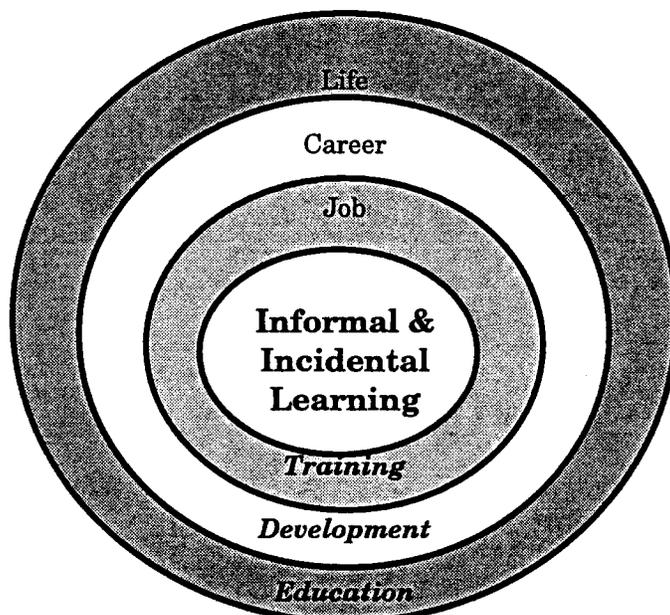# LEARNING IN ACTION

MAXIMIZING THE EFFECTIVENESS OF HUMAN RESOURCES AT THE UNIVERSITY OF ARIZONA

Final Report of the Education, Development and Training Team

March 9, 1995

Life

Career

Job

Informal & Incidental Learning

Training

Development

Education

Send queries and comments to: *nburas@arizvms.bitnet*

Contents

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LEARNING IN ACTION

1. INTRODUCTION

This planning document is a result of initiatives supported over the past two years by the President and Provost to address the education, development, and training of faculty, staff and appointed personnel.[1]

Through the efforts of a Human Resources Cabinet Team led by the Vice Provost for Academic Affairs, four teams composed of faculty, staff and appointed personnel were asked to research and address issues related to 1) performance appraisal, 2) education, development and training, 3) employee involvement in suggesting improvements, and 4) the organizational design of human resources management.

Contemporary social conditions present institutions of higher learning with demands and circumstances which require a rethinking and a reorientation to enable the university to best support our students and the community. The leadership within the organizational culture must foster collaborative relationships and teamwork to successfully meet these challenges.

University employees are the critical sources of intellectual capital for future growth, yet often are not valued or understood in ways that enhance their own or the institution's capabilities. No organization is better than its people. The university that understands this will take bold action in educating, developing and training the people who make it work.

This planning document proposes an education, development and training initiative. It is the result of months of work by the team, including interviewing, benchmarking, and focus group meetings. The team directing this effort includes a dean, tenured faculty, and staff with professional backgrounds and expertise deemed important to this task.

The initiative described here will be implemented gradually and in concert with other elements (such as a performance management system and new human resources organization design) which must be integrated as well as periodically reviewed and updated. We encourage readers to comment and suggest improvements to our approach.

Throughout the document we are sharing comments from a diverse group of department heads and staff who participated in our focus group process. Their voices play an important part in our learning about opportunities for and barriers to this proposal:

> *We have the opportunity to create an*
> *employment environment where personal*
> *development, education, and training is an*
> *automatic and seamless consequence of being*
> *here as an employee, not the exception.**

---

* Two focus groups were conducted, one with 25 department heads and directors and a second with 25 members of staff and appointed personnel. No effort is made here to distinguish from which group the voice is taken.

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[1] Throughout the document, the use of the term "employees" represents all of these diverse classes of employment.

2. VISION

The Education, Development and Training (EDT) Team envisions an environment which will:

- cultivate a collaborative university work setting in which we pursue shared goals
- expand the opportunities for all University employees to become more capable on the job and develop their careers
- strengthen the beneficial impact of learning on teaching, research, and service missions.

As a result, we strive to establish a university environment where:

- the environment supports learning through networks, interdisciplinary efforts, access to tools and information
- team approaches are encouraged and supported
- increased accountability exists at all levels
- communication is open, honest and as complete as possible at all levels
- leaders accept responsibility for their behavior and the performance of the organization
- innovation and creativity are rewarded
- resource allocation reflects collaborative efforts to meet each others' needs in achieving university goals and objectives.

3. ORGANIZATIONAL CULTURE

In searching for ways to maximize the effectiveness of people, differences in values and beliefs surface. The pattern of values and beliefs commonly practiced by members of the institution as they plan and take action to solve problems (the "organizational culture") can either support or hinder efforts to learn and practice new knowledge, skills, and abilities (KSAs). For example:

- A faculty member who practices qualitative, team-based interdisciplinary research is told informally that some senior faculty in his department consider his work "muddied" by the other disciplines.
- In another college, funding is provided for interdisciplinary work and the faculty view it as a plus in promotion and tenure decisions.
- An administrative assistant wanting to return to school, hears from a friend in another department about "job-sharing." When she suggests the possibility to her director she is told that no accommodation can be made because "it's not our policy."
- In another department, plans are being made to adopt "flex-schedules" and job sharing as ways to deal with a variety of employee needs related to childcare, eldercare and professional development.
- A program coordinator is told by the principal investigator to "get on the Internet" as soon as possible. After multiple phone calls, transfers and dead-ends, he discovers an on-campus source of training, only to find that he must wait six-weeks for the next open session, and no one is available to coach him one-on-one.

- With one phone call, a busy manager contacts the human resources generalist assigned to their unit, and arranges for an in-department tutor located on the UA Access network.

In transforming the organizational culture, we must provide a foundation of values for individuals who want to function more effectively, independently and as members of groups. We need to balance (not replace) the individualistic and competitive tactics we know so well with collective and cooperative approaches that benefit everyone.

> *Don't worry about the culture. The culture will take care of itself if the organization is focused on productivity. This is not the Love Boat, but a freight train that people had better get on or get left behind.*

4. KEY CONCEPTS

Individuals bring to their work a variety of backgrounds, experiences, motivations, and other factors which influence their readiness to learn. Most adult learning occurs outside of formal educational systems through self-directed or collective learning. This informal or incidental learning is the primary vehicle to adult learning, and subsequently, to education, development, and training.

Fig. 1: *EDT Bullseye*

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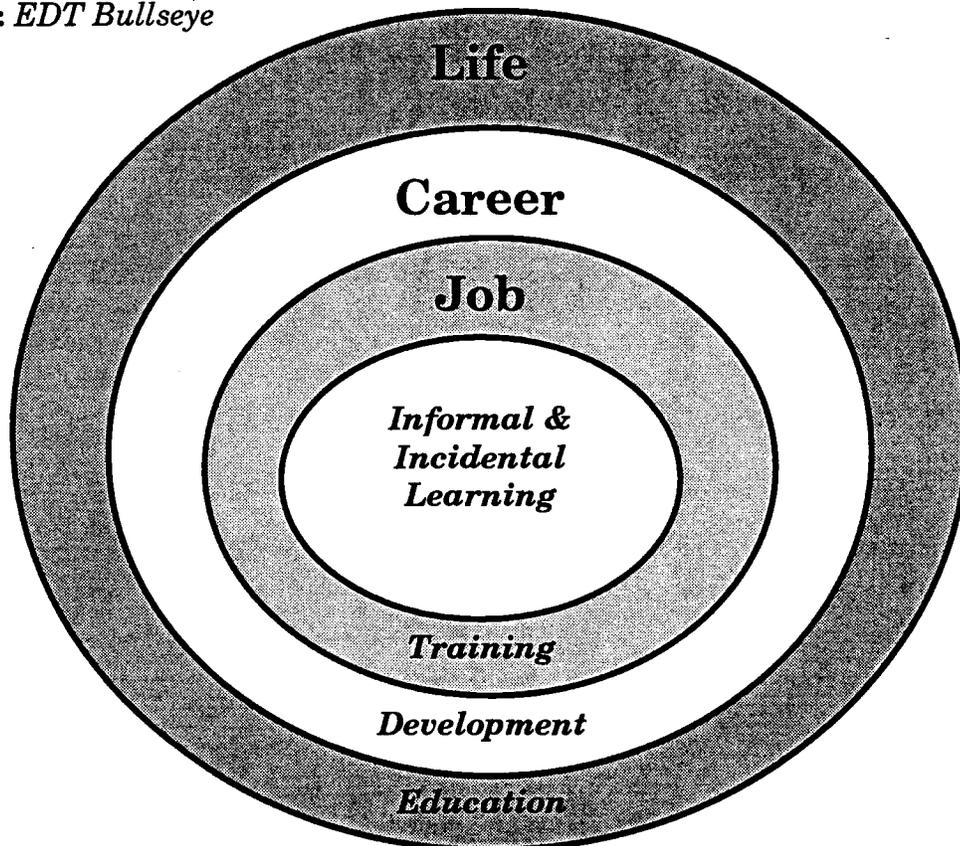
EDUCATION: Education is learning activity which transforms our life, broadens our outlook and expands our overall ability to move and act in the world at large.
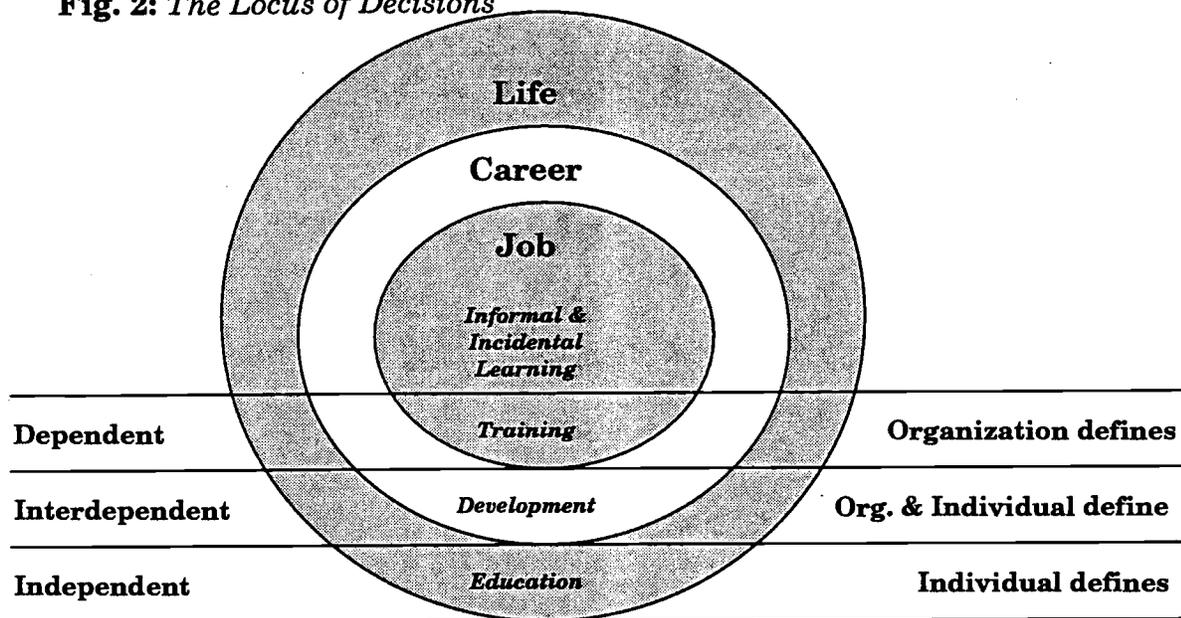
DEVELOPMENT: Development is activity which transforms our capability to serve in other positions within the organization, providing the knowledge perspective needed to flex and change as institutional requirements change.

TRAINING: Training is activity through which we learn to solve problems and improve our capacity to serve in our positions and projects as they exist and as they may change in the near future.

Learning is a developmental concept: we learn in the context of human developmental stages (growth from dependency on parents, to independence as young adults, and interdependence as employees, and citizens), and these stages are mirrored in our growth as members of organizations and professions.

- **Dependent** decisions about learning: learning in which the organization requires knowledge, skill or ability as a matter of job definition or legal mandates. Informal or formal learning is engaged to develop abilities to meet requirements.

- **Independent** decisions about learning: self-directed learning that primarily benefits individuals, such as higher education or training/development pursued for personal reasons.

- **Interdependent** decisions about learning: where the benefits accrue to both the individual and the organization, and are not dependent on performance in the current job, such as preparation for a new position or occupation within the organization.

Fig. 2: *The Locus of Decisions*

Dependent	Training	Organization defines
Interdependent	Development	Org. & Individual define
Independent	Education	Individual defines

5. STRATEGY

The implementation of a campus-wide, on-going and systematic approach to education, development and training will require both University and unit level initiatives, and initiatives from all employees. Support for this approach will require reorganized support services, and improved incentives and rewards.

Fig. 3: *EDT Results As a Function of Planning and Support*
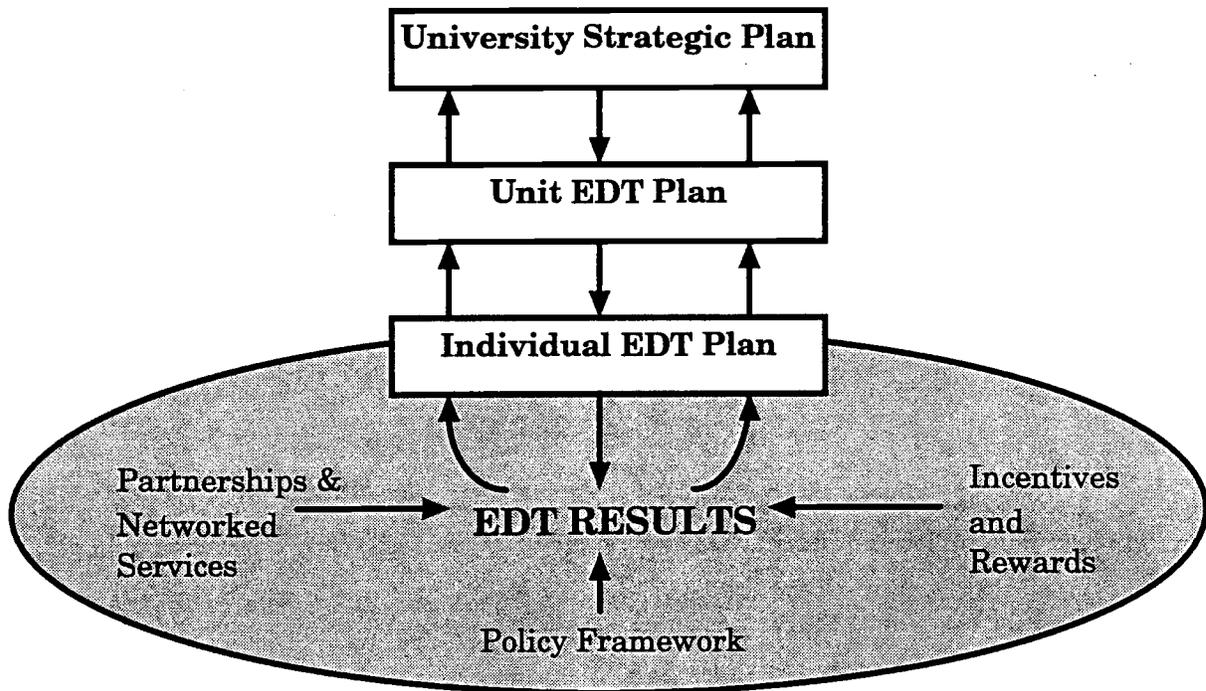
University Initiatives

This education, development and training initiative must be supported and emphasized by the president and cabinet as part of the University Strategic Plan. Funds to support education, development, and training must be allocated in support of each phase of the EDT plan described in this document.

Unit-level Initiatives

Each unit's annual plan must contain an education, development and training component which reflects the university's strategic objectives and the unit's assessment of its education, development and training needs and resources.

Individual/Team Initiatives

Individuals and teams must know the key objectives for their college or unit, how these objectives tie into the University Strategic Plan, and how their personal work or activities relate. Specifically, each individual or team must know what is expected, what activities

are to be evaluated, how, and by whom.   Personal growth and development must be a part of every plan.

The primary tool for establishing how an employee's work relates to the unit's objectives is a performance management system such as one being developed by the Performance Evaluation Process Improvement Team (PEPIT) initiative. The planning and documenting of employees' development goals is a cooperative process involving employees and the department or unit heads. The unit heads are responsible for the development of clear unit goals and for facilitating the individual's goal attainment. Their support and encouragement of EDT is critical to the success of this approach.

Partnerships and Networked Services

The organization will benefit from support services that are integrated and focused on meeting departmental goals. Human resources agencies need to take a holistic approach to serving departments. This implies a reengineering of Human Resources that places emphasis on processes to serve customers. Partnership agreements among existing agencies is one way to accomplish such an approach. For example, the University Teaching Center and University Learning Center provide related services. Training services that are currently separated into disparate fields and jurisdictions could become partners in a network for purposes of coordination and effective utilization of resources.

Incentives and Rewards

As we work to become a premier student-centered, land-grant, research university, we must keep pace with compensation and recognition of individuals while also encouraging collective enterprise through interdisciplinary and team approaches to problem-solving and research. A concerted effort to bring incentives and rewards into alignment with our stated goals must be a priority if the strategy of improving the support of our "intellectual" capital is to succeed.

The University is the perfect environment to be in to allow everyone at all levels in the organization to receive more 'education' but the policies and procedures seem to prevent many people from taking advantage of the opportunity.

6. POLICY FRAMEWORK

A range of policies are dispersed throughout human resources agencies that need integration. Policies regarding hiring, promotion and tenure, career progression, transfer, redeployment, lay-off, reorganization, benefits, equal employment opportunity/affirmative action, risk-management and legal requirements impact what must be learned, when it must be learned and who must learn it. Confusion about policies is a consistent complaint.

Review, consolidation, and integration of policies must be a priority. Implementation of policy must become a function of departments rather than central offices. This implies the need for a matrix of reporting relationships involving departments, colleges and those professional organizations needed to provide support and guidance. Two areas of policy deserve emphasis:

- **Safety, Health, and Workplace Climate**

  Efforts to raise awareness about safety, health and workplace climate issues are a fundamental purpose of training services. No employee should suffer unsafe or abusive work environments or experience hostility or harassment. Policies should be reviewed for federal and state requirements. Arizona Board of Regents mandates and other similar initiatives should be incorporated into policy development and/or revision. The utilization of specialists to provide training should assure a safer, healthier workplace.

- **Job Requirements**

  Policies regarding job classifications and job descriptions need review to incorporate team-based processes, when appropriate. Job requirements should be driven by the needs of recipients of services, who should also be involved in assessing job performance.

  The knowledge, skills and ability required to do a job should be defined prior to hiring, and used for coaching and development during probationary periods.

  Areas of broad-based need for formal knowledge and skill training should be provided by university service units on an as-needed basis to employees without barriers of any kind. Requirements for promotion and tenure should relate to the knowledge and skill based on field, specialty and professional application as determined by the faculty of each department and college.

  The policy realm can also be viewed through each of the three dimensions of education, development and training:

Education

The institutional response to the educational needs of employees presents both a great opportunity and an irony. The opportunities for formal education in the university environment are staggering. Yet access to those resources is constrained by work schedules and an academic system that

discourages the part-time adult learner. There are multiple suggestions for improvement:

- Improve course availability for employees (ie: Higher Education Administration faculty schedule late afternoon and evening classes for working adults).
- Improve employee access to classes during the work day through flexible schedules and release time.
- Clarify the role of Extended University in meeting the needs of University employees. For example, provide employee access at a reduced fee once the course minimum enrollment is reached.
- Improve the linkages between subject matter expertise and the needs of employees. For example, a course offered by the Higher Education Administration faculty on "Student Services and the Law" would be useful to any student services employee (and many other university employees as well).
- Develop incentives and rewards for faculty and other employees who provide their expertise to benefit the university community.
- Gather data on the utilization of university courses by employees.
- Celebrate employee educational attainment.
- Provide for employee educational leaves in unit plans.

*I like the opportunity that this vision
allows for capitalizing on one of the truly
unique aspects of the university as an
employer, which is the rich opportunity for
personal development...*

Development

The cost, preparation, and time away from job duties needed for continuing education and development of new career capabilities is a critical issue in the context of reorganization, technology change and the proliferation of new approaches to service delivery.

Policies regarding development activities at a university-wide level should address the core competencies and future directions required to achieve the university mission and vision. Faculty development is one such area of focus. Enhancing our collective capability to use information technologies is another. These should become campus-wide initiatives supported by the strategic planning and budgeting process. Improvement opportunities include:

- At a department level, planning for the progression of employees into new and challenging careers and capabilities should be emphasized as part of the performance management process (PEPIT process).

- Strengthen career development services by collaborating to provide employee services through offices such as the Employee Career Development Center and the student Career Services Office.
- Recognize the contributions of faculty, appointed personnel or staff who take the time to involve themselves in fieldwork, teams, associations or conferences.
- Implement the recommendations of the Faculty Development Team. The Coordinating Council idea put forth by this team relates closely to the EDT vision of a "networked services" approach. The accountability mechanisms suggested by this team, along with its department-based approach, mesh well with the overall philosophy of this EDT proposal.

I've been in positions where the need for training to improve performance in that position has been acknowledged, but anything bordering on the other two arenas has been discouraged because it would take time away from the current job or make it possible to move on to

Training

Training should represent an approach to meeting organizational needs and strategic priorities.

Any one who is employed at the UA and needs to learn something new to better attain the objectives required of them should find it possible to learn what they need through either formal or informal approaches. Policies need to support activities in the units such as:

- improved orientation of new employees, including department heads, directors and deans at both a University and Unit level
- expanded cross-training
- improved coaching and mentoring by managers and unit heads
- expanded opportunities to apprentice
- funding for internships
- collective learning through team membership.

Release time for these opportunities and formal training should be supported by policies that encourage coverage of critical job duties through cross-department staffing agreements, cross-training, and teams. No one should be held hostage to a phone or desk, simply because there is no provision for coverage.

Policies regarding the development and staffing of training systems should ensure the highest quality programs possible, and monitoring of results should be a part of the policy framework.

7. STRUCTURE AND IMPLEMENTATION

*The next step for the team is to act
quickly on what is clearly the main
issue here today--resources. Get the
university to put some real money into
this program, and preferably, give it to
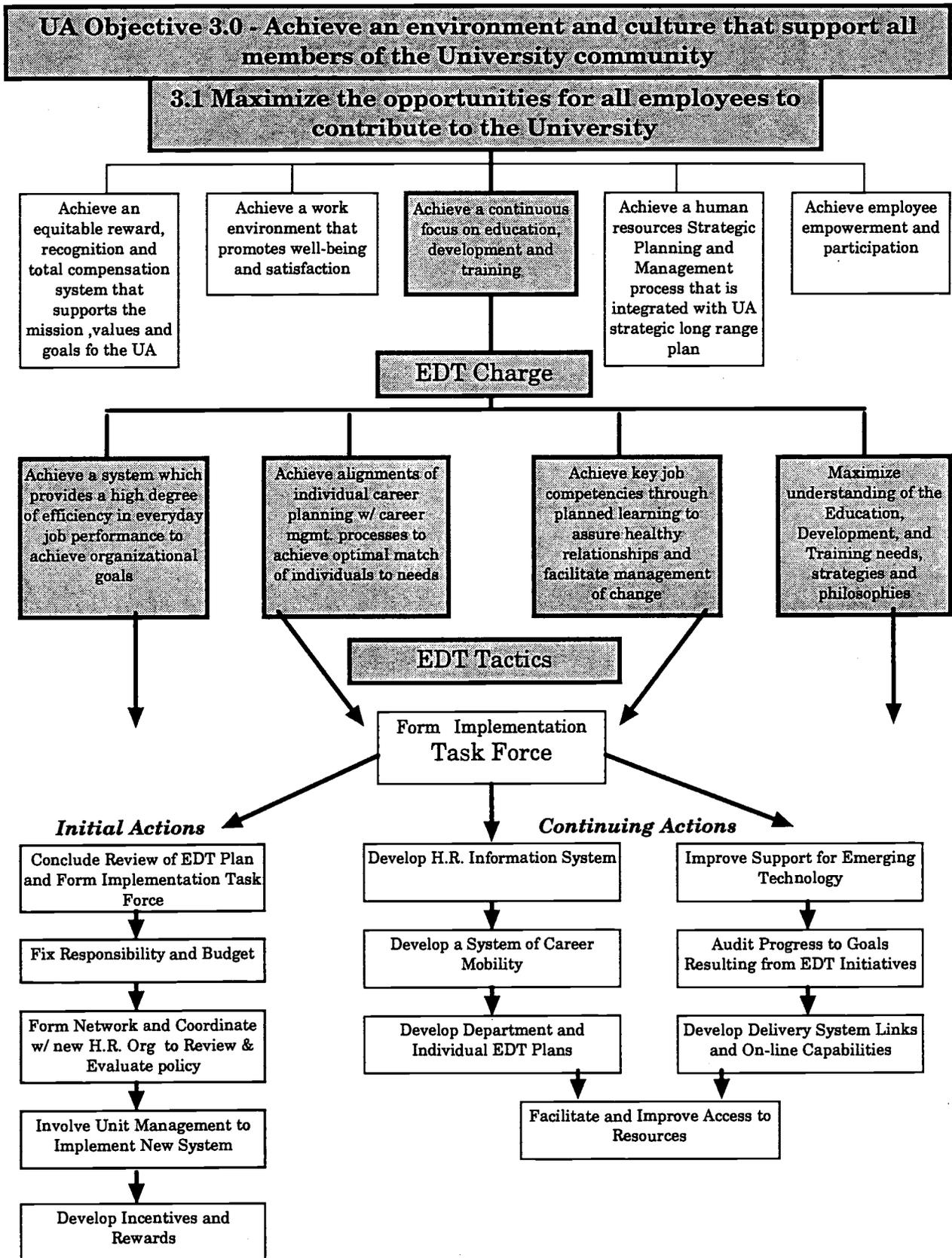us at the local unit level. We need it
now.*

The results of the EDT Team are produced in the context of a larger effort to change the human resources management landscape at the University of Arizona. EDT is one team among four commissioned by the Human Resources Cabinet Team led by the Vice Provost for Academic Affairs. The H.R. Cabinet Team defined primary causes and established what they wanted the four teams to accomplish. The chart on the next page shows the relationship of the strategies developed by the H.R. Cabinet Team and the tactics developed by the EDT Team. The chart is followed by a description of the tactics.

The innovation suggested here is to create a *professional network of training and development service providers* from different fields as a conduit for customer assessment and collaboration to maximize the use of resources such as facilities, schedules, continuing professional education and access to decision-makers.

The network must have a champion and source of funding from within the Human Resources organization, and H.R. members who would act as staff to the network. The network would represent a forum for service providers and customers. Teams sponsored by Human Resources could be formed, in part, from the membership of the network.

*The infrastructure (e.g. hardware,
software) does not exist to get my staff to
this level. They may get the training at
CCIT or wherever to expand their skills,
but all they have are old 286s to work on.*

Fig. 4: *EDT Tactics Related to H.R. Cabinet and University Objectives*

UA Objective 3.0 - Achieve an environment and culture that support all members of the University community

3.1 Maximize the opportunities for all employees to contribute to the University

Achieve an equitable reward, recognition and total compensation system that supports the mission ,values and goals fo the UA	Achieve a work environment that promotes well-being and satisfaction	Achieve a continuous focus on education, development and training	Achieve a human resources Strategic Planning and Management process that is integrated with UA strategic long range plan	Achieve employee empowerment and participation

EDT Charge

Achieve a system which provides a high degree of efficiency in everyday job performance to achieve organizational goals	Achieve alignments of individual career planning w/ career mgmt. processes to achieve optimal match of individuals to needs	Achieve key job competencies through planned learning to assure healthy relationships and facilitate management of change	Maximize understanding of the Education, Development, and Training needs, strategies and philosophies

EDT Tactics

Form Implementation **Task Force**

Initial Actions   *Continuing Actions*

Conclude Review of EDT Plan and Form Implementation Task Force	Develop H.R. Information System	Improve Support for Emerging Technology
Fix Responsibility and Budget	Develop a System of Career Mobility	Audit Progress to Goals Resulting from EDT Initiatives
Form Network and Coordinate w/ new H.R. Org to Review & Evaluate policy	Develop Department and Individual EDT Plans	Develop Delivery System Links and On-line Capabilities
Involve Unit Management to Implement New System	Facilitate and Improve Access to Resources	
Develop Incentives and Rewards		

Tactical Descriptions

1) Conclude review of EDT plan.
This plan should be reviewed by the H.R. Cabinet Team, the President's Cabinet, the Faculty Senate, and other HR Teams in addition to the staff and faculty focus group reviews already conducted.

2) Form Implementation Task Force.
The EDT Team will initiate and facilitate the creation of a cross-functional implementation task force charged with defining "how" the UA will make operational the tactics defined by EDT. This task force will replace the current EDT Team with a larger group of representatives of key training and development service agencies. For example:
- Human Resources Training Department
- Employee Wellness
- CORe Training
- Risk Management and Safety
- Employee Career Development Center
- Affirmative Action Office
- CCIT Training
- University Teaching Center
- Financial Services Training
- Customer groups such as:
    - Main Library and Facilities Management training coordinators,
    - Faculty and Staff Development Committees
    - Department heads and administrators

3) Fix responsibility and budget

The Implementation Task Force will establish teams to address each of the Initial and Continuing Action Items. The task force will work with the H.R. Cabinet Team in fixing the ownership for tactics among cross-functional teams or within the emerging H.R. Organization. These teams should be funded with start-up budgets for 1995-96. Budgets for full implementation should be prepared in time to be factored into the 1996-97 Budget year.

4) Form Network, and Coordinate with new H.R. organization to review and evaluate policy.
The task force is charged with defining those aspects of services and resources that could be more effectively and efficiently used through collaboration and partnerships among the specialty fields represented and in order to better serve the customers of their services. This must include the development of indicators and measures for success in meeting the University's EDT needs.

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5) Involve Unit Management to Implement the New System.

The "new system" refers to the creation of department and individual learning plans conceived as part of the new performance management system developed by the Performance Evaluation Process Improvement Team (PEPIT). Training activities for this system, combined with the emergence of new compensation and career mobility initiatives will call for integrated tactics on the part of administrative service groups.

6) Develop a Human Resources Information System.

Making decisions about compensation, career mobility and other initiatives will require the ability to understand what is going on in our current positions. The inability to accurately name our management positions, much less contact them with any certainty, is but one example of the need.

> *When a person is hired as a Widget Specialist I, the Human Resources Information System should automatically identify all required training that must be completed prior to assignment. It should then track all training completed, advise the department of updates, and just generally make the process automatic!*

7) Develop a System of Career Mobility.

Clearly the challenge of career development grows with each passing year. Organizations are getting flatter, removing levels of management and making clear progression more difficult. Continuing education, retraining and development are requirements if careerists want to raise income levels, and if organizations want to remain competitive.

8) Develop Unit and Individual EDT Plans.

Once we have developed the policies and initiatives needed to support increased activity, the incentive to develop department and individual plans will increase. The capability to assist departments and individuals in pursuing goals and using the system of career mobility will require development of department-based expertise in assessment combined with an expanded delivery system.

> *Until there are more resources available at the departmental level not a whole lot will happen in the development and training arenas. The understaffing current in my unit creates real stress on staff when even one person is missing.*

9) Facilitate and Improve Access to Resources.

The ability to find what you need, when you need it is a critical process element that will need a systematic approach if we are to succeed. Elements such as "just-in-time" delivery (training delivered when and where the training is needed) and "one-stop-shopping" (a single source of information, as in a clearinghouse) should be considered.

10) Develop Incentives and Rewards.

Keeping in mind that most learning is self-directed, the University needs the ability to assure performance in some critical skill and knowledge areas that might best be encouraged through development of incentives and rewards, rather than coercive "mandated" training.

11) Develop Delivery System Links and On-line Capabilities.

As our capacity to deliver information through electronic networks increases, so must our utilization. We should also look at face-to-face mediums (tutors, apprenticeships, internships) and self-paced instruction, both on-line and in writing. Since literacy is an essential underpinning to this activity, we must make every effort to ensure that all employees have the skills and confidence to use the delivery systems we employ.

12) Improve Support for Emerging Technology.

As the acquisition of new management and planning tools, software and hardware creates new opportunities, our training strategy needs to prepare people to rapidly gain access and mastery of those capabilities.

13) Audit Progress to Goals Resulting from EDT Initiatives.

Indicators and measures of results (see #4) need to be reviewed and the record of results from EDT initiatives reported out to customers and decision-makers.

There needs to be greater respect for each individual contribution to the university enterprise...the departments often do not see themselves part of a greater effort; there is too much impatience for the quick fix and not the long term and more time consuming approach to accomplishing our goals.

8. IMPLEMENTATION TIMELINE

This timeline is an indicator of the order in which the "driving elements" identified by the EDT team might best be deployed. At the "front-end" of this action plan the reorganization of the Human Resources units on campus, combined with the fixing of staff responsibilities and funding will most likely be the crucial elements needed to support initial action.

TIMELINE	March/April	May/June	July/August	Sept/Dec	Jan/July 96
Plan Review					
HR Cabinet Review	9				
Task force "Jam"	22				
Cabinet Review	24				
Form Task Force	24				
Initial Action					
Fix responsibility	24	1			
Form network					
Review policies		26			
Prepare management		26			
Cont. Action					
Develop HRIS					
Dev. Career Mobility					
Dev. Learning Plans					
Improve Access					
Dev. Incentives					
Dev. Delivery systems					
Improve support					
Audit progress					

I am very much encouraged by the overall concept of this program. I believe it to be a strong and viable document. For it to work, the selling (educating the administrators, deans, and department heads) of this concept will be the first test of the program itself.

March 29, 1995

MEMO TO: Members, Faculty Senate

FROM: Joaquin Ruiz, Chair *Joaquin Ruiz jr*
Strategic Planning and Budget Advisory Committee

RE: Revised Draft Strategic Plan for The University of Arizona

I am attaching to this memo a copy of the revised draft of The University of Arizona's strategic plan. The entire campus community has provided the Strategic Planning and Budget Advisory Committee with thoughtful recommendations and comments about the draft that was circulated on February 16, 1995. I thought it would be useful for you to receive the revised document prior to the Faculty Senate meeting on Monday, April 3, 1995, so that you would have an opportunity to review it and become familiar with the changes that have been made.

I look forward to the opportunity to discuss the document with you and thank you for the invitation to do so.

DRAFT - March 29, 1995 (revised)

University of Arizona Strategic Plan
Transformation Beyond the Year 2000
January, 1995

INTRODUCTION

Higher education in the United States is considered the best in the world. We offer higher education to a greater proportion of our youth than other countries; we provide the greatest range of choices; our community colleges are open to large numbers of citizens unheard of in any other country; our state colleges and universities serve the labor market more responsibly than anywhere else; and our research universities are pre-eminent.

The University of Arizona strives to be the nation's best public land-grant research institution. The national and international reputation of The University of Arizona is owing largely to research. It is research that will drive the State forward as it continues to move into a technology-driven economy -- in agriculture, in electronics and high technology, in biomedicine and in optics technology, for example. The University develops new knowledge, methodology and materials, and continues to provide creative talent.

Opinion about the role of a public research university, however, has been changing for the last decade and has now reached a critical point. Parents, students, and legislators want quality education to be delivered at a reasonable cost. Society as a whole and employers wanting new members of the work force need individuals who are educated more broadly, who can work in teams with people of diverse backgrounds, and who can communicate effectively. The public at large and legislators turn to the University for help and insight in dealing with an enormous array of such pressing social problems as crime, health care, homelessness, the dissolution of the family, and maintaining a viable economy.

It is in the above context that The University of Arizona finds itself presently engaged in a long-range strategic planning process required to design effective and efficient methods to carry out its mission in the future. During times when uncertainty prevails and fiscal support is dwindling, evaluation and change are vital to maintaining the University's competitive edge.

A partnership of people with diverse ideas but a common goal of making this university even better must reconcile these challenges and opportunities. Choices to be made must be approached with openness, drawing on creative energies and talents across the University. The University of Arizona must continue to be both excellent and distinct in serving the needs of society.

I. To transform educational activities

The University of Arizona community is actively exploring ways to be a student-centered research university. Several committees have developed the structure for this change, focusing on new ways to facilitate learning. Instructional systems are being devised that respond to the various student learning styles and incorporate modern technologies. This transformation will be an evolutionary process requiring attitudinal, as well as technological, changes. Mechanisms have been put in place that will continue to assist students to reach their educational goals in a timely fashion.

These on-going initiatives are building the university of the future by focusing on the following issues:

A.   To improve student achievement through a focus on learning as well as teaching

    1.   Assist students to become effective and independent learners, to accept the responsibility for building, refining, and executing an educational plan, and to accept the responsibility for personal engagement in academic programs, research experiences, and campus activities

    2.   Develop instructional and student support systems that are responsive to individual learning styles and changing student needs

    3.   Continue to integrate research with instructional programs at all levels in all colleges

    4.   Advise and mentor all students regarding educational programs and career opportunities

    5.   Provide students with on- and off-campus career related experiences and community service learning initiatives, that build community perspective, cooperation, and teamwork

    6.   Provide faculty development opportunities with a focus on improved learning approaches, techniques, and environments.

    7.   Improve the quality of instruction by emphasizing teaching ability in the hiring and promotion process.

B.   To create an undergraduate curriculum that prepares successful life long learners

    1.   Develop a foundational curriculum that is common across the university

    2.   Develop a university general education program that is coordinated with respect to collegiate and university objectives

    3.   Continuously develop existing majors to respond to changing requirements and to ensure student success

II.   To transform University research and creative activity

The University of Arizona has developed a wide range of high quality programs of research and creative activity that in many cases have achieved national and international visibility. These programs create knowledge about the natural world, ourselves, and technological advances; they enhance our understanding and appreciation of our past, our present challenges, and our future prospects. This understanding in turn improves the quality of life and economic well-being of the people of Arizona. Changing needs, opportunities, and constraints require a constant process of setting priorities among these programs and reshaping their goals to meet emerging university objectives. The focus of these efforts will include the following:

A.   To enhance leading edge research and creative activity in selected areas of distinction

    1.   Determine current areas of research distinction and appropriate levels of support for these activities

    2.   Develop criteria and apply criteria for selecting future areas of distinction in which The University of Arizona can make a unique contribution

    3.   Reallocate funds to areas of distinction or new targets of opportunity

B.   To continue to develop partnerships in which scholars benefit the community and contribute to economic development

    1.   Expand on-going interactions with state and local leaders to identify needs and areas of cooperation

    2.   Continue to develop and utilize working partnerships with business and government, to improve the transfer of technology and to further economic development by leveraging university strengths

    3.   Initiate opportunities for partnerships for that respond to identified needs.

C.   To expand the integration of scholarly research and creative activity into the instructional program at all levels and in all colleges

    1.   Continue to develop programs for faculty to involve students, both undergraduate and graduate students, in research and creative activities

    2.   Assure that research methods are included as a component of all undergraduate curricula

    3.   Provide a rich array of research intensive experiences for undergraduate students, e.g., laboratory experiences, internships, capstone courses, service learning opportunities, in which students receive academic credit and faculty receive teaching credit

IV. To transform the environment and culture to improve the way members of the university community are supported

An essential element in the University's transformation is a radically different approach to our human resource. The society in which higher education is now immersed is best characterized by rapid change, complexity, and uncertainty. Success in such a context must place the emphasis on people, with the view that individuals, working together, know what needs to be done and how best to accomplish this work. People must be enabled to develop their full potential to pursue the University's vision and must be full participants in the organization's achievements and recipients of its rewards. The focus of the transformation in the University's approach is:

A.   To coordinate and integrate human resource structures and processes

B.   To develop an equitable reward, recognition, and compensation system that is aligned with University values and goals, and that promotes job satisfaction

C.   To develop a performance evaluation system that effectively motivates all employees

D.   To provide a healthy campus environment with appropriate, safe, technologically current, and accessible facilities and programs

E.   To provide opportunities for diverse co-curricular activities and faculty/student/staff partnerships that promote the synthesis of learning and life experiences

F.   To develop proactive programs to educate, and develop all members of the University community

G.   To support a campus culture based on caring, equity, an aggressive pursuit of diversity, civility, and Affirmative Action principles

March 20, 1995

Response and Comments on Draft Strategic Plan for the University of Arizona

by

Faculty Budget and Strategic Planning Committee

The Strategic Planning and Budget Advisory Committee (SPBAC) produced a draft strategic plan that was circulated to the campus community on February 16. A good strategic plan has the potential to rationalize resource allocation on the campus. The current draft seems to be a step in the right direction. However, there are some difficulties with the current draft. We discuss these difficulties below.

1. A large number of areas are identified as areas in which improvement, change, and/or further development are desired. Many of these areas involve issues that address a large cross section of the campus community (e.g., item I.C., attraction of a more qualified and diverse undergraduate student body). However, the plan provides relatively little guidance on priorities across these areas. It will be difficult to use the plan as a guide to allocating scarce university resources until priorities are specified more clearly.

2. The proposition that the University of Arizona should be changed into a "student centered" institution falsifies the mission of a university which is: to be knowledge centered. Being "student centered" would be a replay of the 1960's when campus activists demanded "relevance" in their university courses, by which they meant confirmation of whatever they already felt was true. American universities have yet to recover fully from the pernicious effects of "relevance" which was, in effect, a setting aside of academic standards. A university must not be like a high school in which everyone passes through and gets a diploma of "success". A university student must perform at a true level of excellence and be judged by their performance, not by their personality or willingness to try hard.

3. Learning and teaching are inseparable. To represent them as being in opposition to one another - as in a plan for the university to begin emphasizing student learning instead of teaching - shows a misunderstanding of education. Teachers, at any level of education, are indispensable to learning. They set forth knowledge to students in such a way as to stimulate their interest; they guide errant students to corrects ways of proceeding; they identify and encourage sparks of interest and originality in student thinking; they impart by example a desire to know more and to think more rigorously; and, perhaps most importantly, they provide models of intellectual integrity and sound judgment.

4. Several parts of section I address improvements in teaching (e.g., item I.A.6, regarding faculty development opportunities). Efforts by the administration to assist the faculty in this area will be welcomed. At the same time, our point of view is that the most significant innovative changes and improvements in teaching will arise from the initiatives of individual faculty or from small groups of faculty. The central administration and college deans can play an important in role in supporting and recognizing faculty who take such initiatives. Supporting these initiatives and helping to disseminate information about successful initiatives is likely to be more useful than centrally organized "teaching improvement" workshops.

5. The Provost has advocated reductions in the number of programs and departments on the campus. It is not clear how the draft strategic plan matches up with the Provost's view on program reductions.

6. Where do external program reviews fit into the planning and budgeting process? Periodic evaluations by impartial outsiders should be a key informational input for assessing the quality of programs and for decision-making about resource reallocation.

7. Item II.A.3 refers to development of a pool of funds that would be available for reallocation to areas of distinction or targets of opportunity. The placement of this item in part A of section II suggests that this pool would be aimed at research in science and technology. If such a fund is developed, our preference would be to see the fund be made available for a broader set of research and teaching activities.

PROPOSED PERFORMANCE-BASED
COMPENSATION SYSTEM FOR FACULTY
UNIVERSITY OF ARIZONA
March 1995

PREAMBLE

1. The proposed system should be independent of and should not be intended to replace COLA, equity and market adjustments. Within this context, it is deemed that motion 88/89-22 approved by the Faculty Senate on January 23, 1989, applies:

> "In all future adjustments to faculty salaries, all faculty who are evaluated at Level II (i.e., "responsibilities of the position fulfilled") or higher (i.e., "responsibilities of the position exceeded") should receive at least the cost-of-living raise given to all state employees during that same period; additional funds should be made available for merit funding."

2. Compensation (salary) should be linked to individual performance and not based on other considerations. The intent of the Performance-Based Compensation System is to reward individual faculty (or members of faculty teams) who meet stated expectations.

OBJECTIVES

1. To link salary more directly to performance.

2. To improve and maintain pay equity.

3. To integrate regular review and the promotion and tenure review process.

4. To provide an improved faculty review procedure after tenure or continuing status is attained.

FEATURES OF THE PROPOSED SYSTEM

1. Regular peer review shall include Faculty as defined by the CONSTITUTION OF THE GENERAL FACULTY OF THE UNIVERSITY OF ARIZONA (1986), Article II, Section 1 (a):

> "For purposes of University government, the General Faculty of the University of Arizona is composed of individuals holding more than half-time appointments in teaching, research and/or service including both faculty members who hold tenured and tenure-eligible appointments and academic professionals holding continuing and continuing-elegible appointments, and who are recommended by the

faculty of the appropriate academic unit, approved by the President of the University and/or ratified by the Board of Regents."

The regular peer review of all faculty regardless of rank includes all personnel covered by the above definition. For tenure track, continuing eligible, tenured and continuing faculty, review will be

> every two years for assistant professors and continuing eligible professionals,

> every three years for associate professors, full professors and continuing professionals.

This regular review will replace annual reviews. The review will be against stated expectations or objectives for the ensuing two or three year period as stated by the individual faculty member or, in some instances, by the faculty team (e.g., librarians) and approved by the department or unit head.

2. All performance can be improved. However, the outcome of the review shall be as follows:

unsatisfactory	no salary increment
acceptable	no salary increment except COLA
good	one salary increment (the dollar amount to be determined)
excellent	a larger salary increment (the dollar amount to be determined)
outstanding	a larger yet salary increment (the dollar amount to be determined).

Definitions of these categories of outcome appear further in this draft.

3. Except for COLA and equity, salary adjustment is based on performance. The intent is to review individual faculty against stated expectations or objectives for that faculty member, as approved by the department or unit head. The mix of expectations or objectives, consisting of teaching, research and service, will vary for faculty members within departmentally established limits predetermined by the faculty of each department or unit and approved by the college. That mix could change through time for an individual. The performance of the individual faculty member will be reviewed by a committee of peers, usually from the same department or unit. This committee could be, for example, the existing P&T committee, the faculty status committee, or a distinctly separate committee. The reviewing committee will systematically judge the quality of performance in each area of expected performance (teaching, research, service) according

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to the departmentally-established and college approved standards. The expectations or objectives approved at the beginning of a review period may be revisited or renegotiated within the period, if so requested by the faculty member.

4. The first time a faculty member is reviewed under this system, equity issues resulting from compression, gender bias, etc., will be addressed and inequities will be redressed. Review at the University level will be required for any recommended salary adjustment in excess of $5,000 above the increment associated with the outcome of the review. In no case shall the justification for equity or market adjustment be based on time and rank alone, regardless of the aforementioned gender or other biases.

5. Tenure- and continuing-eligible faculty whose performance is judged unsatisfactory may not appeal the judgment but will develop a plan for improvement. The Department Head will inform the tenure-eligible faculty member who received an unsatisfactory review of available opportunities aimed at implementing the improvement plan. The improvement plan should be implemented as soon as feasible and the performance of the tenure-eligible faculty member be evaluated one year after the initiation of the improvement plan.

Tenured and continuing faculty whose performance is judged unsatisfactory may appeal the findings according to a procedure to be defined by the faculty of each college. If an unsatisfactory judgment is accepted or upheld on appeal, the faculty will develop a plan for improvement. The University will inform faculty members who received unsatisfactory reviews of available faculty development opportunities aimed at implementing the improvement plan. Faculty members whose performance falls within this category will be reviewed at yearly intervals during three years following the beginning of the unsatisfactory judgment. Should no improvement to at least the level of "satisfactory" performance be attained during the three years, dismissal procedures will be initiated.

Grievances concerning the proc edural aspects of the review may be brought before the Faculty Senate's Committee on Conciliation or, if necessary, CAFT.

6. Given the current recruiting practices which are focused on attracting the best qualified individuals for any open position, a consistently unsatisfactory performance over a period of years should be a rare event. In such cases, however, the ABOR procedures specified in Chapter VI, sections I.1 and K could be initiated. Section I.1.a states as follows:

"Tenured faculty members shall not be dismissed or suspended without pay except for just cause. Such dismissal or suspension may take effect only following an opportunity for the faculty member to utilize the conciliation/mediation and hearing procedures as prescribed in sections K.3 and K.4 below."

Section K specifies in detail hearing procedures for faculty and academic professionals on continuing or continuing-eligible appointments. Section K.1 is a statement of principles:

> "Investigations and hearings require the judicious consideration of facts, but they should neither partake of the form of courts of law nor be constrained by the limitations imposed upon such courts. They are academic hearings the purpose of which is to safeguard and protect not only the individual rights of the members affected but also the integrity of the university."

7. Review Process.

   a. Review will occur at the Department level by peers, as mentioned in section 1 above. The department or unit head will meet with the faculty member to discuss the outcome of the review and the expectations for the next time period.

   b. The University Promotion and Tenure Committee and the University Committee on Continuing status will review:

   (i) Judgments of truly exceptional performance.

   (ii) Promotion to associate professor or full professor, or the equivalent ranks of academic professionals; the granting of tenure or of continuing status.

External letters will be required for promotion decisions and for tenure and continuing status decisions, as well as in special circumstances occurring during the regular review (e.g., when publication rate is viewed by the department head as low in quantity but of very high in quality).

8. Separate raises for promotion to associate or full professor and for comparable ranks of academic professionals should be given.

9. In special situations, such as an extraordinary breakthrough in a research project, a faculty member or an academic professional on continuing or continuing-eligible appointment may appeal to the committee of peers in his or her department for early review.

Cost of Maintaining the System.

It is expected that funds for performance-based salary adjustments will be provided by the state legislature. The cost of maintaining the system should be estimated by the Provost's Office and the Faculty Senate Budget & Strategic Planning Committee. The budgeting process and the financial management of the University must ensure to the extent possible the availability of the necessary funds, either from State sources, from local funds, or from both.

In order to ensure the availability of these monies, a special fund will be established for this express purpose. This fund will be managed by the Provost's Office and the Faculty Senate Budget & Strategic Planning Committee. Its management will ensure relatively constant performance-based salary adjustments within each three-year review cycle. This fund will be used exclusively for the implementation of the proposed performance-based compensation policy for the faculty and for no other purpose.

Other Issues.

1. The faculty and academic professionals to be reviewed in the first year of implementation of this system will be decided by the faculty membership in each department or unit.

2. The limits of the expectation or objectives (teaching, research, service) will be determined by the faculty and academic professionals on continuing or continuing-eligible status of each department or unit, as mentioned in Section 3 above. Approval of the College Dean is necessary.

3. Retention situations should be rare events, after the proposed system becomes operative: it is envisaged that salaries at the University of Arizona will be competitive with those at peer institutions. Nevertheless, if such a situation obtains, a process should be initiated at the departmental level to make a compelling argument for an exception to this policy. The concurrence of the College Dean is essential for submission of the case to the Provost, whose decision should be final.

4. Definitions of Possible Outcomes of the Review Process.

These definitions are offered as broad outlines; they should be made operative in detail in each department or unit.

Truly exceptional performance:
    Extraordinary performance in at least two out of three components of the stated expectations or objectives during the entire period of review, with no less than excellent performance in the third component (unless the third component is not part of the job description).

Excellent performance:
    Outstanding performance in at least two out of three components of the stated expectations or objectives during the entire period of review and no less than good performance in the third component (unless the third component is not part of the job description).

Good performance:
    Above average performance in at least two out of three components
    of the stated expectations or objectives during the entire period of
    review and no less than satisfactory achievements in the third
    component (unless the third component is not part of the job
    description).

Acceptable performance:
    Attainment of minimal expectations or objectives in all three
    components of the stated expectations or objectives during the
    review period (no salary increment except COLA).

Unsatisfactory performance:
    Performance does not meet expectations or objectives, as defined by
    the conditions of service in the ABOR policy manual (no salary
    increment and no COLA).

5. It is considered necessary to devise a parallel system of performance-
based compensation for lecturers and instructors and other academic
personnel not covered by the definition of the Constitution of the General
faculty.

revisions to

GRADE APPEAL POLICY

The Student Affairs Policy Committee submits the following proposal for minor revisions to the Grade Appeal Policy. The Committee, in consultation with Associate Dean of Students Alexis Hernandez, has clarified the wording of the Policy. The revised version will be presented for approval at the April 3 Faculty Senate Meeting.

The current Grade Policy may be found in the University Handbook for Appointed Personnel (chapter 7), General Catalog (p.23), and in the Student Handbook.

GRADE APPEAL

A student may appeal a grade by using the following procedures. Where mentioned, the words college, dean, and department head are the department or college in which the course being appealed is offered. All timelines refer to the first regular semester after the semester or summer term in which the grade was awarded. Grade appeals are not processed during the summer sessions unless the dean determines a case warrants immediate review.

Written verification of each step below is critical. Steps three, five and seven require the student to submit a written appeal. Therefore, either mail the appeal via return receipt or deliver it to the appropriate office and have a staff member verify the date and time of delivery. The dean's decision on whether or not the deadlines have been met is final. The dean has the authority to extend the deadlines, but only in extraordinary circumstances shall the appeal extend beyond the first regular semester.

TIME TABLE

Prior to:	Complete steps:	Responsibility of:
Week 5	1, 2, and 3	student
Week 7	4	instructor
Week 8	5	student
Week 10	6	department head instructor
Week 11	7	student
Week 15	8 and 9	dean

Step 1: Within the first five weeks of the semester the student should discuss the concerns with the course instructor, stating the reasons for questioning the grade. If the instructor is a teaching assistant/associate and this interview does not resolve the difficulty, the student shall discuss the problem with the person in charge of the course.

Step 2:   Within the first five weeks of the semester, the student shall go to the college dean's office to obtain any requisite forms and to review directions. The student must attest in writing that s/he has informed the instructor s/he intends to file a grade appeal.

Step 3:   Within the first five weeks of the semester, the student shall carefully formulate an appeal in writing, and submit it to the instructor with a copy to the department head.

Step 4:   Within two weeks from the date of receipt of the student's written statement, the instructor shall respond to the student in writing. The instructor should explain the grading procedures and how the grade in question was determined as well as other issues raised in the student's statement.

Step 5:   If the instructor is not available or does not resolved the matter within the two-week period, the student shall, within one week thereafter, readdress and submit the written appeal to the department head.

Step 6:   The department head has two weeks to consider the student's written statement, the instructor's written statement, and confer with each. The department head, who does not have the authority to change the grade, shall inform the instructor and the student in writing of his/her recommendation. If a grade change is recommended, the instructor may refuse to accept the recommendation. The instructor shall notify the department head and the student in writing of his/her decision.

Step 7:   If the department head does not act on or resolve this matter within the two-week period, the student shall, within one week thereafter, readdress and submit the written appeal to the dean.

Step 8:   The dean shall convene a committee to review the case. The committee consists of five members. Faculty representatives include one from the department of the instructor concerned, and two from other closely-related departments or colleges. The student council of the college provides two student representatives. Student representatives shall be full-time upper-division undergraduates students for appeals by undergraduate students or full-time graduate students for appeals by graduate students. If the college does not have an appropriate student council, the ASUA shall appoint the student members. All student members must be in good academic standing in that college.

Within the structure provided by the dean, the committee shall design its own rules of operation and select a chair other than the faculty representative from the department concerned. The student and instructor shall represent themselves. The committee may, or may not (a) meet separately with the student, the instructor, and the department head, (b) request each party to submit a brief written summary statement of the issues, and/or (c) interview other persons who have relevant information. If feasible, the committee should meet with the student and the instructor together in an attempt to resolve the difference. The committee shall consider all aspects of the case before making its recommendation. The committee shall make a written report with recommendations and provide copies to the student, the instructor, the department head, and the dean.

Step 9:   The dean shall make a final decision after full consideration of the committee's recommendation and within four weeks of receiving the student's appeal. The dean has the authority to change the grade and the registrar shall accept the dean's decision. The department head, the instructor, and the student shall be notified in writing of the dean's decision.