

# The Higher Education Workplace

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## The Way Forward

Envisioning New Faculty Models  
for a Changing Professoriate

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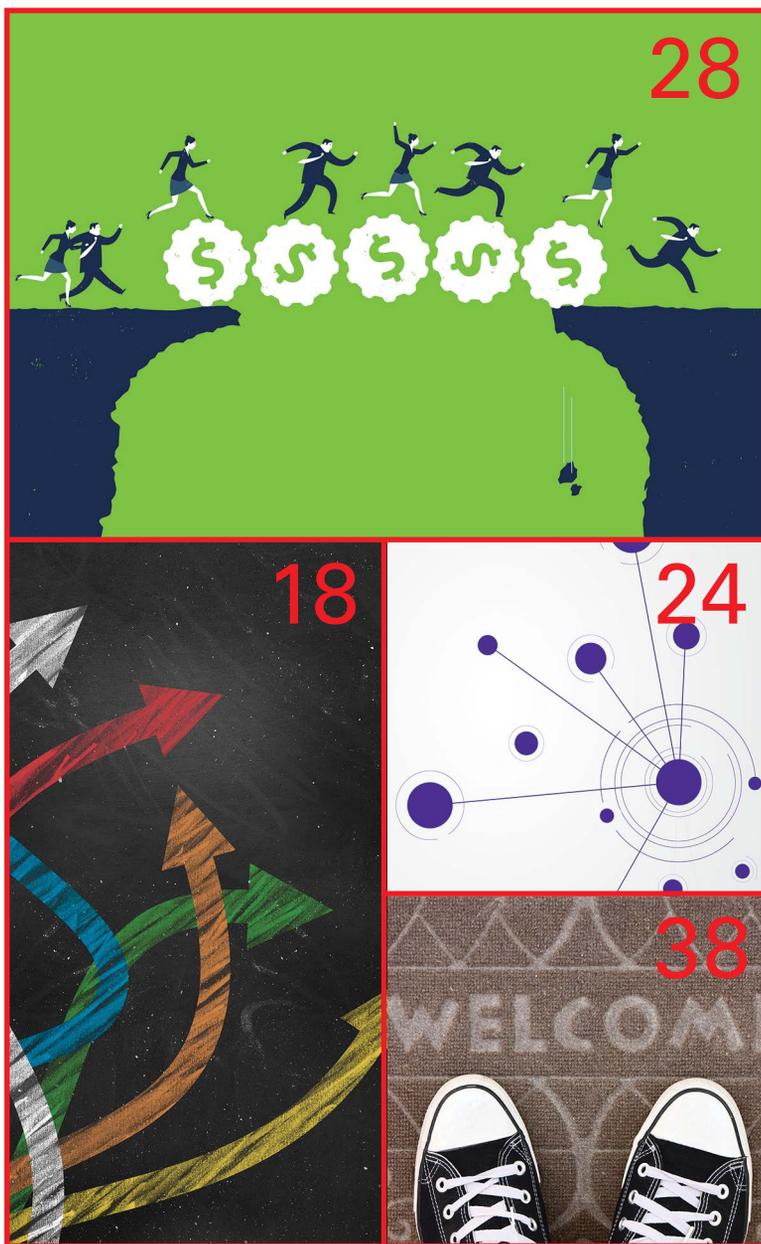
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# Training Alone Is Not Enough to Eliminate Sexual Harassment on Campus

By Andy Brantley, CUPA-HR President and Chief Executive Officer



- “*Philosopher Accused of Sexual Misconduct*”
- “*Former Sports Doctor Pleads Guilty to Sexual Assault*”
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- “*Fifteen Students and Post Docs Issue Statement That Three Professors Created a Hostile Academic Environment in Which Sexual Harassment Is Normalized*”
- “*Reports of Sexism in a University Academic Department*”
- “*Tenured Professor Sexually Harassed Graduate Student and May Be Fired*”

These are just some of the headlines from November 2017.

Is it hard to believe that higher ed has so many challenges with harassment? Absolutely not. Many of our institutions are very hierarchical, and it’s often difficult to ensure that the desired culture is consistent across campus. Our approach to “dealing with” sexual harassment has typically been implementation of a “required” sexual harassment training program that is designed to help us check the compliance box. I wish I had a dollar for every time a supervisor asked me to implement a training program to help “fix” a workplace problem. Raising awareness through a training program is always a good idea, but it has never been, and never will be, the solution that fixes a workplace challenge, particularly one as serious as sexual harassment. So, what are some strategies for higher ed? I’ll offer two:

## 1) Promote more women to executive leadership roles.

A November 27, 2017, article in *The Atlantic* titled “The 3 Things That Make Organizations More Prone to Sexual Harassment” references something that we all know: “At its core, sexual harassment is about unequal power relations between men and women at work, at school and in society at large. Vulnerability is a hallmark of both who gets targeted and why victims keep silent.” And according to the November 15, 2017, *Harvard Business Review* article, “Training Programs and Reporting Systems Won’t End Sexual Harassment. Promoting More Women Will,” part of the long-term solution is promoting more women to executive leadership roles.

A CUPA-HR research brief from February 2017, *The Gender Pay Gap and the Representation of Women in Higher Education Administrative Positions: The Century So Far*, outlined the successes of the last decade and the challenges ahead. Women now occupy almost half of the administrative positions in higher ed but less than 30 percent of the executive leadership positions (presidents, provosts and other senior executive positions). One of the key priorities at our institutions must be to create and sustain a pipeline that enables more women to move into executive leadership roles. Many campuses across the country have made great progress during the last decade, but this progress obviously needs to continue.

## 2) Current campus leaders must create a culture that does not tolerate harassment in any way, shape or form.

Eliminating harassment is not just about tolerance, it is about creating an open, honest culture where every single member of the organization feels valued and supported. If this is the culture we create, harassment is less likely to occur ... and if it does, the harasser is quickly removed from the organization. Creating and sustaining this type of culture is a required part of our work as presidents, provosts, chief business officers, chief HR officers, department heads, faculty members and other campus leaders every single day.

I hope the heightened awareness that has occurred during the last few months helps everyone more clearly understand that we cannot “train away” our sexual harassment challenges. We must be committed to advancing more women to executive leadership roles and to creating and sustaining a culture that values and supports every single member of our campus communities.

A handwritten signature in black ink that reads "Andy Brantley". The signature is stylized and fluid.

Andy Brantley | CUPA-HR President and CEO

# Study Finds Employers Are Taking a More Deliberate Approach to Workers' Wellbeing

The uncertain future of the Affordable Care Act (ACA) and persistent employee healthcare gaps have ignited a more deliberate approach to wellbeing at work among employers, according to results from the eighth annual Optum® Wellness in the Workplace Study. Results indicate a change in employer perceptions and attitudes about health management programs in the workplace.

Findings indicate that:

- Almost 60 percent of employers surveyed indicated concern about potential changes to the ACA.
- Only 24 percent believe employees take responsibility for their health and wellbeing.
- Only 28 percent of employers believe employees know how to navigate the healthcare system.
- Only 18 percent think employees have enough savings to pay for healthcare in retirement.

The study also revealed five key shifts employers are making to address employee healthcare gaps in an unstable healthcare environment:

- 1) **Broader value proposition.** Employers are shifting to a broader value proposition for health and wellness across multiple dimensions. While the number of programs is unchanged since 2014 (10 programs), emphasis on physical health improvement is down 12 percentage points. The same period marks increasing emphasis on social, financial and behavioral health programs, with focus on social health up 11 percentage points, financial health up 9 percentage points and behavioral/mental health up 4 percentage points.
- 2) **Focus on emerging programs.** Employers are shifting from traditional programs to emerging programs that support health ownership, healthcare access and navigation. There has been significant

growth over the past two years in telemedicine and sleep health programs, as well as treatment decision support for musculoskeletal issues. Other notable increases include healthy pregnancy programs, on-site health specialists and financial education programs.

- 3) **Use of digital health technology.** Employers are embracing digital technology to drive health behavior change and engagement. Since 2014, significant gains were made in a number of areas, including the use of online competitions, which increased by 12 percentage points, and the use of mobile messaging, which increased by 13 percentage points.
- 4) **Incentives and rewards.** Employers are evolving their incentive strategies, adopting a more employee-friendly design. Use of incentives is at an all-time high — 95 percent of employers surveyed offer incentives, and half plan to expand the scope of their incentive strategy next year.
- 5) **Financial investment.** Employers are recommitting to employee wellbeing by making investments in health and wellness program budgets and staff. In 2016, 72 percent of employers surveyed reported having a dedicated wellness staff person. Budgets for wellness programs have increased significantly since 2014, and budget allocations for health environment, program evaluation and wellness communication also increased.

Optum's Wellness in the Workplace Study surveyed more than 240 human resources professionals from large employers (3,000+ employees) at the close of 2016. To read more about the findings, visit [www.optum.com](http://www.optum.com).

# Findings From Inside Higher Ed's 2017 Survey of College and University Chief Academic Officers

**F**or the past six years, Inside Higher Ed has been surveying provosts at colleges and universities across the U.S. to learn how these leaders perceive and deal with the challenges facing higher education. Following is a snapshot of the findings from this year's survey report.

## The Importance of Liberal Arts Education

Chief academic officers (CAOs) overwhelmingly agree that liberal arts education is central to undergraduate education, even in professional programs. CAOs are more likely to disagree than agree that liberal arts education has become too divorced from students' career needs. Community college CAOs take the opposing view on this matter. The majority of CAOs (54 percent) expect a significant drop in the number of liberal arts institutions over five years and are more likely to agree than to disagree that liberal arts education in the U.S. is in decline.

## Thoughts on Diversity

Most CAOs believe departments at their college highly value diversity in hiring. But they are divided about whether minority hiring targets nationally are realistic and whether their institution can meet its own target. More than seven in 10 CAOs believe that undergraduates should be required to take a course on diversity and say such courses improve the campus experience for all students.

## The State of Their Institution's Finances

More CAOs disagree (47 percent) than agree (36 percent) that their institution's financial situation has improved in the last year; that is a change from 2015, when 42 percent agreed and 40 percent disagreed.

## The Future of Faculty Tenure

Six in 10 CAOs expect their college to be as reliant on faculty tenure in the future as it is today. Most of the remaining CAOs expect their college to be more reliant on tenure going forward. A majority of CAOs (61 percent) favor long-term contracts for faculty members as an alternative to tenure.

## Competency-Based Education and Student Preparation

About eight in 10 CAOs favor awarding academic credits based on demonstrated competence. Half of CAOs say their institution currently awards academic credits based on demonstrated competence. Almost half (48 percent) believe their college is very effective at preparing students for the world of work.

## Assessment Efforts

CAOs tend to be more positive than negative about assessment efforts their institution has undertaken. The majority says the quality of teaching has improved because of the growth of assessment efforts. Most CAOs (64 percent) are at least somewhat concerned that student evaluations of teachers may not be accurate.

## Other Findings

Other findings from the survey include:

- CAOs are more likely to agree (36 percent) than to disagree (27 percent) that trigger warnings are useful tools for faculty members.
- Most say their institution is focusing more on the ability of its degree programs to help students get a good job.
- CAOs are divided on whether teaching assistant unions improve pay and working conditions for teaching assistants and are highly skeptical that unions improve teaching and learning in higher education.
- CAOs are confident in the academic health of their institutions, with more than eight in 10 (86 percent) rating their institution's academic health as excellent or good.

Read an overview of the survey results and download the survey report at [www.insidehighered.com/news/survey/2017-inside-higher-ed-survey-chief-academic-officers](http://www.insidehighered.com/news/survey/2017-inside-higher-ed-survey-chief-academic-officers).

# Tricky New I-9 Scam Wreaking Havoc on Employers: What to Watch For

If you get a very convincing email from the U.S. Citizenship and Immigration Services (USCIS) about information on your employees' I-9s, don't follow the instructions. The I-9 information request is the latest in a series of sophisticated scams targeting employers. And the scam appears to be working.

Employers aren't required to submit Forms I-9 to the USCIS, so such a request may raise some red flags for some folks. But the request is tripping up employers because the emails look very authentic. In fact, the emails actually come from a [uscis.gov](http://uscis.gov) address. Plus, they even contain labels from both USCIS and the Office of Inspector General.

As if that's not enough to fool some time-strapped HR pros, many of the emails also contain other details designed to make the messages appear legitimate — like your company's mailing address. The USCIS, however, has made it abundantly clear it's not sending any emails to employers about their I-9s. It's also warning companies not to click on any links in the email or respond to the sender.

Employers may also be tripped up because the feds recently announced they are ramping up I-9 audits, and organizations want to respond as quickly as possible to any I-9-related requests. Again, the USCIS will never email about an I-9 audit.

As Alliance 2020, a background screening and information services provider, reminds employers:

“Audits of I-9s are conducted by the Immigration and Customs Enforcement or the Department of Labor, and notification of an upcoming audit is always done by a written notice from the agency. USCIS never requires employers to submit Forms I-9 to USCIS unless they are being audited and never requires an employer to email copies to them.”

## What to Do if You're Targeted

To prevent your company from falling victim to this I-9 scam, there are several preemptive steps you can take. First, make sure your employees are aware of the I-9 scam email and what the phony email will look like. If workers do receive an I-9 information request, they should forward those messages to the Federal Trade Commission via the [ftccomplaintassistant.gov](http://ftccomplaintassistant.gov) website. Also, if you receive an email from the USCIS and aren't sure it's legitimate, you can always double-check by forwarding it to [webmaster@uscis.dhs.gov](mailto:webmaster@uscis.dhs.gov).

*This brief was authored by Jared Bilski and originally appeared on HRMorning.com on November 29, 2017. It was reprinted here with permission.*

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# A Thoughtful Approach: How to Conduct Impactful, Engaging In-Person Sexual Harassment Training

**W**ith the increased focus on Title IX compliance and the national spotlight on sexual harassment, Title IX coordinators and HR professionals at colleges and universities must find ways to help campus administrators and employees to not only understand and comply with the letter of the law, but also to embrace the spirit of the law. While training alone isn't the answer to creating a harassment-free environment, it certainly should be part of an institution's broader strategy. However, in order to make an impact, the training must be engaging, insightful, interactive and relatable — and sitting at a desk clicking through an online training module or watching a video about workplace harassment is anything but engaging. With an in-person training approach, participants can ask questions, engage one another in dialogue, and connect to the content, making the messaging more likely to stick.

In a recent CUPA-HR webinar, Rythee Jones, head of human resources at Washington Adventist University, and Estevanny Turns, head of HR and Title IX coordinator at Maryland Institute College of Art, explored the benefits of and barriers to in-person sexual harassment training and shared the approach they use on their campuses to deliver impactful in-person training.

## Benefits of In-Person Training

Jones and Turns highlighted several benefits of using an in-person approach for sexual harassment prevention training on campus. Gathering employees together in one room and inviting conversation around the topics discussed allows for in-depth exploration of complex issues and issues unique to your organization. It allows for a focus on the why behind the laws, not just the dos and don'ts and rules and regulations. It allows for clarification of concepts and terminology, as well as question-and-answer time. Interactive, in-person training conducted on a regular basis helps an institution be proactive instead of reactive, and demonstrates that sexual harassment issues are important to the institution, showcasing its commitment to a harassment-free workplace.

## Barriers to In-Person Training

Jones and Turns also noted several barriers to delivering in-person training, and shared some food for thought around these roadblocks:

*Barrier:* HR doesn't have time to deliver in-person training.

*Food for Thought:* Conduct a cost-benefit analysis, which might uncover that the HR team may spend more time mitigating the impact of harassment if it doesn't do a good job of prevention training.

*Barrier:* HR doesn't have the expertise in presenting or training in this area.

*Food for Thought:* Consider outsourcing, but make sure the vendor can customize its training to your institution.

*Barrier:* Participants are too busy to attend in-person training.

*Food for Thought:* Stagger training dates and times and create a predictable training cycle.

*Barrier:* The campus is too large or decentralized for in-person training.

*Food for Thought:* Consider a train-the-trainer approach.

## Three Examples of Interactive In-Person Training Activities

Jones and Turns have had great success in their sexual harassment training by using several different activities and exercises designed to encourage high levels of engagement and interaction among participants. They offer the following examples, which can easily be integrated into any in-person sexual harassment training program.

### *World Café Approach*

The World Café approach ([www.theworldcafe.com](http://www.theworldcafe.com)) is rooted in creating a hospitable, comfortable, relaxing environment in order to encourage open and honest small-group discussion, active listening, participant-led brainstorming and the sharing of collective discoveries. Here's how Jones uses the World Café model in her training:

Four small round tables (stations) are set up in the room. Each station contains a flip chart with a cue (in this case, the cues are four different types of harassment — written, visual, verbal and physical). Participants are divided into groups of four or five individuals and each group rotates through the four stations (about five minutes at each table),

## The World Café Method for Hosting Group Dialogue

The World Café methodology is a simple, effective, flexible format for hosting group dialogue. The following five components comprise the basic model:

1. **Setting.** Create a “special” environment, most often modeled after a café (ex. a room of small round tables that seat four or five people, with butcher block paper serving as a tablecloth or a flip chart and colored pens, a vase of flowers and an optional “talking stick” item on each table).
2. **Welcome and Introduction.** The host begins with a warm welcome and an introduction to the World Café process, setting the context, sharing etiquette rules and putting participants at ease.
3. **Small Group Rounds.** The process begins with the first of three or more 20-minute rounds of conversation for the small group seated around a table. At the end of 20 minutes, each member of the group moves to a different table. They may or may not choose to leave one person as the “table host” for the next round, who welcomes the next group and briefly fills them in on what happened in the previous round.
4. **Questions.** Each round is prefaced with a question crafted for the specific context and desired purpose of the gathering. The same questions can be used for more than one round, or they can be built upon each other to focus the conversation or guide its direction.
5. **Harvest.** After the small groups (and/or in between rounds), individuals are invited to share insights or other results from their conversations with the larger group.

where they brainstorm examples of what might constitute each type of harassment and write down their ideas on the flip charts. Jones serves as the facilitator and at the end of the activity, she debriefs the activity for the entire group.

### *SBI Feedback Model Exercise*

Oftentimes, sexual harassment training does a great job of defining sexual harassment, explaining how to report it and providing resources, but, according to Jones, most training programs don’t offer strategies for empowering those who choose to do so to confront an individual who is exhibiting unwanted behavior. The Situation-Behavior-Impact (SBI) Feedback model ([www.ccl.org/situation-behavior-impact](http://www.ccl.org/situation-behavior-impact)) provides a framework for how to have a structured conversation around what can be a difficult or uncomfortable topic — allowing for crucial conversations to take place. The model is as follows:

- 1) Situation – describe the situation;
- 2) Behavior – describe the behavior;
- 3) Impact/Effect: describe the impact/effect on you;
- 4) Change – describe what you want the person to change;
- 5) Consequences – state consequences if the behavior continues.

Here’s an example of an SBI Feedback model exercise that can be used in in-person sexual harassment training:

Ask participants to form groups of three, and then assign an “unwanted behavior” scenario to each group. Within each group, one person acts as the individual confronting the unwanted behavior, one person acts as the individual responsible for the behavior, and one person acts as an observer (taking notes on the interaction and offering feedback at the end of the exercise). The groups then use the SBI Feedback model to engage in a three- to five-minute conversation about the unwanted behavior in their given scenario. Each of the three individuals performs each of the three roles in the exercise.

### *Human Continuum Activity*

Turns notes that there isn’t just one form of sexual harassment, and it’s important for participants to be aware of the many types in the workplace. This activity helps participants identify different types of sexual harassment and determine their severity so that appropriate steps can be taken address the issue. Here’s how it works:

- Divide participants into small groups and have them form a line against the wall.

## fresh ideas

- Each person will pick a harassment-related scenario out of an envelope.
- Participants will read the scenario and decide where it falls on the continuum of severity, and then negotiate with other participants in line to determine where each scenario falls.
- Participants will change places in line based on the increasing severity of the behaviors identified in each scenario.

After the activity, the trainer should debrief the activity and allow for discussion.

### Impact on Campus

Jones and Turns both say that providing interactive, in-person sexual harassment training has had a positive impact on their campuses. Turns rolled out the training at Maryland Institute College of Art (MICA) in mid-2013. She began by connecting with her allies and supporters on campus — as head of HR and Title IX — and inviting them to attend the training. “After going through the training and realizing the impact it could have on campus culture, these individuals created a buzz about it and talked it up across campus,” she says. “Soon enough, we began to see higher-level administrators and even the president in the training sessions. The president was quite impressed and directed that we make it mandatory for all of our staff.”

Turns says the training provides a platform for the MICA campus community to engage in conversations that weren't previously happening. “We're a tight-knit community, and it's common to be greeted by a coworker with a hug or even a peck on the cheek — that's our campus culture,” she says. “Through this training, we were able to talk about

the fact that a seemingly innocent, friendly hug might be considered unwelcome behavior by some individuals and that a hug can in fact be a form of sexual harassment — which actually shocked many of our employees.”

Jones says that building the sexual harassment prevention training at Washington Adventist University (which is mandatory for all staff, faculty and students) around the institution's core values, specifically the values of respect and open and considerate communication, has been key to the program's success. “As a small, faith-based institution, our employees are a tight-knit community, and it's a very family-like atmosphere,” she says. “Many of our employees and students worship together, many coworkers spend time outside of work together with their families, and like at MICA, by nature of our campus culture, many of us are huggers and touchers.”

As a result of the training, says Jones, campus community members have become more aware of the impact their seemingly benign behavior might have on another individual. “They've become more cognizant of the fact that it's not necessarily about their intent in an action, it's more about how that action makes the other person feel,” she says.

### A Thoughtful Approach

While training alone will not eliminate sexual harassment in the workplace, it can play an important role in creating awareness, identifying risky behavior and opening the door for conversations around this important topic — but only if participants are fully invested, engaged and interested. With a thoughtful approach to in-person training on your campus, the odds are in your favor that the message will stick. 

To learn more, and to access some ready-to-use templates for in-person training activities, watch the CUPA-HR webinar “Delivering Engaging, Informative, Impactful Sexual Harassment Training,” available on demand at [www.cupahr.org/webinars](http://www.cupahr.org/webinars). For additional resources, check out the Title IX and Sexual Harassment Toolkit in CUPA-HR's Knowledge Center ([www.cupahr.org/knowledge-center/toolkits](http://www.cupahr.org/knowledge-center/toolkits)).

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# Will a New NLRB Overturn the *Columbia* Decision?

By Josh Ulman, Christi Layman and Basil Thomson

In August 2016, the National Labor Relations Board (NLRB or Board) issued a decision in *Columbia University* finding that student workers at private institutions are employees entitled to collective bargaining and other rights and protections under the National Labor Relations Act (NLRA). The decision reversed long-standing precedent and divided the Board along partisan lines, with the three Democrats voting in favor of employee status for students, and the lone Republican at the time, Phil Miscimarra, dissenting.

Fast forward a year — while colleges and universities have experienced a rapid increase in union organizing among students, the Board’s composition has changed, and the newly-seated Republican majority may end up revisiting the *Columbia* decision. The path forward is unclear, however. Structural changes at the Board, recusal issues and the long and complex history on this issue will all play a role in determining *Columbia’s* fate.

## History Behind the *Columbia* Decision

The first time the Board considered the question of whether students should be considered “employees” for purposes of the NLRA was in 1972 in a case involving Adelphi University. In *Adelphi*, the question before the Board was whether graduate teaching and research assistants should be included alongside faculty in the petitioned-for bargaining unit. The Board ruled that “the graduate teaching and research assistants ... are primarily students and do not share a sufficient community of interest with the regular faculty to warrant their inclusion in the unit.” Shortly thereafter, in 1974, the Board went one step further in a case involving The Leland Stanford Junior University. In that decision, the Board held that certain university research assistants were “primarily students” and thus “not employees within the meaning of Section 2(3) of the Act.” Twenty-five years later in the fall of 2000, the Clinton-era NLRB revisited the issue in a petition by the United Auto Workers (UAW) seeking to represent graduate teaching

assistants, graduate assistants and research assistants at New York University. In its decision, the Board relied on the common-law agency test to find that the petitioned-for unit were employees within the meaning of the NLRA. The Board reasoned that the students perform services under the control and direction of the university for which they are compensated and rejected “the contention of the employer and several of the amici that, because the graduate assistants may be ‘predominantly students,’ they cannot be statutory employees.” The Board’s decision in this case paved the way for NYU to recognize the UAW union — becoming the first private university to do so.

Shortly following NYU’s recognition of its graduate assistants, the Board composition changed as the Bush administration came to power. The new Board returned to its 30-year precedent in a case involving Brown University and overruled the NYU decision. In *Brown*, the Board declined to assert jurisdiction over graduate teaching assistants, “including those at Brown [because they] are primarily students and have a primarily educational, not economic, relationship with their university.”

Despite the Board’s ruling in *Brown*, and NYU’s subsequent withdrawal of recognition of the UAW, graduate students continued to push for collective bargaining rights and in 2011, NYU graduate students once again petitioned for representation by the UAW. Although the regional NLRB official in this case dismissed the petition based on the *Brown* ruling, the NLRB announced it would use the grad student appeal to revisit the 2004 decision. However, before such review could take place, NYU chose to voluntarily recognize the UAW — and the appeal to the NLRB was withdrawn. Then in late 2014, the Graduate Workers of Columbia (GWC), an affiliate of UAW, filed an election petition seeking to represent both graduate and undergraduate teaching assistants at the university. The NLRB regional director dismissed the petition based on the NLRB’s 2004 ruling in *Brown*.

On December 23, 2015, the Board announced that it would review the rejection of the GWC's bid, setting up the backdrop for the NLRB to reverse its *Brown* decision. On August 23, 2016, the Board issued a 3-1 decision in *Columbia University*, ruling that graduate and undergraduate students who perform work at private institutions as part of their education may be considered in certain cases employees under the NLRA — effectively requiring private institutions to collectively bargain with student assistants in some circumstances.

CUPA-HR and six other higher education associations filed amicus briefs on December 16, 2015, in the *New School* case and on February 26, 2016, in *Columbia*, arguing that the Board should not overturn its *Brown* decision and that student workers should not be considered employees under the NLRA. As Philip Miscimarra, the sole Republican member of the Board at that time, wrote in his dissent, “it will wreak havoc to have economic weapons wielded by or against [students in the form of] strikes and lockouts ... and the permanent replacement of the [students] themselves ... [as] for most students, including student assistants, attending college is the most important investment they will ever make.”

If history is any indicator, the Board will likely revisit the *Columbia* decision. The 25-year-precedent-changing *NYU* decision was issued by the Democratic-majority Board appointed by President Clinton; the *Brown* decision was issued by the Republican-majority Board appointed by President Bush; and the *Columbia* decision was issued by the Democratic-majority Board appointed by President Obama. With a Republican-majority Board appointed by President Trump, it stands to reason the Board may reconsider *Columbia*. However, structural changes may make the process less straightforward than one might think.

### Structural Changes at the Board

The NLRB is composed of five members appointed by the president to five-year terms and confirmed by the Senate. While vacancies are common, the Board needs at least a quorum of three to issue decisions. At the start of President Trump's administration, the NLRB had two vacancies and three sitting members: Republican Philip Miscimarra and two Democrats, Mark Gaston Pearce and Lauren McFerran. In addition, the Obama-appointed general counsel, Richard Griffin, was serving out the end of his four-year term. While President Trump's

inauguration ushered in many rapid changes throughout the government, including several Executive Orders aimed at reducing regulatory hurdles, the political appointment process has not moved as swiftly. In fact, it took eight months for the president to install a Republican majority at the Board. Despite inheriting an NLRB with two vacancies, President Trump did not send his nominations of Marvin Kaplan (R) and William Emanuel (R) to the Senate until the end of June 2017. The Senate confirmed Kaplan on August 2 and Emanuel on September 25. The Board's Republican majority was fleeting, however, as Miscimarra left the agency when his term ended on December 16. Miscimarra's departure leaves the NLRB with a 2-2 split for as long as it takes President Trump to nominate and the Senate to confirm a successor. While the president can nominate a successor prior to the end of Miscimarra's term, he did not do so. If the Board hears a case involving graduate students during this split, it is unlikely it would revisit *Columbia*.

The other notable change in the structure of the Board, and to many NLRB experts the most important, is the change in the general counsel's office. The general counsel, who is appointed by the president to a four-year term, operates independently from the Board. He or she is responsible for the investigation and prosecution of unfair labor practice cases and for the general supervision of the NLRB field offices in the processing of cases, and is in essence the “gatekeeper” for the Board. Former NLRB member Brian Hayes states that “there is no more complex and influential role at the NLRB than that of the general counsel” and describes the difference between a Board member, who “can determine a case outcome or change the direction of the law only with the concurrence of colleagues” and the general counsel, who has sole decision-making power over not only whether the “agency will pursue a case, but also the legal theories it will advance in doing so.”

For these reasons alone, the confirmation and swearing in of Peter B. Robb, President Trump's nominee for general counsel, is seen as the catalyst demarcating the difference between the Obama Board and the Trump Board. Robb has spent decades advising and representing employers. Griffin, who occupied the general counsel position until October 31, 2017, is known for his expansionist and pro-labor agenda. On December 1, Robb outlined many of these stark contrasts in his Mandatory Submissions to Advice, a customary practice for all new general counsels,

setting forth the types of unfair labor practice charges and issues the NLRB's regional offices should send to the NLRB's Division of Advice in Washington D.C. before any regional action is undertaken. While the list is long and varied, issues and case types that the regions should send to Washington for review are those that "involve significant legal issues, [including] cases over the last eight years that overruled precedent and involved one or more dissents, cases involving issues that the Board has not decided, and any other cases that the Region believes will be of importance to the general counsel."

Importantly, Robb also rescinded six memos from former general counsels, including prior Griffin's "General Counsel's Report on the Statutory Rights of University Faculty and Students in the Unfair Labor Practice

## With a Republican-majority NLRB appointed by President Trump, it stands to reason the Board may reconsider the *Columbia* decision.

Context" issued on January 31, 2017. GC 17-01 was "intended as a guide for employers, labor unions and employees that summarizes Board law regarding NLRA employee status in the university setting and explains how the office of the general counsel [would] apply these representational decisions in the unfair labor practice arena." The three decisions covered — *Pacific Lutheran University*, *Columbia University*, and *Northwestern University* — all had huge impacts on higher education, and the memo took the "prosecutorial" position that scholarship football players in Division I FBS private-sector colleges and universities are employees under the NLRA and that "students performing non-academic work who meet the common-law test of performing services for and under the control of universities, in exchange for compensation, fall within the broad ambit of [NLRA's definition of employee under] Section 2(3)."

While Robb has yet to expose a view on *Columbia* and student organizing, his decision to rescind the aforementioned memo indicates that his view on student workers may be more in line with other Republicans who

have opined on the issue than with Griffin. If he guides cases to the Board that are appropriate vehicles for revisiting *Columbia* and the Republicans are able to maintain a majority, we could see a shift in the law with respect to student organizing under the NLRA.

### Possible Changes to *Columbia*

The primary path by which current law could change is through what is known as an election petition. During the representation election process, generally, a union seeking to file a petition with the NLRB regional office must obtain a sufficient showing of interest to warrant an election. A union seeking to represent a group of graduate students or other student workers must demonstrate that 30 percent of the proposed unit is interested in joining. The union would then file to represent that group of graduate

students or other students, and the NLRB's regional office would hold a hearing. Following the hearing, the regional director could apply *Columbia* and issue a decision that directs that an election take place as long as the petition and unit otherwise meet requirements under

the law. If the union then goes on to win the election, the college or university could file a request for review of the regional director's decision to the NLRB. The newly appointed Republican-majority Board could take the case and change the law back to where it was pre-*Columbia*.

### Current Cases Before the NLRB

There are three current cases before the NLRB that may provide a path toward reversing *Columbia*. Despite the fact that there has been a post-*Columbia* rush to unionize students on campus, only New York University has a union contract with their graduate students. Of the remaining private universities that have seen unionization activity following the August 2016 decision, the results have been mixed. Four universities — Tufts, Brandeis, American and The New School — accepted a vote in favor of unionization and have advanced to contract negotiations but no collective bargaining agreements have been finalized. At other universities — Duke, Washington University in St. Louis, Emory and George Washington University — the prospective unions withdrew either before or after a preliminary tally of votes cast.

While there remain additional cases out there at various stages of review before the NLRB, there are three — *Yale University*, *Boston College* and *Chicago University* — that could serve as the proper vehicle for a Trump Board to reverse the *Columbia* decision. Importantly, because the regional directors limited the record in *Yale University* and *Boston College* and thus prevented the defense from creating a full record on the facts in *Columbia*, experts believe that the full record in the *University of Chicago* case provides the strongest chance for reversing *Columbia*.

### **Yale University**

On August 29, 2016, UNITE HERE, a union seeking to organize teaching assistants at Yale University, filed 10 separate election petitions for graduate assistants in 10 academic departments at the university — essentially creating 10 different and independent units that the university would have to bargain with. Subsequently, one unit withdrew its petition. While in the past, the Board might have rejected such units as inappropriately “fracturing” the workplace, in its 2011 decision in *Specialty Healthcare*, it announced it would allow unions significantly more control over the scope of a bargaining unit and thus open the door to this method of organizing.

In October 2016, the Board’s regional director, John Walsh, held hearings, and on January 25, 2017, he issued a decision and direction of election (DDE), where he found that the teaching fellows at Yale are statutory employees per *Columbia* and that the nine petitioned-for units are appropriate pursuant to the Board’s analysis in *Specialty Healthcare*. [**Ed. note:** *A few days before this article went to print, the NLRB issued a ruling in PCC Structural Inc. abandoning the Obama Board’s Specialty Healthcare decision, which allowed employees to organize in “micro units.” The PCC Structural decision reinstated the previous standard that employees have to share an “overwhelming community of interest” to be an appropriate bargaining unit.*]

Following his decision, Walsh issued a notice of election on February 15, 2017, setting up a vote for unionization on February 23, 2017. On the same day that the notice of election was issued, Yale filed a request for expedited review of Walsh’s decision and a motion to stay an election so as to “correct the misapplication of *Specialty Healthcare* in this case” and to allow the Board to “provide guidance as to the proper scope of graduate student employee bargaining units following its very recent decision in *Columbia University*.”

Yale’s request for expedited review was denied by the Board, with then Chairman Miscimarra dissenting, and a vote was held on February 23, with eight of the nine departments voting in favor of forming a union. However, following the tally of ballots, Yale University submitted a request for review on the “employee status issue,” whether Yale’s graduate students should be considered employees for purposes of the NLRA, stating that “the university will urge the Board to reconsider *Columbia*.” The Board has not yet ruled on the merits of Yale’s requests for review which, when and if that happens, could cause the NLRB to revisit its *Columbia* decision.

### **Boston College**

On March 3, 2017, the United Auto Workers filed an election petition seeking to represent a bargaining unit of graduate students in various classifications from every school at Boston College. That same month, regional director Walsh held hearings where Boston College made the argument that it is exempt from the Board’s jurisdiction, as it is a religious institution due to its relationship to the Catholic Church. Additionally, Boston College argued that even if Walsh did not find that the institution as a whole is exempt from the NLRB’s jurisdiction, its Theology and Philosophy departments are. Lastly, the university argued that its graduate students are not statutory employees as was found in *Columbia*.

On May 17, 2017, Walsh issued a DDE, where he found that the graduate workers in the Theology department are exempt from the Board’s jurisdiction but that the Board has jurisdiction over the rest of the petitioned-for student workers and that the student workers were not sufficiently distinct from those in *Columbia* that a different result would have been warranted. On August 21, 2017, Boston College submitted a request for review of Walsh’s DDE to the NLRB, arguing that he applied the wrong test when concluding that the NLRB had jurisdiction over the institution despite its relationship to the Catholic Church and that because *Columbia* “was wrongly decided,” Boston College’s student workers are not statutory employees. Additionally, the university requested a stay of the election and alternatively an impoundment of the ballots pending review by the Board.

On September 11, 2017, the NLRB denied the university’s request to stay the election or to impound the ballots without ruling on the merits of the request for review — Chairman Miscimarra dissented to the Board’s decision

— and elections were held, after which the union won its bid by a final tally of 270 to 224 with 16 challenged votes. While the vote went in favor of the union, it is unlikely that Boston College will enter into contract negotiations until the NLRB rules on its request for review of the DDE, which could ultimately provide a platform to overturn *Columbia*.

### ***University of Chicago***

Of the three cases featured in this article, labor experts believe that the *University of Chicago* case currently before the Board may have the strongest chance at overturning *Columbia* due to the nature of the regional director's DDE and the full record in the case. On May 8, 2017, the American Federation of Teachers, AFL-CIO, filed an election petition seeking to represent a bargaining unit of full-time and part-time graduate workers at the university. Hearings took place the same month, and Regional Director Peter Ohr issued a DDE on August 8, dismissing the university's arguments that the Board wrongly decided *Columbia* and should return to its decision in *Brown University* and that master's students and non-lab research assistants should be excluded from the petitioned-for unit, as they do not share a community of interest with the institution's Ph.D. students.

Ohr also sided with the AFT, finding that any graduate student who has served in the petitioned-for positions during the past year, regardless of whether he or she is currently serving, would be eligible to vote. Ohr directed an election to be held October 17-18, 2017, and the university on September 22 submitted a request for review of his decision. The request for review — which is still pending before the Board — made four arguments: (1) there are compelling reasons for the Board to reconsider and reverse the *Columbia* decision; (2) Chicago's graduate student teaching and research students are distinguishable from those found to be employees in *Columbia*; (3) only graduate students serving as student workers at the time of the vote should be eligible to vote — there should be no look-back period; and (4) the regional director did not provide enough time for the university to file the voter eligibility list. The request for review concludes that “the Board should grant the University of Chicago's request for review, reverse the regional director's DDE, reconsider and reverse *Columbia*, and dismiss the petition.”

The DDE was followed by a motion to stay the election on September 25, 2017, which was denied. The vote was held and the union won representation by a margin of 1,103 to 479. As is the case with Boston College, the University of Chicago will not negotiate with the graduate students until a decision is issued on its pending request for review. If the Board does grant the university's request for review, a decision reversing *Columbia* could still be a long way off — in *Brown*, the Board granted the request for review two years before issuing a decision reversing NYU. However, it is likely that such a granting would inevitably quiet the current unionizing drives on campus.

### **Issues of Recusal**

One last wrinkle in both the *Boston College* and *University of Chicago* cases relates to motions to intervene issued by the Graduate Workers of Columbia-GWC, who are affiliated with the UAW. The GWC argues that because a Board decision in either *Boston College* or *University of Chicago* “may have an impact on the disposition of the *Columbia* case,” new Board member Marvin Kaplan should recuse himself from any case which asks the Board to revisit the *Columbia* decision — as Kaplan has recused himself from the *Columbia* case due to his wife's employment by the university.

The institutions in both cases opposed the GWC's motion to intervene and argue that “the absurdity of the motion could not be more self-evident.” While we will not speculate on which way the Board will rule on the GWC's motion, we will say that it is an untested theory to have Kaplan recuse himself and a novel approach which has not been seen before. 

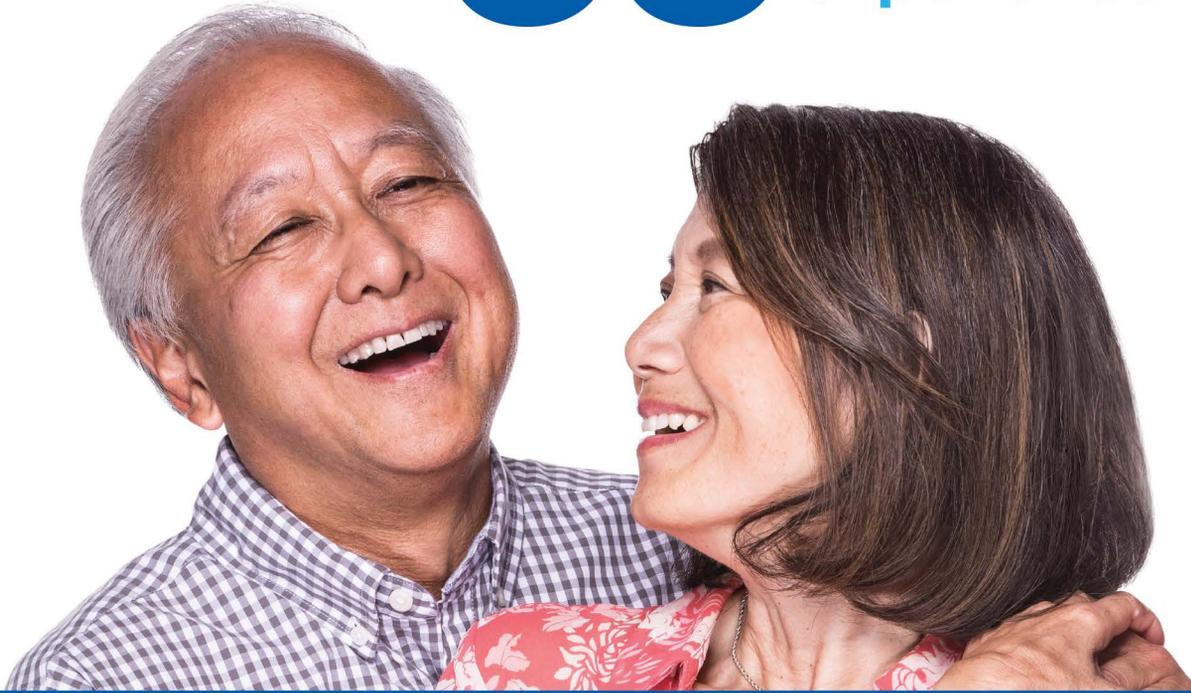
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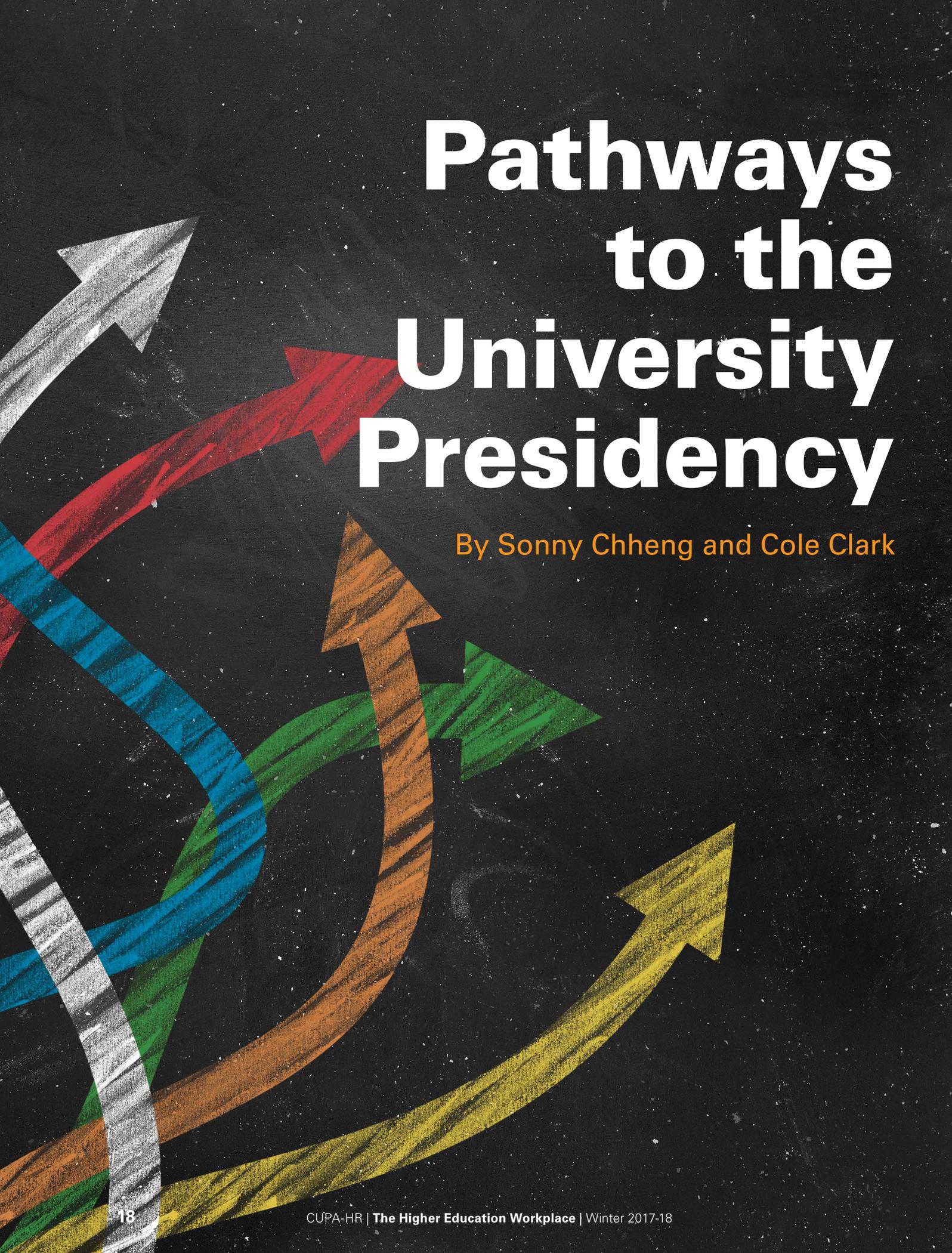
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<sup>1</sup> UnitedHealthcare historical quoting data, 2013-2015

<sup>2</sup> UnitedHealthcare Advocate4Me Member Interaction and Issue Management Report (group retiree results), Q1 2017.

<sup>3</sup> Group Retiree National PPO plans. Centers for Medicare and Medicaid Services, 2014 - 2017 H2001 Part C & D Medicare Star Ratings Data for 2015-2018 payment years. Medicare evaluates plans based on a 5-star rating system. Star Ratings are calculated each year and may change from one year to the next. Insurance coverage provided by UnitedHealthcare Insurance Company or its affiliates. Administrative services provided by United HealthCare Services, Inc., or its affiliates. MT 1147637.0 7/17 ©2017 United HealthCare Services, Inc.





# Pathways to the University Presidency

By Sonny Chheng and Cole Clark

**W**hat trajectory do the career paths of university presidents take? What does it take to excel in the role of college president today? How are the dynamics of higher education in the United States driving a new skill set and needed capabilities for tomorrow's leaders? How can trustees and institution executives better prepare and select the next generation of presidents?

Deloitte's Center for Higher Education Excellence, in partnership with Georgia Tech's Center for 21st Century Universities, sought to answer these questions in a recent study, the findings of which provide insight into how university presidents get to the top job on campus, what skills are needed most when they assume the role, what presidents consider to be their most important responsibilities as CEO, and future challenges for campus leaders.

### **A Quick History of the College Presidency**

Today's college presidents are often compared to corporate CEOs; however, in the early years of American higher education, they were often seen as little more than an extension of the faculty. Most presidents were clergymen who regularly taught classes, rarely traveled far from the campus, and even prided themselves on knowing every student by name.

At the turn of the 20th century, the college presidency started to take on an expanded role, as institutions increased their academic offerings. Out went the ministers as presidents, and in came more professional administrators. A 1930s-era book about college presidents described the job as "the business manager of a great plant, a lobbyist often at the general assembly of the state ... and a peripatetic raiser of funds."

The decades after World War II — with the arrival of Baby Boomers to campuses and new federal spending with the onset of the Cold War — marked a new role for presidents as dominant figures in higher education's expansion. The economic slowdown of the mid-1970s, and the resulting cuts in federal and state higher education spending, meant that college governing boards started to look for leaders who could be better fiscal managers and, increasingly, fundraisers. In 1976, former University

of California president Clark Kerr described presidents hired in the 1950s, '60s and '70s as "kind of out of date," adding that the presidential type now needed was a "a kind of super-accountant." It was in these waning years of the 20th century that the college presidency began to turn into more of a profession sought by academics who switched jobs every few years and navigated through campus bureaucracies to better learn how to run complex institutions. Searches for presidents grew longer and more extensive and were managed by executive search firms that increasingly focused solely on higher education.

In 1986, the American Council on Education (ACE) published its first study of the college president. It found that campus leaders were mostly white males in their early 50s. Four in 10 presidents at the time were in their 40s, and most came to the position through the provost's office. In subsequent surveys since then, ACE found that little has changed about the people holding the top job on

**While the provost's office has long been the most frequent stopover point on the way to the presidency, the paths prospective presidents now take are becoming more complex, fragmented and overlapping.**

campuses — except that they are graying and not staying in the role as long. Today, nearly six in 10 presidents are in their 60s, and their average tenure in the job is seven years, down from eight-and-a-half years a decade ago.

### **Study Findings**

The Deloitte-Georgia Tech study, *Pathways to the University Presidency: The Future of Higher Education Leadership*, included a survey of more than 150 current four-year college and university presidents, in-depth interviews with two dozen presidents and trustees, and data mined from more than 800 CVs of sitting presidents. Here's what we found:

#### ***The Pathway to the Presidency Varies***

While the provost's office has long been the most frequent stopover point on the way to the presidency, the paths prospective presidents now take are becoming more complex, fragmented and overlapping. Today's provosts

often have a set of skills that complement the president, rather than replicate them. The shift in responsibilities means that the provost's role might not always be the best preparation for the presidency, especially if the provost is involved primarily with academic affairs and internal issues.

"There is a bit of separation occurring between the provost and the president," a trustee at a large public research university told us. The provost is focused "inward and down," working with faculty and students on the academic experience. Meanwhile, the president is looking "up and out," focused on relations with the governing board, the public, alumni and in many cases, political leaders.

## There is increasing pressure on presidents to get quick wins, and as a result, many are looking for the proverbial low-hanging fruit on their campuses where they can show fast results.

Academic deans are increasingly moving right to the top job and bypassing the provost's office altogether. This is particularly the case at small colleges, where leading the institution as a whole is akin to the dean's job at a large university. Deans these days are essentially mini-presidents and are seen as academic entrepreneurs on campuses with decentralized budgeting models.

The president of a small liberal arts college told us in an interview that the route from dean to president is a recognition that higher education's often lengthy and sluggish climb to the top of the organization doesn't work for a new generation of leaders. "Highly creative people need faster paths, or they are going to go elsewhere to find them," the president said. "It is difficult to speed up the traditional route. We need to find ways to promote people more quickly, and we need quicker paths to the presidency than through the provost's office."

Women more than men still come to the presidency from the provost role (82 percent of women presidents came from the provost role, whereas 57 percent of men did). There is also a significant gender gap between the traditional provost pathway and the fast track from dean. It's much more common for women to stop at the provost's

office on their way to the presidency. According to our study, three times as many men as women went right to the presidency from the dean's office.

### *Strategy and Communication Skills Trump Academic Leadership Skills*

In our survey, presidents told us that being an "academic and intellectual leader" ranked last among a set of skills and behaviors most needed when they assumed office. At the top of the list: strategist, communicator and storyteller. Veteran presidents think of higher education as a collegial, intellectual community where they are the academic leader. New presidents see themselves through a financial and operational lens and as a leader who needs to get things

done despite the collaborative nature of campuses. Presidents in the job for more than 15 years value academic and intellectual skills and consider the provost as their likely successor; presidents with less than a decade of experience say

financial and operational acumen is most important, and say the person next in line for the role will most likely come from the private sector.

### *Presidents Must Serve as Fundraisers-in-Chief, But Aren't Necessarily Prepared to Do So*

Fundraising is essential from a president's first day in office, and only grows in importance over time in the job. According to the presidents who participated in our study, a college president's most important responsibilities are strategic planning (20 percent) and fundraising/alumni/donor relations (20 percent), followed by enrollment management (16 percent), trustee relations (15 percent) and budgeting (12 percent). Sixty-five percent of total respondents believe that fundraising/alumni/donor relations ranks among the top three most important responsibilities in their current role, and 50 percent believe that fundraising has increased in importance since they assumed their role.

Past surveys of presidents dating back more than a decade have diagnosed the gap between the importance of fundraising in the top job and the lack of training for it. The results of our survey show that despite the attention given to this issue over the past several years, preparing presidents to cultivate donors hasn't improved much,

if at all. When asked to gauge their preparedness to provide oversight on a range of campus issues, presidents ranked fundraising/alumni/donor relations sixth out of 10 — below strategic planning, community relations and budgeting.

### *There's a Need for Leadership Development for Presidents*

The presidents we surveyed identified leadership development as the second most important professional training opportunity on the job (after fundraising). “Leadership development is stigmatized in higher education,” the president of a public university told us. “There is knowledge out there that can help people become better leaders, but it’s vilified among faculty members who don’t understand it.”

Unlike chief executives of Fortune 500 companies who tend to go to business school and are groomed by organizations for the top role, being a college president has historically involved mostly on-the-job training. Nearly two-thirds of presidents surveyed said they had coaches or mentors to help them prepare for the role, but only one-third indicated that they still receive coaching to succeed in the job. Investments in leadership often lag behind their importance to presidents.

### *There's an Emphasis on Short-Term Wins at the Cost of Long-Term Planning*

Our survey found that there is increasing pressure on presidents to get quick wins. As a result, many are looking for the proverbial low-hanging fruit on their campuses where they can show fast results, not only for their own boards but also for search committees for their next job. This short-term thinking surfaces in a variety of ways, including academic programming tied to the current job market; technology purchases that simply patch rather than solve problems; enrollment plans that ignore demographic shifts among students; fundraising that focuses on immediate dollars rather than building a pipeline for future commitments; and strategic plans that are completely rewritten each time a new president is installed.

“Presidents approach their job with the expectation that they’ll be judged on what they can finish,” said the president of a private university. “They think, ‘I’ll only be here five years, so I should only focus on what I can do in that time before I move on.’ They run their schools like pseudo-corporations. It’s short-term thinking. You might satisfy the immediate issue of the day, but this is unsustainable as a model.”

## Strategies to Address the Challenges

Based on our research, we’ve identified five strategies and approaches higher education can use that can help improve the pipeline to the presidency and can give the next generation of campus leaders the opportunity for effective tenures.

**1) Develop intentional training and leadership development opportunities aimed at prospective college presidents.** Many leaders in higher education no longer have the time to learn on the job or become adequately trained within the narrow scope of senior-level positions that historically have led to the presidency. Therefore, institutions should consider professional development opportunities for those in the presidency pipeline that give them the big-picture view of the institution and its various functions and academic disciplines, as well as higher education as an industry.

**2) Align short-term tactics and long-term strategies.** There are few incentives to encourage leaders to experiment with new ideas and models for the future. Too many governing boards and presidents are worried about the near term and thus focus on quick wins that might result in a publicity spike or help in the rankings. Higher education is a long game; the most fundamental role presidents play is unlocking the capacity of the institution to support its mission and the community members engaged in its work. Boards should set clear long-range goals for presidents and evaluate them not only on their annual performance, but also how well they are progressing toward the more distant horizon.

**3) Help search committees gain a better understanding of the role of the presidency and set up a transition team to onboard the president.** The group responsible for hiring presidents often lacks deep understanding of the job. The search committees should include sitting presidents or former chief executives who can provide the best perspective to committee members on the skills and competencies needed in the role. Search committees should also avoid ending their work once the president is hired. Presidents need assistance in the transition to the role, and search committees should be reconstituted into transition committees, or a transition coach should be hired to help the new president build momentum for the first few months in office.

**4) Develop a willingness to look beyond traditional backgrounds.** Search committees pay lip service to nontraditional candidates, but rarely take the risk of actually hiring them. What's more, academic leaders typically bristle at the prospect of a new president who comes from a nontraditional background. Given the diverse set of skills needed to run institutions these days and with provosts increasingly saying they don't want to be presidents, search committees may have little choice but to consider candidates from nontraditional backgrounds. Being transparent and following a well-publicized process in the search to gain buy-in from stakeholders can be critical to gaining acceptance of these new leaders.

**5) Build relationships with various stakeholders both on- and off-campus.** Presidents are hired by a board and report to a board, but when on campus, most of the

interaction presidents have is with faculty and students. The latter group, in particular, is gaining influence on campuses, and presidents would be wise to pay attention to the rising activism among their ranks. The presidency has largely become an external job, and as a result, presidents spend their time increasingly off campus. College leaders should spend more time on campus engaging with faculty members and students and weaving themselves into the fabric of the institution they represent on a daily basis. 

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# CONNECTING THE DOTS

## How HR at University of Denver Turned a Siloed Approach to Professional Development Into a One-Stop-Shop Model

When Greg Giesen joined University of Denver as manager of people development in 2015, centrally-administered professional development opportunities for staff and faculty at the university were lacking, consisting of not much more than soft skills classes here and there, a few lunch-and-learns, and a one-day supervisory skills class. There wasn't much of a training budget, and professional development generally didn't seem to be a priority for the university. Giesen saw a need and an opportunity, and set to work creating a comprehensive, pathed, HR-led learning and professional development program, which now enjoys widespread success across campus.



Continuing the conversation from his presentation on DU's "Colorado 14ers: Pathways to Personal and Professional Growth" program at last fall's CUPA-HR annual conference, we sat down with Giesen to talk about how he and his team leveraged the various learning and development happening in silos across campus to create a new one-stop-shop model, and how the work has positioned human resources as a strategic business partner within the university.

### **Q: How did the concept of the Colorado 14ers program come about?**

**A:** While there wasn't much in the way of professional development coming out of HR when I first arrived at DU, I did notice early on that it was happening through other avenues, like the business college and the alumni office and even within our university library. The problem was that no one was talking to each other. Each entity was promoting and providing professional development opportunities to their target audiences, without any communication or collaboration with other areas. Staff and faculty interested in professional development had no idea where to go or how to find out about opportunities that existed around campus.

Given that HR's role in professional development had been so minimized up to this point, I saw an incredible opportunity to put our office in the prime position of being the nucleus of professional development on campus. I initially envisioned as the end product a booklet that would include all of the professional development opportunities already available on campus. In order to determine what was happening where on campus, I created an advisory group with representatives from the departments, schools and units on campus that were already providing professional development. This group became instrumental in helping craft what came to be the 14ers program.

We wanted a theme to use throughout the program — one that had a favorable association for our staff and faculty. In Colorado, we have 58 peaks that exceed 14,000 feet in elevation. These are fondly referred to as the Colorado 14ers. You can see these mountains from just about anywhere in the state, and they are a popular destination for many. Using the Colorado 14ers as our theme offered numerous metaphors (i.e., climbing mountains) that fit nicely with professional development, and everyone could relate to it.

### **Q: How does the program work?**

**A:** People development office team members and the advisory group worked together to identify professional development classes, programs, workshops, events and activities from around campus that were available to all staff and faculty. We took all these offerings and subdivided them into categories, which we call pathways

(pathways include leadership, inclusive excellence, personal growth, campus safety, team development, Lynda.com and more). Each pathway has a guide — an

**The 14ers program has enhanced the reputation of the HR department and the people development office by promoting a much broader array of services than we had offered in the past.**

individual who creates and oversees the pathway. Each pathway has its own focus, curriculum and criteria and offers a variety of learning opportunities from which participants can choose. Once an individual completes a pathway of his or her choosing, that person receives a certificate of completion, and his or her name is added to the 14ers booklet and posted on the people development website.

Having individuals complete a pathway is not the goal or expectation of the program, rather the intent is to:

- Provide a one-stop shopping list of all professional development programs that are available to staff and faculty, making it easier for our workforce to access these opportunities.

- Utilize the 14ers program for goal-setting for the performance management process.
- Provide a road map for motivated employees who want to develop themselves both personally and professionally.
- Create a program that staff and faculty can participate in together using every possible learning modality available.

### **Q: How did you decide what offerings to include in the program?**

**A:** First, we ensured that all of the professional development offerings coming out of HR were incorporated throughout all the pathways. Then we included the classes and/or activities that each pathway guide wanted in his or her particular pathway. We then reached out to some of our faculty members and asked them to offer a topic/class of their choosing once or twice per year for staff and faculty. And, as previously mentioned, we simply added existing professional development programs from other schools and departments around campus to round out the offerings.

### **Q: How is the 14ers program promoted to staff and faculty?**

**A:** We have an annual event called the Professional Development Kick-Off Luncheon where we provide lunch, have a short program with a speaker, and debut that year's 14ers program. We also use that event to highlight all of the upcoming professional development events that our people development team has planned for the year. In addition, we provide a quick summary of the Colorado 14ers program and a booklet listing all of the offerings to new employees during each new-employee orientation; we bring the booklets to each class/event we provide during the year; we promote the 14ers program during the goal-setting component of our performance management process; and we market the program on our website and in the people development office's quarterly newsletter.

### **Q: How do you track progress?**

**A:** Our current LMS can track classes and event participation for our people development programs, but we don't have a centralized LMS across campus to track

other learning and development participation. And many of our options in the 14ers program are non-trackable opportunities, like chairing a committee or presenting at a conference or participating in a coaching session. As a result, we rely on the honor system for anyone seeking to complete a pathway. To do so, the individual must submit an online form that requires them to list all of the classes, events and programs they have attended/completed and answer the following questions for each:

1. What they learned from the experience.
2. How they will apply that learning to their personal or professional life.

Once the completion form is submitted, the designated pathway guide for that area must approve it in order for a certificate to be granted.

### **Q: Has the program increased professional development participation among employees?**

**A:** The program has been in place for almost two years now. Unfortunately, we don't have useful statistics for participation in professional development before that time. But the data we have now tell us the program is being used:

- An average of 18 participants attend each class offered by our people development office.
- Twenty-two individuals have earned Pathway Completion certificates thus far.
- Our first Professional Development Kick-Off Luncheon (where we introduced the 14ers program) had about 110 participants. This year that number was more than 150.
- Our Lynda.com statistics show that about a quarter of our staff and faculty are utilizing those offerings.

### **Q: What with the 14ers being an administrative department-led initiative, what level of involvement do you see from faculty?**

**A:** As on any campus, there are always those faculty members who thoroughly enjoy professional development and being active in programs outside of their teaching responsibilities. We also recruited popular faculty members to teach an abbreviated version of their class or classes once

or twice a year for staff and faculty. There are five faculty teaching now, and the plan is to double that number in the next year or two. We are also working closely with the university's office of teaching and learning (OTL) to create a pathway specifically for faculty. We expect to have that new pathway up and running this spring. In addition, we are adding OTL classes and programs (that are also open to staff) into our program. And finally, we are working with OTL to create a department chair training program that will be incorporated into the Colorado 14ers program.

### **Q: How did you get leadership support for the program?**

**A:** Middle management was on board immediately, as we targeted many middle managers on campus to either serve on the advisory group or as pathway guides in the program. Our middle managers are critical, as they are the ones who promote the program, use the program and encourage their staff to use the program. We also had our vice chancellor of HR in our corner from the beginning, and she spoke at our first campus-wide luncheon to kick off the program. Add to that all the deans, department chairs, directors and executive directors whose programs we incorporated into the Colorado 14ers, and we got off to a great start with university leadership.

### **Q: How much does the program cost to operate?**

**A:** The costs are minimal. Because we tied the annual kick-off of the program in with our Professional Development Speaker Series (PDSS), both the luncheon and the speaker costs were covered under our PDSS budget. The only cost we incurred was the printing of the booklets containing all of the offerings and some swag for the luncheon, which came to about \$1,800. We now have the booklet available as a PDF on our website, but we still print booklets about twice per year, as many still prefer the hard copy.

### **Q: What impact has the program had on the people development office/HR department?**

**A:** In so many great ways!

- We have successfully positioned ourselves as the focal point for professional development on campus.
- All of our office's professional development services have been incorporated into the program and have received positive feedback.
- New employees start off their careers at DU knowing who we are and what services we offer.
- We've successfully networked with all the professional development providers on campus, which has brought campus-wide support for our programs.
- Our website is actively being utilized.
- We've found creative ways to tie Lynda.com, our performance management process and our consulting services into the program.
- We've helped enhance the reputation of our HR department and the people development office by promoting a much broader array of services than we had in the past.
- We now have an easy way to identify our highly engaged, high-performing employees on campus.

### **Q: So what's next for the 14ers program?**

**A:** The program is definitely still in its infancy. We will continue to grow it, tweak it, enhance it and evaluate it over the next couple of years. I'm excited about our plans to attract more faculty to the program, and we will continue to seek out even more diversity in content and participation. 

**To learn more about DU's Colorado 14ers professional development program, contact Greg Giesen at [greg.giesen@du.edu](mailto:greg.giesen@du.edu) or visit [www.du.edu/peopledevelopment](http://www.du.edu/peopledevelopment).**

# Closing the Guarantee Gap

Protecting Workers From Outliving Their Retirement Savings

By Ron Pressman



As Americans live longer, ensuring they have sufficient income to last throughout retirement has become one of the most critical challenges facing our economy. All American workers deserve financial security in retirement, but a confluence of forces is making saving enough to last through 20 to 30 years of retirement increasingly difficult. Reforming the U.S. retirement system, and broadening access to guaranteed lifetime income options in all retirement savings plans, will empower Americans to protect against outliving their savings.

The majority of Americans underestimate their life expectancy and, by extension, how long they will live in retirement. Based on calculations from the Actuaries Longevity Illustrator ([www.longevityillustrator.org](http://www.longevityillustrator.org)), more than half of 65-year-old men and nearly two-thirds of 65-year-old women are expected to live to 85, and one in three men and almost half of women are expected to live to at least 90. While most know the balance in their savings and retirement accounts, many Americans lack a full understanding of how much money they'll need to retire and live comfortably, potentially for several decades.

According to the Pension Rights Center, the gap between what Americans will need for retirement and what they have saved for that purpose is roughly \$7.7 trillion. But the U.S. retirement system is ill-prepared to respond to the challenges of a rising retiree population with limited savings, due to three shortcomings that put Americans at risk: the “coverage gap” (not enough Americans have access to a workplace retirement plan); the “savings gap” (even if they have access to a retirement plan, many aren't saving enough during their working years); and the “guarantee gap” (few plans provide resources to translate savings to guaranteed income streams that will last throughout retirement).

Policymakers and other stakeholders have concentrated on the first two gaps and have made some progress. To help solve the coverage gap, there is interest at the federal level in expanding the use of payroll-deduction IRAs in the workplace as a substitute for workplace plans, as well as other proposals at the state level that encourage employers to offer workplace plans. To address the savings gap and increase the amount that employees and, optimally, employers contribute to employer-sponsored retirement plans, policy initiatives in plan design have focused on making it easier for workers to participate in these plans.

Most notably, in 2006, Congress codified into law two successful attributes of plans today — auto-enrollment, in which workers are automatically enrolled to save through payroll deductions unless they opt out, and auto-escalation, wherein worker contributions are increased annually unless they opt out. Having access to a retirement plan and

regularly increasing contributions can help people stay on track during the accumulation phase, which can help sustain a standard of living and financial wellbeing throughout their retirement. However, efforts to close the coverage and the savings gaps are not enough to prevent the looming retirement crisis amidst changing demographics and longer life spans. Policymakers have yet to take significant steps to solve the guarantee gap, effectively putting millions of Americans in danger of outliving their savings.

### The Origins of the Guarantee Gap and the Importance of Lifetime Income

In order to understand how to close the guarantee gap, it is important to understand its origins. The guarantee gap emerged following significant policy changes in tax law and pension policy over the past 25 years that created substantial disincentives for employers to provide workers access to investment options that offer guaranteed lifetime income as part of their retirement savings plan.

Previously, Americans could count on a defined benefit plan, or pension, to provide regular income

According to the Pension Rights Center, the gap between what Americans will need for retirement and what they have saved for that purpose is roughly \$7.7 trillion.

in retirement, with Social Security and Medicare to cushion their finances. Many pension plans did not offer any other form of benefit aside from guaranteed lifetime income solutions or annuities. Today, fewer Americans have access to pension plans, as many employers have moved toward 401(k)s, which require individuals to make their own financial management decisions. At the same time, regulatory changes have made the legal climate for employers whose plans offer annuities more complex, further limiting Americans' access to lifetime income vehicles.

Among economists, there is a consensus that lifetime income solutions offer exceptional protection against retirees outliving their savings. Employees who have access to these options, typically through the 403(b) plan model available to certain tax-exempt or public education organizations, are often better prepared to make their savings last throughout retirement. Yet despite evidence that having annuities as part of a retirement plan's design can produce better outcomes, a recent study by the Plan

Sponsor Council of America revealed that a mere 5 percent of 401(k) plans offer participants access to a lifetime income option. As a result, when the vast majority of 401(k) plan participants retire, they take their accumulated savings in a lump sum and then try to make that money last as long as possible. Some are fortunate enough to have a financial advisor to help them, but many go it alone with little advice and no guaranteed income.

Longer life expectancy — while a phenomenal societal achievement — also increases “longevity risk,” that is, the chance that retirees will outlive their savings. As a result, Americans must work to stretch their retirement savings dollars further than previous generations, often coming up short as a result of savings that fall well below recommended targets. For many, Social Security remains the primary — and often sole — source of guaranteed retirement income. Many other developed countries have reformed their private retirement systems to reduce longevity risk, but the United States has yet to address the issue directly.

### How Can Plan Sponsors Help?

The guarantee gap undermines the very purpose of the retirement savings plan system — to minimize the risk of poverty among retirees and the strain on the social safety net. To help solve the guarantee gap, plan sponsors should consider incorporating the following strengths of the 403(b) model into all retirement savings plans.

- 1) **A plan that focuses on retirement income rather than wealth accumulation.** So many of the retirement plans available to workers today focus on the accumulation of assets without any consideration for how to make those assets last a lifetime. Unlike other retirement plan models, the 403(b) model was developed to provide a lifetime stream of income. That’s why, according to Plan Sponsor Council of America, nearly 80 percent of 403(b) plans offer in-plan lifetime income options as compared to an estimated 5 percent of 401(k) plans.

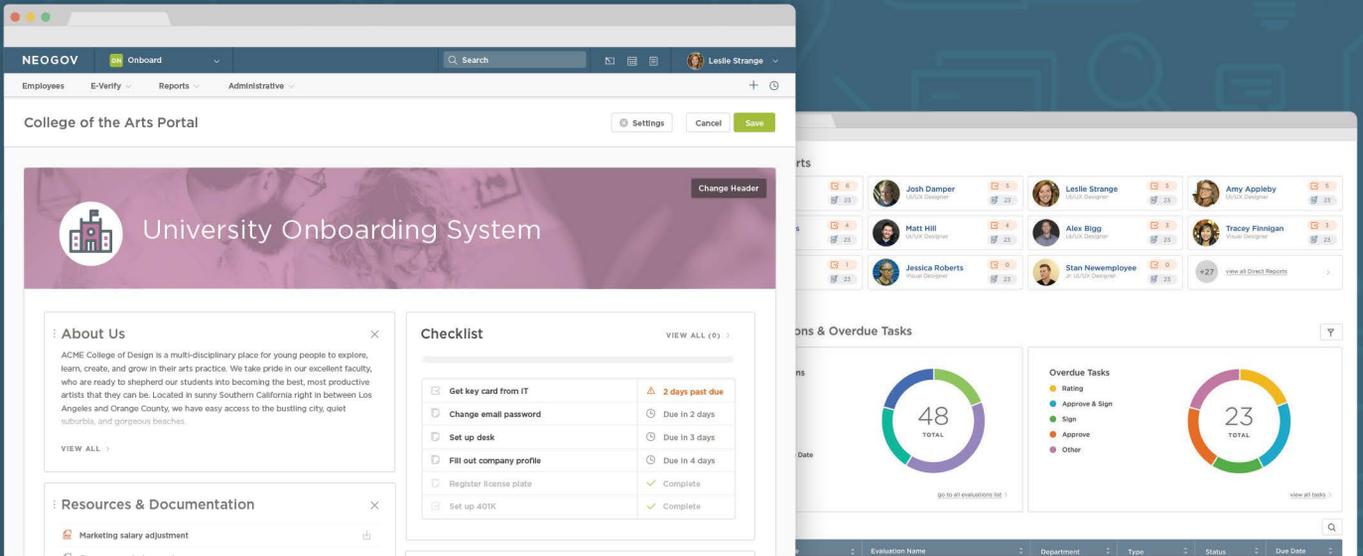
- 2) **In-plan deferred annuity investment options that build guaranteed retirement income over time.** TIAA research has found that investing in an annuity contract during employment correlates with having a higher income stream in retirement. The research also found that employees who invest in an annuity contract during their working years are more than twice as likely to choose a lifetime income stream in retirement.
- 3) **Distribution options that offer immediate or deferred guaranteed income in retirement.** According to the 2017 TIAA Lifetime Income Survey, more than half (56 percent) of Americans who are not retired say the most important goal for a retirement plan is to guarantee money every month to cover living expenses, and 61 percent are worried about outliving their savings. Plans should include a mechanism to convert a sufficient portion of an employee’s defined contribution account balance to a low-cost annuity upon retirement in order to guarantee lifetime income.
- 4) **Education about how savings are transformed into lifetime income.** Annual account statements should provide participants with information on how their current investments translate into lifetime income and how much of that income is guaranteed.
- 5) **Access to unbiased and objective investment advice.** Education and advice play a critical role in workers’ retirement readiness and can enable employees to make better decisions related to contribution rates, asset allocation, investment options and other retirement planning needs.

By addressing the guarantee gap and giving workers better access to lifetime income options in their retirement plans, plan sponsors can help provide their employees with the secure retirement they deserve. 

*Ron Pressman is chief executive officer of TIAA Institutional Financial Services.*

# NEOGOV

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Applicant tracking software that automates hiring

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## Onboard

Onboarding software that stimulates productivity

- Easy transfer of employee files to HRIS
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- College/University unique evaluation programs



# The Way Forward

## Envisioning New Faculty Models for a Changing Professoriate

**A**mong the many pressing challenges facing higher education institutions today is how to support a new and different academic workforce. The growing reliance on contingent faculty throughout higher ed has resulted in such faculty members accounting for approximately 70 percent of the faculty providing instruction at colleges and universities nationwide. As these faculty have been hired in greater numbers, institutions often have not considered how their faculty policies and practices and the working conditions encountered by contingents may carry troubling implications for student learning, equal employment opportunities and non-discrimination, talent development and risk management.

For the past five years, the Pullias Center for Higher Education at the University of Southern California, in partnership with the Association of American Colleges and Universities, has been studying this shift to contingent faculty — how we got here, the impact it's having on teaching and learning, and potential strategies for addressing issues and challenges related to this change in the academic workforce. Dubbed The Delphi Project on the Changing Faculty and Student Success, the work is driven by two overarching strategies — creating a vision for future faculty models for improving student success, and building a broad base of stakeholder support for improving conditions facing faculty working off the tenure track.

Adrianna Kezar heads up The Delphi Project. As a faculty member in USC's Rossier School of Education and co-director of the Pullias Center, she saw firsthand the impact that the lack of support for contingents was having on teaching and learning on her own campus. Recognizing that this was an issue across all of academe, she made it her work to bring the issues to light, make a case for change, and find solutions.

### Identifying the Issues and Creating a Blueprint for Change

The Delphi Project began when, over the course of a year (from early 2011 to early 2012), Kezar convened more than 40 experts representing a broad array of stakeholders from across the academy. Participants — including academic leaders and system heads; leaders from higher education professional associations, academic unions, disciplinary associations and accrediting agencies; education researchers; economists; and organizations representing contingent faculty — completed surveys addressing the current status of the academic workforce, internal and external pressures shaping changes, organizational issues such as faculty morale and preserving academic freedom, and implications of an overreliance on contingent faculty for student learning.

Then in May 2012, Kezar and the working group met in person to discuss the issues that surfaced through the surveys and to formulate strategies to respond to these challenges. The surveys and the group discussion uncovered several challenges contingents are facing in the current higher education climate. According to Kezar, most of these issues emanate from a lack of policies and practices to support this group. For example, she explains that on many campuses, evaluation processes, advancement processes, orientation processes and professional development opportunities are geared only toward tenure-track faculty, meaning that some 70 percent of today's faculty workforce aren't being provided with the support they need to do their jobs to the best of their abilities.

From the working group's meeting and subsequent discussions came a report highlighting some of the challenges contingent faculty face on campuses around the country and the impact this may have on student learning:

- 1) **Hiring and contract renewal.** The Delphi Project report states that because, in many cases, contingent faculty are hired to teach at the last minute, they have little time to prepare for the semester by doing things such as updating course readings, defining

learning goals and developing a course plan, if they are even allowed the autonomy to make such decisions. Job stability is also a source of stress for contingents. Says Kezar, "The lack of job security makes it more difficult for these faculty members to invest in the curriculum and learning goals of a department because they know they may not be there next semester."

Kezar notes the impact this approach to hiring and contract renewal can have on student learning:

- Last-minute scheduling and hiring of instructional faculty impedes preparation for teaching and diminishes the quality of instruction a faculty member is able to provide to students.
- The lack of multiyear contracts or any commitment to hire back lecturers results in contingent faculty cycling in and out of academic programs, impacting preparation and faculty development, quality of teaching, and the ongoing placement of teachers who have experience on a campus and knowledge of students, the institution and/or the department.

- 2) **Insufficient orientation and access to professional development.** According to the report, various studies have found that "contingent faculty ... are often excluded from orientation programs and workshops that are made available to other faculty and staff to provide important human resources information, training for work roles and a review of policies."

Some examples Kezar notes of orientation and professional development policies' connection to student learning include:

- A lack of access to professional development impacts faculty adoption and use of pedagogical approaches and teaching strategies that inform the development of course and learning goals and the sequencing of concepts. The use of ineffective or outdated pedagogies creates an obstacle for the intellectual stimulation of students, which affects their enthusiasm for learning and making connections to course materials and topics.
- Faculty who do not receive professional development or mentoring may not receive useful feedback on their teaching practices, with

feedback limited only to responses to student evaluations. They may also be poorly prepared to advise students and help them address problems and challenges.

### 3) **Exclusion from curriculum design and decisions.**

In addition, the working group's report states that "contingent faculty are often excluded from participating in essential dialogue and decision making over the content they teach. Many are not included in department communication and faculty meetings, where information about broader curricular goals and plans to work toward them are shared and discussed. As a result, these faculty members are limited in their ability to make contributions to academic and curricular planning."

How might this impact student learning? Kezar identified the following:

- By excluding contingent faculty from curriculum design or by forcing rigid course guidelines, department chairs and others may not recognize the expertise and talents of these faculty members, creating scenarios where courses are created without consideration of students' capabilities and interests, textbooks do not match objectives, learning goals and courses are misaligned, problems with a course or the curriculum broadly are not addressed, and opportunities for capturing faculty expertise are missed.
- Since contingents are not always privy to department communications such as emails or meetings, they may have little or no contact with the tenured faculty, which limits participation in professional dialogue. The absence of a shared dialogue about courses and the curriculum creates the opportunity for course instruction and teaching materials to be misaligned with curricular objectives and academic policies that are set by the department or institution.

### 4) **A lack of access to office space, instructional resources and staff support.** According to the report, contingent faculty often are not provided office space, and therefore have no place to meet with students and colleagues, prepare for teaching, and meet other job responsibilities. They also aren't typically offered clerical support for their teaching,

service and research demands and don't have appropriate access to office and technology equipment.

Through her research, Kezar has identified several ways in which a lack of support and resources for contingents can impact student learning:

- Contingent faculty, particularly those on part-time contracts, may not have space where they can meet with students for advising or to discuss confidential matters. A lack of office space also impacts faculty members' ability to brainstorm with colleagues about curricula and teaching and learning practices and prevents them from building networks and social capital for improving courses and instructional quality.
- Since part-time faculty in particular may not be able to be on campus when they're not teaching, and because many teach evening classes, they may not be able to utilize support services provided by university or department personnel who only work during regular business hours. This limits their ability to improve upon practices and skills, as well as their knowledge of resources that may be of help to students.
- When they do not receive adequate support from administrative personnel, new faculty may not receive necessary information. If access to resources and staff is not ensured, contingent faculty may have to procure their own resources, go without them or find alternatives. This seemingly unnecessary exercise takes time away from teaching preparation and students.
- Unlike their tenure-track counterparts, contingent faculty do not usually receive teaching assistants to help with workload. They are expected to take on the burden of a course without any assistance, regardless of the number of students enrolled.

Out of The Delphi Project group's initial meeting and subsequent report emerged two areas of focus that would drive its work moving forward — to engage higher education organizations and stakeholders in re-conceptualizing the professoriate (including redefined faculty roles, the tenure model, rewards, learning and professional development opportunities, and professional standards) and to gather data and create resources for use

by campus stakeholders for facilitating greater awareness of contingent faculty issues and supporting policy development and implementation.

### **The Work of The Delphi Project**

Kezar and her colleagues at The Delphi Project have created several papers, reports, resources and toolkits based on their research in order to help institutional stakeholders guide conversations around the changing faculty workforce and its impact on academe. They've also studied several different faculty models and compiled case studies of institutions that are innovating in this area.

#### ***The Imperative for Change***

This report makes the case for making changes in policies and practices related to contingent faculty and examines the implications of not doing so for student learning, equity and risk management. As Kezar points out, "This document is intended for a broad audience — all campus stakeholders, really — and can help to build an understanding of the implications of the current faculty model and policies affecting non-tenure-track faculty, as well as to facilitate a conversation about change that begins with a shared appreciation of the potential risks of inaction or inattention to these problems."

#### ***Adapting by Design***

This report outlines why new faculty models are needed and offers critiques of current adjunct and tenure-track models. It posits the need to design faculty roles intentionally based on student success and building a rich teaching and learning environment. The report also identifies some models that exist that might be used by campuses as a point of departure for new models, and the accompanying toolkit proposes a process by which campuses can lead discussions around creating new faculty models.

#### ***The Path to Change***

A collection of documents describing how several campuses have initiated a dialogue about contingent faculty practices and how different groups on each campus worked together to implement changes to support faculty off the tenure track.

#### ***The Professoriate Reconsidered***

In this survey, Kezar and her colleagues asked stakeholders across higher education what they thought would be the best characteristics of a future faculty model(s), specifically as it relates to contingents. "There was uniform agreement among all respondents related to restoring professionalism

to the faculty role; protecting academic freedom; equitable compensation and access to benefits; involvement in shared governance; access to resources; opportunities for promotion; clearly defined expectations and evaluation criteria; clear notification of contract renewal; and continuous professional development," says Kezar. Other areas of consensus included increasing the number of full-time faculty (but not necessarily tenure-track faculty); creating teaching-only tenure-track positions; reducing reliance on part-time faculty; ensuring some sort of scholarly component in all faculty roles; fostering more collaboration among faculty; revising incentives and reward structures; developing a broader view of scholarship; and allowing more flexibility to stop the tenure-track clock for family or personal needs.

#### ***New Faculty Models***

The tenure-track faculty model aligned strongly with research productivity has been on trial for some time now, with many educators, lawmakers and college and university stakeholders calling for change. Agreeing with that sentiment, Kezar contends that faculty roles have never been intentionally designed, particularly with student success in mind. "Faculty roles have shifted over the years, but not thoughtfully, strategically, or in ways that are aligned with the changing nature of the higher ed enterprise," she says. "We need new faculty models — models that promote equity among academic appointments, protect academic freedom, ensure flexibility in appointments, foster professional growth, and promote collegiality and a greater sense of community."

In championing the need for new faculty models, Kezar points out the flaws in the two models found in most institutions today: the traditional tenure-track design and the adjunct faculty model. The tenure-track model, she says, places a disproportionate emphasis on conducting research and publishing and can downplay the importance of teaching. She also contends that this approach creates a lack of flexibility to hire in new fields or to account for market fluctuations; does not incentivize innovation; and neglects the roles faculty can play in service, civic engagement and local leadership.

The adjunct model that has emerged over the past couple of decades, she says, is also fundamentally flawed. "On most campuses, adjuncts are inequitably compensated, typically have no access to benefits, have little to no involvement in the life of the department and the campus, and aren't provided with opportunities for professional development," she says.

“They may not possess important information about academic policies, practices and programs or the curriculum or overall learning goals for their departments and institutions. A lack of job security contributes to higher rates of turnover, creating a lack of stability for departments.” In short, Kezar explains, dependence on the adjunct model makes it more difficult for institutions to meet their broader goals related to student success, service, community engagement, leadership and public good.

So what’s the answer? The Delphi Project has identified several different faculty models that could be adapted across higher ed (all of which have been experimented with to varying degrees at many colleges and universities):

- 1) **Teaching-Only Tenure-Track Model** – Faculty are hired full-time to focus on teaching, with no expectation of research responsibilities, but with some expectation of service. Faculty are eligible for tenure after a certain number of years, with tenure eligibility based on evaluation of teaching effectiveness. All faculty members are allowed to participate in governance activities.
- 2) **Full-Time, Non-Tenure-Track Model** – Full-time, non-tenure-track faculty are typically focused only on teaching, research or service (but not all three, like traditional tenure-track faculty). According to Kezar, full-time, non-tenure-track faculty members

### What Is HR’s Role in This Work?

Human resources at Villanova University partnered with academic affairs to improve support in several areas for contingent faculty at the institution. As highlighted on The Delphi Project’s Example Practices web page, here’s an overview of the outcomes of this collaboration:

**1) The risks of last-minute hiring have been mitigated and the institution now maintains a pool of diverse candidates.** With the implementation of a digital hiring platform, HR and academic affairs were able to streamline what had been a complicated and onerous faculty hiring process. Most departments now maintain an open job posting for adjunct faculty, which allows them to collect and maintain a pool of qualified applicants for positions as they become available. This has helped to eliminate last-minute hiring of adjunct faculty and has allowed HR to capture demographic information about the institution’s adjuncts. HR has also helped to ensure the diversity of these applicant pools by extending the reach of advertising for open faculty positions to a wide variety of online job listing boards and listservs targeting diverse populations.

**2) Information and orientation provided to adjunct faculty has improved.** HR and academic affairs have worked together to improve the quality of information provided to newly hired adjunct faculty. All new hires receive a welcome letter from the institution with their contract, a copy of the adjunct faculty handbook, a manual listing pertinent information about campus services available for faculty and students, and a copy of the academic calendar and pay schedule. Adjunct faculty also have the option to attend a three-hour orientation session prior to the start of the semester. All orientation materials are also made available online for those unable to attend in person.

**3) Contracts and promotion opportunities for non-tenure-track faculty have improved.** While they are initially hired on one-year contracts, full-time, non-tenure track faculty at Villanova are eligible after their second successful year of teaching for a three- or five-year contract. These faculty receive annual teaching evaluations, but also a more in-depth evaluation of teaching effectiveness in their third year. They are also eligible for promotion opportunities if they meet the requirements for scholarly research and publications. To help them to pursue these opportunities, Villanova provides access to funding at the department level to support travel to and participation in professional conferences and other development opportunities.

**4) Greater stability and increased compensation for effective adjunct faculty.** The majority of the adjunct instructors at Villanova teach only one course, often continuing each semester or year. HR and academic affairs have worked together to minimize turnover among adjunct faculty who are performing well. As these individuals continue to teach at the institution, they also receive increasing levels of compensation.

**5) Inclusion in faculty governance and decision making.** Villanova policy allows contingent faculty to attend their academic department meetings and vote on most matters (with a few exceptions, such as rank and tenure decisions). This faculty contingent also has representatives serving on the Faculty Congress.

typically are hired on an annual basis, but some have multi-year contracts, often for three to five years. Such longer contracts, she says, provide some job security, offer stability for planning courses and curricula, and allow more time for carrying out the service and leadership work traditionally done by tenure-track faculty. Kezar also notes that this model allows for better pay and access to benefits for these faculty members, enables them to participate in governance and decision making, and ensures that they receive access to professional development and are more meaningfully engaged in the life of the campus community.

- 3) **Medical School Model** – While many medical schools already have this model in place, Kezar notes that this approach, or a variation of it, could hold promise for other types of institutions, as well. In this model, faculty positions are organized into three main tracks: research, education and clinical. Faculty in all three tracks are typically ensured equitable working conditions, with similar salaries, benefits and support. Faculty members holding appointments in any of these three tracks have primary responsibilities for that particular area of practice, but may still spend some of their time attending to the others. In the medical school model, faculty members are included in the governance process and have voting rights, regardless of track, position or rank.
- 4) **Ernest Boyer’s Scholarship Reconsidered Model** – Ernest Boyer’s vision for the faculty workforce, as laid out in his landmark work, *Scholarship Reconsidered*, is organized around four key aspects of faculty roles — discovery, integration, application and teaching — and encourages and rewards faculty for engaging in a broad range of scholarly activities.
- 5) **Shared Faculty Consortium Arrangements** – In this model, multiple neighboring institutions jointly hire full-time faculty members to provide instruction at multiple institutions. Each professor has a home institution, where he or she teaches several courses, has office hours and receives evaluations for contract renewal or tenure. But these faculty also teach one course per semester at other consortium institutions and have access to all resources and facilities on all campuses at which they teach. This model provides greater job security for faculty and more flexibility for institutions.

- 6) **Interdisciplinary Faculty Collaboration Model** – This model, says Kezar, promotes greater collegiality and collaboration across units by utilizing team teaching approaches that expose faculty and students alike to different perspectives inside and outside the classroom. It engages faculty members in extensive professional development and offers opportunities to work with colleagues on other campuses in order to share effective practices and learn from different approaches. The Evergreen State College in Washington has used this approach for decades.

### What’s Next for The Delphi Project?

After five years of work with The Delphi Project, Kezar and her colleagues have no intention of slowing down and are, in fact, looking ahead to what the next five years will hold. The project recently received grant funding from the Teagle Foundation that will enable it to reward institutions that are employing new faculty models and better supporting contingent faculty, which, says Kezar, will help make this work more visible. “We’re excited to be able to recognize and reward institutions that are innovating and experimenting,” she says. Kezar also says she and her colleagues plan to keep doing what they’ve been doing — highlighting best practices, conducting research into different faculty models and support systems, and spreading the word and making the case for change. “We’re intent on turning the tide,” she says. 

To learn more about The Delphi Project on the Changing Faculty and Student Success and to access the resources, reports and case studies of best practices mentioned in this article, visit [www.thechangingfaculty.org](http://www.thechangingfaculty.org). You can also follow The Delphi Project on Twitter @DelphiEdu.

To learn how human resources can help support the changing faculty, attend CUPA-HR’s February 28 webinar, “Developing HR Policies and Practices to Support a Changing Faculty Model,” presented by Adrianna Kezar of The Delphi Project. Register at [www.cupahr.org/webinars](http://www.cupahr.org/webinars).



# Onboarding Done Right:

## How to Make Your New Employees Feel Welcomed, Connected and Prepared From Day One

**H**ow are new hires welcomed at your institution? Does your onboarding process only begin when new employees show up for their first day of work? Does it end when they complete the last piece of required paperwork? Is your new-hire process compliance-driven and policy and procedure heavy? After the first day or week, are new employees then left to navigate the first few months on the job by themselves?

Research has shown that the decision to leave an organization is usually made in the first 90 days of employment. Other studies have found that organizations with a comprehensive onboarding program see a faster time to productivity from new employees, increased retention rates and a more fully engaged workforce. Baylor University has seen these benefits and more as a result of making new employee onboarding an experience and not just a process.

## Revise or Revamp?

Think about a time when you felt welcomed somewhere — in a store, at a job, at someone’s home. What are the things that made you feel that way? Tami Nutt, manager of employee experience and engagement at Baylor, says she and her team asked themselves this very question as they set about re-imagining the university’s new-employee experience.

“Our long-standing onboarding/orientation process was mostly focused on paperwork, policies and procedures,” she explains. “It wasn’t particularly warm or welcoming, but rather served as more of an information dump. In thinking about ways to improve upon the process, we thought about what we could do to help our new hires quickly become acculturated and impactful, to provide a consistent experience for all new employees, and to make sure our new hires feel welcomed and valued from the moment they receive their offer letter.”

According to Nutt, Baylor’s old approach to onboarding was problematic in several ways and made for an inconsistent employee experience. For example, she says, onboarding sessions were only offered twice per month, so new hires were only allowed to start on those weeks. Attendance was all over the map, too — sometimes there were only two or three people in a session because hiring was slow; other times there was a full crowd. The advertised start time of 8:00 a.m. was also when the HR office opened, so when new hires showed up, there was often no one there to greet them. Finally, onboarding was process-driven rather than employee-focused, and did not provide consistent ongoing support to new employees.

“We started trying to revise our onboarding process — making the start time later, giving it a new name and tweaking some other aspects — but the more we got into these revisions, the more we realized we were trying to fit a square peg into a round hole,” says Nutt. So she and her team scrapped the whole thing and started from scratch — this time, she says, with the employee experience driving the design.

## Best-Practices Design

According to Wikipedia, onboarding refers to “the mechanism through which new employees acquire the necessary knowledge, skills and behaviors to become effective organizational members and insiders. It is the process of integrating a new employee with the organization and its culture.”

**Studies have found that organizations with a comprehensive onboarding program see a faster time to productivity from new employees, increased retention rates and a more fully engaged workforce.**

This definition resonated with Nutt, and helped guide the design of the new program. “What we had in place previously was basically just an orientation session,” she says. “What we realized we needed was a true onboarding experience.” After doing some research on the characteristics of successful onboarding programs, Nutt and her team found the following components to be critical:

- An introduction to the organization’s mission, vision and culture;
- An understanding of the employee's role and its relationship to the overall organization;
- An understanding of what is expected of the new employee, how to deliver, and how it will be evaluated;
- Maintaining a connection between the interview process; the offer; the interim between offer acceptance and arrival; arrival; and firsts (first day, first month, first year); and
- Engaging, relaxing and fun.

Using these fundamentals as a guide, Nutt and her team designed the Employee Essentials onboarding program.

## The Baylor Experience

Baylor's onboarding experience is designed to engage new employees from the moment they accept the job offer through the entire first year of employment. Here's how they do it:

### *Prior to Day 1 on the Job*

Nutt stresses the importance of keeping in contact with new hires in the time between when an employment offer is accepted and the day they arrive on campus. At Baylor, new employees receive a congratulations email from one of the university's talent acquisition specialists after they've accepted the job offer with additional information on their start date and an introduction to the new-employee website where they can find more information about the onboarding sessions, links to paperwork that should be completed prior to their first day on campus, and other new-employee resources and information.

## Baylor's onboarding experience is designed to engage new employees from the moment they accept the job offer through the entire first year of employment.

Additionally, sometime between offer acceptance and start date, the hiring department head is encouraged to send an email to team members to let them know a little about the new employee and to encourage team members to send a note to the new hire welcoming him or her to the team.

This is also when office supplies are ordered and office space and technology are set up. Nutt and her team also created a "for hiring managers" web page and comprehensive checklist to help them onboard/welcome their new employees. The purpose of this resource, says Nutt, is to ensure consistency across the university in how new employees are being welcomed and onboarded by hiring managers. New employees also receive a checklist to help them know what they need to be doing during their first year of employment.

### *Day 1 and Month 1*

On their first day on campus, all new employees attend a one-and-a-half-hour session where they finish up and turn in completed paperwork, review Baylor's benefits, and are introduced to the university's core commitments. Dubbed Bear Essentials, these sessions are held every Monday and are led by talent acquisition specialists from the HR office. HR consultants also come to the session to meet their new employees and offer help with completing paperwork. This is also when new employees activate their campus ID card and get their parking pass. Says Nutt, "The focus of this initial session is making sure we get the pieces in place so the employee can get right to work."

At the end of the session, the new employees receive a worksheet that takes them on a scavenger hunt through Baylor's website to introduce them to important information like policies and processes. "We didn't want

to waste valuable time in our in-person sessions on mundane and, quite frankly, boring things like policies," says Nutt. "So we found a way to make this part of our new-hire process fun, interactive and engaging." New hires are instructed to complete the worksheet at their desks and bring it to their second in-person session.

At the conclusion of the Bear Essentials session, new employees meet up with their managers and head to their workspace.

Sometime during their first month on the job, new employees attend a second in-person onboarding session. Led by the talent management team, HR consultants and leaders from different areas of campus, the half-day Essentials for Success program, held on select Tuesdays, is an in-depth exploration of Baylor's core commitments and culture and includes a tour of the campus. The session ends with the Baylor Bowl, where employees are divided into groups and play a quiz-type game using their completed website-scavenger-hunt worksheets.

### *Throughout the First Year*

After the two in-person sessions, onboarding responsibilities shift from HR-led to hiring manager-led. This, says Nutt, is where the hiring manager checklist

comes into play. “In order to ensure a consistent experience for all of our new employees, we needed guidelines and resources to help our managers continue onboarding new hires throughout their first year on the job.” The comprehensive hiring-manager checklist lays out what managers need to do before a new employee’s first day; on an employee’s first day; during week one of employment; during months three, six and seven; and at the employee’s one-year mark. Examples of these tasks include:

- **Before Day 1** – add employee to email distribution lists relevant to his or her position; submit new employee’s office location, office number and telephone extension to HR; notify department of new hire; email employee a welcome note; prepare workspace; order office keys and submit request for access to buildings and computer systems; schedule meetings for employee’s first few weeks with key contacts across campus; remind employee of onboarding session he or she will attend on day one.
- **On Day 1** – meet new employee in HR after first-day onboarding session and escort him or her to workspace; have a first-day meeting with new hire; give a tour of the office space and introduce to coworkers; check in with employee at end of first day.
- **Week 1** – check in with new employee daily in the morning and at the end of the day; ensure technology is fully functional; ensure employee is scheduled for any appropriate trainings; introduce employee to campus partners; discuss performance goals for the first 180 days.
- **Month 1** – have weekly meetings to discuss progress and acclimation; hold the one-month check-in meeting; ensure employee has attended second in-person onboarding session; systems training; invite employee to tag along to meetings; meet with employee’s mentor to discuss employee’s socialization and acclimation to the university.

- **Months 3 and 6** – continue to meet regularly; hold the three-month and six-month check-in meeting; check in with mentor and employee about the mentoring relationship.
- **Month 7** – complete the 180-day performance review.
- **Year 1** – complete annual performance review; hold first-year meeting; celebrate employee’s successes and contributions.

Hiring managers are also provided with a sample onboarding schedule; a template for an email announcement about the new employee that can be sent to team members; a checklist to ensure the employee’s workspace is set up with the proper office supplies and technology before the start date; sample agendas and guidelines for the first-day welcome and for the day one, month one, month three, month six and first-year check-in meetings; and more. Additionally, hiring managers are encouraged to pair new employees with a mentor for the first six months on the job to assist with acclimation to Baylor and the department. The hiring-manager checklist includes a document outlining the mentor selection criteria/process, mentor responsibilities, and a suggested structure for the mentoring relationship.

### Treat Them Like Stars

At many organizations, new employees are welcomed with mountains of administrivia and not much else. While some departments and hiring managers might do a great job of onboarding new employees, think of the benefits your institution could realize if all new hires got the red-carpet-treatment — if they felt welcomed, appreciated, engaged and in the know from the moment they accept the job offer until they’re fully acclimated to the organization. With a comprehensive onboarding program like Baylor’s, you can help your new employees hit the ground running. 

To learn more about Baylor’s onboarding program, watch the archived CUPA-HR webinar, “Employee Essentials: Baylor’s Onboarding Experience” at [www.cupahr.org/webinars](http://www.cupahr.org/webinars).

# Spring Events

Registration is now open for CUPA-HR's spring events! Choose from a variety of higher ed HR sessions based on your professional interests at our spring conferences, or take a deeper dive into trending topics at the symposium.

## Higher Ed Symposium: Charleston

*Hosted by CUPA-HR's Southern Region*

March 4-6, 2018



## Spring Conference: Baltimore

*Hosted by CUPA-HR's Eastern Region*

April 9-10, 2018

## Spring Conference: Salt Lake City

*Hosted by CUPA-HR's Midwest and Western Regions*

April 30-May 2, 2018



Learn more at [www.cupahr.org](http://www.cupahr.org)

## Welcome to CUPA-HR!

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# Featured Events



- 10** Webinar – Quarterly Washington Update
- 25** Webinar – Data Talks 2 You



- 15** Webinar – Culture Coaching: The Power to Transform Leaders and Institutional Climate
- 21** Webinar – Planning for Budgets and Salary Increases Using CUPA-HR's DataOnDemand
- 28** Webinar – Developing HR Policies and Practices to Support a Changing Faculty Model



- 4-6** Higher Ed Symposium, hosted by CUPA-HR's Southern Region – Charleston, South Carolina
- 15-16** Oregon Chapter Conference – Gleneden Beach, Oregon



- 9-10** CUPA-HR Spring Conference, hosted by the Eastern Region – Baltimore, Maryland
- 19-20** Arizona Chapter Conference – Flagstaff, Arizona
- 25-26** Iowa Chapter/CACUBO Joint Conference – Altoona, Iowa
- 30-May 2** CUPA-HR Spring Conference, hosted by the Midwest and Western Regions – Salt Lake City, Utah

*We're constantly adding to our calendar of events – chapter meetings, region conferences, just-in-time webinars, virtual workshops and more. Visit [www.cupahr.org/events/calendar](http://www.cupahr.org/events/calendar) for a full listing.*

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