Staff	0.98	0.97	0.98	0.98	0.99

Table 6. Net change in HR actions.

	Net change in HR actions				
	FY13	FY14	FY15	FY16	FY17
Total tenured/tenure-track	4	4	11	-25	-12
Total non-tenure track	11	-11	-16	-7	-5
Total instructional	15	-7	-5	-32	-17
Staff	-49	-13	-5	-88	-81
Staff transfer to NDUS	-60	0	0	0	0
Total	-34	-20	-10	-120	-98

Tables 1-4 contain the data on HR actions provided by Human Resource. **Table 5** shows that HR actions were almost always for full-time positions. The average 4% difference in FTEs vs. positions remained relatively constant across time and employment bands. **Table 6** summarized the net change in positions as measured by HR actions. It demonstrates that loss of positions accelerated markedly in FYs 16 & 17 compared to the previous three fiscal years except for non-tenure track positions.

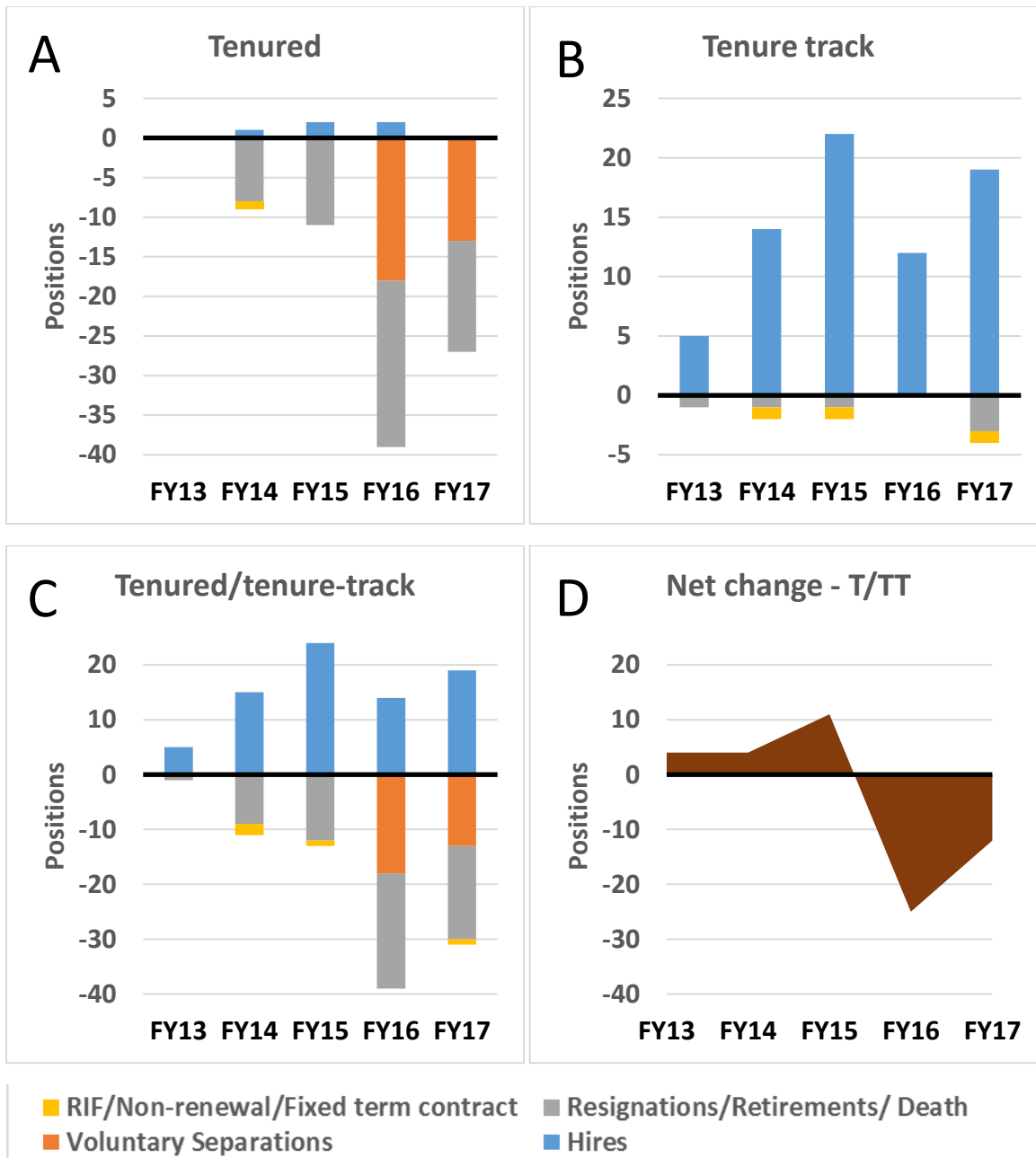


Figure 1. HR actions for tenured and tenure-track positions. Panels A-C are from data in Tables 1 and 2. **Panel D** is from data in Table 6. Tenured (**Panel A**) and Tenure-track (**Panel B**) are distinguished by the types of actions in each category. Increased losses in tenured positions are primarily due to voluntary separations and secondarily to an increase in resignations/retirements/deaths. During the same period, tenure-track hires remained steady with a slight uptick in resignations/retirements in FY17. The number of non-renewals remained low to none throughout FYs 13-17. Panel C is the combined actions for tenured (Panel A) and tenure-track (Panel B). Panel D shows the net loss/gain in tenured/tenure track positions as measured by HR actions. The Overall tenured/tenure-track positions showed slight growth during FYs 13-15 followed by net losses of 37 positions in FYs 16 & 17 combined.

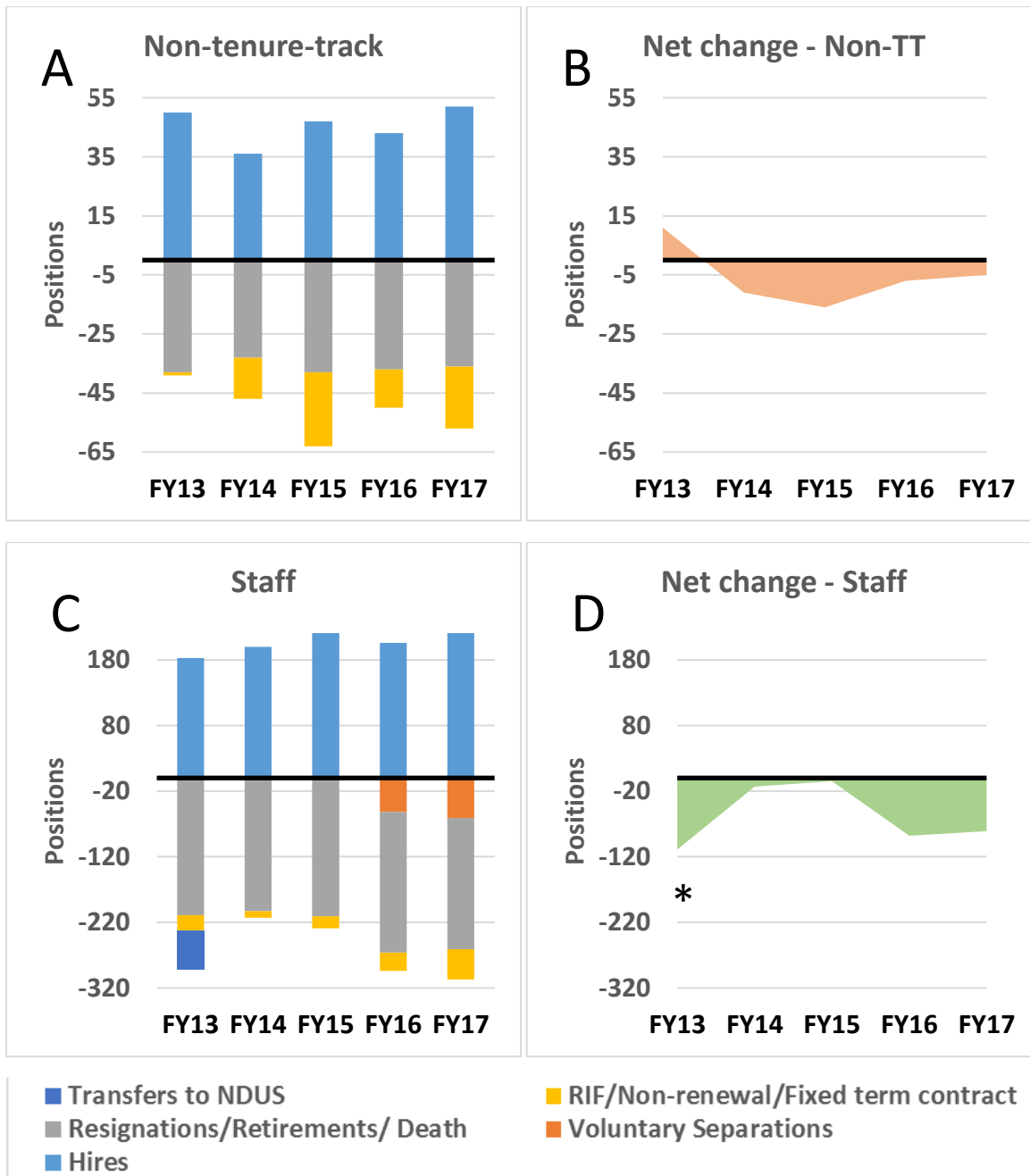


Figure 2. HR actions for non-tenure-track faculty and staff. **Panels A and C** are from data in Tables 3 and 4. **Panels B and D** are from data in table 6. **Panel A:** Non-tenure track HR actions shows similar magnitudes of hires and resignations/retirements across all years. This is distinct from tenure/tenure-track HR actions. Non-tenure track positions are special appointments. Therefore, the RIF/non-renewals/Non-offers are mostly non-offers. **Panel B** shows a steady negative trend in net non-tenure-track positions since FY14 attributable to non-offers. **Panel C** shows HR actions for staff. Hires show a slight upward trend that in FYs 14 & 15, balanced by resignations/retirements/deaths. The TVSIP programs and an uptick in RIFs/non-renewals/non-offers (mostly due to RIFs) caused a downturn in positions for FYs 16 & 17 as seen in Panel D. *The FY13 60 NDUS transfers are excluded from Panel D to better represent employees that were lost from the system as a whole.

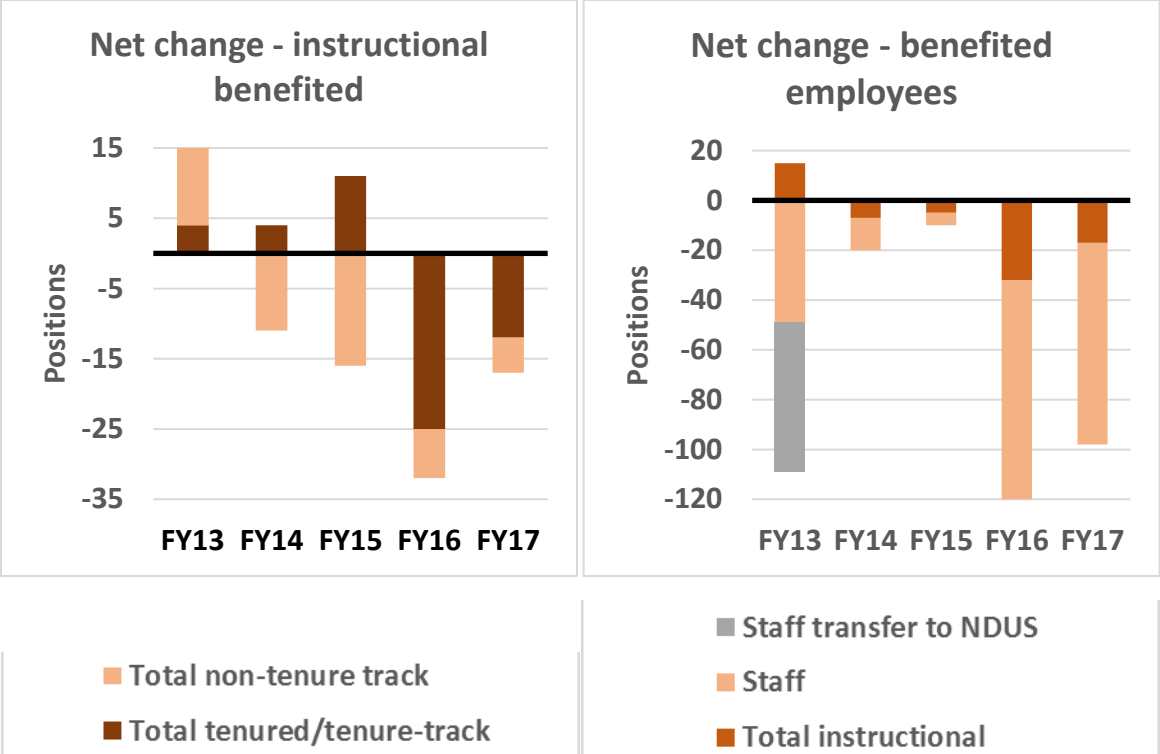


Figure 3. Composite HR actions – benefited employees. Panel A shows net change in all instructional benefited employees separated into tenured/tenure track and non-tenure-track. The net reduction in instructional positions began in FY14 continued through FY17. Combined HR actions in FYs 16 & 17 resulted in 49 fewer instructional positions. **Panel B** takes the sum of instructional HR actions in Panel A and overlays it with net change in HR actions for staff. The net FYs 16 & 17 reduction in benefited employees was 218.

Table 7. Impact of HR actions on total employment pool.

	Nov 2015 benefited employee headcount	FY16/17 net change - HR actions	% change
All benefited	2755	-218	-7.9
Academic benefited*	809	-49	-6.1
Non-academic benefited*	1946	-169	-8.7

Benefited employee headcount for November 1, 2015 serves as a benchmark against which to measure the impact of combined HR actions in FYs 16 & 17. This is the last total headcount taken before the announcement of the first allotment/reduction in January 2016. *Postdoc Research Fellows are included with non-academic benefited to align better with HR actions data.

Appendix

Table 1A. HR Trending Employment – Total University”

Total (PT/FT benefited)	Headcount: HR Trending Employment - Total University						
	Nov-10	Nov-11	Nov-12	Nov-13	Nov-14	Nov-15	Nov-16
All	2858	2851	2850	2761	2763	2755	2643
Academic (All)	793	811	822	820	828	827	810
Non-academic	2065	2040	2028	1941	1935	1928	1833

Table 2A. HR Trending Employment – Academic Band”

Academic (PT/FT benefited)	Headcount: HR Trending Employment - Academic Band						
	Nov-10	Nov-11	Nov-12	Nov-13	Nov-14	Nov-15	Nov-16
Faculty/Instructors/Lecturers	765	781	798	800	808	804	776
Postdoc Research Fellow	13	17	13	13	13	18	30
Research Scientist	15	13	11	7	7	5	4
Academic (Total)	793	811	822	820	828	827	810
Academic less Postdoc	780	794	809	807	815	809	780
Non-academic plus postdoc	2078	2057	2041	1954	1948	1946	1863

Data in **Tables 1A and 2A** represent part time/full time benefited employee headcounts from iDashboards.