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A Customized Approach to Talent Management at the University of Pennsylvania

BY BEVERLY EDWARDS

The University of Pennsylvania places great emphasis on talent management, specifically on attracting and retaining top-notch people. One way it accomplishes this is by offering several avenues by which its employees can further their careers. Penn's large, decentralized structure provides significant opportunities for career growth; however, university staff members must take a proactive role in their own development. The university supports and encourages these efforts through a variety of programs, including those highlighted in this article.

Introduction

The University of Pennsylvania's unique characteristics, especially its size and its responsibility-centered management budget model, pose special challenges in the area of talent management. Therefore, the university consistently sends the message, beginning with new staff orientation, that all Penn employees are responsible for their own careers, but that the institution will support them by providing various options for furthering their professional development.

Penn's division of human resources provides professional development training opportunities through its department of learning and education, the most popular of which are cohort-based programs for emerging leaders, managers and administrative support staff. These cohort-based programs have worked well because a strong network of peers, coupled with the appropriate knowledge, skills and ability, seem to be the critical success factors necessary for most roles within the university.

In addition to professional development training opportunities, all staff members also have the opportunity to work one-on-one with a career coach and can participate in a formal mentoring program, sponsored by human resources. Other training on campus includes financial training for staff members in budget or finance roles, technology training and safety/compliance training. Penn also offers generous tuition assistance for staff members who are accepted into the university's undergraduate and graduate programs. Several of Penn's innovative programs are highlighted in the following text.

Leadership@Penn

Despite a broad array of learning opportunities, Penn used to send emerging leaders off-site for a more robust developmental experience. In 2005, the executive vice president and the vice president for human resources determined that bringing together a group of leaders for a longer-term program would yield greater benefits to both the university and the participants. With the help of an external consultant, Leadership@Penn was developed and deans and vice presidents across the university were invited to nominate someone from their area to participate in the pilot delivery. The 24 participants in the inaugural program were selected based on their strong record of performance at the university, and they represented a broad cross-section of roles in both administrative centers and schools and also reflected Penn's diverse population.

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The goals of Leadership@Penn are to provide the university with the leadership capability needed to make it increasingly successful in an ever-changing environment; to support people in developing a broader understanding of Penn — how the university does things and what it needs to do to capitalize on its ability to get things done; to create among participants a stronger identification with Penn, its mission and how people contribute to the whole; and to attract, develop and retain the talent needed to enhance the institution's success.

The program design is based on three tracks. The first, the Workshop Track, consists of workshops focused on building the competencies needed to fulfill the leadership and management roles particular to Penn. Sessions are delivered over an eight-month period with pre-work and application assignments to be completed between workshops. Current leaders at Penn are invited to address and work with the group. The second track, Strategic Projects, concentrates on real-time issues related to Penn's future. The intent is to explore strategic, systemic and technical topics relevant to Penn. Strategic topics assigned to participants require working across the university on common challenges. The third track, Individual Development, requires each participant to commit to an individual development plan that includes receiving feedback from a 360-degree survey process, filling out a self-assessment, establishing goals and participating in one-on-one coaching sessions.

From a talent management perspective, Leadership@Penn has provided participants with both a deeper connection to the institution and a rich internal network that has enabled them to work more effectively in their roles. Following the conclusion of the program, it was determined that at least one-third of the participants had experienced positive career momentum. For example, several participants have been promoted, and others' roles have expanded to include greater responsibility and visibility within the university.

Essentials of Management

HR identified the training of managers at Penn as a strategic initiative that would benefit both the university and the individual participants. Research supports exit survey data that show that the employee's manager is a key factor in retention and development. Consequently, it was obvious that anything that could be done to strengthen the skills of managers would also benefit their direct reports, increase their overall departmental effectiveness and help to mitigate risks inherent in bad management practices.

Based on Penn's belief that a strong peer network can be an invaluable asset for anyone, especially the inexperienced manager, Essentials of Management was developed as a cohort-based program delivered over a period of months. An integral part of the program is a custom-developed 360-degree feedback instrument which all participants utilize. Participants are then provided one hour of time with an external coach to help them process the information provided by this tool and identify the areas in need of attention during their subsequent development.

During the first series of in-class sessions, and supported by online learning activities, participants learn the fundamental principles of managing staff from an HR perspective. In subsequent sessions, they receive more in-depth training on skills such as delegation and communications and participate in sessions including diversity and respect and safety in the workplace. There is also a session focusing on the larger context of higher education and its history, based on Penn's belief that it is important for its managers to understand the overall environment in which they have chosen to work.

Although this program is not yet mandatory for all managers, it has received tremendous support from the executive vice president and other senior leaders. Consequently, the program has been revised so that it is delivered, on average, four times a year to meet demand.

Cohort-based Program for Administrative Professionals

Feedback from support staff indicated an interest in a similar cohort-based program tailored to this group's needs and interests. Many talented individuals who come to the university as administrative professionals move on to jobs with increasing responsibility. Others choose to excel as an integral member of a work team in an administrative role.

Penn's cohort-based program for administrative professionals offers its participants practical information that can be utilized immediately and enhances professional skills that can benefit those seeking additional career opportunities at the university. The program builds the skills, attitude, teamwork and strategy fundamentals to increase both productivity and job satisfaction. This five-session program features one day focused exclusively on writing skills. Other sessions cover topics such as office communication, organization, time management, manager support and meeting coordination. Graduates of the program receive a certificate of completion and are encouraged to add this accomplishment to their resumes, especially when applying for internal positions at the university.

Career Coaching

In 2001, the vice president for human resources realized that talent management at Penn required a new resource to help staff manage their own careers in the university's complex and decentralized environment. HR created the new position of career coach to support Penn staff in their career development. Staff members can make an appointment with a career coach to discuss their skills, career mobility and professional goals. Consultation with the coach is free of charge and confidential.

The career coach meets with staff members for one-hour sessions. The staff member sets the agenda for the meetings. Topics can include self-assessment, goal setting, managing the internal job search, information interviewing and accessing the many learning opportunities at Penn. The original expectation was that the coach would be working primarily with employees ready for a job change; however, many staff utilize this resource well in advance of their next move. These proactive individuals want guidance on getting additional skills to excel in the job they currently have and also seek advice on acquiring new skills to make themselves more marketable in the future when they are ready to make a move.

In addition to individual consulting sessions, monthly workshops, offered free at lunchtime, are available for all interested Penn employees, and all employees also have access to the university's Career Center. The Career Center, located within the Training Center, offers several resources for Penn employees, including a computer for those needing a private space to work on their resumes or peruse the university job board, a small library of books and other publications available for borrowing, and career development videos which can be viewed while in the Center.

The career coaching program has grown vastly since its inception, largely due to its reputation for respecting the confidentiality of the client while offering practical advice, candid assessment and encouragement. More than 1,000 employees annually avail themselves of some aspect of the program. Data indicates that many coaching clients have advanced their careers, while others are expanding their professional skill set and laying the groundwork for a future move. Although some staff members have gone outside the university for their next opportunity, Penn feels that the benefits of investing in its current staff are significantly greater than the risk of potential turnover.

Mentors@Penn

An outgrowth of the Career Coaching program, Mentors@Penn was launched based on research that determined a formalized mentoring program would be a good match with the university's other services supporting talent management. Since its inception, eight groups of approximately 20 pairs have been organized.

The university's learning and education department hosts an information session before each cohort. Following this session, which is optional, staff members fill out a questionnaire indicating their interest in being either a mentor or mentee. They also provide specific information about their roles and interests, necessary to match them in the program. The career coach and the executive director for learning and education work together to match the mentors and mentees. Participants know in advance that they will not be matched with someone in their own department, as the intent of this program is to broaden the mentee's perspective and network. Once the matches are made, the pairs are invited to a kick-off orientation session for mentors and mentees. Each group receives a packet customized to the role to help structure the relationship.

The pairs agree to meet monthly, with the mentee driving the process (i.e., calling the mentor, requesting a time, etc.). The formal relationship lasts for one year. If the pair decides to continue meeting after that year, they may — but it is outside of the formal relationship established through Mentors@Penn. After completing the year as a mentee, many participants offer to invest another year as a mentor.

Recently, Penn has begun another mentoring activity — the Mentoring Roundtable. This small group is comprised of midlevel managers who have agreed to meet monthly to act as peer mentors for each other and to have the opportunity to meet with senior leaders at Penn.

Conclusion

To be successful, a talent management strategy must be customized to fit the organization. For those working in higher education, the variables for each institution dictate that the most creative and effective approaches be found to attract, develop and retain the individuals who will excel in and on behalf of the organization. The University of Pennsylvania's president, Amy Gutmann, has challenged the institution to move from excellence to eminence. Penn's HR department is supporting that goal by providing resources, such as those described above, to recruit highly qualified and committed individuals and then nurturing and supporting those individuals as they move through their career lifecycles at the university.

Total Performance Development Systems: Blueprints for Building and Sustaining Organizational Excellence

BY CHARLES F. SCHANIE AND JAMES E. KEMPER

Most "performance evaluation" or "performance development" programs in higher education today are little more than metrically-weak, bureaucratic programs aimed simply at establishing a legally-grounded employee record and a rough basis for merit increases. This article outlines the rationale and procedural framework for a talent development and management process referred to as the Total Performance Development System. Based on principles of performance optimization psychology and strategic organization management, TPDS maximizes the development and alignment of talent through a dynamic, goal-cascading process of performance planning, consultation, assessment, development and reinforcing/rewarding.

Introduction

Numerous studies have demonstrated a strong correlation between effective human resource practices, such as performance management and merit pay, and tangible, organizational outcomes (e.g. productivity, profits and other forms of stakeholder value). Similarly, the explosion of continuous improvement methodologies, HR scorecards, benchmarking and best practices adoption — all intrinsically tied to performance measurement and management — underlines the imperative of advancement of an organization's strategic goal agenda through the development and alignment of individual performance. (See, for example, studies by Becker and Huselid, 1998; Delery and Doty, 1996; Huselid, 1995; and Huselid, Jackson and Schuler, 1997.)

While most of these studies have involved for-profit corporations, extrapolation to higher education institutions is both logically and psychologically sound, inasmuch as the principles governing personal and organizational behavior can safely be assumed to be equivalent or nearly equivalent in all types of industries and organizations. Drucker observed in his 1974 classic work *Management: Tasks, Responsibilities, Practices,* that an organization's full performance potential can only be realized when:

- there are high performance standards, extrapolated from the organization's mission, values and goals and translated to the individual contributor level;
- individual contributors' strengths are capitalized upon and weaknesses corrected; and

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- human resource decisions concerning personnel actions such as promotions, training, demotions, pay and terminations are based, without reservation, on individual performance.

Drucker captured the scope of the challenge for managers in achieving these things by analogizing the complexity to that of a conductor of an orchestra:

> The task of creating a genuine whole [organization] also requires that the manager in every one of his acts consider simultaneously the performance and results of the enterprise as a whole and the diverse activities needed to achieve synchronized performance. It is here, perhaps, that the comparison with orchestra conductor fits best. A conductor must always hear both the whole orchestra and, say, the second oboe.

In the parlance of 21st century management practice, Drucker was addressing what we now refer to as strategic alignment of human resources. Figure 1 reflects that concept.

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   │  Individual Performance Expectations  │
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Figure 1

The substance of this graphic is fairly straightforward. Creating strategic alignment requires that the mission, values, strategic plan and goals of the organization be communicated and ultimately converted into objectives at each organizational chart level, so every manager and individual contributor is clear regarding personal performance expectations.

The Concept of Total Performance Development Systems
Of course, simply ensuring that employees understand performance expectations is not sufficient. As Drucker, who has been credited with the concept of "management by objectives," would point out, there must be procedures in place that allow for effectively monitoring outcomes and responding to the achievement, or lack thereof. Figure 2 is an expansion of Figure 1, incorporating these procedures.

Figure 2

With the additional performance review cycle components, the expanded graphic in Figure 2 represents key elements of the concept the present authors refer to as a Total Performance Development System (TPDS). Although TPDS is the evolutionary successor to earlier variants, which are typically labeled as performance evaluation or performance appraisal, the differences between TPDS and its precursors are vast. Whereas the latter are almost exclusively focused on employee evaluation — and oftentimes unsophisticated and metrically weak evaluation at that — there are five dynamic strategic alignment activities in the annual TPDS cycle that impact employees, all of which are grounded in strong evaluation measures:

- **Planning** between the supervisor and incumbent to establish performance objectives, determine mutual responsibilities for the achievement of these objectives, and anticipate resources and impediments that condition the achievement of the objectives.
- **Consultation** between the supervisor and the incumbent in the course of the performance year based on routine assessments of progress toward objectives, solving problems on issues negatively impacting achievement of objectives, and revisiting priorities.

- **Assessment** of the incumbent's performance at the end of the year considering the resources, impediments and priorities.
- **Development** of the incumbent through training and education to enhance capabilities relative to the current position and, prospectively, to improve his/her profile for possible advancement.
- **Reinforcing/rewarding** the performance achievements by addressing multiple needs, including economic, social, intellectual and personal actualization drives.

TPDS and Applied Psychology

The conceptual platform for all TPDS measures and processes is the accumulated theory, research and practices of applied psychology. The breadth of the underlying work encompasses a diverse collection of schools of thought, including cognitive psychology, modeling, social psychology, behaviorism and organizational psychology, with major contributions from McClelland, Maslow, Lewin, Skinner, Bandura, Ellis, Rachlin, Herzberg and McGregor. In sum, the aggregate body of work in applied psychology supports the conclusions that employees perform best when they:

- are active participants in the entire cycle of performance planning, measurement and follow-up processes;
- possess the essential competencies for the job;
- have clear performance expectations;
- have a "line of sight" perception of their roles and contributions to the organization's overall success;
- pursue performance objectives that are balanced between ambitious and realistic;
- participate in regular sessions to monitor performance and progress;
- receive regular feedback, counsel and support; and
- are reinforced and rewarded for their successes.

TPDS incorporates the above principles of applied psychology in every facet of performance management. Properly designed and executed, TPDS is arguably the most powerful organization development intervention that an organization can implement. TPDS can:

- increase the motivation of employees;
- enhance the communication and people management skills of supervisors;
- focus ongoing management attention and training on the most impactful issues;
- maximize the development of employees;
- increase the efficiency of management time utilization in overseeing the tactical objectives underlying the strategic plan;
- improve the allocation of salary increase monies; and
- reduce the legal exposure related to personnel actions.

TPDS as It Relates to the Academic Quality Improvement Program

It is notable that the recent heightened emphasis on continuous quality improvement speaks to many of the same issues as TPDS. The Higher Learning Commission's Academic Quality Improvement Program (AQIP) posits that there are 10 principles that underlie the continuous improvement process in higher education: focus, collaboration, involvement, agility, leadership, foresight, learning, information, people and integrity. All 10 of these principles are embodied in the philosophy and processes of TPDS. Specifically, from the preceding discussion, it is clear that TPDS:

- operationalizes senior administration's vision for the institution and puts the leadership team in a position to align the institution's processes with the vision;
- focuses resources and energies on the institution's critical success objectives;
- creates bidirectional collaboration vertically and horizontally through conjoint objective-setting;
- ensures clarity of responsibility and involvement of people in all positions;
- develops a framework for foresight and agility in goal definition and pursuit;
- ensures the exchange of key information for determining and tracking institutional objectives; and
- places learning and people development at the center of the continuous organization development process.

TPDS Measurement

Meaningful and accurate measurement of individual employee performance is at the heart of TPDS. Depending on the organizational level, three different elements are usually involved: accountability objectives, project objectives and competencies.

Accountability objectives are developed around the primary tasks of the position reflected in the job description. These objectives should follow a standard format. They should: (1) start with an action verb (increase, decrease, maintain, develop …); (2) specify the target criterion (admissions, entry test score, ratings …); (3) state the standard for success (by X%, at the level of Y …); and (4) indicate the completion date or period covered. An example of an accountability objective would be to "reduce total student housing maintenance costs by 3.5 percent for 2008-09 relative to 2007-08."

Project objectives originate with strategic/tactical initiatives or changes in the operating environment and are, therefore, in addition to regular, ongoing position accountabilities. This type of objective is more common with management and higher level professional positions. In fact, it is not unusual for executive positions to have ultimate oversight responsibility for several project objectives which are directly executed by managers and staff at a lower level under their line of authority. The format for a project objective is basically the same as that for an

accountability objective. An example of a project objective would be to "design a turnkey training program by May 30 for grant writing staff on new NIH grant format requirements."

The third measurement element in TPDS is competencies. As contrasted with objectives, competencies focus on the underlying capabilities for performing work rather than the outcomes of work. They encompass skill sets correlated with success in a job which are either core — that is, broadly applicable to a large number of jobs in the organization (for example, all staff in the organization should be team oriented and client responsive) — or occupation-specific (for example, sales skills for staff working in funds development or business language programming for management information systems staff). Each competency assessment scale should incorporate descriptions of behavioral success that underlie the competency and are predictive of performance.

The annual review discussion between the supervisor and the employee to evaluate performance on objectives and competencies should be the culmination of an ongoing process throughout the year. Supervisors should be gathering information and documenting progress toward objectives on a regular basis. Relatively brief interim coaching discussions, at least mid-year and ideally quarterly, should be used to deal with performance impediments and maintain momentum toward achievement of the agreed-upon objectives. Successful annual review discussions should:

- incorporate self review by the incumbent as an antecedent to the discussion;
- set a positive tone through the supervisor's initial comments and body language;
- establish a partnership mentality between the incumbent and the supervisor;
- open with major accountability and project objectives;
- create a bilateral dialogue by repeatedly soliciting the incumbent's perspective;
- focus on specific outcome issues in addressing the objectives; and
- review performance on competencies, relative to strengths and weaknesses in the context of the prior discussion on the objectives.

TPDS Champions Employee Development

Whereas typical performance evaluation or appraisal programs incorporate limited, if any, treatment of employee development, TPDS places major emphasis on it as a means to improve skill sets for the current position and, if appropriate, groom the employee for expanded responsibilities within the organization. The annual TPDS review discussion, with its attention to detailed, specific data on performance outcomes and underlying skills, provides a powerful platform for addressing employee growth and career advancement. Properly executed, the development plan for an employee assumes the form of a project objective with actions, outcomes, dates, measures of success and mutual responsibilities; represents the needs of both the incumbent and the organization; and recognizes the realities of equitable distribution of resources relative to other staff.

In designing the development plan, supervisors need to think expansively. In addition to all of the traditional media, such as course work and self study via audio/video and books, less common, non-traditional techniques should be given serious consideration. Mentoring of another manager or professional (inside or outside the department) and shadowing of the supervisor are two non-traditional development methods that can yield substantial returns on time invested. These types of internal bootstrapping techniques also comport with the underlying philosophy of TPDS that organizational excellence begins with self reliance and the contributions of individual employees.

Reinforcement/Reward of Successful Performance

Revisiting the employee-focused performance loop in Figure 2, it should be noted that reinforcing and rewarding performance is a key element in performance development. Far from being a simple stimulus event per behavioral psychology, reinforcement/reward of successful performance occurs against the backdrop of employee expectations

framed by the implied social contract of the work setting. The outcomes accruing to the benefit of the employee, or the lack thereof, are judged by him/her in the context of personal needs and a sense of fairness relative to contribution.

The work of Maslow, McClelland, Lewin, Herzberg and a host of other applied psychologists underlines the importance of having a very broad perspective on the human drives which can be addressed in reinforcing performance behavior. A short list of the drives encompasses — in widely varying degrees among most employees — achievement, belongingness, mastery, affiliation, personal power, intellectual stimulation and security. TPDS trains managers to capitalize on the full range of drives when seeking to motivate employees.

Merit Pay as a Motivational Tool

Notwithstanding the availability and power of other motivational sources, most discussions of performance programs ultimately, and understandably, turn to the question of the use of merit pay as a motivational tool. In fact, the intention to move exclusively to merit pay or increase the utilization of it is often the primary reason senior managers give for instituting a new performance program. The notion is that if employee economic outcomes are to be based on merit as measured by performance reviews, then the program must be sound enough to justify the resulting pay increase decisions. Despite the strong support by most senior managers for merit pay, there is some controversy and resistance surrounding it. Opponents argue that merit pay should not be implemented because they believe: (1) it is based on processes and data which are not wholly objective, (2) funds are generally so limited that they should be used to ensure at least a minimum amount for all staff, and (3) money is marginal in motivational impact.

Although there is a small kernel of truth in these points, on balance, the arguments for merit pay substantially outweigh those against it. Proponents of merit pay assert that: (1) meritocracy has become culturally ingrained in the American workplace over the last three decades and many employees expect monetary differentiation; (2) merit pay possesses secondary stimulus properties and signals recognition, especially among achievement oriented employees; (3) the cumulative effect of the absence of merit pay over several years creates dissatisfaction and distraction relative to internal and external pay equity; and (4) merit pay delivers a message to underpin alignment of human resource practices with mission, values, goals and strategy.

While part of the rationale favoring the use of merit pay is that it possesses some motivational power, the sense of inequity and dissatisfaction it can create when it is not applied is an equally important issue. Further, it is worth noting that the employee contingent most likely to be adversely affected psychologically by the absence of merit pay is an organization's best performers, who may exhibit a consequent reduction of commitment and an increased inclination to seek alternative employment.

Despite the intrinsic sensibility of merit pay, it must be admitted that introducing and sustaining it in a meaningful way is much more difficult in higher education than perhaps in any other segment of the economy. For those who would despair because their institution has implemented merit pay in less than perfect fashion, the authors offer the strong opinion that TPDS has value even absent a tight connection to merit pay.

Conclusion

While there are some exceptions, most performance management programs in higher education today are metrically-weak "once-a-year" processes based more on interpersonal "fit" within the unit environment than position objectives. Furthermore, there is generally little, if any, differentiation in the reward for the highest and the lowest performers within these programs, which may be due, in part, to lack of confidence in the performance program.

In order for higher education organizations to reach their full potential, it is incumbent on senior leadership to implement and aggressively support performance management systems that go far beyond the traditional models. Key questions senior higher education leaders need to ask themselves include: (1) Are we making excellent decisions about performance management systems and programs that are pivotal to our competitive advantages

and organizational results? and (2) Are we making excellent decisions about performance management systems and programs that are pivotal to sustainable individual and organizational achievements? If leaders are able to answer these questions thoughtfully, thoroughly and accurately — and with a resounding "yes" — then there will be greater potential for a shared line-of-sight among employees, senior institutional and system leaders, and the institution's many and varied stakeholders.

The implementation of TPDS is no simple matter; it requires a reasonable commitment of time and resources. On the other hand, the return on investment is disproportionately large relative to alternative interventions that an organization might undertake because TPDS directly, persistently and aggressively addresses the issues that have the greatest impact on the organization's success at the individual contributor level. As Collins concluded from his extensive organization research, summarized in his 2001 book *Good to Great*, organizational success requires tenacity and unbending will. Addressing the distinction between the organizations that made the transition versus those that did not, he says:

> There was no single defining action … the process resembled relentlessly pushing a giant heavy flywheel in one direction, turn upon turn, building momentum until a point of breakthrough and beyond.

TPDS provides the framework, concepts and processes to ensure discipline and concerted pursuit in pushing the flywheel toward an organization's vision of success.

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IUPUI's Leadership in Dynamic Organizations Program: Translating Leadership Into Application for Staff and Students

BY DANIEL B. GRIFFITH, MARILYN H. BEDFORD AND STEPHEN P. HUNDLEY

Traditional leadership development programs for higher education staff are challenged to blend theory with a real-world context that is meaningful to participants' work. Standard student leadership curriculum is strong on theory, but often thin on providing this real-world context. Both HR training departments and academic units charged with providing leadership programs are taxed to have the time and resources to effectively manage this blend. In this article, the authors outline a unique partnership they forged to respond to these challenges while utilizing the institution and its leaders as the learning model for IUPUI's Leadership in Dynamic Organizations training program.

Introduction

Five years ago, the Training and Organization Development Office within Indiana University Purdue University Indianapolis (IUPUI)'s Human Resources Administration (HRA) reached a plateau with respect to the training programs it could reasonably offer, given its resources and available training staff. It had developed a number of professional development series for specific staff populations and was also heavily engaged in responding to unit-specific training requests which required unique training designs and interventions. Yet it lacked a "next step" in training for those staff members who aspired to leadership roles, whether formally in terms of status and title or more commonly through developing and exhibiting leadership traits within their current roles.

As it developed its programs, the HR training department consulted with numerous sources, including faculty of the Department of Organizational Leadership and Supervision (OLS) in IUPUI's Purdue School of Engineering and Technology. The OLS program attracts students who aspire to be leaders and supervisors with an applied technology focus and seeks to blend its curriculum grounded in management and leadership theory with real-world application. However, OLS faculty have similar resource constraints in developing new curriculum that will satisfy OLS course requirements.

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Recognizing common constraints and common desires to provide leadership development opportunities for their constituencies, Daniel Griffith, manager of training and organization development; Marilyn Bedford, senior consultant for training and organization development; and Stephen Hundley, associate professor of organizational leadership and supervision, forged a comprehensive, effective leadership education framework suitable for both staff and students. Titled Leadership in Dynamic Organizations (LDO), the five key components of this framework are:

(1) A thematic, coherent, instructional framework built around the acronym "LEADERSHIP" in which each letter represents a key leadership content area. The leadership topics and learning objectives reflected by this acronym are listed in Table 1.

(2) Using IUPUI as the model for a "dynamic organization" and relying on its leaders to provide weekly instruction on their particular "letter" of leadership responsibility. The representative leader titles and office for each topic also are listed in Table 1.

(3) Combining staff and students in the same learning environment.

(4) Assignment of a small group project and class presentation focused on identifying and analyzing an actual workplace issue or problem that one or more group members face in their department.

(5) The diminishing role of course facilitators, in which the obligation for learning and interaction rests in the hands of the weekly class leader and the participants while the facilitators provide only an overall context for leadership and manage course logistics.

Choosing IUPUI as a "Dynamic Organization"

In contemplating a leadership program, HRA's initial concern was having a program that catered specifically to the needs of IUPUI employees and was relevant to their everyday work and culture. The facilitators quickly agreed that IUPUI would provide this context and that it would also serve as an effective leadership model for students. While there are unique aspects to leadership in higher education, every organization is challenged with issues relating to employee engagement, accountability, diversity and other topics that formed the LEADERSHIP conceptual framework. As long as the program pulled in the highest-level leaders possible from the institution who could speak authoritatively on the selected topics, students would find application to their future organizational work context, whatever it may be.

IUPUI was created in 1969 as a partnership between Indiana and Purdue Universities, with Indiana University as the managing partner. As a relatively young, vibrant institution, its leaders, faculty and administrators are credited for fostering collaboration, whether interdepartmental, interdisciplinary or within the Indianapolis or Central Indiana community. Located just west of downtown Indianapolis, the state's capital, the campus provides a unique window to the urban environment which LEADERSHIP presenters often reference in terms of how their roles and responsibilities intersect with those of city and state business and political leaders.

IUPUI has over 29,000 students and 7,000 faculty and staff members, 22 schools and academic units, and an operating budget of over $1 billion. It is the second largest campus within the IU administrative system, the third largest campus in the state, and boasts the state's only medical school. It is also a key partner in an innovative statewide health sciences initiative. Put simply, IUPUI is a "dynamic organization" from which a rich source of instructional examples and case studies on leadership can be pulled.

Lastly, choosing IUPUI as the "dynamic organization" provides practical benefits. It is the institution with which the facilitators are most familiar and provides a ready source of leaders with whom they work directly. Not only does this aid scheduling and course coordination, but the facilitators can more readily build concrete

connections between topics based on their daily interactions within the institution rather than hypothetical situations.

Spelling "LEADERSHIP," Selecting Leaders, Designing the Course
While choosing leadership topics based on the acronym "LEADERSHIP" may sound like a cheeky "cocktail napkin" exercise, it provides an easily understandable framework to focus weekly attention on specific leadership topics on which speakers can provide expertise and relevant experience. To spell "leadership," the facilitators engaged in healthy dialogue to determine the 10 leadership topics most pertinent to managing a dynamic organization and the specific learning objectives for each topic.

Before deciding on speakers, the facilitators established criteria by which they would be selected. While the ideal circumstance would be to select the leader who by title and portfolio most logically fits the topic, they weighed this guideline against any concerns about credibility, depth of knowledge and experience or anticipated availability. So, while the key leader was identified and selected in most cases, other qualified leaders were selected in other cases. Also, for a few topics, such as "innovation" and "resource allocation," no logical so-titled key leader existed, therefore qualified experts within the campus administration were selected instead.

Human Resources Administration and the Department of Organizational Leadership and Supervision facilitate this program each spring semester, and the 2008 spring semester was its fifth year. Each weekly session is held on Friday afternoon for approximately two-and-a-half hours. Friday afternoon was selected because it was believed to be the best time for most staff to put aside their work for the week to focus on learning.

The original design of each weekly session involved inviting the leader to speak on the selected topic for up to 75 minutes, which includes 30 to 40 minutes for formal presentation and the remaining time for Q & A. The remaining class period is divided between a follow-up discussion activity led by one of the facilitators and time for the groups to form and discuss weekly progress on their projects. In preparing each speaker, while basic learning objectives are shared, no constraints are placed on content or how it will be delivered. Each speaker arrives with his or her own presentation style and form of delivery. Some have formal remarks, handouts and a PowerPoint; others speak more extemporaneously and have few handouts to share.

Despite this original design, a much more engaging process has evolved. Most of the speakers originally engaged with the program have remained throughout these five years and have become comfortable with the format and interaction with participants. Though busy, they appreciate being invited and are happy to "linger" to discuss current issues and concerns on campus related to their areas of responsibility. The facilitators encourage participants to take full advantage of this unique opportunity for intimacy. Consequently, the original 75-minute timeframe is often ignored in favor of full exploration of the topics that matter most to speaker and participant alike. More often than not, the planned follow-up activity is discarded in favor of this interaction.

Table 1 lists each LEADERSHIP topic, the title and office of the presenter, and general learning objectives. Further details regarding each class session are provided following the graphic.

Table 1: Leadership in Dynamic Organizations Program – Topics, Leader Title/Office, Learning Objectives

Topic/ Leader Title and Office	Learning Objectives Upon completion of this topic, participants should be able to:
Leadership Overview IUPUI Chancellor and IU Executive Vice President	• Define leadership and the characteristics and styles of leaders; • Identify examples of leaders from a variety of settings; • Describe the differences between leaders and individual contributors; • Relate leadership to organizational strategic initiatives (i.e. mission, vision, values, culture, goals).
Employee Engagement Assistant Vice Chancellor for Human Resources	• Understand and define the importance of recruitment, retention, performance evaluation, motivating and engaging employees in the workplace; • Assess why and how investment in human capital supports the mission of IUPUI; • Convey ways to "engage" employees in their work and determine how to foster employee loyalty; • List ways to evaluate the effectiveness of an individual's performance, the unit's performance and the organization's performance.
Accountability Vice Chancellor for Administration and Finance	• Describe how IUPUI is accountable to its multiple publics; • Identify the leadership competencies needed to ensure accountability; • Explain how accountability is related to employee performance and resource management.
Diversity Vice Chancellor for Diversity, Equity, Inclusion	• Explain the importance of diversity at IUPUI; • Implement ways to manage a diverse workforce and serve diverse constituencies; • Encourage, value and manage diversity at IUPUI.
Ethical Decision Making Director, IU Internal Audit Office	• Behave in a manner which is ethical and consistent with organizational and leadership values; • Make realistic commitments, recognizing the impact to the organization and consider an appropriate range of issues or factors; • Grasp complexities and perceive relationships among problems or issues; • Recognize the impact and implications for other areas of the organization; • Produce decisions or solutions which are effective and practical.
Resource Allocation Director, Economic Model Office	• Describe the importance of making data-driven decisions; • Explain the concepts associated with a culture of evidence; • Locate the relevant data sources applicable in making resource allocation determinations; • Utilize data for improved decision-making and resource allocation.
Service IUPUI Vice Chancellor for External Affairs & Government Relations and IU Assistant Vice President for External Affairs	• Define civic engagement, service and corporate philanthropy; • Understand the mission of civic engagement for IUPUI; • List the barriers and challenges for carrying out this mission with staff positions; • List the benefits and motivational factors for involving staff in civic engagement.
Human Relations Associate Vice Chancellor for Facilities	• Establish and maintain open, candid and trusting work relationships; • Recognize and respond to the needs and concerns of others; • Work effectively with others to achieve a common goal; • Promote collaboration and remove obstacles to teamwork across the organization; • Use appropriate interpersonal styles and communication methods which leave self and others with a sense of being heard, understood and respected.
Innovation Executive Vice Chancellor and Dean of Faculties	• Recognize the need for new or modified approaches; • List the tools for creating a climate for innovation; • Develop a checklist for an innovative organization.
Planning & Process Improvement Special Assistant to the Chancellor for Academic Planning and Evaluation	• Define a work "process" and give campus examples; • Recognize when a process needs improving; • List criteria for an effective improvement process; • Articulate the steps of an accelerated improvement process; • Identify areas of possible improvement in their units.

*L*eadership Overview

Leadership Overview consists of two class sessions. At the first class meeting, in addition to program requirements and learning objectives, the facilitators provide a context for leadership in general and specifically at IUPUI which serves as a guide for participants on what to look for and inquiries they should consider as they interact with campus leaders throughout the semester. The second segment of Leadership Overview is facilitated by Chancellor Charles R. Bantz, whose tenure at IUPUI coincides with the duration of the leadership program. The program has greatly benefited from his insights and perspectives on leading as he has grown in his role. He has been consistently open with his views and information on current issues and events involving leadership within IUPUI, the IU state system overall and the city and state.

*E*mployee Engagement

The logical institutional leader for the Employee Engagement session is the institution's HR lead, the assistant vice chancellor for human resources. In this session, particular emphasis is placed on challenging participants to consider what "employee engagement" means at all levels of responsibility and through all periods of employee "life" in the institution (early career, mid career, late career and retirement).

*A*ccountability

This topic is presented by the vice chancellor for administration and finance, the chief fiscal officer for the institution. This session includes an overview of "responsibility-centered management" which is the method by which IUPUI manages its fiscal and administrative operations that, in comparison to some public institutions, places a greater level of direct responsibility on the individual schools to maintain fiscal viability. This session includes a discussion of how these institutional responsibilities translate to the roles that individual performers play.

*D*iversity

This session is facilitated by the institution's chief diversity officer. This role was previously assigned to the vice chancellor for student life, but has been reassigned to the newly created position of vice chancellor for diversity, equity and inclusion. Participants are challenged to think creatively about how their roles help facilitate clear institutional directives to increase recruitment and retention of diverse populations at all levels and to develop and maintain learning and working environments that are supportive of individuals of diverse backgrounds and identities.

*E*thical Decision Making

This topic is presented by the director of internal audit for the Indiana University administrative system. This session stresses the necessity for leaders to behave ethically and model such behavior for others. It also reassures leaders that their ethical challenges can be supportively managed as long as there is good communication and openness in the process. Participants also discuss concrete hypothetical situations of the ethical dilemmas leaders often face.

*R*esource Allocation

Resource Allocation is facilitated by the director of the IUPUI Economic Model Office. The session is sobering to the extent that it lays out the various fiscal constraints facing the institution and the ever-tightening revenue stream from the legislature, research, grants, tuition and other sources. Yet it is instructional in giving participants a clear picture of the challenges academic leaders face in balancing these constraints against the need to create new programs in their schools and remain innovative and competitive.

*S*ervice

The vice chancellor for external affairs and government relations facilitates the Service session, which focuses primarily on civic engagement activities within the IUPUI community. While this generally involves the work faculty do in research, teaching and service that results in collaboration with and benefits to the local, state, national and international communities, the topic is broadened to include corporate models where staff efforts in supporting community initiatives are viewed as integral to their work.

*H*uman Relations

Although Human Relations might logically fit within the same leadership purview as Employee Engagement, it was felt that a leader with direct, daily exposure to human relations issues was best suited. The associate vice chancellor for facilities leads over 400 staff in building services, grounds, maintenance, parking and fire safety, which includes the campus's largest concentration of union employees. This session addresses the very concrete challenges of motivating and engaging this workforce and providing meaningful opportunity for growth and individual contribution.

*I*nnovation

The presenter for this topic varies from year to year, as the intent is to bring in a leader who has recently excelled in developing innovative research or developed a collaborative project with widespread implications for benefitting the local, national or international community. For spring 2008, the presenter was the executive vice chancellor and dean of faculties who developed the Signature Center Initiative, which is designed "to create strong research units that are uniquely identifiable with IUPUI [and] will lead the way in world-class research and creative activities that will substantially enhance IUPUI's reputation."

*P*lanning and Process Improvement

Planning and Process Improvement is facilitated by the senior advisor to the chancellor for academic programming and evaluation, whose office is responsible for the planning, assessment and evaluation efforts of all programs within the schools. The "planning" segment covers the campus's approach to integrating and continually improving institutional planning and evaluation. The "process improvement" segment provides basic frameworks for process and quality improvement and illustrates their relevance to leaders who must champion and direct such efforts to ensure operational effectiveness at all levels.

Student/Staff Mix and Participant Expectations

Staff enroll in the LDO course through HRA, pay a small fee to cover materials, and participate as a professional development opportunity. Prerequisites are not stringent, though it is recommended that participants have engaged in at least one previous intensive professional development training opportunity, on or off campus. Although originally open only to managers, the program was expanded to include anyone who meets these basic prerequisites and wishes to serve as a leader through modeling appropriate leadership characteristics in his or her role rather than strictly through title or position.

Although the majority of participants are staff, some students enroll each year. Most student participants are part of the organizational leadership and supervision program and must have completed the OLS general supervision course. Students pay tuition and receive college credit. However, it is gratifying to know that the program also supports staff academic goals, as a number of students who participate are actually IUPUI employees seeking to complete their degrees. Course requirements for staff and students are essentially the same, although students must complete a reflection paper in addition to class attendance and participation and the group project and presentation.

Through trial and error, the facilitators have become much more explicit regarding expectations for class attendance and participation, citizenship and engagement in group projects and presentations. During the first two years of the program, some participants did not attend regularly and appeared not to take seriously the unique opportunity for intimate interaction with campus leaders. Some participants were also not sharing fully in their group's project efforts. The facilitators have since strengthened their message that the course is an intensive leadership development opportunity requiring full engagement in all activities. They stress that if campus leaders can manage their busy schedules to participate as facilitators, participants can reciprocate by modeling similar behavior through regular attendance. Most participants now demonstrate the consistent level of participation and engagement expected for an intensive leadership development course.

Group Projects and Presentations

In addition to weekly class activities, participants are required to work in groups to conduct a case study analysis of a particular unit or department (or subset therein) at IUPUI. The case study is designed to provide participants with an opportunity to tackle emerging issues, engage in applied research, and develop recommendations and implementation plans intended to improve the performance of the unit or department analyzed. The majority of the work conducted during the semester involves identifying an issue that has relevance to the group, identifying the appropriate research methodologies and data needed to determine root causes, conducting the research and reporting findings and implementation recommendations.

Groups range between two and five participants. They may self-select their groups, though efforts are made to ensure that each participant is part of a group. While groups have leeway to determine the topic area for research, they are encouraged to select something that has relevance to at least one member's work setting and has the potential for direct application of research findings and recommendations to implement change. Topics selected in past programs include recruitment and hiring processes, workplace motivation and engagement, faculty/staff relations, school program marketing and Web site development efforts, technology and systems access processes for new employees, and development of a comprehensive fiscal officer manual.

At the beginning of the semester, the facilitators provide background information on basic research procedures and methodologies, as well as materials on basic research tools the groups might consider. These materials include information on constructing surveys, developing interview questions, facilitating small focus groups and other rudimentary research processes. The groups are expected to conduct research "in the field" among staff, faculty, students, administrators and whomever else may provide data pertinent to the issue and topic at hand. Research may also include article and document searches, as well as best practices research such as a review of Web sites and marketing materials of programs similar to the program the group is reviewing.

At the end of the semester, the final two class periods are reserved for the groups to do a half-hour presentation on their research, the results and recommendations for implementation. The quality of the research and the presentations vary. Occasionally, a group may experience a number of setbacks and course changes throughout the semester and not collect the depth of meaningful data they had hoped. In such cases, the facilitators reinforce that the learning is in the process of working as a group, strategizing alternative approaches and realizing that data collection and analysis is fluid and rarely progresses in a smooth, linear fashion. Groups are, therefore, encouraged to report not just on results but on the learning process involved while working as a group and conducting research that has relevance to real-world workplace situations.

On the other hand, each semester reveals at least one truly exceptional research effort. In the first year, two employees from an administrative unit who were also enrolled as students and relatively new to supervision analyzed their department's inconsistent processes for hiring supervisors and recommended changes in their interviewing and selection process. Their department subsequently implemented these recommendations. In the third year, three employees from separate departments each felt frustration regarding the time it took for new employees to receive a "safeword card" — an electronic card required for accessing data systems. They interviewed department

administrators who shared their frustration, as well as the various technology departments responsible for approving access and issuing cards, to determine the bottlenecks. They also did some basic salary computations to illustrate the loss of productivity in weeks for new employees who were not able to promptly begin their assignments due to access delays. Their data and recommendations were subsequently forwarded to higher-level administrators who continue to work to reduce access time.

Role of Facilitators

The foregoing description of Leadership in Dynamic Organizations implies a fairly limited role for the facilitators. This is by design. After five years, the facilitators have managed to orchestrate a program that flows well on its own.

As principal facilitators, Dan Griffith and Marilyn Bedford alternate their weekly attendance. They introduce the speaker and engage along with the participants in Q & A following the speaker's presentation. Less frequently, they facilitate a follow-up activity related to the weekly topic. Due to the high level of speaker/participant engagement, they more often move directly to the time reserved for groups to meet to discuss progress and identify action steps for completing their projects. Each week, they remind participants of the benchmarks the groups should have achieved based on the project completion timeline. They also remain to assist groups with questions concerning their projects, as needed.

Otherwise, true learning flows in the direction that each weekly leader and class participants choose. True learning also occurs through what participants gain by working together to tackle an actual workplace issue. As noted previously, this model ably facilitates one of the initial goals for collaborating, which was to develop a teaching model that allows for meaningful leadership content without stretching the facilitators' resources more thinly.

Impacts and Future Directions for LDO

Some of the impacts from the course are evident. The student/staff interaction provides increased exposure for both — for the student to the real-world working experiences of their staff colleagues and for staff to learn more about the "customers" they serve on a daily basis. Some staff further benefit by applying a work-related professional development opportunity toward earning college credit. Further, concrete change occurs as the result of the group projects, with some, such as the safeword card project, leading to larger institutional attention.

Through end-of-program evaluations, participants have reflected that the opportunity to interact with campus leaders to gain broader perspectives of the university's goals and direction is perhaps the program's greatest value and most unique feature. Indeed, it is an opportunity that most employees do not commonly experience. For others, the opportunity to network with staff from other departments and students and learn from them is highly valued. Lastly, students without a full-time work commitment to the university appreciate more deeply what the university represents and how what they learned in the program can be applied to future work settings.

As the facilitators continue to develop the program, they intend to analyze further the impact of the program on developing leadership capability among employees at various levels within the institution. They are particularly interested in exploring how the program has contributed to career advancement among their participants. This includes an examination of any internal promotional opportunities that participants achieved and can credit, in part, to their participation in the program. It also includes a deeper look at less tangible but significant benefits such as assuming more leadership responsibilities within current roles; more effective collaboration with campus leaders, other departments or external constituents; or simply bolstered self-confidence among participants that they are, indeed, leaders within the institution with valuable contributions to make.

Lessons Learned

In the process of developing the program and delivering it for the past five years, the facilitators have learned some key lessons that are critical for ensuring success, whether for future semesters at IUPUI or for replicating the model in other institutions.

HR training department/academic program partnership: Does it make sense? Will it enable both to provide meaningful leadership development content while preserving scarce resources?

The departments of human resources administration and organizational leadership and supervision and their respective representatives were engaged in positive collaboration prior to engaging in the LDO venture. Through these interactions, they both saw how collaboration would be mutually beneficial. They both saw the need for such a program — for HRA as a "next step" beyond its existing training; for OLS as another course offering that would engage students.

In considering such a program in another institution, it would likely fall upon the HR training team to begin to develop these relationships with the appropriate academic program. Similar to OLS, the academic discipline of that program would likely focus on management, leadership, human resources, organizational development or similar areas. Through extensive conversations and relationship building, serious consideration would need to be given to the respective needs of each entity involved and to whether or not the LDO model would stretch their resources too thin.

Upfront planning: How do you spell LEADERSHIP?

Though the LDO program has achieved a certain level of ease in facilitation, initial development was intensive. Significant dialogue occurred to select the appropriate leadership topics and the learning objectives and speakers for each topic. Each year, the facilitators analyze these topics and make a few changes based on the current leadership focus and trends within the institution. For example, "P" was initially "Planning" but has been expanded to "Planning and Process Improvement" to more accurately reflect the content covered.

Further, the topics selected to spell "leadership" at IUPUI appropriately cover the most significant topics relevant to the institution. In replicating the program, blind adherence to the acronym should take a back seat to selecting those topics most relevant to individual institutions with careful attention paid to why each topic is important, the learning objectives to cover, and the leader most logically suited to speak on the topic.

Leadership support: Will leaders support the program and participate? Do they see the value of such programming? Are they credible models of leadership?

IUPUI has a collaborative culture, and its leaders are predisposed to open dialogue and transparency. Except where scheduling conflicts occur, the selected leaders have remained supportive as speakers throughout the life of the program. They cherish opportunities to engage with staff and students. Tacit leadership support of such programming is one thing; having a stake in the programming through active participation is another. Those seeking to replicate this model in their institutions will need to consider whether the institution's leadership will provide this level of support and, if so, whether their leaders model the appropriate leadership behaviors that participants can trust.

Learning culture: Will managers support staff participation in such a program? Will staff take it seriously and reflect leadership behavior through full engagement in the program?

As noted elsewhere, the facilitators experienced some challenges with respect to the level of engagement demonstrated by some participants. The facilitators changed this learning paradigm through less than subtle reinforcement regarding expectations for citizenship, participation, engagement and modeling of leadership behavior. Leadership development isn't for everyone. Fortunately, the IUPUI campus is large and can support an annual cadre of participants who will take the opportunity seriously and whose managers will support this expected level of participation. Those seeking to replicate this model will need to assess whether their institutions have a culture that supports such learning opportunities for staff.

Conclusion

After five years, the feedback suggests a true need, perhaps even a hunger, among staff for the kind of programming that IUPUI's Leadership in Dynamic Organizations provides, particularly for the opportunity for direct interaction with campus leaders. Indications are also positive that campus leadership embraces this model and will continue to support it through active participation. LDO is also a great "win" for the facilitators who have managed to create a meaningful leadership development opportunity without stretching other commitments too thin. Assuming there exists in other institutions a similar level of leadership commitment, an appreciation for unique learning environments that combine students and staff, and sufficient interest among staff and managers who support their growth, the LDO model is one that merits consideration.

Using Human Capital Planning to Predict Future Talent Needs

BY DONALD H. RUSE AND KAREN E. JANSEN

Human capital planning is an important tool in predicting future talent needs and sustaining organizational excellence over the long term. This article examines the concept of human capital planning and outlines how institutions can use HCP to identify the type and number of talent needed both now and in the future, recognize and prioritize talent gaps, and take action and make investments to close those gaps, thus avoiding talent deficits and ensuring bench strength well into the future.

Introduction

One of the biggest challenges college and university executives face is the struggle to have the right faculty and staff in the right place at the right time. The staffing decisions they must make today will affect the institution well into the future. The best way to make better-informed decisions is to base them on accurate predictions of the institution's future talent needs. Without proper forecasting, institutions run the risk of being overstaffed or understaffed or having an inappropriate mix of the skills they need to function.

Traditional workforce planning processes, which many institutions still use, provide only an aggregate picture of talent requirements. These "headcount" exercises are limited in value since they are typically driven by budget requirements (e.g., how many people the school can afford) versus the type of talent the institution needs to be successful over the long term.

Human Capital Planning: An Overview

What can colleges and universities do to avoid talent deficits and assure bench strength? One strategy is to improve their ability to forecast future talent needs by using human capital planning (HCP), a core analytical process illustrated in Figure 1.

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Figure 1: Human Capital Planning Process
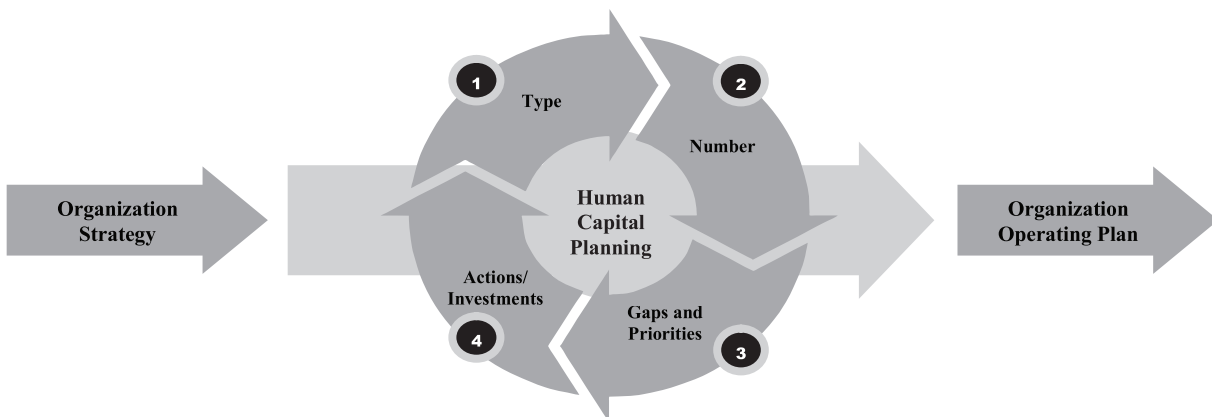
Human capital planning enables organizations to more effectively:

(1) Determine the **type of talent** needed to implement institutional strategy by translating that strategy into operational requirements and identifying and prioritizing the talent segments and roles that will be key to achieving these requirements.

(2) Figure the **net number of people** needed over the term of the institution's strategic/operational plan. This requires assessing the capabilities of the current talent pool, identifying the capacity that will be required in the future and examining potential changes in the pool that may affect the number of people needed in each talent segment.

(3) Identify **talent gaps** and priorities and determine the best approach for closing the gaps by looking at the relative size, strategic value and urgency of each gap and examining the costs (direct and indirect) of hiring vs. developing talent.

(4) Decide what **actions/investments** the institution should take to align its overall strategy, HR strategy and talent management processes with operational requirements. This involves focusing on the talent management processes that are most critical to addressing the need in each talent segment, assessing the performance of each and recommending actions to improve performance.

Step One: Identify the Type of Talent Needed to Implement the Institution's Strategy
This first step in the human capital planning process will answer the critical overarching question "What specific types of talent does the institution need in order to implement its critical business strategies and corresponding goals and objectives?" To find the answer, one should address the following questions: (1) What are the key challenges that the institution must address to realize the desired level of performance?, (2) What are the critical initiatives that it must successfully implement to address these challenges?, and (3) Which capabilities and corresponding types of talent are most/least critical to achieving the desired competitive advantage?

Answering the first two questions will require taking a detailed look at the college or university's strategies to understand fully what the organization wants to achieve over the strategic horizon and how it plans to realize these achievements. Additionally, it is important to understand the time frame during which the institution wants to realize these achievements and what, if any, key milestones must be met along the way. Knowing the *what* and *how* will provide the foundation for answering the third question, which is central to understanding the type of talent the

institution will need. It also provides a first glimpse into how the actions coming out of the HCP process will be prioritized.

An effective way to determine which roles are most/least critical to achieving institutional strategies is to use a process called segmentation. This concept can enable line leadership and HR to better understand the value contribution of talent segments or roles within the institution. By using segmentation, an institution can make more informed portfolio decisions regarding where it needs to grow, protect, streamline and/or reduce talent in order to better align its talent portfolio with current and future requirements. Under segmentation, each *role* in the institution — not each *person* — is assigned one of four quadrants and accompanying potential action:

Strategic. These roles are critical to driving the university's long-term competitive advantage. Faculty and staff in these roles have specialized skills or knowledge. Action: build these roles.

Core. The "engine of the enterprise," these roles are unique to higher education and core to delivering learning, teaching, research and services. Action: protect these roles.

Requisite. The institution cannot do without these roles, but their value could be delivered or made more effective through process redesign or alternative staffing strategies. Action: streamline/co-source or outsource these roles.

Non-core. These roles include skill sets that do not align with the institution's central mission and strategic direction. Action: reduce or eliminate these roles.

It is not necessary to segment all roles within the institution. Instead, focus on those that will have the greatest impact on the higher education enterprise and on the institution's greatest strengths or unique contributions. While there is no hard-and-fast rule on what a segmentation distribution should be, experience indicates that strategic and core roles each represent about 20 percent of an organization's population.

Step Two: Identify the Net Number of People Needed to Implement the Strategy
Understanding how many people the institution needs in order to implement its strategy may sound easy, but there are many considerations that must be addressed to get an accurate forecast of future talent needs.

Accurate talent forecasting requires a detailed understanding and analysis of current and anticipated workforce supply and demand dynamics and the implications these have for the size of the future talent portfolio in strategic and core roles. Human capital planning enables organizations to more accurately forecast future talent needs by providing the ability to understand and model key internal and external dynamics that can affect the current and future talent supply and demand in identified roles. These include:

- historic turnover rates;
- historic movement such as promotion and internal mobility;
- expected retirements based on eligibility and past experience;
- projected labor market dynamics that could increase/decrease expected turnover;
- projected labor-related economic or legislative dynamics that could increase/decrease expected supply or demand;
- current skill proficiency of incumbents and the degree to which this proficiency affects the qualified internal human capital supply;
- impact of anticipated changes in HR policies that could increase/decrease turnover, movement and retirement experience;

- time to assimilate new talent to fully proficient performance; and
- staffing economies associated with the ability of a single role/segment to implement multiple strategic objectives.

Using human capital planning will help the organization to more clearly model future headcount needs based on how each role contributes to the achievement of strategic objectives. This relationship is relatively obvious for roles directly related to institutional mission, but it is less obvious for roles that have a secondary relationship to mission-related results. HCP analytics enable an organization to identify the direct or indirect relationship between the role and the objectives.

Step Three: Identify and Prioritize Talent Gaps

Once an institution has identified the total needed headcount, the focus should shift to identifying the gaps between current and future talent needs. This difference is referred to as a "talent gap." It can be difficult to determine which talent gaps to close first, as they all represent talent needs in roles that are critical to achieving the institution's mission, vision and long-term strategies.

The goal is to prioritize talent gaps so the college or university can identify the order in which they should be closed. To do so, focus on four key pieces of information: (1) the size of the gap, (2) the lead time needed to hire individuals into the role, (3) the timing of the role's contribution to the institution's strategy, and (4) the impact the role has on achieving the strategy. The scale shown in Figure 2 can be used in HCP to bring these factors together and assign overall priority:

Figure 2: Prioritizing Talent Gaps	
Priority Level	**Illustrative Description**
1 (High)	This role is critical to initiate institutional strategy, must be filled before others can be brought on board, and has a long lead time to fill.
2	This role is important early in the course of institutional strategy and has a long lead time to fill.
3	This role is important early in the course of institutional strategy but has a short lead time to fill.
4 (Low)	This role can be brought on board late in the course of the strategy and has a short lead time to fill.

Prioritizing these gaps is essential because it provides critical focus and direction to talent investments (time, money and energy). Too many organizations fail to prioritize and, as a result, overwhelm HR and line management with requirements to address all talent gaps at the same time. Resources are stretched thin, processes begin to break and poor decisions abound. The organization can find itself worse off because it not only failed to address the most critical gaps, thereby putting its strategy at risk, but also created unnecessary organization fatigue, which could further decrease its ability to implement its strategies.

Step Four: Take Action and Make Investments to Close Talent Gaps

It is one thing to identify talent gaps; it is another thing to make informed investment decisions and take real action to close the gaps. In step four, the focus of HCP shifts from identifying and understanding gaps to evaluating what actions and investments are required to close these gaps before they affect the institution's strategy. It can take years to grow the needed expertise and organizational acumen necessary to get things done in a higher education culture. Hiring from outside may also be difficult and cost-prohibitive, given the labor supply and demand. Using HCP, an institution can make informed decisions regarding the actions and investment required to close talent gaps by taking the following steps:

(1) Understand and evaluate whether it makes sense to buy or build talent through a detailed analysis of the cost of hiring vs. developing and the time involved in hiring vs. developing. HCP looks at the factors shown in Figure 3 when completing this analysis.

Figure 3: Factors to Consider When Closing a Talent Gap	
Develop (Build From Within)	**Hire (Buy From Outside)**
• Time it takes to source and select internal candidate • Time it takes to transfer knowledge, skills and networks necessary to be fully proficient in role • Time it takes to gain requisite experience • Cost of training and education • Cost of internal search (HR and line management)	• Time it takes to source and select external candidate • Time it takes to assimilate new hire into higher education culture • Cost of education and training • Cost of external search • Cost of relocation • Salary differential or pay in the external market vs. internal market

(2) Identify the aggregate costs of buy/build decisions and calculate the return on this investment by comparing the cost/benefit the institution will experience if this strategy is implemented successfully.

(3) Assess the capability and capacity of the institution's talent management processes to determine the degree to which it is able to fully support buy/build decisions. Identify what, if any, additional investments are required to improve capability and capacity. Factor this into the costs identified above and recalculate the ROI to ensure it provides the appropriate return required by the institution.

(4) Define and implement a human capital action plan to close the gaps over the course of the university's strategy.

(5) Assess the ability of the institution's line leadership and management to implement the actions required to close talent gaps. Address and resolve issues of commitment, engagement and accountability.

Conclusion
Colleges and universities will always be challenged to manage faculty and staff in such a way that ensures they have the right people in the right place at the right time to implement their mission and achieve their vision and associated goals. Those that use strategic workforce planning processes, such as HCP, will be better positioned to ensure that the institution has a constant supply of talent in all the right places. Institutions that understand how to identify the type and net number of talent they need, recognize and prioritize talent gaps, and take action and make investments to close those gaps will develop a sustained competitive advantage that will be hard to duplicate.

Talent Management: Emphasis on Action

BY BARBARA BUTTERFIELD

Recent discussions among HR practitioners in higher education have focused on talent management; specifically, the concept of developing a college or university talent management approach balanced between planning and action. Talent management as a planning tool looks very similar to workforce planning, but where HR will experience a real opportunity for contribution to the organization is in the quality of implementation supporting the plan. This article emphasizes strategic human resource initiatives that can help realize an institution's talent goals and contribute to performance that will build future institutional capacity.

Introduction

Human resources has a compelling mission to provide "value added" services; however, this expectation is often hard to describe. Further, HR leaders are asked to provide "line of sight" plans that support institutional strategy and challenges; again, not an intuitive task. It is, perhaps, more clarifying to examine effective, leading-edge practices that have been or could be put in place that deliver on the promise of excellence in human resource management. Here, some successful strategies are examined in the areas of talent retention, growth and employee engagement.

Developing/Delivering Action Plans Directly Linked to HR Initiatives/Workforce Plans

HR's responsibility related to talent management is to identify investments, design development required to fully deliver on its role in TM, and calculate the return on investment to the organization. With campus business partners, HR should assess the ability of the organization's decentralized leadership to implement local or unit-based actions required to close identified talent gaps. Assume that one initiative will be to retain high performers in strategic and core roles. A decision model may assist both central HR and local leadership to identify actions appropriate to different performance segments.

This decision model is sometimes referred to as the "Can Do/Will Do Matrix." The model identifies performance quadrants and HR or local leadership talent management initiatives to address each subgroup. The vertical axis represents ability, or "can do;" the horizontal axis represents willingness to contribute, or "will do." In each quadrant, HR should plan with local leadership how to address and resolve issues of accountability, engagement, competency development, growth and reward.

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Can Do/Will Do Matrix

High Ability and Low Willing	High Ability and High Willing
Warn, challenge, acknowledge skills, set performance goals, reward conservatively	Recognize, provide leading-edge tools and development, plan career, reward, retain
Low Ability and Low Willing	**Low Ability and High Willing**
Place on performance plan, review regularly, reserve reward, separate	Provide training, reconsider assignment fit, assure supervision, give earned rewards

HR Initiatives That Contribute to Organizational Intelligence

The seven initiatives listed below are illustrative of where HR can move beyond traditional functional boundaries to contribute value on the action side of talent management. The intended outcome from such investments would be evidence and measurement of the degree to which the organization is resilient, dynamic and flexible, and that it is optimistic about its fitness for the future.

Retention strategy. HR can assist the organization in identifying its high-achieving strategic and core performers. It can coach local academic and operational leadership in the conduct of retention interviews, which include one-on-one meetings with high performers to assure that the individual understands that his or her performance is highly valued and to discover how the organization can best support the performer's continuing future engagement and success.

Succession planning. Higher education is historically an egalitarian culture resistant to formal identification of heirs apparent. On the other hand, it is clear that organizational succession does occur less formally. HR can consult with decanal leadership to identify performers with potential for advancement. Organizational charts that pictorially reflect performance, loss risk (including retirement eligibility) and promotability will enable planned developmental and experiential investments necessary to enable internal advancement. Roles are critical to driving the organization's long-term competitive advantage. Performances in these roles require specialized skills or knowledge such as teaching, research, fundraising or investment.

Knowledge transfer. HR can assist the organization in identifying orderly means of transferring knowledge to new and advancing faculty and staff. Position overlap, particularly in staff positions, is quite effective in knowledge transfer and often not provided for in higher education. When succession or career path advancement has been planned, multiyear experiences and cross-training can be provided prior to promotion. Career communities based on job families with similar education and experience requirements allow for self-organized knowledge transfer and should be aided by HR in the identification and facilitation at the start-up phase.

Internally driven performers. As institutions of higher education grow in size, interest in and ability to micromanage individual performance diminishes. HR can contribute greater value in attraction and selection processes by identifying candidate characteristics that contribute independently to the academy. One of these characteristics that could be specified as "additional qualifications" is a sense of personal satisfaction coming from within rather than reliance on outside direction and praise of others. What other personal characteristics might be defined that predict individual success within the academy?

High performance teams. HR is often asked to assist in populating task-based committees or to facilitate the performance of such groups. Traditionally, these teams have been appointed on a representative basis so all interests have a voice. HR can encourage and enable appointment to task forces, committees or teams based on competencies required by the task (e.g., knowledge experts, statisticians, writers, researchers, meeting management, nay-sayers and so on). Research has shown that diversity yields high-quality outcomes, therefore contributing to high-performing teams.

Self organizing success. Every organization experiences moments of brilliance. When these moments occur, the people involved share in a sense of success. HR can help the organization repeat these occurrences and create a culture of self-organizing successes. To accomplish repetition, HR could use techniques from Cooperrider's "Appreciative Inquiry" and assist successful teams in understanding what circumstances enabled high performance so they and other teams can replicate the circumstances. The questions are these: What did people do individually that contributed to success? What was unique about the team's performance that ensured the result? What about the organization and its policies or culture enables such a success? Can what is learned be put in place to increase the likelihood of future successes? Most importantly, when the organization experiences success, can the same or similar groups be empowered to work further and independently on their own?

Leadership investment, onboarding and transition support. HR can analyze task-based competencies that create success in leadership positions, including personal characteristics that contribute achievement in academe. It can build these into advancement coaching, interview questions, performance feedback and coaching support for members of the academy who are in or destined for leadership roles. HR can assure that onboarding plans include not only introduction to roles and key institutional players, but also to culture and climate.

Scenario Building Creates a Compelling Platform for Action

HR leadership is accountable for helping the organization interpret long-term needs for talent that will assure achievement of the institutionally planned future. Scenario building is an approach to envisioning the desired future. It is a process that utilizes discussion focused on data, discovery, dreams, design and delivery. HR can engage leadership groups and management by asking the following kinds of questions about talent management challenges:

What if we do nothing? What will happen if future needs for talent and current talent gaps remain unaddressed? How will this affect the university's success? To what degree can planned strategies be achieved? What units and initiatives will be most negatively impacted?

What if we were able to exceed our greatest expectations? What would result from substantial over-achievement? What could be expected in relationships with competitors, in rank, in enrollment, in research and in teaching success? What is the cost benefit?

What is realistic? Given institutional plans, what realistic investments in talent management are advisable? What priorities can be set so the organization's plans for the future are assured and related talent management goals are met?

Creating and Evaluating Talent Management Success

In order to set and evaluate talent management priorities, begin with how the organization hopes to describe its human performance capabilities and capacity in the future. These descriptions will usually be focused on organizational strengths and areas of distinction both current and developing.

Plan
- Numerically define strategic strengths and competencies needed to achieve organizational expectations.
- Set goals that result in closing gaps in current competencies.
- Set specific targets based on adaptive competencies that must be acquired.
- Determine metrics that will demonstrate "bench" strength needed.
- Provide measureable (cost benefit analysis) business plan proposals that demonstrate the value HR proposes as initiatives to supply and support the performance chain.
- Clarify executive endorsement among the possible HR initiatives.

Set Goals
- Identify specific, measurable goals that will predict success.
- Demonstrate the line of sight established between needed organizational outcomes and HR initiatives.

Invest
- Clarify how HR will realign generalists' and specialists' efforts to serve these initiatives.
- Realign HR's budget to serve talent management initiatives.
- Take responsibility for growth by substitution and seek initiative-based funding.

Perform
- Integrate HR's initiatives and budget to achieve intended organizational performance.
- Deliver on initiatives as planned, on time and within budget.
- Report progress in annual HR reports and in the human capital plan.

Measure
Compare outcomes to predictions, for instance:
- Core skill areas are experiencing higher retention than the rest of the organization.
- Core skill areas are compensated at or above the target relationship to market.
- Performance in core skill areas excels.
- High performers in core skill areas report higher than average employee commitment.
- Internal promotion rates in key performance areas are higher than average.
- Strong career communities have been established in core competency areas.

CHROs Discuss the Critical Need for Talent Management: Why TM, Why Now?

In closing, some chief human resource officers share their thoughts on talent management and offer some examples of what their institutions are doing in support of TM initiatives.

Carol Carrier (CHRO, University of Minnesota)

In order to meet an ever more challenging future, the University of Minnesota realized that investment in leadership competency modeling, performance feedback (internally developed 360-degree review), development and succession support would be critical to ensuring success. Carrier, in collaboration with university executives, decided to start with competency architecture for top leadership beginning with deans and vice presidents. The logic was "it is

critical to get it right with this audience before expanding the initiative."

The project began with interviews of 24 deans and is focused on identifying UM-specific leadership and role-based competencies that contribute to organizational success. This talent management initiative will define competency models in UM campus-appropriate language and build these competency expectations into selection and evaluation processes. Carrier points out that UM's strategy will begin with development investments based on the competency models because of the positive focus and mutual benefit. Following these investments UM will emphasize readiness of internal candidates for promotion. Carrier is predicting and will measure resulting retention and internal advancement rates. By summer 2008, the competency models for deans and vice presidents will be complete and incorporating input. A formalized HR talent management team and advisory group of five deans oversees the project.

Laurita Thomas (CHRO, University of Michigan)

At the University of Michigan, a peak in staff turnover for new employees that used to occur between five and seven years is now being observed at three to five years. These talent losses, according to Thomas, can in part be attributed to lack of opportunity for meaningful contribution and professional growth. The University of Michigan's planned response and HR initiatives are: (1) to define how knowledge transfer can be more effectively supported and (2) how investment in a portfolio management project to describe effective characteristics and competencies can contribute to success in the academy. Included in the portfolio project is a collection of related success stories telling of different routes to achievement. Project outcomes will focus on success-based competencies rather than job-related tasks.

Jack Heuer (CHRO, University of Pennsylvania)

The University of Pennsylvania faces two convergent talent management forces: (1) the potential loss of retirement-eligible staff and resulting bench strength impact for selected core performance areas and (2) employee perceptions about lack of feedback on performance and a sense that Penn is unaware of or failing to address development and succession to initiate talent management initiatives.

At Penn, talent management for staff is the responsibility of HR and is housed in the Center for Learning and Education, which includes a career center and a cohort of mentors. One of the TM strategies began with a cohort-based program for 25 current or aspiring leaders, many from the student services area. Backers for the program include the provost, president, a board member, an executive vice president and teaching faculty. The program includes three themes: (1) identifying and building on higher education leadership characteristics, including 360-degree evaluation for each participant, (2) the study and presentation of issue-based projects (e.g. onboarding), and (3) providing performance enhancing feedback. Outcomes will focus on employee contribution and engagement (Penn is currently experiencing 99 percent return on evaluations), reduced turnover and increased internal promotion. *Note: Massachusetts Institute of Technology originally designed, piloted, implemented and successfully continues the program as described in this design.*

Clint Davidson (CHRO, Duke University)

Clint Davidson, chief human resource officer at Duke University, says: "Talent management challenges in higher education are formidable. As major employers, higher education is facing an aging population, increased demand for high productivity, demanding skill sets, gaps in the talent portfolio, and increasing costs for retaining skilled and committed faculty and staff — and all at a time of a declining supply. The good news is that within higher education communities, the work culture can be substantially leveraged to attract, develop and retain needed faculty and staff for years to come. Talent management is going to require our investment and relentless action."

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From Conception Through Delivery: Developing a Just and Equitable Faculty Maternity Leave Policy

BY JOSEPH UNTENER

While much has been written on the need for faculty maternity leave policies in institutions of higher learning, the development of such policies is difficult given inherent administrative complexities and multiple approval processes. As a result, many institutions have either no policy or one that is inadequate or out of compliance with applicable laws. In this article, the author shares key steps and considerations in developing a faculty maternity leave policy that is legal, fair and supportive of an institution's mission and culture.

Introduction

In the mid-1980s, when University of Dayton social work professor Jennifer Davis-Berman was having children, UD, like most institutions back then and even today, had no faculty maternity leave policy. Women were still far underrepresented in academia, and their struggle for fairness placed them in an almost duplicitous bind when it came to subjects such as maternity leave and work-family balance. Because a semester off from teaching or a request to stop the tenure clock for a few months might be construed as "special treatment," most faculty moms did their best to work as though nothing had changed when a baby was born. Medical leaves were brief. Grading was done at home. The feverish pace of the tenure track didn't slacken.

Looking back at the blur that was her life as a new mom on the tenure track, Davis-Berman marvels. "Those were hard days," she says. "With tenure, we were sort of left to our own devices to carve a path, to be productive, to stay on track. You also want to be a good parent and not miss out on those special times. But it's an intense time. If you don't accumulate a certain record of scholarship, teaching and service, both quality and quantity, you can't stay, and if you don't make tenure, you're going to have trouble getting hired elsewhere. Pretty much your whole career hinges on it. You throw a few babies in there, and it's high-anxiety." Davis-Berman got through it by "working a million hours at odd times." She says: "I became a great multitasker, and it gave me a lot of flexibility."

Today, recognizing that it is in their best interests to attract and retain a diverse faculty, universities are beginning to see the importance of addressing faculty maternity leave as a policy to avoid the angst, stress and inequity that occur when plans are "negotiated" individually. In 2005, when the University of Dayton undertook the writing of such a policy, it took into consideration legality, fairness, justice and quality. The policy, carefully crafted in accordance with UD's mission and vision to meet the specific needs of students, faculty and administration, has been well-received.

Julie Morrison, an assistant professor of counselor education in the UD School of Education and Allied Professions, was one of the first to take a leave under the new policy and has been pleased with its fairness and flexibility. After her second son was born in August 2006, Morrison not only had a semester off from teaching, but also accepted UD's offer to extend her tenure clock by one year. "It is difficult to estimate the effect new motherhood will have on productivity," says Morrison, who joined UD's faculty in August 2003, just 10 weeks after her first son was born. "My first year at UD, I didn't accomplish all I had hoped because being a mother was a bigger adjustment

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than the job change from school psychologist to faculty member. The job was just a small part of how my life was changing because I was not a mother long before I was also a faculty member. I didn't get much publishing done that year. I was able to maintain what I had been publishing, but I didn't advance much. The second year, I started to catch up, and in 2005-06, I did a lot of publishing. I think my main accomplishment that first year was that I didn't fall asleep at the wheel on the way home."

Since returning to work full time in January 2007, Morrison has appreciated the administration's support — something she doesn't take for granted. A relative of hers on the faculty of a small New England college hasn't been so fortunate. "She had a heck of a time because there was no policy," she says. "She was upset because she didn't get the same privileges another faculty member had. It was all worked out on a case-by-case basis, and in her mind, it was not fair. It affected her job satisfaction, and she may change universities because of it. I feel I was treated fairly here."

The way UD formed its policy can perhaps serve as a guide for other institutions. The following is an outline of how it was done.

Initial Steps

Before the University of Dayton could begin creating its faculty maternity leave policy, there were a number of "first steps" that needed to be taken to set the tone. These included: (1) identifying a small group to work on developing the policy, (2) understanding the need for such a policy, and (3) acknowledging the special case of faculty.

Identify a Small Group to Work on Developing the Policy

The nature of a maternity leave policy cuts across so many concerns that there is a tendency to convene a large group to ensure adequate representation from throughout campus. Many unsuccessful attempts have occurred due to large, amorphous groups with a general sense of a goal but without the focus to push from concept to policy. A small group whose members have passion about the need and decision-making authority within the institution can represent various interests and also serve as champion to push through the natural resistance to change. At the University of Dayton, a core group consisting of a human resource professional, a respected faculty member and the associate provost for faculty took on this task.

Understand and Appreciate the Need

Upon assembly, each member of the group needs to articulate his/her perception of the need independently. Some might view the policy as an employee "benefit;" some will see it as a policy to facilitate departmental planning; and others will identify the need to comply with the law and avoid legal liability. While none of the members is likely to have a singularly narrow view, it is likely that without time and attention explicitly invested in understanding the multiple needs, the implicit assumptions that each holds will limit the group's progress.

A tremendous amount has been written on the need for fair and family-friendly policies with regard to childbirth for women faculty members. The topic is most often approached from the perspective of recruiting and retaining women faculty. The need, however, can be viewed more broadly. For example, a university has an ethical commitment to female faculty members to provide a clear policy that can be relied upon for maternity leave just like the ones provided for the rest of life's normal processes that interact with one's professional life. At the same time, an institution must meet its educational missions, and students should be able to depend on a semester or quarter with continuity even if a professor is pregnant. Also, academic administrators and female faculty should not have to "negotiate" about a leave. Such individualized approaches lead to extensive variance among cases that can ultimately result in ill will and even legal liability.

A common assumption is, "We don't have a big problem here. Women who have come forward in the past have been dealt with fairly, and a mutually agreeable resolution was reached. It has always worked out just fine." However, research — such as a 2004 study of perceived tensions between the ethics of justice and care — provides

evidence that the lack of good policy causes difficulty for women because the need for "negotiations" leads to substantial problems (Liu and Buzzanell 2004). For many women faculty, the effect of childbirth on their academic careers is a major consideration in the critical decisions they make with and for their families.

It is also well-documented that women faculty make significant decisions about family planning that cannot be changed nearly as easily as career decisions as they advance in age and profession. These are just a few reasons that a maternity leave policy — or the lack of one — can have an impact on the recruitment and retention of women faculty. Faculty look for this policy well ahead of time, and for many, it helps shape important decisions such as whether to accept a position or commit to staying at a given university.

In addition to considering the local effect of inadequate policy, universities have a collective responsibility to higher education to improve the clarity and fairness of policies. Some research indicates that this issue is affecting the graduate student pipeline in that women are having babies in graduate school due to the "prevailing wisdom" that this should not be done while on the tenure track. Many women coming out of graduate school are quite naturally reluctant to talk about maternity leave policies in a job interview for fear that it will impede their chances for the desired positions. Those who try to plan according to inadequate policies often experience difficulty, and young faculty often overestimate their ability to conveniently "time" the birth of a child. This situation can lead to family strife.

Acknowledge the Special Case of Faculty

While corporate human resource departments, professional organizations and legislative bodies have done well in their attempts to craft equitable maternity leave policies, their efforts are generally focused on business and administrative environments rather than academic ones. Universities present a special case. Teaching faculty are an instrumental part of a university's "core product." Because their expertise is often highly specific, they can't just be swapped with a substitute faculty member or a "temp" for a substantial portion of a term without affecting quality and continuity for students. "One-size-fits-most" policies such as the 1993 Family and Medical Leave Act, if followed to the letter, simply don't align well with academic terms, so a faculty maternity leave policy formed with only these parameters is almost sure to present problems for quality and customer service.

To illustrate: At the most basic level, a typical six-week medical leave after childbirth does not align with the 16-week semester, though both are concrete commitments. This mismatch is a root issue; a faculty member giving birth typically has a right to a paid six-week medical leave, yet students deserve an academic term with continuity. The institution is automatically left to figure out how to deal with this mismatch. To have the person teach up until the first day of leave and return when medically cleared to do so is not typically the most desirable approach for the educational process; in some cases, it's nearly impossible from a practical standpoint. This problem does not present itself in the same way for an admissions counselor, a bursar, a campus security officer or other non-faculty post. This most fundamental reality makes clear the need for a faculty-specific solution.

Academic administrators should also be afforded the time and tools to plan and prepare for the maternity leave. Chairs often must respond rapidly to faculty members' sudden medical situations, and with care, circumstances can work out with fairness to both the students and the affected faculty members. This approach, however, is not adequate for something that is predictable with several months' notice, such as a maternity leave. Without a maternity leave policy designed specifically for faculty, chairs are unable to adequately plan for and address this issue effectively and consistently.

Writing the Policy

Once the above considerations have been adequately discussed and researched, the actual writing of the policy can begin. Some suggestions to help ease this process are: (1) articulate the central intent for your institution, (2) acknowledge and manage the past, (3) learn and weigh the legal considerations, (4) remember the tenure clock, (5) define an appropriate level of detail, and (6) look for potential conflicts with existing policy.

Articulate the Central Intent for Your Institution

The primary goals and constraints of a faculty maternity leave policy should be articulated early in the process of creating it. The policy must be tailored to the individual institution. The variation in type, size, mission and culture of institutions demands that each policy be developed internally. The type of institution — public, for-profit, religiously affiliated — has a strong influence on the policy, as does the size, mission and culture of the institution. From a practical sense, many different resource issues must be considered, such as the size of departments, the availability of part-time faculty and the financial strength of the organization. Being part of a state system might be a limitation, just as religious affiliation may be in others. While other institutions' policies can be used to inform the policy-making process, it would be unwise to try to collect these and then simply choose the one that seems to fit best.

At UD, the premise for the collaboration was to develop a policy that addressed the mismatch between the academic semester and the time period of the medical leave for childbirth. This approach worked well at UD, which previously had no policy at all. While its primary intent was focused on meeting the educational mission of the university and delivering on a commitment to students, the policy ultimately improved the situation for women faculty and families. Note that the primary intent was not to develop a policy that would serve as a human resource benefit or a retention tool; while both of those are admirable goals, a more focused approach was required to move this issue from status quo to an action with positive effects for faculty and family issues.

Acknowledge/Manage the Past

Many wanting change underestimate the power of inertia and of past actions. It helps to acknowledge past "misfires" and historical issues around related topics. If a key individual or interest group successfully made a demand, or if a lawsuit occurred, it's important to acknowledge that and prepare to address it. If a stated policy already exists but is illegal, inadequate or outdated, the university should explore what factors affected its implementation and whether these same sources have the potential to promote or detract from the formation of a new policy.

At UD, several previous attempts to institute a policy had failed, but the attempts had not been highly visible and didn't leave excessive "scar tissue." The general idea had been introduced in the Academic Senate and then waned with a lack of momentum. It was simply too complex and sensitive for the limited level of institutional commitment it had at the time. Hence, when the matter was taken up again, UD did not need to tend to extensive negativity; the challenge was rather to build sufficient momentum before entering an approval process where inaction or negative votes had the potential to thwart the effort yet again.

Learn and Weigh the Legal Considerations

Though the need for a policy that meets legal standards is obvious, those standards are rarely met, says a 2005 article in *The Chronicle of Higher Education* (Williams 2005). Medical leave policies are typically already in place, and FMLA leave is well-documented, but pregnancy presents a special case for teaching faculty. The result is often something that is not legal because it treats pregnant women better or worse than their male counterparts. There can be some differences in the treatment of biological mothers, but these differences must be acknowledged and understood.

In general, an institution needs to consider how and why there are differing needs between the child-bearing mother and other new parents — whether biological or adoptive (Johnson v. University of Iowa 2006). The wider these differences, the more likely the policy could be challenged. The more they are the same, or at least clearly explained, the less likely an institution will spend time and money defending them. The group developing the policy, at a minimum, must become familiar with the FMLA regulations and the Pregnancy Discrimination Act of 1978. The American Association of University Professors offers a set of guidelines as well, and these should be reviewed (Thornton 2006). One should not assume that implementing an existing policy from another institution is adequate.

UD maintains equity between female and male faculty in a variety of ways. A "parental leave," for example, can be taken under the broader FMLA by any mother or father, biological or adoptive. Another example of parity is that there is no paid time off specified for a mother delivering a baby if the medical time off occurs during a break in an individual's contract. Similar to a man who has an appendectomy during the summer, the medical costs are paid, but the faculty member is not on a medical leave since he or she is not on contract.

Also, either parent can take an unpaid leave under FMLA. Biological mothers are able to take paid time away from teaching, but that is based on their medical needs. This difference is justified by the educational mission and the need for medical leave. For this reason, then, paid leaves cannot be taken outside of the academic term of the medical need. Neither the time away from teaching nor the paid time off can be "banked" for later usage in this case since there is no link to the medical time conflicting with the semester of delivery.

Remember the Tenure Clock
A faculty policy dealing with an extended leave but not addressing the effect on tenure is inadequate. Even when addressed by policy, the stopping of the tenure clock should not be viewed as a panacea for women. Tenure issues must be clearly explained in policy, and both the institution and the faculty member need to acknowledge that the local policy is not binding for outside parties. For example, funding sources such as the National Endowment for the Humanities and the National Science Foundation do not recognize such interruptions and do not adjust. Also, the delay in achieving tenure status has real implications for the faculty member. The ability to stop the tenure clock for a year without stigma is necessary but not sufficient. An institution needs to guard against raising scholarship or performance expectations for the individual. The delay is to tend to family life issues, not to use for additional scholarship.

While tenure is not a simple issue, it is at least contained within a clearly definable subset of university employees and is usually less complicated than leave issues that apply to other employees of an institution. It is not likely to have huge HR benefits or other complicating factors. For this reason, it can be addressed by those who work specifically with faculty issues and encounter less resistance in its formation and implementation.

At UD, the tenure clock issue was actually worked separately and prior to the maternity leave issue. One impetus for writing this article is correcting common misinformation. In higher education nationwide, advisors to doctoral students are often guiding them based on old information. As recently as 2006, a publication indicated that Stanford University was first in setting an all-new policy to extend the tenure clock by default for new parents. In fact, UD in 2003 set this as a standard and, in fact, went further. The UD policy does not require that a person take a leave; rather, anyone who is eligible for FMLA leave has the clock stopped. Often, a new parent will not take a leave — for example, a father or an adoptive parent who does not have a medical leave — but the demands on their time are increased.

At UD, an FMLA-qualifying condition, whether for a new child or for caring for an elderly parent, for example, will have the tenure clock stopped unless the faculty member elects to keep it moving. The UD policy on the delay of tenure does not apply to just women or to just childbirth, so its broad nature lends itself to any standard of fairness or law. Also, its value to faculty greatly exceeds any actual cost to the university. If Stanford's announcement was received as well as it appears to have been, this policy should be entertained by more institutions for the common good of the academy.

Define an Appropriate Level of Detail
If the group assembled to develop or modify an existing policy does not have reasonable expectations for the level of detail, it will limit the results. Too low a threshold will result in a weak and unhelpful policy. Many current policies say essentially nothing more than, "a leave can be arranged." This creates a need for negotiation, which is patently unfair to not just expectant mothers or those who plan to be, but also department chairs who need to deliver courses while maintaining a friendly relationship with faculty members. Too high a threshold for detail will result in a group

feeling its efforts are futile after realizing the level of complexity and the number of variables. One sure pitfall is to set an expectation for absolute detail, or a policy that aims to wholly replace the need for sound judgment and responsible adjustment.

Female faculty need to know the steps necessary for taking a leave. These steps should not be extensive. While there needs to be some flexibility, they should not have too wide a range of possible outcomes. A department chair should know the steps to take when the faculty member informs him or her of the pregnancy and should not be burdened with a financial commitment or a need to "negotiate" with the colleague. Therefore, a university should not accept a policy that essentially states no more than, "Pregnancies will be dealt with fairly and consistent with other university policies." A university also should not expect a policy that defines exactly what to do in every possibility. There are so many variations of pregnancies and responsibilities that there is no way to prescribe such formulaic detail for all of them.

Look for Potential Conflicts With Existing Policy

Any maternity leave policy will likely intersect with standing policies such as paid time off, sick pay and other leave policies. A group cannot be expected to develop a thorough faculty maternity leave policy without requiring the need for other changes. Upon initiating the effort, a university should be clear that it accepts this as a given; otherwise, it will restrict its ability to develop a solid policy.

At UD, the group writing the new policy had to recognize the way that "salary continuation" was accrued. Recognizing that younger faculty are generally the most likely to be affected by the policy, UD made the decision to purchase a separate insurance policy to provide salary continuation for first-year faculty members who otherwise would have no pay for a maternity leave. The new policy also brought about the need to revise UD's benefits handbook to remove language stating specifically that paid time off was not permitted "to care for a child." There is still no paid leave specifically for this purpose, but the revision allowed for "modified duties" and salary continuation.

Moving the Policy From Written Draft to Approval and Implementation

After the faculty maternity leave policy has been drafted, the approval and implementation processes can begin.

Spread the Word and Edit the Draft Before Seeking Approval

Just as it was important to keep the initial group that drafted the policy small, it is also important that the draft receive extensive review and input before approval is sought. Campus cultures vary on this topic, but nearly all will require some form of vetting, and the initial group needs to be open to feedback. The drafts should be taken to key leaders on campus for input. Groups such as legal affairs, deans' council, the faculty senate, women's organizations, the compensation board and others should see advance copies of the drafts and be asked for input. This process of collaboration should be early, informal, broad and valued by the initial writing team.

Getting the Policy Approved

As a faculty maternity leave policy approaches the approval process, the institution should be prepared to accept imperfection. During the process of informal feedback, mutually exclusive opinions are likely to be expressed. Variations that are desirable but cannot be resourced will be suggested. Many improvements will likely be possible, but some of the imperfections and inadequacies will have to be accepted.

One way that these policies don't make it to implementation is death in the formal approval process. At some point, many people will review the proposed policy in an approval setting such as a faculty senate. Shortcomings will, of course, be pointed out — and should be. Affirm not only these shortcomings, but also the ones that the developers know of. For example, the policy may not cover adoptions, non-tenure-track faculty or faculty in administrative roles.

At UD, imperfections were accepted by the academic senate based on the stipulation that the senate review the policy three years after the date of adoption to understand the actual practice, assess its effectiveness and respond with appropriate changes.

Post-approval Follow-up and Implementation

Final approval may appear to bring closure and resolution, but actually more effort is required. Additional work is needed to develop a plan to publicize the policy and provide simple interpretations and examples. One possibility is to use faculty e-mail with Web links that show examples of applications. Other media should be used as well. Required changes to other existing policies need to be written and approved. Other follow-up tasks in tangential areas will need to be done. For example, once faculty members begin to see the way the policy works and its shortcomings, they will highlight other areas in need of work. At UD, after the policy was communicated, the issue of adoptive parents became highlighted. As a result, the leadership within faculty and human resources revisited the adoption policy. Recognizing, among other things, that adoptive parents may need to take unpaid FMLA leave, UD substantially increased its reimbursement of adoption costs.

The process of education in this matter is continual since people often don't pursue the details until they are actually going to be affected by the policy. Misinterpretations are bound to occur. A faculty member who views a maternity leave policy as a benefit may believe he or she is entitled to a certain amount of leave and ask to take that entitlement for a different reason. Alternatively, a female faculty member may insist that she can maintain her courses during the medical leave — a situation that could be problematic in both educational and legal arenas. These issues highlight the reality that all policies require judgment. That does not make policy invalid. Policy provides the guidance and parameters in which judgment is to be exercised, and the process is continual and educative.

From the Field: Two Professors

The University of Dayton's faculty maternity leave policy took the uncertainty and stress out of the equation for the maternity leave of Julie Morrison, the aforementioned UD counselor education professor. She also has appreciated the support that has come from non-administrative channels.

"One thing that was helpful early on, more than words can describe, actually, was that new women faculty here are assigned a mentor through the Women's Center," says Morrison. "When I talked to her the first time, she told me that she had all three of her boys while she was working at UD. I was encouraged to know she was able to do it. That weighs on your decision on when to have kids — or whether to have kids." For Morrison, that mentor was the aforementioned social work professor, Jennifer Davis-Berman, who applauds UD for developing the new policy.

"My oldest son was a year old when I started in 1986, and I had two more within a few years," Davis-Berman says. "Stopping the tenure clock wasn't even an option back in those days, or if it was, I didn't know about it. I negotiated it all with my department chair." Despite the absence of a university-wide policy, the experience was positive. "My department and UD were tremendously supportive, and that made a huge difference," Davis-Berman says. "Some women on the faculty here have come here and stayed here for that reason, because of the support we have had. I think it's really important for universities to let women know that they support them and are behind them in having children." Over time, Davis-Berman hopes the "special treatment" stigma of maternity leave and motherhood dissolves.

"I always felt, and I still kind of do, that I had to be more productive than others because I'm a woman and a mother," Davis-Berman continues. "I never wanted to be perceived as a less serious scholar or teacher. It's almost like we feel like we have different standards. But really, I think I'm a better teacher because I'm a mother. It's a role I always wanted to fill, and I think satisfaction makes for a better teacher. It's also a model for our younger women students who might consider academic life if they know it can be done with a family."

Key Features of the University of Dayton Policy

Based on premise of medical leave not matching semester responsibilities for teaching faculty; hinges on the need for medical leave of the mother.
Provides for up to a full semester at full pay without teaching.
Tenure clock stopped by default but can be kept on the same schedule by request of the faculty member.
The total time away from teaching is accounted for in three possible ways: • Medical time off, specified by the doctor (typically six to eight weeks); salary continuation is charged and depleted as a result. • Additional paid time off, not to exceed a total of three months including medical time off; charged against the balance of accrued salary continuation. • Unpaid time off; this is leave up to 12 weeks, as provided by FMLA.
Faculty member may use accrued "salary continuation" to take up to three months as paid leave and the remainder to be paid for "modified duties."
Faculty member can take the time as unpaid leave and not use accrued salary continuation or work "modified duties," but instead just take unpaid leave without responsibility or loss of accrued paid time off.

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[2] As of 12/31/07. For the 3-year period, 62%, for the 5-year period, 61%. Relative performance over other periods may vary. Past performance cannot guarantee future results. For more complete information about TIAA-CREF performance and rankings, visit www.tiaa-cref.org/performance.

[3] Funds refers to mutual funds and variable annuity accounts. For the past 3 and 5 years. The Morningstar median represents the midpoint of an index of comparable funds/accounts which is determined by factors such as asset class exposure and objective.

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