

Faculty of Arts and Social Sciences

Strategic Personnel Plan for Academic Staff 2016 – 2020

Following earlier consultations with heads of department and after having received consent from the Faculty Council, the board of the Faculty of Arts and Social Sciences (FASoS) has adopted the Strategic Personnel Plan for Academic Staff 2016 – 2020 (16 December). This Strategic Personnel Plan of FASoS will remain in accordance with the Dutch Collective Labour Agreement and the UM HRM policy. Upon changes in the latter two, the current Strategic Personnel Plan of FASoS will be adjusted accordingly.

Introduction

The aim of this Strategic Personnel Plan for Academic Staff is to identify the staffing needs of FASoS and to guarantee that over the next five years and beyond the faculty has the qualified staff and capabilities to realize its ambitions. Key guiding criteria for future personnel decisions will include expertise, rank structure, gender and diversity balance, proportion of permanent versus temporary staff, and last but not least financial viability. The starting point for the current Strategic Personnel Plan are the goals laid down in the faculty's overall Strategic Plan (2016-2020) as adopted in September 2016.

For the next five years (2016-2020), this Strategic Personnel Plan for academic staff sets a frame for:

- the composition of academic staff in the different departments;
- the faculty's recruitment policy;
- the faculty's career policy.

The Strategic Personnel Plan is primarily a working tool. It offers a framework for planning, which each year is to be adapted and updated by the Faculty Board (FB) based on developments that cannot be entirely anticipated in advance, such as student numbers, teaching volume and acquired research grants.

As mentioned, this policy document only outlines the strategic personnel planning for academic staff. The strategic personnel plan for support/management staff (OBP) will be formulated in close collaboration with the FASoS Management Team (MT), composed of the managing director and the cluster coordinators. In line with strategic planning, this OBP Personnel Plan will be based as much as possible on permanent positions.

Starting Points

- Where possible and responsible, FASoS will offer its employees a ***permanent appointment or the prospect of one***. There are basically three WP ranks available as permanent position, or with the prospect of tenure: assistant professor (UD), associate professor (UHD) and full professor (HL). In line with the 2015 agreement between the VSNU and the trades unions the aim is to reduce the percentage of WP with a temporary appointment to 22% of the total WP at FASoS in the HL, UHD, UD and docent ranks. FASoS wants to achieve this at the latest by 2021. This also implies that during the period covered by this Strategic Personnel Plan the temporary 'Docent 3' positions will gradually be phased out.¹
- In addition to the pyramidal development of FTE for HL, UHD and UD, temporary (flexible) FTE will be planned for the ranks of Docent 4, PhD-candidate and Researcher. This ***flexibility*** will allow us to respond to fluctuations in student numbers and the faculty's increasing success rate in acquiring external (research) grants. As a rule, researchers and PhD candidates are externally funded by allocations from the so-called 2nd or 3rd money stream. The current budget from the 1st money stream

¹ An exception will be made for the permanent part-time positions, which are normally combined with a relevant part-time position outside of the university

for matching a limited number of PhD projects will be sustained. To reduce work load and for the sake of continuity and career prospects, teaching assistants (docent 4) will in principle be offered 3 year contracts.

- One of the key features of a university is the **teaching/research interconnection**. This is expressed, for instance, in the requirement that WP staff with a permanent appointment has a PhD degree and performs both teaching and research tasks. WP staff teaching within the BA programmes of FASoS has at least a relevant MA degree. This is why FASoS normally does not work with 'student assistants' who perform teaching tasks.
- FASoS aims at a **balanced gender and diversity distribution** for UD, UHD and HL positions.
- Against the backdrop of a reduction of the student population of some 1850 to 1600 in the period 2014-16 and taking into account the faculty's high student-staff ratio,² it is assumed that in the period 2016-2020 the total WP for the existing programmes of FASoS will more or less remain the same, namely 110.75 FTE (reference date: 1 September 2016). If there will be any expansion of our staffing, this will apply in particular within the framework of the to be established third Bachelor or in case student numbers rise significantly in our existing programmes.

Workload division across Teaching, Research and Management

- As a rule, staff in UD, UHD and HL positions perform 60% teaching/management and 40% research.
- Academic staff normally has a teaching task of at least 20%. This is also recommended for positions in the context of external financing (research grants, notably PhDs and postdoctoral researchers), unless the grant conditions do not allow for such arrangement.
- By the end of 2017, the board will explore the possibility for introducing an educational career policy at the faculty. Excellence with a focus on education, available places and the faculty's financial perspectives will be key parameters when deciding about the number of available places.

FTE ('formation') Principle in combination with adaptation of the Pyramidal Structure

During the 2016 – 2020 plan period, the faculty will continue to stick to the so-called 'formation' principle, based on FTE totals as the guiding principle for its personnel planning. This policy will however be combined with an adaptation of the current pyramidal structure leading to the creation of extra positions at the level of associate professor and professor. Through this adaptation, the board aims to create additional opportunities for talented staff, while at the same time respecting the faculty's financial constraints.

FTE (Formation') Principle

The so-called 'formation' principle, based on FTE totals, will continue to serve as the guiding principle for personnel planning. This means that based on decisions reflected in the Strategic Plan and the ensuing capacity needed for teaching, research and academic leadership and based on the workload and finances of the faculty, the total FTE for the different positions in each department will be determined. The advantage of this FTE principle is threefold: it becomes possible to control the total expenses for staffing, the make-up of our staff is in line with the tasks to be performed and a balanced structure of the departments is ensured. A drawback, however, is that there may not be enough opportunities for talented staff to move ahead within FASoS when they are ready for it, potentially causing them to seek employment elsewhere. In the face of declining student numbers (from 1850 in 2013-14 to 1600 in 2016-17), it would at this moment however be unwise to do away with the FTE principle. The so-called career principle, which starts from the performance of staff as a way to determine the number of FTE in the different ranks for each department, is financially infeasible today and

² For FASoS the relation between the number of staff and students is 1 fte for 14,8 students. For other UM faculties, the figure amounts to 26,7 (SBE); 23,7 (FoL); 18,2 (FHS); 16 (FPN); 13,5 (FHML). FPN and FHML are subject to higher public funding than FASoS.

would lead to a top-heavy organisation. Relying on this principle would also be counterproductive in the light of the total capacity needed for teaching, research and academic leadership.

Adaptation of the pyramidal structure

The current pyramidal structure of FASoS has the following composition: HL (13%); UHD (15%), UD (52%) and Docent (20%). For the period 2016-20, the board will broaden the structure based on the following proportions: HL (15%), UHD (20%), UD (42.5%) and Docent (22.5%). Concretely this means the creation of additional positions at the level of professor, associate professor and 'docent' and a lower percentage of positions at the level of assistant professor.

Table 1 – Composition of academic staff FASoS

09-2016	HL 13%	UHD 15%	UD 52%	Docent 20%
01-2020	HL 15%	UHD 20%	UD 42.5%	Docent 22.5%

The main reasons for this adaptation of the pyramidal structure are linked to:

- The capacity needed for teaching, research and academic leadership;
- The academic tasks of FASoS are more complex and therefore require a higher level of seniority;
- The creation of additional opportunities for talented staff in the position of UD;
- The financial situation which mainly depends on student numbers (showing a decline from 1850 to 1600 in the past two years);
- The bringing into line of the faculty's pyramidal structure of FASoS with that of other faculties.

This pyramidal structure of total targeted FTE will be translated into the FTE total for each department, with an eye to the specific demands of our matrix organization. The implementation will gradually take place over a period of 5 years.

In the context of the need for academic leadership, the number of HL positions will be increased from 13% to 15% and the number of UHD positions from 15% to 20%. To realize the targeted composition of staffing, in the period 2016-2020 a reduction of some 6 FTE UD positions is desirable in order to allow for an equivalent increase of UHD positions. Given the presence of talented staff within the faculty and the limited financial leeway for recruiting new staff, these 6 FTE UHD positions will be filled as much as possible by UD staff of FASoS who meet the criteria as formulated in 'Supplement to Faculty of Arts and Social Sciences Recruitment – and Career Policy Academic Staff'.

The reduction of the number of UDs from 52% to 42.5 % will be realized by implementing the abovementioned promotion or advancement of staff to UHD positions and the growth in docent positions from 20% to 22.5%.

In addition, until 2021, as a result of reaching the AOW entitled / retirement age, the following vacancies will emerge: about 2 FTE UD, 2 FTE UHD and 2 FTE HL. Depending on the faculty needs, it may also be decided to replace a position at a lower level.

Implementation

Based on the input of heads of department, directors of study, HRM and the financial department of FASoS, the faculty board (FB) will decide annually (preferably in November) on the number – and the profiles – of new vacancies. The FB decides on profiles, the timeframe and the department of the vacancies. The decision of the board will be based on:

- Strategic (Personnel) Plan,
- number of students
- turnover personnel and likely outflow of personnel
- financial situation of FASoS
- volume of acquired grants

Results in 2021

1. In case of no growth in student numbers, a total WP of 110.75 FTE.
2. WP per department follows a pyramidal structure and roughly looks like this:
 - 15% HL
 - 20% UHD
 - 42,5% UD
 - 22.5% Docent
3. WP on temporary contract is 22% of the total WP (at HL, UHD, UD and docent level).
4. WP normally has a teaching task of at least 20%.
5. A balanced gender and diversity distribution at the levels of UD, UHD and HL positions.

Data Supporting Strategic Personnel Plan

WP in FTE HL – UHD – UD – Docent, incl. relative proportion in percentages.

IST – reference date 9-2016

	HL	UHD	UD	Docent	Total
FTE	14,50	16,45	57,90	21,90	110,75
%	13%	15%	52%	20%	100%

SOLL– reference date 12-2020

	HL	UHD	UD	Docent	Total
FTE	16,6	22,1	47,1	25,0	110,75
%	15,0%	20,0%	42,5%	22,5%	100%

Difference IST 9-2016 and SOLL 12-2020

	HL	UHD	UD	Docent	Totaal
FTE	2,1	5,7	-10,8	3,1	0,00

The IST situation (September 2016) female HL/UHD/UD is 45% (July 2016) (source: Be Informed)

Overview permanent/temporary appointments WP, per rank (HL, UHD, UD, Docent) and department

Reference date 1-9-2016	Total
Full professor (HL)	14,50
Temporary appointment	0,20
Permanent appointment	14,30
Percentage temporary	1%
Associate professor (UHD)	16,45
Temporary appointment	0,00
Permanent appointment	16,45
Percentage temporary	0%
Assistant professor (UD)	57,90³
Temporary appointment	8,85
Permanent appointment	49,05
Percentage temporary	15%
Docent	21,90
Temporary appointment	19,60
Permanent appointment	2,30
Percentage temporary	89%
Total	110,75
Temporary	28,6
Permanent	82,1
Percentage	25,9%

In 2015 and 2016, there have been positive results with respect to the percentage of temporary contracts already.

A comparison: in 2015, WP with temporary employment (in HL, UHD, UD position) was 38% on average. In December 2015: 36.7% and on 1 September 2016: 25.9%.

Student-staff ratio

Comparing student-staff ratio with other UM faculties:

	FTE as of May 2016 HL / UHD / UD / Docent	Students reference date 1-10-2015	Staff/student ratio	Funding
FHML	357,5	4.833	13,5	high/top
FPN	105,0	1.685	16,0	low/high
SBE	164,3	4.383	26,7	low
FdR	115,2	2.735	23,7	low
FHS	78,3	1.422	18,2	low/high
FASoS	114,0	1.683	14,8	low
Total	934,3	16.741	17,9	

Source: Be Informed

³ Incl. 1,8fte Tenure Track positions which start on October 15th 2016.

Overview development in FTE and pyramidal structure FASoS

FASoS		HL	UHD	UD	Docent
Year	Total FTE	Proportion			
2012	92,4	13%	19%	44%	24%
2013	95,1	14%	16%	43%	26%
2014	103,5	14%	16%	43%	27%
2015	112,1	14%	15%	46%	26%
2016 (May)	114,0	14%	14%	47%	25%

Source: Be Informed

The table shows that the capacity with respect to HL, UHD, UD and docent positions saw strong growth in 2014 and 2015. In that same period, FASoS had to do with dwindling student numbers. Proportion rates do not show strong fluctuations over the years.

Pyramidal structure in permanent positions: HL (15%), UHD (20%), UD (42.5%) and Docent (22.5%)

Cost and capacity

FTE	HL	UHD	UD	Docent	Additional cost	Capacity (Solver-hours)
109,95	15%	20%	42,5%	22,5%	€ -209.810,69	1.573

Promotion options

Rank		
HL	Promotion/advancement	2,79
	Retirement	2,00
UHD	Promotion/advancement	5,54
	Retirement	1,75
UD	Surplus*	3,88
Docent	Shortage	-2,84

* Involves surplus after promotion of UD to UHD (promotion and retirement), but without possible promotion of UHD to HL.