

Report of Findings and Recommendations on Human Resources Management at the University
of Alaska System
August 2002

Submitted by:

Review Team

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Background

The review team, invited by representatives of the Office of the President, engaged in a comprehensive review of the human resources management function at the systemwide and primary campus levels. The team visited the University of Alaska System during the week of February 25-March 2, 2002.

A complete team itinerary, including a list of individuals with whom the team consulted is set forth in Appendix A. The team met with all chief human resources officers and many, if not all, of their staff from the three main U of A campuses and the Office of the President. Prior to the visit, the team developed and refined questions concerning the functional areas of human resources. These questions (set forth in Appendix B) defined the scope of the review and were discussed with system officials prior to the arrival of the review team. Subsequent to the visit, the team invited a number of individuals, at both the campus and system level, to “follow-up” in writing; i.e., an opportunity to summarize thoughts on issues raised during the review. These submissions were also considered prior to drafting a final report.

The team studied a large quantity of system and campus documents, labor relations agreements, policy statements, related human resources orientation material, and existing annual reports or summaries of issues concerning human resources. A complete list of the major materials reviewed is set forth in Appendix C.

We would like to thank Janet Jacobs in particular for her assistance in providing access to staff and ample documentation of human resources issues. We also wish to thank Carolyn Long (Director of Human Resources, University of Alaska Anchorage), Tom Dienst (Director of Human Resources, University of Alaska Southeast), and Carolyn Chapman (Director of Human Resources, University of Alaska Fairbanks) for their time and insight. The hospitality, openness, and assistance we received were genuine and sincerely appreciated. The University of Alaska is indeed a special place; this is reflected in the talent, commitment, and enthusiasm of its human resources leaders.

This report is set forth in three sections:

Section I

- * Executive Summary and Recommendations

Section II

- * Analysis of Select Issues in Executive Summary
 - Human Resources Culture
 - Labor Relations
 - Data Analysis and Retrieval
 - Completion and Validation of HR Projects
 - HR Benefits Review
 - Professional Development

Section III

- * Conclusions
- * Appendices

SECTION I

Executive Summary and Primary Recommendations

At the outset, the review team learned that all human resources offices are highly regarded. The vast majority of individuals with whom we spoke believe significant progress on human resources processes and functions has been made in the last several years. We refer here to both the Office of the President and human resources operations on campuses. For example, the review team received laudatory comments on labor relations, staff governance (representation, communication), staff development, logistical support for various systemwide functions (the management academy), and various ongoing projects; e.g., that classification matters have been moved to an important area of inquiry. This recognition from many throughout the system was, in our estimation, genuine. In this respect, our comments are directed towards building upon the fine work of many individuals and enhancing human resources throughout the University of Alaska. It is our intention this report be construed as supportive of human resources functions, many of which are solidly in place at the University of Alaska.

Our team suggests the following objectives/recommendations:

- > **Timely Closure on Current Projects**
Systemwide Human Resources (SWHR) must obtain closure on projects currently underway. These include the project on classification, continued implementation of Banner and professional development/training. Closure cannot be accomplished absent enhanced cooperation between campus and statewide offices. Campus and statewide relationships should continue to be strengthened through governance structures designed to enhance communication and the identification of shared objectives.
- > **Data Analyses and Retrieval**
More timely and effective data retrieval and analysis, from human resources and institutional research staff, is essential. There is also the question of whether “Banner” will be able to provide adequate data for strategic planning and related long-term projects. There is a general consensus that data retrieval and analysis is not adequate for human resources planning.
- > **Planning for Negotiations**
Collective bargaining priorities and parameters must be incorporated into a strategic plan (with the involvement of human resources offices) working in conjunction with academic and administrative offices throughout the system. Attention should be paid to clarification and development of the role of labor relations, especially in relation to the university’s academic strategies and priorities.
- > **Assessment and Productivity Measures**
Assessment tools and related measurements should continue to be developed to identify the effectiveness (“value addedness”) of human resources throughout the system.
- > **Integration into Academic Administration/Services**
At this time, human resources is engaged in services and activities directed primarily at staff or non-academic personnel rather than faculty or the academic administration. We urge that

consideration be given to merging academic and staff related human resources concerns; i.e., the integration of programs or services for faculty and academic administrators. Human resources offices would be enhanced with the addition of individuals who understand faculty/academic cultures and who might effectively address academic human resources issues. The success of these initiatives will also depend on the willingness of campuses to permit human resources professionals to venture into “academic” terrain.

> Clarification on the Role of Human Resources in the OP

There may be some confusion in the system concerning the role of SWHR and the locus of authority for human resources decisions in the Office of the President. One review team member was unclear on the relationship between human resources and other administrative and strategic functions in the systemwide office. Some team members felt the systemwide office may not have the professional “horsepower” to fully operationalize several critical projects currently underway. The review team also observed that confusion exists regarding the role of the Benefits Director and that, in several instances, job titles do not match job responsibilities of the individuals assigned to these positions. Campus human resources offices (working with the SW office) should also consider implementing decision-making structures to enhance communication, long range planning, and priority setting on campus with an eye towards aligning policies which may impact academic and staff employees.

> HR Succession Planning

The Office of the President should engage in development of a human resources succession plan given current vacancies and impending retirement of the systemwide Director. As a succession plan is developed, attention might be directed towards the teambuilding process. Systemwide human resources should continue to work directly with the Board of Regents, Human Resources Committee and, in our opinion, continue to be involved in overall system strategic decisions/planning, including staff hiring and reorganization in the Office of the President. The latter is needed in order for the Chief Human Resources Officer to understand the scope of the President’s vision and to provide direction regarding how all system personnel will be engaged in operationalizing that vision.

In the future, the leadership of Human Resources may require individuals who are more conversant with faculty/academic cultures and academic human resources/governance. These individuals could provide leadership on the system’s progress toward its mission and, as well, ensure that Human Resources blends its services and programs into the general culture of the University. To this extent, we recommend that consideration be given to hiring a Vice President for Faculty and Staff Relations when Ms. Jacobs retires. The position would be responsible for, among other responsibilities, the integration of academic, executive, and staff human resources functions.

> Enhance Leadership and a Team Culture

In light of the review team’s suggestions for succession planning and role clarification, we suggest a systemwide leadership endeavor (program or series of seminars) designed to foster and enhance leadership capabilities in Alaska higher education. This leadership endeavor should entail more than a “yearly conference” and be integrated, to the extent possible, into campus governance structures.

SECTION II

The following section elaborates upon select recommendations set forth in Section I.

1. Human Resources Culture

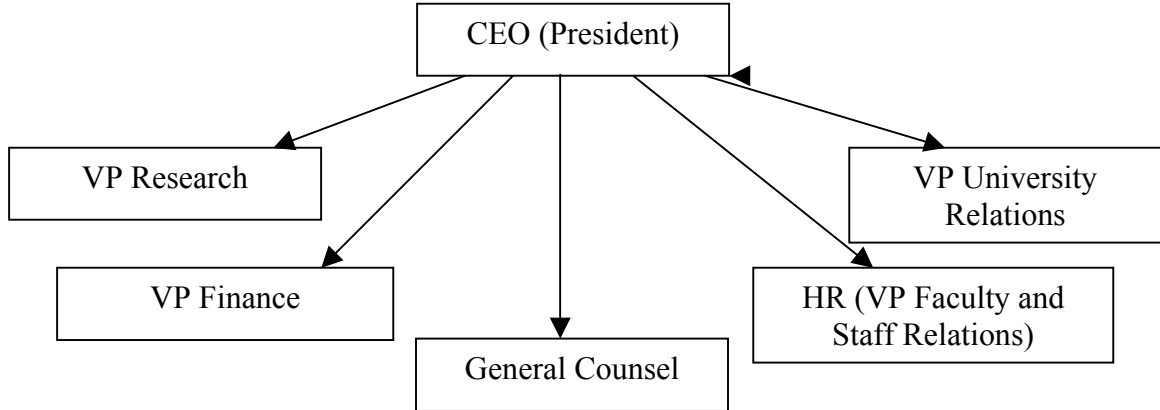
The review team believes SWHR should identify steps to further inculcate a “team” culture/attitude in the OP. We believe the development of team attitudes and behaviors should be incremental and reflect a “process” sustained by a plan. By team, we refer here to a systemwide team of human resources professionals. By process, we refer to an ongoing program with the benchmark measures and rewards, with the active support from the President and Chancellors. Quite obviously, normal systemic strains, which fuel campus vs. system competition, are also present (albeit at a much lower level than we have observed in other systems) at the University of Alaska. To some extent, such strains dampen enthusiasm for a systemwide team approach. That being said, even though campuses may have visible authority and/or responsibility for specific aspects of human resources services and functions, the systemwide office has authority and responsibility for formation of a vision and, as well, coordination of human resources projects. A systemwide action plan, which builds upon planning documents already assembled in OP, is essential.¹ To this extent, we believe a stronger “team culture” must be developed to support the operationalization of any systemwide plans.²

Human Resources Statewide must continue to maintain credibility (perceived value) with and on campuses. Employee and Labor Relations, integrated routinely into Human Resources, are essential to that credibility. A reexamination of human resources structures (reporting relationships, etc.) may be warranted. To some extent, organizational culture is informed by existing administrative structures. The human resources structure we would recommend at the systemwide and campus levels might be diagrammed as follows:

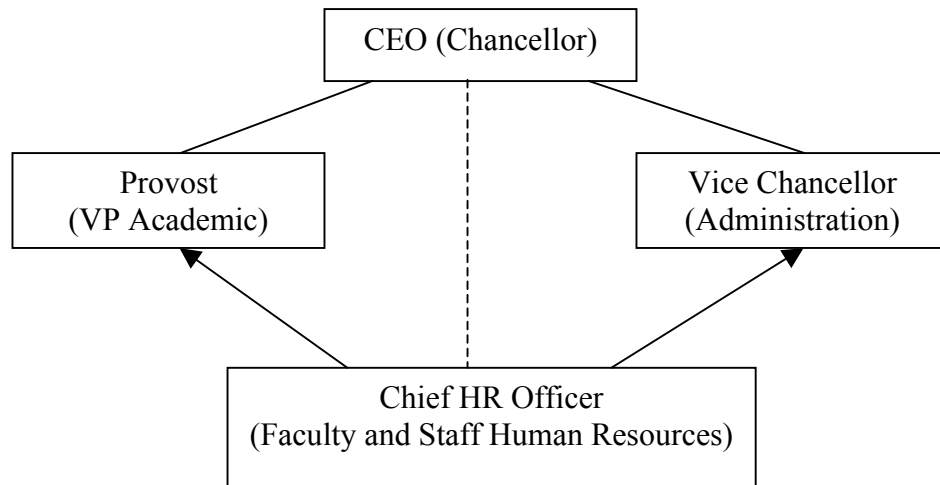
¹ One team member observed: There does not appear to be a common understanding of SHR’s role. On one hand commended by the other MAUs in the Labor Relations area for collaborative problem solving, it is then condemned on the other hand for being meddlesome or unresponsive in the classification area. There is always some tension to be expected between system and campus and it is magnified by what are perceived as surprise initiatives in policy by SHR or lack of responsiveness to what the other MAUs view as a “real” problem. The unsettled issue of SHR’s role as a provider of services or as an initiator of policies and practices is evident.

² One Review Team member observed: Human Resource staff need not feel defensive or territorial. They are highly regarded. But, they do need assistance in learning how to work together. It seems that team building is necessary if ongoing projects are to be completed efficiently, effectively, and with credibility. I am referring here to a “process”, not a single act.

OFFICE OF THE PRESIDENT



CAMPUS



Given the impact of systemwide collective bargaining and the convergence of administrative human resources issues, we recommend that academic and administrative human resources matters on campus be further integrated. (This is indeed already occurring at various levels throughout the UA system.) However, team members discerned that levels of coordination and communication on campuses could be enhanced. Although folks are articulating the right sentiments, the subtle boundaries which demarcate “academic” and “staff” concerns are still solidly in place. Once the overall “vision” is agreed upon, care must be taken to insure that structure, process and behavior reflect that vision accurately. Operationalization of this recommendation may result in more consistent approaches to human resources (labor and legal concerns) as well as other administrative and budgetary efficiencies. Individuals who possess knowledge and experiences in academic human resources should be integrated into human resources offices which in turn should have a reporting relationship to academic affairs divisions.

2. Labor Relations

It is acknowledged the labor relations function has been generally very healthy. That being said, the new director should develop a strategy for upcoming collective bargaining, particularly with regard to faculty negotiations.³ The labor relations function should be maintained in Human Resources with very close coordination with the General Counsel. The team also recommends a more formal structure be implemented in order to insure that many voices and many constituencies are heard as collective bargaining parameters are developed and finalized. Lastly, the Labor Relations function needs some fine tuning and nurturing at the campus level if SWHR desires a more mature relationship with the labor organizations. All campuses should identify a person or persons who will serve as a labor designee; i.e., an individual(s) who can handle contract and grievance administration matters. Relationships on campus are important and often reflect policy decisions made in SW. Two additional points related to this topic are;

- a) The Labor Relations practitioner in Anchorage should have a stronger working relationship with the chief human resources officer at UAA-HR and,
- b) Systemwide Labor Relations should not be engaged in disciplinary or grievance resolutions on campus without active participation of those HR Offices. Ultimately, consideration might be given to decentralizing aspects of these processes.

3. Data Analysis and Retrieval

More significant data retrieval and interpretation is essential. While the data may not yet be readily reported from Banner, there are individuals in the Statewide office and on the campuses who have the knowledge and ability to secure various types of human resources data. These people should be made known to the systemwide executives and campus academic administrators so that their expertise can be resourced on a regular basis. Alternatively, a financial investment in a senior data programs/retrieval position (in the Statewide Human Resources Office) may prove itself to be a worthwhile investment as Banner is put online. Should such a position be created, the individual hired must understand data needed for academic human resources matters. An alternative might be to promote tighter relationships between HR professionals on each of the campuses. It will then become the responsibility of campus professionals to provide data in a timely fashion and format suitable for Statewide staff. The latter approach may be more acceptable as campus staff expertise already exists and, therefore, what is being proposed here may not have a substantial cost impact.

Overall, the team suggests that data entry of personnel actions be brought into the OP, when possible, in order to provide executives an opportunity to assess how the system is working, where the glitches exist, and how best to obtain systemwide data. More effective data systems might provide an opportunity to measure implementation of the new classification program and discern if other related compensation and classification activities are effective. UA might also consider providing learning opportunities for staff who may desire working on a campus or making a temporary “job trade” with campus human resources staff (in regard to data analysis and retrieval).

³ An example of a strategic planning document appears in Appendix D.

4. Completion and Validation of HR Projects

Human Resources must get timely closure on projects underway or they (and the President) will lose credibility. Currently, the presidential staff is highly regarded. This stature must be maintained.

The statewide human resources office has identified focus projects (staff classification, continued implementation of Banner, and professional development/training) that are valued and timely for the system. A detailed “Action Plan” for each project, which include incremental aspects of the project (milestones), timelines, shared responsibilities, who is responsible for various objectives, resources needed, and the like, should be in place. Further, such action plans should be communicated widely to other OP and MAU staff. If any aspect of the plan is modified, the modification needs to be communicated to a broad community of individuals, along with an explanation of why the modification(s) was made. It is important for the credibility of SWHR to operationalize projects on a timely basis.

5. HR Benefits Review

The review team was not in a position to make a comprehensive assessment of the benefits program, costs and processes. In general, the review team felt the benefits program was “functioning”, but not being used as a “tool” for strategy or competitive advantage, perhaps due to restrictions imposed by the State of Alaska or funding constraints. Nevertheless, we would suggest the system engage in a review of staff benefits, flex plans, the possibility of vacation cash-ins, and the like, in light of increasing health care costs and increased pressure to recruit and retain highly qualified staff. (Particularly if recruitment efforts target employees in the Alaskan state government, or in select hard-to-hire areas, engineering, IT, accounting, from the private sector.)

The review team felt that benefits packages for state employees were richer than those provided to U of A employees (work weeks, annual step increases, defined contributions to retirement, etc.). If so, then recruitment to the U of A may become a larger challenge in future years. Hard data and a strategic plan to manage compensation objectives are needed. For example, the system could explore flexible benefits plans which may provide employees greater control (or choice) over vacation accruals. While some may disagree on expanded use of such leaves, other systems have explored using vacation accrual for other purposes (to fund tax deferred annuities, for example). Three additional issues which might be considered in regard to compensation matters include; a) the need to examine executive salaries (to insure competitiveness), b) is the current system of assigning executive salaries sufficient to withstand external scrutiny should issues of consistency or fairness be raised⁴, and c) clarifying the role of the Systemwide Benefits Director, particularly in regard to his scope of responsibilities on various committees and systemwide endeavors.

⁴ One Review Team member observed: Some effort should be made to regularize the executive salary approval process. While it is in statewide’s interest to keep salaries comparable, the other MAUs need some flexibility to be able to hire desired candidates in a timely manner. Additional efforts for collaborative ventures involving all MAUs and using the best practices at the lead “campus” should be encouraged.

6. Professional Development

Broad consensus exists for expanding professional development opportunities including a supervisory and leadership training program. In this regard, UA should not recreate the wheel. Existing higher education models are available. Professional development should go hand in hand with workforce planning in general. Consideration might also be given to greater interaction and knowledge exchange (cross training, if feasible) with select state government employees/agencies.

Also related to professional development, both at OP and throughout the system, is the development of assessment tools/measurements. For example, it might be useful to know the normal response time for various projects from statewide staff. Measurements should be made, from time to time, in order to measure improvement, even for successful programs and processes.

The review team suggests UA consider developing and funding a “UA Academy” under the auspices of what we suggest be called the Department of Faculty and Staff Relations. Future professional development topics might include; workload, assessment, client services, alignment and effectiveness of HR programs, cost effectiveness, competitiveness of health/compensation packages, and coordination with select state or federal agencies or private corporations in Alaska for professional development. An example of a professional development instrument used with unionized faculty at the University of San Francisco (called an Academic Career Prospectus) is set forth in Appendix E. The Pennsylvania State University also has many excellent programs and initiatives related to matters discussed above. They are available from Dr. Billie Willits, review team member.

SECTION III

Conclusions

The team expresses its thanks to all individuals who facilitated this review. Further, we found that human resources at the University of Alaska is a healthy and vibrant function throughout the system. There was general acknowledgement the SWHR is operating better than it was several years ago. The human resources office is perceived as bringing a “value added” component at all campuses. Human Resources directors throughout the system were energetic and aligned with the culture at their respective institutions. The President and Chancellors who support an expanded role for human resources also deserve credit for making “human resources” valued and effective. It is in this vein this report should be taken; improving a function which is held in high esteem throughout the University of Alaska System. Should further questions on any aspect of this report exist, please contact any of the team members.

Respectfully Submitted:
Dr. Daniel Julius (Chair)
Dr. Billie Willits
Mr. Samuel J. D’Amico
August 13, 2002

Appendix A

A complete team itinerary as well as a list of individuals who met with the team. This itinerary was modified somewhat by UA system personnel in order to schedule additional interviews and accommodate travel schedules of review team members.

TRAVEL ITINERARY FOR THE HR REVIEW, FEBRUARY 25-29, 2002.

- 2/24/02 – Flight: **Sam** arrives Fairbanks – 1:41 am
Hotel: SpringHill Suites by Marriott – Conf. # 4836349 (2/23 – 2/25)
- Flight: **Dan** arrives Fairbanks – 4:12 pm
Hotel: SpringHill Suites by Marriott – Conf. # 4836349 (2/24 – 2/25)
Car: **Dan** – (2/24 – 2/26) Dollar Rental Car - Conf. # 30681
- 2/25/02 - Flight: **Billie** arrives Fairbanks – 1:48 am
Hotel: SpringHill Suites by Marriott – Conf. # 4836349 (2/24 – 2/25)
- *** SpringHill Phone # (907) 451-6552
*** Taxi service is available for late night arrivals at the airport – If taxi is not available on site, Executive Taxi may be reached at 455-8899
- 2/25/02 - Review team visits Statewide
- 2/26/02 - Review team visits UAF
- 2/26/02 - Flight: **Dan, Billie & Sam**
Alaska Airlines #160
Depart Fairbanks: 6:31 pm
Arrive Anchorage: 7:29 pm
Conf. #'s Dan – INV VQS
Billie – FDO BLK
Sam – INV VQS
- Hotel: **Dan, Billie & Sam**
Anchorage Sheraton – (907) 276-8700
Dan & Sam – (2/26 – 2/28) Conf. # 997169590
Billie – (2/26 only) Conf. # 417169591
- Car: **Dan** – (2/26 – 3/1) Avis – Conf. # 00740480US6
- 2/27/02 - Review team visits UAS
- 2/27/02 - Flight: **Dan, Billie & Sam**
Alaska Airlines # 62
Depart Anchorage: 8:25 am

Arrive Juneau: 10:04 am
Conf. #'s Dan – INV VQS
 Billie – FDO BLK
 Sam – INV VQS

Car: **Dan** – (2/27 only) Avis – Conf. # 00741764US2

Flight: **Dan & Sam**
Alaska Airlines #67
Depart Juneau: 6:56 pm
Arrive Anchorage: 8:36 pm
Conf. #'s Dan – INV VQS
 Sam – INV VQS

Flight: **Billie**
Alaska Airlines #67
Depart Juneau: 6:56 pm
Arrive Anchorage: 8:36 pm

Alaska Airlines #181
Depart Anchorage: 9:10 pm
Arrive Fairbanks: 10:06 pm
Conf. # FDO BLK

- 2/28/02 - Review team visits UAA
- 3/01/02 - Review team meets with Janet Jacobs in Anchorage

3/01/02 - Flight: **Dan & Sam**
Alaska Airlines #95
Depart Anchorage: 12:00pm
Arrive Fairbanks: 12:56 pm
Conf. #'s Dan – INV VQS
 Sam – INV VQS

Hotel: Fairbanks Princess Hotel – (907) 455-4477
 Dan (3/1 – 3/2) Conf. # 8W3K8W
 Sam (3/1 only) Conf. # 8W3K8K

Car: **Dan** (3/1 – 3/3) Dollar Rental Car – Conf. # 30707

HR REVIEW TEAM ITINERARY – CAMPUS-SPECIFIC COMING
WEEK OF February 25, 2002 – March 2, 2002

Date/Time	Contact	Title	Topic
SUNDAY Dinner	Jim Johnsen	Chief of Staff	
MONDAY 8:30-9:30	Janet Jacobs		HR Overview
9:30-10:00	Joe Beedle	Vice President	Finance
10:00-10:30	Mike Hostina	Director, Labor Relations	
10:30-11:00	Jamo Parrish	General Counsel	
11:00-11:30	Vickie Gilligan	P/R, Acctg, Benefits Acctg, HRIS	
11:45-1:00 Lunch	Janet and Carol Chapman, <i>Pike's</i>		
1:30-2:00	Mike Humphrey	Director, Benefits	
2:00-2:15	Melissa Hill	Coordinator	Professional Development
2:15-2:45	Pat Pitney	Budget Director	
3:00-3:30	Janet Jacobs		Class/Comp Salary Admin
3:30-4:00	Kerry Digou		Governance
4:00-4:45	John Cunningham, et al.		United Academics
TUESDAY 8:30	Frank Williams	Vice Chancellor	
9:15	Carolyn Chapman	UAF HRD	
Tuesday night	FBX to Anchorage		
WEDNESDAY	Anchorage to Juneau		
	Tom Dienst	UAS HRD	
	Juneau to Anchorage		
THURSDAY	Carolyn Long	UAA HRD	
FRIDAY 9:30	Janet		Wrap, Follow-up
	Anchorage to FBX		
SATURDAY 9:30	President Hamilton		

HR AUDIT AGENDA
Tuesday, February 26, 2002

Time	Subject	Personnel Involved	Location
8:30-9:00 a.m.	Meet & greet	All	VCAS Conf Rm
9:00-9:30 a.m.	GI HR	All	VCAS Conf Rm
9:30-10:00 a.m.	Benefits (orientation, FMLA, etc.)	Jennifer Youngberg	VCAS Conf Rm
10:00-10:30 a.m.	Training & Development (website, training library, etc.)	Debra Hagen	VCAS Conf Rm
10:30-11:15 a.m.	Personnel/Payroll	Linda Armstrong, Carol Lucas	VCAS Conf Rm
11:15-11:30 a.m.	Governance	Scott McCrea	VCAS Conf Rm
11:30-12:00 p.m.	Applicant Tracking/ Recruitment	Yvonne McHenry	VCAS Conf Rm
12:00-1:15 p.m.	Lunch	All	VCAS Conf Rm
1:15-1:45 p.m.	Advertising, Website, Records Management, etc.	Carolyn Chapman, Bambi Bellflowers	VCAS Conf Rm
1:45-3:00 p.m.	Employee Relations & Labor Relations	Carolyn Chapman, Yvonne McHenry	VCAS Conf Rm
3:00-3:15 p.m.	Break		
3:15-3:30 p.m.	Budget	Joe Trubacz	VCAS Conf Rm
3:30-4:30 p.m.	VCAS Meeting	Marshall Lind, Paul Reichardt, Frank Williams, Ted Delaca, Joe Trubacz, Debra Damron, Carla Kirts, Kathleen Schedler, Earlina Bowden	VCAS Conf Rm

HR REVIEW TEAM SCHEDULE
Wednesday, February 27, 2002

Time	Subject	Personnel Involved	Location
9:00 a.m.	Review of Website	Gail West, Carolyn Long	North Hall
10:00 a.m.	Tour of HR	Carolyn Long	North Hall
11:30 a.m.	Lunch Meeting	Cindy Matson	Cuddy Dining Room
1:00 p.m.		Lee Gorsuch	Chancellor's Office, Rm. 217
2:30 p.m.		Steve Levi, APEA/AFT Staff	North Hall
3:30 p.m.		Ella Nuss, Cheryl Wright	North Hall
4:30 p.m.	Day Closure and Address Additional Questions	Carolyn Long	North Hall

HR REVIEW TEAM SCHEDULE
Juneau Itinerary

Time	Subject	Personnel Involved	Location
10:04 a.m.	Arrive at Airport		
11:00 a.m.		HR Staff	Bill Ray Center
12:00-12:30 p.m.	Working Lunch		Bill Ray Center
1:00-2:00 p.m.		Jonathan Anderson	School of Business Conf Rm, Campus Novatney Building
3:00-4:30 p.m.		Roberta Stell and Carol Griffin	Chancellor's Office

Appendix B

These questions, which defined the scope of the review, were reviewed with system officials prior to the arrival of the review team.

The following are questions which must be considered in the development and review of the human resources function.

1. Human Resources Management Structure
 - a) Is there a formal human resources management statement of philosophy?
 - b) Is there a formal short and long-range human resources plan and an annual report on progress towards obtaining HRM goals and objectives?
 - c) Does the institution have written human resources policy and procedures manuals which are reviewed systematically and regularly?
 - d) Does the institution support a management structure which involves the president and senior institutional executives in human resources relevant to the institution?
 - e) Is the Board of Trustees kept informed and involved in the review and oversight of human resources management policies?
 - f) Does the institution involve appropriate institutional representatives in the development, implementation and evaluation of human resources planning, policies and procedures?
 - g) Does the human resources structure envisioned result in primary employee concerns being addressed on a continual basis?

2. Labor Relations, Employee Relations
 - a) In institutions where employees are unionized, is labor relations strategy reviewed to ensure labor relations strategy reviewed to ensure labor relations processes and outcomes are consistent with the mission of the institution? Does the implementation of unionization adversely impact educational quality or effectiveness?
 - b) In institutions where employees are unionized, is there an individual or office responsible for labor relations matters? Are contract manuals, training, and contract administration services provided to all who manage unionized faculty and staff?
 - c) Is there a formal office where employees can obtain advice and counsel on employment issues?
 - d) Does the institution have a formal grievance procedure for all categories of employees (which assures due process and safeguards institutional and individual rights)? Does the institution have formal policies and procedures for monitoring involuntary termination, employment issues, layoff and related disciplinary/employment matters?

3. Recruitment
 - a) Is there adequate faculty, administrative and staff involvement in the projection of workforce needs/shortages and development of institutional responses?
 - b) Does the institution have a recruitment policy which accommodates diversity, gender and individuals with disabilities?

- c) Does the institution have a formal system to review recruitment policies which results in the protection of affirmative action, privacy, equal employment and civil rights?
 - d) Where recruitment responsibilities exist at the departmental level, is there a formal system to guarantee the above occur?
 - e) Is the recruitment effort resulting in the attraction of the most competitive and available candidates?
4. Professional Development
- a) Does the institution support programs for executive and administrative development; e.g., to mandate that administrators and faculty are aware of new information, legal or technical changes in various programs/institutional policies, federal or state legislation?
 - b) Does the professional development function adequately support supervisory training in the areas of conflict resolution, employee discipline and termination, performance reviews, etc.?
 - c) Does the institution encourage professional development which enhances individual growth and upward mobility in the organization?
 - d) Is there an institutional body charged with the responsibility to review professional development matters?
5. Institutional Benefits
- a) Do employees have access to individuals or information which would enable them to make informed decisions on proposed changes in benefit packages or the utilization of benefits offered through the institution, or provide advice or counseling to employees on benefit issues; e.g., retirement, termination counseling, financial planning, unemployment insurance, wellness and health programs, et al.?
 - b) How systematically and in what manner are benefit programs reviewed for cost effectiveness, legality, market competitiveness, et al.?
 - c) Does the institution have a benefits philosophy and regularly evaluate benefit services and programs against this philosophy?
6. Salary Administration
- a) Are salary programs supportive of the human resources philosophy?
 - b) Are salaries determined on the basis of a formal classification system? What is the basis for determining entry-level salaries? What kinds of internal and external data are utilized to make salary decisions?
 - c) Does salary administration conform to wage and hour statutes?
 - d) Does the salary program assure salaries awarded on the basis of equal pay for substantively equal work? Is there a systemic review to determine if the above is, in fact, the case?

7. Classification and Compensation

- a) Does the institution have a formal system, and professional trained personnel to manage this system, who can assure employees are properly assigned to position categories and compensated on the basis of position difficulty?
- b) Does the institution utilize procedures to safeguard classification and compensation decisions; e.g., they are defensible, effectuated in a rational manner, employ an auditing system?
- c) When faculty and staff are compensated substantially differently, is there a policy which discusses why pay differentials are utilized? Is this policy legally defensible?
- d) Are job descriptions updated on a regular basis? Is the integrity of the classification system monitored on an ongoing basis?
- e) Does the formal system provide guidance to administrative and staff employees as they seek to advance their careers?

8. Systems and Technology

- a) Does the institution utilize systems and technology to provide human resources management information to facilitate planning?
- b) Do human resources management systems provide usable data and analysis to facilitate effective decision-making processes? Is human resources data and analysis utilized in financial, budget and formal planning?
- c) Are human resources systems designed to protect employee privacy while providing necessary information to supervisors and administrators on a “need to know” basis?

Appendix C

A complete list of the major materials and documents reviewed:

Research Compliance, Final Report, 9/28/01

Faculty Planning Review Report, November 2001

Report, Findings, and Recommendations of External Site Visit of the Research Administrators and Management, July 2000

Comments from UAA's APT Staff, February 2002

Human Resources Services, U of AA Planning Retreat Document, October 30-31, 2001
(Facilitator: Joann DeMott)

Human Resources Services, Department Planning, Follow-up Materials, June 6-7, 2000
(Facilitator: Joann DeMott)

UAF Human Resources, Applicant Tracking Nuts & Bolts, February 2002

Report on Academic Decision-Making at U of A System, April 27, 2002

Final Report; Review and Recommendation: Student Services and Enrollment Management, Dr. S. Ellis and Dr. D. Ching (nd)

Jim Johnsen, "Reengaging the University: A Case Study of the University of Alaska, 1998-2002"; Paper presented at the Stanford Institute for Higher Education Research, Stanford University, May 1, 2002

Jonathan Anderson, "Improving Administrative-Faculty Relationships", nd

UAS: The Next Decade, Strategic Plan for the University of Alaska Southeast, 2000-2010
(August 2, 2001)

U of A F, HR Audit Agenda, February 2002

Memorandum: Marshal Lind, re: Staff Training and Development, September 8, 2000

Labor Relations Report, M. Hostina, March 2002

Memorandum to Commissioner Duncan from M. Hostina re: Adjunct Faculty Tentative CBA,
February 6, 2002

U of A Benefits Information (CD), Orientation Materials, Policies/Procedures

Regents Policy and Regulation 04 - Human Resources

www.alaska.edu/bor/contents/pt4.html

Human Resources Home Page

www.alaska.edu/hr/

Includes sites listed below:

Labor Relations

www.alaska.edu/labor/index.html

Includes: Union Forms

Appointment Letters

Ethics

Board of Regents Update

Employee Survey 1998

Employee Survey 1999

Regents Policy and Regulation

Alaska Public Employment Relations Act

Collective Bargaining Principles

Arbitration / Court Decisions

Alaska Community Colleges' Federation of Teachers

United Academics - AAUP / AFT

Local 6070, Alaska Higher Education Crafts & Trades Employees

UA Online

<http://uaonline.alaska.edu/>

Jobs

www.alaska.edu/jobs/index.html

Employee / HR Forms

www.alaska.edu/hr/forms/index.xml

Classification System

www.alaska.edu/hr/classification/index.xml

Includes: Classification Memo

Project Overview

Draft IS Job Families

FAQ

Benefits Information

www.alaska.edu/benefits/index.html

Includes: UA 2000 Handbook

UA 2000 Health care Plan

Mail Order Pharmacy

Health Care Plan ACCFT, Local 6070, UNAC

Reimbursement Accounts

Employee Assistance Program
Retirement Programs
PERS and TERS
Other Benefits
Publications
Forms
Unions
UA Policy and Regulations

Appendix D

An outline of the features of a strategic plan:^{*}

THE ACTION PLAN: CRITERIA FOR EVALUATION

- Have you defined short term and long term objectives?
- Have you developed a strategy?
 - Identify the key assumptions underlying your strategy. What evidence are you relying on to ensure assumptions are valid?
 - Is the action plan feasible given the constraints and opportunities inherent in the situation?
 - Is the action plan realistic given your sources of power?
- Have you assessed the impact of the action plan? (Is the plan ethical, will it benefit the institution?)
 - Are you cognizant of trade-offs, or who will be directly and indirectly effected by your plan?
 - Have you analyzed the risks of the plan?
- Have you planned for all contingencies?
- Have you put in a mechanism to ensure the plan is periodically evaluated? Can the plan be modified?
- Have you assessed the timing and sequence of decisions?
 - Differentiate between urgent and less important matters.
 - Have you designed a plan with incremental steps?
 - Have you made sure early steps do not preclude any future alternatives?
- Have you reflected on your successes and/or failures in regard to the overall plan objectives?

^{*} Source: Julius D., Baldrige, J. V., and J. Pfeffer. "Memo to Machiavelli", The Journal of Higher Education, 70(2): 113-133, April 1999.

Appendix E

*The USF Academic Career Prospectus:**

The Academic Career Prospectus (ACP) provides an opportunity for faculty to discuss their contributions in the areas of teaching, research and service with the Dean and to collaboratively develop an academic agenda for the upcoming year. To help in the development and discussion of the ACP, faculty are asked to develop a narrative that addresses Items I-IV.

- I. Please discuss for the past academic year the extent to which you have accomplished the goals set out in your previous ACP(s). Your discussion should include, but need not be limited to: a review of the work you have done and the progress you have made in realizing goals in each of the following areas:
 1. Teaching and related course development,
 2. Research activities,
 3. University, professional, community and service activities.

- II. Please discuss your plans as they relate to the College and individual professional objectives for the next academic year. The form of the narrative is flexible but comments should incorporate the objectives you wish to accomplish in the areas of teaching, research and service. Comments should include, but need not be limited to, the topics identified below:
 1. *Teaching*
 - a. Proposed teaching assignment and teaching/course assessment activities, and
 - b. Course/program refinement and development priorities.
 2. *Research*
 - a. Area(s) of primary interest and relationship to longer-term goals,
 - b. Publication and paper development goals, and
 - c. Planned research and creative work not reflected through publications or papers.
 3. *Service*,
 - a. Nature/Extent of participation on University and School/College committees, and
 - b. Other service to the University, the profession or the community.

- III. Describe the specific support, including the possible need for a course teaching credit, to realize the objectives you have set for yourself.

* Source: Labor Agreement (Article 25, pg. 55-56) covering represented faculty at the University of San Francisco.

- IV. Please provide an overview of your longer-term plans for the next 3 to 5 years. This overview will help place the goals for the upcoming year in a broader context and will be helpful for developing School/College and personal long-term goals. The response to this component of the ACP shall not be considered part of the prospectus for purposes of determining whether ACP goals and objectives were substantially realized.
- V. The submitted goals and objectives have been reviewed and constitute an agreed upon set of guidelines for the time period covered by this ACP. While acknowledging agreement on the goals and objectives, these signatures do not constitute an agreement that all resources beyond the reduction of teaching load can be provided. It is also recognized that the Dean reserves the right to change the load assignment after consultation with the faculty member and consistent with other terms of the Agreement between the University and the Association. For non-tenured faculty, completion of the ACP does not guarantee continuing employment, promotion or tenure. Completion of the ACP does not abrogate other contractual obligations.

Signature (Faculty Member)

Signature (Dean)

- VI. The Amendments to Items I through IV, included on the affixed addendum, have been made after discussion between the Dean and the faculty member and are included as part of the approved Academic Career Prospectus.

Signature (Faculty Member)

Signature (Dean)