APPENDIX E:

# *Report of the Subcommittee on Human Resources and Diversity Issues*

# Putting People First: Strengthening University Citizenship

## Subcommittee Members:

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## Introduction

"We are caught in an inescapable network of mutuality." Martin Luther King's observation pertains to the more than 13,000 people who comprise the staff of the University of Wisconsin–Madison. Yet King was referring not merely to the inner workings of a modern, complex institution. He meant that the capacity of any one of us to contribute, to achieve, and to excel can only be as great as the opportunities that the rest of us have to do likewise. He also meant that we must remember how our daily work and decisions are inevitably related to people in the local and global societies to which we are tethered.

This chapter revolves around the concept of strengthening citizenship as a way to address issues related to human resources and diversity in the next ten years at the UW–Madison. The challenge is to maintain a professional culture that fosters the rights and responsibilities of membership, a culture that offers personnel at all levels the basic respect as well as the knowledge, training, tools, benefits, and incentives that can release their potential and keep them productive. Strengthening citizenship also means strengthening our commitment to fair play and democratic principles. It requires a ceaseless search for expanding access and opportunity, especially among members of historically under-enfranchised groups. And it requires us to dispel the fear of difference. With the phrase "strengthening citizenship," we wish to capture the work that must be done to diversify the workforce, deepen leadership skills, and create institutional structures that more regularly unleash and more equitably reward talent. We are a public institution whose prime business is education. We must recognize that our final product—an educated and civil citizenry—can only be as sound as the environment that produces it. "You can never be what you ought to be," wrote Dr. King, "until I am what I ought to be."

A diversity of human resources is also fundamental to our accomplishing our other missions; teaching, research, service, and the search for new knowledge. If our walls are truly to be the borders of the state, nation and world, as we state in our historic commitment to "the Wisconsin Idea," then we must establish the best possible communication with the state's citizens. The citizens of the state are progressively becoming more diverse and these demographic changes will demand that we ourselves have the cultural diversity that will facilitate our effectively serving the population of the future. The search for new knowledge will benefit from breaking down those cultural barriers which limit our knowledge base. The university's teaching and research mission will also benefit from our having the widest, most diverse pool from which to draw the scholars of the future. Finally, maintaining the highest of research standards demands that all university citizens be provided with the best possible tools for their

investigations and be challenged to succeed.

What we advocate in this chapter is not easy. Putting people first will at times require bucking powerful economic and cultural trends. These include, most recently, shrinking state support for higher education, a smaller faculty, growing investments in technology, a creeping reliance on temporary employees, and judicial retreats from affirmative action. As an academic culture, we are in a difficult struggle to balance tradition and change, individual autonomy and collective accountability, multiple missions and shared aims. This report does not try to wish away or legislate away these inevitable tensions. Rather we hope to provide ways of understanding how these features of life on this campus sometimes create unnecessary barriers for current and prospective personnel and undermine the vitality of our common mission. At the same time, we hope to show how-with imagination, strong leadership, candor, and will-these tensions can be redirected into opportunities for improvement.

The report begins with a historical overview of past efforts to improve diversity at UW–Madison, with a discussion of the importance of diversity in maximizing our human resources. We then discuss more recent strategies and innovations employed as part of our *Vision for the Future*. Next, we provide a description of the scope of the committee's investigations over the last ten months, followed by discussions of the three major divisions of personnel: faculty, academic staff and classified staff, with recommendations specific to each group. A section on leadership and professional development precedes a summary of recommendations.

## Part I: History

"We have to encourage a sense that belonging to UW–Madison involves membership in a learning community. . . ."- *A Vision for the Future*

**The University of Wisconsin–Madison has sustained a formal commitment to racial and ethnic diversity for well over 30 years. Broadly defined, the objective is a campus environment in which the presence and contributions of people of color are sought, affirmed, and valued.**

The University of Wisconsin–Madison has sustained a formal commitment to racial and ethnic diversity for well over 30 years. Broadly defined, the objective is a campus environment in which the presence and contributions of people of color are sought, affirmed, and valued. Therefore, the initial focus of innovative programs organized in the early 1960's was increasing minority participation in undergraduate, graduate, and professional study. Beginning with the Dean of Women's recruitment of black students in 1964, the University's efforts received a boost in 1966 with the establishment of the Academic Advancement Program (AAP) for student support services. Throughout the 1970's and early 1980's, minority student programs were organized within schools, colleges and academic units. These programs have since been broadened to include the recruitment and retention of minority faculty and academic staff.

In 1988, the commitment to diversity was unequivocally confirmed when the Future Directions Committee Report identified "Ensuring an Environment of Equity and Diversity" as one of six essential directions the University should take into the twenty-first century. That same year, then-Chancellor Donna Shalala launched the major five-year diversity initiative that became widely known as the Madison Plan.

The Madison Plan began by recognizing that the "limited ethnic and cultural diversity of the University's faculty, staff and students. . .seriously compromised. . .the quality of the educational experience." Therefore, if continued, the University should place "a greater emphasis on ethnic diversity in the curriculum and a more consistent consideration of ethnic diversity in the selection and retention of faculty, staff and students. . .[as] crucial to the university's pursuit of educational excellence." The University has the responsibility of "enriching the lives of tomorrow's citizens and leaders of society by exposing them to the ideas and experiences that broaden their world view and ensure a deeper appreciation for cultural and ethnic differences." The University consequently committed itself to increasing "access to the University for those who are gravely under-represented throughout our community: Blacks, Hispanics, American

Indians and Asian Americans." This initiative was supported by §.36.12, *Wisconsin Statutes*, the University of Wisconsin Board of Regents Policy 88–12, and UW System Administration's 1988 comprehensive Design for Diversity.

In 1993, the last year of the Madison Plan, David Ward assumed the post of Chancellor. Serving earlier as Provost, he had been the chief administrative officer in developing and implementing some of the Plan's most prominent programs. In anticipation of its final year, he pushed for the creation of working committees to evaluate the gains, strengths and weaknesses of the Madison Plan, with the intention of "institutionalizing the successful parts of our past efforts. . .and strengthening those parts that were less effective." Identifying the Madison Plan's top-down implementation as a point of weakness, he called for faculty leadership in the University's re-commitment to diversity. In response, the Faculty Senate appointed two standing committees to examine minority student concerns and minority faculty and staff issues. Further, drawing on the Madison Plan's comprehensive approach to increasing minority participation at all levels, the Chancellor's administrative team restructured the coordination of key areas for minority faculty hiring, curriculum development and student retention.

### "The Madison Commitment"

On April 4, 1994, the Faculty Senate received and unanimously endorsed "The Madison Commitment: A Reaffirmation of University Goals for Minority Programs." Listed as Faculty Document No. 1064, the Madison Commitment comprises the reports and recommendations of the Committee on the Academic Affairs of Minority and Disadvantaged Students, the Committee on Minority Faculty and Academic Staff, and Student Services Directors. Meeting throughout academic year 1993–94, these working groups established the foundation and form of the University's renewed commitment to diversity.

The Madison Commitment's main emphasis is "the pursuit of diversity as a permanent feature of the University's programs and activities." Acknowledging the gains from specifically targeted initiatives under the Madison Plan, the Chancellor now seeks to generate a new dynamism through systemic change by "institutionalizing" the commitment to diversity. Thus, in the same way that educational excellence is embedded in the institution's core values, the commitment to diversity will be incorporated into mainstream programs and activities and accepted in all areas of campus life as integral to the University's mission.

As such, the Madison Commitment defines new levels of mutual obligation and credibility. This policy document reflects the findings and recommendations of representative cross-sections of faculty, students and staff and extends accountability for diversity goals to middle-level management. Unanimously endorsed by the University's governance bodies, its ownership is shared at a fundamental level by the entire University community. Thus, the Madison Commitment empowers each member of this campus to contribute toward creating a respectful and welcoming community.

### Emerging Themes

The recommendations outlined in this chapter are inextricably linked to several themes that emerged from the subcommittee's ten-month study of the university's diversity and human resource practices. First, the subcommittee recognizes the University's substantial efforts to increase the demographic diversity on campus and effectively recruit, retain, and develop a highly skilled workforce. Our study revealed an impressive array of campus, school/college, and departmental initiatives. We must praise the hard work of many faculty and staff and want to inventory and implement best practices across campus.

**Over the next ten years, the university must continue to develop a comprehensive diversity strategy that incorporates fair treatment and respect for all cultural and gender differences.**

The second theme that emerged from the study was the need to build on our past and current efforts to continue to make diversity one of our core institutional values. For more than thirty years the campus has employed several affirmative action strategies (such as the Madison Plan) and vigorously enforced anti discrimination laws to expand access and foster a culture of mutual respect. These strategies have succeeded in modestly increasing the number of women and persons of color on campus. However, the focus groups held during this study illustrate that there is still a perception the campus climate is still "chilly" for certain groups. *Over the next ten years, the university must continue to develop a comprehensive diversity strategy that incorporates fair treatment and respect for all cultural and gender differences.* This strategy must then take the approaches that traditionally under-represented group members bring to work and learning and redefine the strategies, missions, and cultures of departments, schools, colleges and administrative units. Fresh approaches to old issues will emerge because all members of the campus will feel comfortable to challenge basic assumptions about the university's functions, strategies, operations, practices, and procedures. More important, this strategy fosters a supportive environment that allows faculty and staff to bring their whole selves to the workplace and blunts the need to "check their differences at the door."

The Department of Counseling Psychology has used this comprehensive strategy to effectively link the issue of diversity with the department's mission of teaching students to serve an increasingly homogeneous population. Counseling Psychology developed a three-part strategy to meet its goal. First, the department integrated the issues of culture, race, and ethnicity into its mission and into all courses, student and faculty experiences. The department also created a climate and culture that are open, supportive, and affirming. Finally, the department made real efforts to recruit and maintain a diverse group of students and faculty. As a result of these efforts, Counseling Psychology has developed a positive reputation and achieved the "critical mass" necessary to sustain a diverse and healthy departmental culture.

The committee also found that a prevalent theme throughout this study was the real and perceived institutional barriers at all levels of the university. The campus must strengthen its human resource system to eliminate or lower these barriers. For example, departments must employ pro-active and continuous recruitment strategies to develop diverse and viable applicant pools, provide opportunities for professional and leadership development, and continue to compensate all employees equitably. The campus community should also continue to balance local autonomy and the central administration's human resource initiatives. These efforts will engender the commitment to university citizenship necessary to maintain UW–Madison's preeminence as one of the top research universities in the world.

Overall, the effort to improve diversity and Human Resources practices must be a conscious effort made for the good of the institution as a whole: in neither area will gains occur by accident.

## Part II: Where We Are Now: UW–Madison's Progress Toward "Maximizing Human Resources"

The goal of Maximizing Our Human Resources emerged as one of the chief priorities of the university community during the development of *A Vision for The Future: Priorities for UW–Madison in the Next Decade* (April 1995). In endorsing that priority for future action, Chancellor Ward challenged the university community to "tap the rich potential of all our citizens by incorporating them into our faculty, staff, and student body." To meet this goal, the administration attempts to provide a climate that welcomes new perspectives and contributions, and provide more support, encouragement, facilitation, and appreciation for the achievements sought by an increasingly diverse body of students, staff, and faculty. But what is the best way to do so?

As a first step toward organizing a university-wide initiative to maximize our human resources, Provost John Wiley assigned an administrative team to identify broad human-resources goals and create an action plan. The team identified four goals regarding employees (classified staff, academic staff, and faculty), goals which now drive the development of university-wide human-resource policies and programs:

1. Improve **CLIMATE AND INSTITUTIONAL CULTURE** for all employees, in partnership with the community;
2. Promote **PROFESSIONAL DEVELOPMENT AND CAREER DEVELOPMENT** opportunities for all employees;
3. Increase **DIVERSITY** in faculty, academic staff, and classified staff; and
4. Use **PLANNING AND IMPROVEMENT** approaches to help enable employees to advance the mission of the university.

While the report that follows is intended to identify the areas where improvement is needed and to make recommendations for new or revised efforts, we want to recognize existing policies, programs, and initiatives that have already positively contributed to meeting the above four human-resource goals just outlined. A more complete list of such policies and programs is included in the Action Plan for Maximizing Our Human Resources: Faculty and Staff. Here we note a promising group of recent achievements and projects in each of the goal areas. These programs are, for the most part, cross-college initiatives. Additional programs exist at the school/college, department and program levels.

1. **CLIMATE AND INSTITUTIONAL CULTURE**:
   - By June 1998, the Faculty Strategic Hire Initiative (1996–2000), which offers 3 years of salary support for priority hires, brought 23 minority, 22 spousal, 19 "women in science", and 5 "vision" hires to campus, for a total of $7 million committed.
   - Equity & Diversity Committees have been implemented in all schools, colleges, and campus-level units.
   - Recruitment procedures for faculty and staff are being reviewed for fairness, courtesy, and effectiveness in meeting campus and unit goals, with a plan for improvement developed.
   - New Campus Child Care Coordinator is improving six centers and is negotiating with providers to add infant care to the list of services offered.
   - New parents may extend the faculty or staff probationary period by one year.
   - A brochure and Web publication on Family-Related Leave Policies has been created to encourage fuller implementation.
   - Employee Assistance Office provides consultation to individuals with personal and workplace issues and offers alternative dispute resolution and workshops on conflict, change, and communication.

2. **PROFESSIONAL DEVELOPMENT AND CAREER ADVANCEMENT**:
   - These include the annual Academic and Administrative Leadership Programs, e.g., Academic Leadership Series (over 100 chairs, center directors and associate deans), Kauffman Administrative Development Program (27 academic staff and faculty), CIC Academic Leadership Program (5 faculty and academic staff) and the Leadership Institute (40 staff and faculty). Each offers a distinct approach to leadership development.
   - New Faculty Workshops are held to provide orientation and discuss grants, the tenure process, and teaching/learning strategies.
   - The Departmental Effectiveness Series addresses work challenges for 120 department administrators/secretaries.
   - The Annual Conference for Office Professionals has been revised to meet the needs of 300 office-staff participants.
   - Diversity Awareness Training is offered annually for over 800 faculty and staff

participants.
- Manager and Supervisory Training is being designed for 1998–99 implementation.
- Mentoring programs include the Academic Staff Mentoring Program, which is entering its second successful year (85 pairs), and the Women Faculty Mentoring Program, entering its ninth successful year (75 pairs). An ombuds for Women Faculty acts as a resource for resolving workplace problems at an early stage.
- Guidance Person/Committee, as well as Oversight Committee, is required for probationary faculty members, in place since 1992, with workshops on mentoring provided annually.
- New Employee Orientation is being designed for 1999 implementation.

3. **DIVERSITY** (these initiatives interact with many of those listed above):
- 23 minority and 19 women-in-science employment offers have been facilitated by Faculty Strategic Hire funding and assistance in conducting targeted recruitment;
- Equity & Diversity Committees are in first year of their implementation.
- Recruitment procedures for faculty and staff are being reviewed for fairness, courtesy, and effectiveness in meeting campus and unit goals, with plans for improvement to be developed where necessary.
- Diversity is considered when selecting participants for academic and administrative development programs (Kauffman Administrative Development Program, CIC Academic Leadership Program, and the Leadership Institute).
- Diversity Awareness Training is offered to over 2000 faculty and staff participants annually (Graduate Assistants' Equity Workshops, unit-based Diversity Training, Intercultural Communications workshops).
- Sexual Harassment Informational Sessions are being developed and will be available to faculty in 1999, pursuant to Faculty Senate resolution.

4. **PLANNING AND IMPROVEMENT**:
- Planning/improvement strategies are shared with departments through workshops and consultations.
- Skilled facilitation of strategic planning is offered by Office of Quality Improvement (OQI) staff, a skilled facilitator pool trained by them, and recommended consultants.
- Consultation for process-improvement is provided to departments and units by OQI.
- Deans' Council Effective Departments Initiative has been completed, providing school/college definitions of the chairs' role, successful projects for cross-departmental sharing of support services, and clarification of policies affecting interdepartmental teaching.
- Department and college-based initiatives to improve teaching and learning are brought together for planning and coordination, resulting in brochure and an assigned coordinator.

With these and other initiatives in progress, the university is clearly making a strong effort to meet its identified human-resources goals. However, the long tradition of decentralization of effort, combined with rapidly changing needs and conditions, may have impeded the good-faith effort of individual offices and units to meet these goals with coherent, powerful, and effective programs. This accreditation self study provides a unique opportunity to review the human-resource situation at UW–Madison and to assess existing programs and policies from the perspective of the people (and the ideals) they aim to serve.

**Subcommittee Discussions**

To take the pulse of the full UW–Madison human resource community, the subcommittee consulted with those who are considered "expert" in the area of Human Resources at UW–Madison. The subcommittee met with the Associate Vice Chancellor for Academic Affairs, the Director of the Office of Human Resources and the Classified and Academic Personnel Offices, and with campus personnel representatives. Whenever possible, representatives of the subcommittee met with established groups and committees to share information about the reaccreditation project, the subcommittee's charge, and to identify challenges facing the current system and to solicit suggestions for addressing those challenges. In this way, groups ranged from the College of Letters & Science Council of Deans to the Classified Personnel "Kitchen Cabinet" and were able to suggest creative ways to maximize human resources. Finally, a series of brown bag seminars, several focus groups and an extended "Forum on Diversity" added to the information gathered by the subcommittee. A brief overview of the latter three methods appears below.

**Brown Bag Seminars**

In a continuing effort to gather data for this report, the subcommittee invited a number of key individuals to share their ideas and experiences on methods to maximize human resources. From these discussions, the Committee hoped to broaden its education regarding models for maximizing human resources and to learn from the experience of individuals who had tried and/or studied differing management techniques.

Professor Emeritus Joseph Kauffman provided the committee with a historical and system-wide perspective on human resources and diversity. He summarized the proud history of the University of Wisconsin System and its employee classifications, outlining some of the competing interests between the UW System in general and the UW–Madison campus in particular. Professor Kauffman noted that the idea of increasing campus diversity within the UW System dated back to 1974, when the Board of Regents introduced policies on setting goals for enrollment. In analyzing the issue of diversity, Professor Kauffman urged this committee to determine how advances in diversity at UW–Madison can be incorporated into a decentralized system; he reminded us to be cognizant of UW–Madison's unique qualities and, finally, suggested that before recommending any significant changes, we must determine the best practices and benchmarks for change.

Provost John Wiley then addressed a more current review in response to the questions, "Where Have We been? Where Are We Going?" He discussed current hiring practices and presented a model for increasing the hires of underrepresented groups. In essence, Provost Wiley suggested creating a goal for diversity by factoring in the current rate of retirees with the new hires. He also recognized, however, that setting goals alone will not suffice: increasing the diversity will take deliberate effort on hiring committees and other decisions makers. In addition, the University must aggressively recruit diverse candidates. By requesting that those involved in the search process enrich the potential hiring pool, we can successfully achieve hiring practices which increase our institutional diversity.

Professors Gilbert Emmert, Thomas German, Edna Szymanski and Bruce Wampold discussed "Maximizing Human Resources at the Departmental Level". Each of these departmental chairs described their own departmental efforts undertaken to increase diversity. Three factors permeated the discussion. First, for any department to make significant progress toward diversity, there must be administrative support at both the college and upper management levels of the university. Second, to improve both recruitment and retention, departmental culture must be accepting of all individu-

als. Finally, to succeed we must aggressively enlarge our overall candidate pool, recruiting a more diverse mix of staff members.

Returning to Professor Kauffman's recommendation that the subcommittee seek out information on "Best Practices in Human Resources," the subcommittee invited Professor Herbert Heneman to discuss methods used by industry to maximize human resources and improve processes. In particular, Professor Heneman discussed the means for determining "best practices" for an organization, how to use benchmarks to achieve superior results and finally, how these theories work in practice. In applying this approach to the University, Professor Heneman stressed that we must recognize the complexity of a university and be careful not to create benchmarks for one area which, in turn, harm another. To use this process to its potential, it will take time, critical thinking, and flexibility.

### Focus Groups: Understanding the Barriers and Gateways Regarding Recruitment and Retention of Women and Minorities at UW–Madison

Focus groups were held to help the subcommittee learn more about faculty, academic and classified staff perspectives on issues related to recruitment and retention of minorities and women at UW–Madison.[1]

Among the many issues defined as "barriers" to recruitment of women and minorities, cultural attitude and climate received considerable attention in all employment groups. For each group, issues arose that were of particular importance to its members: for example, the Academic Staff groups and Faculty cited their concern with "compensation and competitive pay" as a barrier, while members of the Classified Staff expressed concern with some aspects of the Classified Civil Service System. Faculty also cited the traditional search process itself as inadequate in effective recruiting of women and minorities, an issue that would seem to apply less readily to the Classified Civil Service System, which has a different hiring process.

Cultural attitude and climate were also cited as barriers to the retention of women and minorities in all employment groups. "Compensation and competitive pay" was again cited as an issue by Academic Staff and Faculty, while Faculty suggested that the Tenure process poses barriers and Classified Staff proposed that structures within the Classified Civil Service System may also pose problems. All groups also cited "Leadership" and the Classified and Academic Staff members cited availability of "Professional Development" as barriers also.

This report's conclusions focus on issues cited most often; these may be seen as issues that, once addressed, will have the greatest impact on removing barriers. These include cultural attitudes, compensation, Classified Civil Service System, search and tenure processes. Participants were also invited to propose solutions.

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[1] Focus group coordinators and Subcommittee members developed six questions for the focus groups to discuss. Questions included "What barriers exists to the recruitment/retention of women/minorities at UW–Madison?" and "What gateways help UW–Madison recruit/retain women/minorities?" Participants were drawn from university employee databases, selected randomly from lists based on certain criteria (e.g. sex, employment category, heritage code, etc.). Fifteen focus groups were developed and thirty invitations per group were issued; however, group sizes varied from a high of fifteen to a low of four and, ultimately, only fourteen groups met. Thus, comments were elicited from groups of women and of minorities from the Classified Staff, Academic Staff and Faculty, as well as from "majority" members of the Faculty and Academic Staff. Trained professional facilitators from the Office of Quality Improvement moderated all of the focus groups, and, with the exception of two groups, a single note-taker attended and recorded the groups' discussions.

The notes from the focus groups were analyzed, with each quotation and paraphrased comment assigned a category and corresponding code. The majority of the quotations and comments were also coded according to the composition of the focus group, allowing a cross tabulation analysis.

## Cultural Attitudes, Environment and Climate

This category generated by far the most comments in the focus groups. Comments could be divided between issues regarding women and those related to minorities. Minority issues centered on the perception of a subtle racist environment and unwelcoming attitudes at UW–Madison and the surrounding Madison community, while issues pertaining to women tended to focus on the perception of subtle sexist behavior of men at UW–Madison. The difficulty of addressing the former, given the demographic composition of the city of Madison and the surrounding communities, was often observed. There is also a perception by Classified Staff that they are treated as "second-class citizens."

## Compensation/Competitive Pay

Themes that emerged on this subject were related to low pay, limited pay range maxima by titles, and merit review. Women faculty brought up the perception that the only way to receive an increase in pay is to "play the outside offer game," something women have been less willing or less accustomed to do than their male counterparts seem to be. They also mentioned gender inequities and a cultural difference in the art of negotiation as barriers to retention as it relates to compensation.

## Tenure and Tenure Process Issues

The tenure process is often seen as a barrier to retention. Some of the major themes that emerged included tenure requirements that do not focus on service and teaching. Some disciplines were described as considering scholarly study into minority and/or women's issues to be "soft" or unimportant, a disadvantage to some faculty. Focus groups also discussed the challenge of balancing scholarship, tenure expectations and family, a task regarded as having a greater impact on women faculty, despite the recent policy allowing new parents to "stop the tenure clock" for up to one year.

## Search Process

Faculty, academic staff, and classified staff all commented on the failure of the standard search process to locate a sufficient pool of diverse candidates from which to hire. Comments included the need to expand candidate pools in general, the need to address the problem of inherently small pools of qualified female and minority candidates within certain fields, the increased competition for qualified female and minority candidates within those small pools, and the need to establish better networks that can reach under-represented groups.

## Classified Civil Service

The classified staff identified several issues concerning the classified civil service system and the barriers it presents for recruitment and retention of women and minorities. Themes that emerged included the lack of knowledge of the Classified Civil Service System at the department level, the difficulty in getting reclassified (to advance in the system), the difficulty recruiting, the lack of opportunities to advance or grow in one's position, strict rules limiting rewards and the lack of merit pay, and the feeling of isolation in positions. It was noted that several of these issues are not limited to women and people of color, but that any member of the Classified Civil Service could face some of these barriers.

## Solutions

All participants were asked to generate ideas for overcoming barriers to recruitment and retention of women and minorities at UW–Madison.
Suggestions included:
- requiring better planning by departments in hiring;
- offering stronger leadership support;

- expanding recruitment pools;
- improving the search process;
- providing more and better mentoring;
- offering better pay and career advancement opportunities;
- allowing for more flexible work hours;
- increasing job security;
- offering more opportunities for professional development; and
- improving the classified civil service system where possible.

It was also observed that many of these suggestions would benefit not only women and minorities, but all employees at UW–Madison. That observation has served to underscore the theme of this report.

### Open Forum On "Diversity At UW–Madison"

Three sessions for staff and students were held in May and June to discuss the subject of "Diversity at UW–Madison". Several student organizations and organizations with student and community members also participated, including the Civil Rights Defense Coalition, the Associated Students of Madison, Brothers Staying Strong, the Ten Percent Society and the Wisconsin Association of Scholars. These groups and their members represent a spectrum of perspectives, most of which agree that the matter of diversity is important, but which often differ on the question of how it might be achieved. While the session attendance was low at the end of the semester, the small size of these groups allowed everyone present to move discussion beyond the level of prepared statements. Thus, the details of the merits and deficiencies of previous plans, as well as the dreams and drawbacks, were open to exploration by these groups of interested and committed advocates.

Among the several themes that emerged in these sessions are the following:

**"We need to make everyone at UW–Madison aware of diversity issues."**
Participants stressed the need to understand that "we all have culture": they called for a greater emphasis on "cultural literacy," so that individuals, by understanding their own cultural frame of reference, might better relate to those who have different cultural frames. Related to this is the need to improve the overall cultural climate at UW–Madison, so that the institution is "welcoming" to all of its members; this might also call for improving and expanding support services. When informed that some programs already exist, participants recommended that the institution improve efforts to advertise available programs and to connect people who need them with those who provide services. Finally, the institution was encouraged to be more creative and bolder about developing solutions to these problems, using resources offered by the students and community members who are committed to effecting change in this area.

**"We need to work more with its surrounding community to improve relations with diverse populations in UW–Madison's own back yard"**; rather than emphasize the need to recruit minority students out of state, the institution should work to strengthen ties to its own community and to the K–12 system, both to improve the education of Madison's minority K–12 population and to improve minority representation on the UW–Madison campus by eventually recruiting those students.

**"We need to take action to make people accountable."** Participants expressed frustration that the subject of diversity has been discussed and studied for so long, and yet plans have failed or progress has been slow at best. They challenged the members of the New Directions Subcommittee on Human Resources and Diversity to develop a plan that includes the voices and recommendations of all constituents, that would have broad-based support, that would include measures of success and periodic check-points to evaluate progress, and that would be able to be implemented quickly.

Overall, these sessions indicated that, in spite of all that has already been done and the programs now in place, the subject of increasing the diversity of UW–Madison is a matter of concern, and that action, rather than further study, is desired in this area.

## Part III: Maximizing Our Human Resources in the Next Decade
### The People Who Comprise UW–Madison's "Human Resources"

To some extent, the groups of employees of the University of Wisconsin–Madison are governed by the state statutes that define them. By statute, policy, and tradition, the faculty are key employees in accomplishing the university's multiple missions. Their charges are to pursue the search for new knowledge, to convey the fruits of academic knowledge through instruction, and to use their expertise in service. In addition, the faculty play a major role in university governance through their departments, and through school, college, and university committees. To appreciate the challenges in addressing diversity concerns in faculty composition, it is critical to understand how faculty members are chosen and how they are selected for promotion.

Open positions for new faculty are typically vested in one or more departments under the authority of a college dean who fills them with help from faculty advisory committees. The searches are typically at least national in scope and are quite rigorous. The candidates must have appropriate advanced degrees. There are three faculty title levels; assistant, associate and full professor.[2] Associate and full professors are granted tenure through a rigorous analysis that places primary emphasis on the candidate's individual excellence in at least one of the above mentioned areas (research, instruction, service) with the other areas also being involved in the analysis. Assistant professors who do not achieve tenure within 6 years (typically) are nonrenewed as employees of the university.

In addition to the Faculty, UW–Madison has another group of employees that contribute directly to the achievement of the institution's mission-Academic Staff. By definition, these employees are professional and administrative personnel with duties and appointments primarily associated with higher educational institutions or their administration ([[section]] UWS 1.01, *Wis. Admin. Code*). In general, members of the Academic Staff hold a post-secondary degree, have special qualifications and perform duties which involve teaching, research, public service responsibilities, academic support activities or academic program administration.  In 1997, UW–Madison employed 5189 Academic Staff employees.

Classified employees are those whose duties can generally be categorized by job specifications established by the State Department of Employment Relations. These types of positions are not necessarily unique to higher education and are perceived to be interchangeable with other agencies of the State of Wisconsin. Depending on the nature of the position, the job may be either represented by a labor union or non-represented. The positions also may be permanent, project or limited term (LTE)[3]. Classified titles are used for clerical support, maintenance workers, information technologists, budget analysts, laboratory technicians, animal caretakers, and any other positions that are utilized in other state agencies. Successful candidates for these positions often must pass standardized tests in order to be considered for selection.

Over 4,700 of the 13,837 employees on campus are permanent classified staff.[4] These numbers indicate that the classified staff at this institution are an integral part of our infrastructure. These staff are "the face" of the institution—often they are the peo-

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[2] "Instructor" is also a faculty title, but is seldom used unless a candidate arrives for a position without having yet completed the required degree credentials.

[3] Limited Term Employees are non-career appointments of short duration which do not result in permanent status and for which the normal recruitment and examination procedures are not necessary (§. ER-MRS 1.02(14) and §. ER 1.02(17) *Wis. Adm. Code*).

**Minority, female, and disabled students are buoyed by the presence of teachers who can help them imagine a place for themselves in their chosen fields.**

ple on the telephone and behind the reception desk meeting parents, prospective students and the public. They are the people making sure our facilities are clean and well-maintained, and they are in our research and computer laboratories supporting our teaching and research mission. It is essential that our classified employees and the system under which they work be considered along with the faculty and academic staff as a valued resource of this institution and one which needs attention as we move into the next millennium.

## Faculty

Over the past several years, a number of initiatives have been designed to meet the needs of the faculty as part of UW–Madison's ongoing efforts to "Maximize Human Resources." For example, as a means of promoting professional development and career advancement opportunities for all employees, a program called "Creating a Collaborative Academic Environment" (CCAE) provides an intensive faculty development program in which cross-disciplinary groups who wish to can learn about learning and collaborate in re-envisioning their approaches to teaching and curriculum. Other programs, such as the campus-level New Faculty Workshop Series, pay particular attention to helping new faculty develop a sense of connection to the institution, its policies, procedures and culture. The Women Faculty Mentoring Program and the Mentoring Program for Minority Faculty (under development) target groups to provide an additional level of support. As part of the *Action Plan for Maximizing our Human Resources: Faculty and Staff* discussed, these initiatives are regularly evaluated.

To a considerable extent, the qualities of the university and individual departments are judged by the sum quality of their faculties. This system is an important cornerstone of the university and has worked well to develop its excellence. However, certain aspects of the system present challenges to diversification goals. These include the limited number of openings available at any given time, the autonomy of individual units in selecting faculty members and nominating them for promotion, and the emphasis on individual accomplishment. Our challenge is to work within this tradition to broaden our membership.

An institution responsible for society's future cannot afford to be dragged down by mistakes of the past. Nowhere is diversity more urgent than in the faculty ranks. Achieving that diversity in ten or twenty or fifty years does not help students today whose university experience must prepare them now for careers as citizens in an increasingly multicultural world. Faculty are the most influential mentors and role models that students encounter at the university. *Minority, female, and disabled students are buoyed by the presence of teachers who can help them imagine a place for themselves in their chosen fields. And all students are entitled to education informed by the intellectual heterogeneity that a diverse faculty guarantees*. We need faculty members who are traveling on different roads of life and who bring from their lives diverse research passions and curricular commitments. Only then can we incubate among our students the forms of multicultural intelligence that will become increasingly necessary to the health and peace of the nation. There is no greater threat to the continued excellence and broad-based public support of this university than a failure to finish diversifying the campus in the next ten years.

The state and the nation that we serve are diverse now. For us to effectively communicate and learn from the citizens of the state and nation, we must break down all barriers to that interchange. Cultural limitations can be some of the most severe barriers and that is why they cannot be accepted. Excellence demands the widest possi-

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[4] It should be noted that this section of the report focuses primarily on issues affecting permanent classified employees; however, in the process of our review, the subcommittee became aware of the need for further review of issues affecting LTEs, which will be addressed in greater detail below.

ble intellectual inputs without cultural limitations. Excellence demands that we be able to effectively compete for and nurture the talented scholars of the future. Excellence demands that we support each faculty, staff and student in achieving their maximum potential.

One of the most encouraging findings in this subcommittee's year of study is that some programs and departments in this university have reached a critical mass in the hiring of minorities and women such that diversity has become a self-perpetuating fact in the culture of their units. That is, there seems to be a certain threshold after which diversity occurs in the normal course of things. Procedures drop into place, expectations are ingrained, rich recruitment channels are dug, appropriate supports are maintained, credibility is established, and a quiet success sets in. Determining this threshold should be a goal for the next ten years in all schools and departments on this campus. Although different units have achieved this threshold in different ways, it is worth examining the practices and policies that these exemplary units have in common. Successful departments:

1.  Embrace diversity as part of their core identity. These units exceed mere procedural conformity to the standards of their professional organizations or campus policies. Although administrative leadership is needed (more on that below), momentum for diversity is produced by internal commitment at every level of the unit. Just as the EPA might assess environmental impacts, these units, in a sense, anticipate the diversity impact of all their policies and practices. They carefully craft plans that will enhance and not stall progress in this area.

2.  Link the hiring of women and minority faculty to curricular visions as well as to recruitment of undergraduate and graduate students. These units have sought to understand how their disciplines relate to problems and issues affecting a diverse society. They work to develop curriculums that are appropriately responsive and seek out faculty who can enact them. At the same time, these units "fish upstream," developing aggressive and creative recruitment strategies at the graduate and even undergraduate levels. This synergy among faculty, curriculum, and students appears key to achieving critical mass.

3.  Make professional support for all members of the unit the highest priority. When a department removes barriers for women and minorities, those barriers are gone from everyone's path. When a department creates a climate of respect and inclusion for its newest members and initiatives, the climate grows warmer overall. Successful departments make recruiting and retaining for diversity part of a wider effort to maximize the potential of all faculty. In our subcommittee's discussions of this phenomenon, we used the analogy of the canary in the mine. As Lani Guinier recently observed, institutional conditions that prove toxic to minority members are, less visibly, hurting other members. When "the canary in the mine shaft" is well, all are safer to do their work.

4.  Chairs of successful departments typically reported having open-door policies, which they said encouraged candor, communication, and a quick resolution to potential conflicts. Some departments have held retreats that focused on ways of being more welcoming and inclusive. Experimenting with even modest recruitment and retention programs often reaped longer lasting rewards than were anticipated. For instance, the "Opportunities in Engineering Conference" resulted in an ongoing relationship with historically black colleges. The Women in Science and Engineering (WISE) Residential Program provides women in science close contact with peers and role models outside the normal laboratory routines. Even basic mentoring whenever it occurs is a relationship that always helps. Throughout reports of successful departments we found the phrases "personal touch," "one-on-

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one contact," "going where people are," "including people in decisions," "focusing on communication" and "persistence." Clearly, personalizing the relationship between the institution and the individual is seen as an important way to recruit and retain women and minorities.

**These three features-making diversity a core value, linking faculty hires to broader policies of curricular responsiveness, and putting people first-comprise the deep structure of sustainable diversity.**

*These three features-making diversity a core value, linking faculty hires to broader policies of curricular responsiveness, and putting people first-comprise the deep structure of sustainable diversity.* While such a culture seems to grow best from the inside out, this does not mean that there is no role for external incentives and external support. Indeed, all of the chairs of successful departments that we talked with emphasized how impossible it is to wrestle with this issue without help from a school or college administration.

This deep structure of success can be turned into a blueprint for action at the administrative level. First and most obvious, school and college administrations must lead by example. For administrations, making diversity part of core identity means, above all, emphasizing those policies and decisions that have been analyzed for their impact on diversity and diversity goals. To work, diversity cannot be treated as just another stand-alone interest in competition with other interests. Every aspect of fiscal policies, deployment of resources, and strategic planning must, like curriculum, be developed in dialogue with the needs and aspirations of a diverse citizenry.

Current leadership training for departmental chairs focuses on human resources and diversity. However, new chairs would benefit from more ongoing professional education in personnel management. As the society and the university grow more complex, successful management grows more sophisticated and demanding. Proactive knowledge, skills, and information need to be widely disseminated and actively at work in the daily practices of departmental leaders.

Search committees should continue to follow the Search Handbook when conducting an earnest recruitment of targeted groups. All of our searches should be model searches. Again, the aim is to move beyond procedural compliance into genuine action and results. Diverse candidate pools are the key to diverse hiring.

One suggestion would be for the administration to bring the faculty of the various units into an ongoing diversity planning and review process. This is most appropriately done through the relevant academic planning councils and chairs councils. Diversity issues are best handled in the context of overall planning and perhaps not by specialized committees working in isolation. Insights into how to succeed can largely come from the background of the diverse departmental units. In addition, faculty "ownership" of the process is important in order to achieve long-term sustainability with a more consistent system of accountability and rewards for progress.

Of course, there is no substitute for financial incentives. Had the pace of minority hiring and retention enabled by the Madison Plan incentives been maintained between 1988 and now, this campus may already have reached critical mass. The recent success in minority faculty hires enabled by the Strategic Hire Initiative suggests that financial incentives are still an important tool.

As we face the likelihood of smaller growth and fewer appointments, the urgency of reaching ethnic and gender equity in faculty ranks grows more acute. Reaching the threshold of sustainable diversity is one of the best legacies that this decade can leave to the future of the university.

## Academic Staff

It was encouraging to find while collecting data for this report that a number of positive aspects of our recruitment process are readily apparent. Overall, there appeared to be a general feeling that the university is a good place to work. In particular, there is a wide range of job titles for academic staff, even for those just starting their professional career. In addition, advertisements appear to reach many people who

responded favorably to the PVLs, although suggestions were offered about posting positions more widely to reach a broader range of candidates. Finally, the benefit package offered by the university proved to be a very positive recruitment tool. On the other hand, certain recurring criticisms were articulated by many different focus groups, and they warrant consideration.

Although there is little problem filling positions or attracting qualified applicants, some employees felt the salaries were too low leaving us unable to compete with private sector employers. The key to getting the best pool of candidates is to offer a competitive salary commensurate with the qualifications for the position and the cost of living in Madison.

There appears to be a perception both within and outside of the University that those employees holding the highest positions typically are white males. As a result, some women and minorities do not perceive the university as an institution in which they have a chance to grow and advance. Further adding to this perception is the absence of tuition breaks to take university classes, that will advance their professional development.  In sharp contrast, other state universities, as well as numerous private sector employers, offer their employees educational opportunities for a reduced cost.

Finally, the lack of spousal hire opportunities limits recruitment of employees. Per our current policy, the responsibility for pursuing a spousal hire lies with the chair of the department extending the offer to the employee. When the first hire is a faculty member, the spousal hire may be supported partially by funding from the Provost. Many focus group participants articulated, however, that there does not seem to be enough encouragement or willingness from the university to search for spousal opportunities for the spouses of academic staff hires. As a result, potential employees may refuse an offer or leave shortly after hire due to the inability of the spouse to find adequate employment.

For purposes of this report, the current process for recruitment of academic staff employees is generalized. In order to analyze the strengths and weaknesses of the academic staff process, it is necessary to state the steps. First, the department drafts a position vacancy listing (PVL) that articulates the duties of the position; the PVL is reviewed to determine title and salary range and then posted for between two weeks and two months, depending on title and range.[5] All positions, regardless of title, are posted on the Internet.[6] Candidates submit resumes to a search committee or to the department.  Finalists are selected and interviewed, and the hiring department makes the final selection.  When hired into the University, these employees usually assume duties distinctive to the department into which they are housed. While employees may understand their role within that department, oftentimes they are unable to view their role in the larger institutional context. Consequently, these employees feel isolated and, as a result, are unaware of possible career paths with upward mobility within the University. A number of employees attributed this problem to interdepartmental competition. Instead of feeling encouraged to use his/her skills for the good of the institution, the employee feels he/she is working solely for the interests of a department. As a result, the employee feels compartmentalized and discouraged from exploring career opportunities outside of his or her unit. In Fall 1997, a pilot mentoring program for academic staff employees was created to support new and ongoing academic staff and to encourage collaborative learning among academic staff from different units. This program, along with other professional development workshops offered by the Office

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[5] Clinical Health Sciences faculty or college dean position, the PVL must be posted for two months and advertised nationally. For any position listed as a salary range 8 or above (in 1997–98 for an annual pay basis the minimum range 8 salary is $50,463), the PVL must be posted for four weeks and advertised regionally. For any other position, the PVL requires a two week posting with a local advertisement.

[6] In fact, the Human Resources web page receives about 100,000 hits per month.

of Human Resource Development, promise to build more of a sense of professional community for academic staff. These programs work to retain academic staff employees.

Why is retention important? It is clear that the health of an employment environment can be measured in part by the retention rates of its employees. When a campus demonstrates that it values its employees and provides an environment in which they can be comfortable and excel, the challenges of retention will be diminished. While salary and benefits play a role in attracting and retaining employees, research tells us that other factors play an important role in the retention too. Employees need to feel that they are an important part of the meaning and success of an organization.

Retention has a number of definitions in the employment setting. Commonly we define retention as physically keeping the employee in the employment setting. But also critical to the success of the institution is the ability to retain the employees' enthusiasm to contribute to the growth of its excellence. The ability of an institution to construct an environment where it can retain its employees' desire to work hard contributes significantly to the existence of a world class institution.

Issues that affect retention of the majority population also affect other diverse employment populations. However, it is apparent that diverse populations have additional issues that have an impact on their retention. Employees who are members of minority groups, individuals who have disabilities, and individuals who have gay/lesbian life styles are examples of diverse populations that have unique issues affecting their retention at this university. While it appears some employees share a concern about the general human resources/environment on this campus, there are additional and unique factors affecting retention of diverse populations on the campus.

The campus currently has a number of positive influences on the retention of academic staff members :

- The reputation of the university provides prestige to its employees.
- Staff compensation benefits are highly rated.
- The city of Madison provides a top quality environment in which to live.

The negative influences include:

- A lack of required training and accountability of employers which results in varied approaches to treatment of employees.
- While the campus has developed goals for human resources development, there is a sense that implementation of these goals at the unit level is less readily apparent.
- Employees do not have a sense that they are valued by the university with retention as a goal and priority.

### Classified Civil Service Employees (Classified Staff)

As noted above, the classified staff play an integral role in making UW–Madison one of the premier universities in the world. While classified positions may not be unique to higher education, virtually every department and unit depends on these dedicated employees to complete its work. The university community recognizes these valuable contributions and wants to develop strategies to recognize the efforts of the classified staff.

The Classified Staff benefit from programs developed in the "Action Plan for Maximizing Our Human Resources." They, too, will benefit from changes in the climate and institutional culture and increased diversity at this institution. They will be included as audience members in the anticipated New Employee Orientation program. And increasingly, classified staff are offered opportunities to participate in professional development activities, including an annual day-long Office Professionals Conference, the Summer Learning Series and the Leadership Institute. Finally, Classified Staff are targeted in the *Action Plan's* initiative to "foster mutual respect among all types of employees, with special emphasis on the role of classified staff in meeting the university's mission." It is this

last initiative that betrays the real challenge facing the institution in regard to these employees: the unease that exists between these front-line staff, their coworkers and supervisors, and the subtle sense that these members of the institution do not participate fully in fulfilling UW–Madison's mission, despite their numbers.

The proud history of the state's classified civil service system as one established to ensure that professional civil service staff were selected in an equitable fashion based on position descriptions and the ability of the individual to perform the work described seems to be a well kept secret. The system was designed to select employees based on qualifications and merit rather than as beneficiaries of a system that rewarded political favorites. There appears to be a general misunderstanding within the university community as to how and why the classified system evolved to its present state. Misperceptions of the role of the classified staff are further exacerbated by the fact that unclassified staff (faculty and academic staff) are hired and managed under a separate, more flexible, personnel system which allows for comparatively greater discretion in making hiring, titling and promotional decisions. However, the Department of Employment and Relations (DER), then governs the State Classified Civil System and UW System and Madison have worked cooperatively to improve the civil service system.

In summarizing the issues identified by classified staff as barriers to recruitment and retention, the perceived rigidity of the classified personnel system appears to be the root of many of the areas identified as problems. Not surprisingly, the fact that the university must manage its personnel under two such different systems also is a contributing factor. Furthermore, it is believed that the inflexibility of the classified personnel system contributes to misuse of the unclassified system. Whether real or perceived, managers cite the rigid process of recruitment as a barrier: the length of time required to post position vacancies, the amount of paperwork required to initiate recruitment, their inability to make discretionary titling or salary decisions, unqualified applicant pools (or, pools from which the best candidates have been lost to other agencies or private employers), the difficulties of advancing in a given employment unit, and the "unwelcoming" appearance of job descriptions all are identified as barriers related to the recruitment process.

Some issues cited by minority classified staff focus groups as barriers to recruitment and retention can also be linked to the inflexibility of the system. Areas of concern for minority staff are lack of proper advertisement for positions and the need to target more communities. Job advertisements should also be made to be more welcoming to women and people of color, stating more than the required language that "women and minorities are encouraged to apply." It was also suggested that, because individuals in positions making hiring decisions have often been in the system for several years and there is lack of diversity that is more or less "inherited" from the previous generations' hiring practices, they must be encouraged to actively work to achieve diversity. Yet participants observed that even these efforts might have limited effect: if hiring authorities were to seek to achieve diversity through hiring from a diverse applicant pool, the fact that classified applicant pools are limited to a small number individuals suggests that progress by this means alone would be slow indeed.

In order to strengthen the concept of citizenship and to diversify our workforce, we make the following recommendations on issues directly affecting classified employees:

- Continue to communicate to department and units the improvements and flexibility of the classified civil service system (some enhancements may require legislative action).
- Continue to work with DER and System Administration to enhance the current classified civil system to allow for and accommodate the unique hiring challenges faced by this system.
- Offer leadership training opportunities for all staff to help create a more diverse population of campus leaders.

- Work toward continued improvement of personnel policies for non-represented and represented employees.
- Establish mechanisms for classified employees to provide input at department and campus level on issues which directly affect their positions.

### Classified Limited Term Employees

It should be noted that the discussion above focuses primarily on issues affecting permanent classified employees. However, in the process of our review, the committee became aware of the need for further review of issues affecting Limited Term Employees (non-career appointments of short duration which do not result in permanent status and for which the normal recruitment and examination procedures are not necessary (§. ER-MRS 1.02(14) and §. ER 1.02(17) Wis. Adm. Code).

Limited Term appointments provide the university needed flexibility in responding to fluctuations in seasonal work loads and outside funding sources and in filling in gaps between permanent hires. LTE and part-time positions also appeal to some employees who are not in search of permanent, full-time work (individuals must work 600 hours per year to be eligible for a permanent classified position). The positions also serve as viable opportunities for individuals to get a start at the university and compete effectively for permanent university jobs when they become available. At the same time, LTE employees are among the lowest paid and least secure members of the university community. They do not enjoy fringe benefits nor union representation. This is a classification into which many minority employees fall.

We urge that the commitment to maximizing human development be extended to include LTE employees. We recommend that LTE employees be given directions for further training and education as well as information about civil service examinations and outlooks for permanent positions, so that they are able to seek new opportunities in permanent, full time lines. We feel that this effort will be an important component of any viable university commitment to equal opportunity. At the same time, we call upon the university to monitor LTE positions for their potential growth and contribution to racial inequity and to consider as many positions as appropriate for permanent, full time positions.

### Students

While students would seem to fall outside the boundaries of this subcommittee's focus on the groups of employees discussed above, we wish to recognize that their contributions to the work of this institution also warrant consideration.[7] Teaching Assistants and Project Assistants at this institution are recognized as special groups of graduate students who work within the institution while learning and extending skills related to their own professional development. Their contributions provide some of the best examples of integrating graduate assistants into the learning environment at this institution. Other students may perform work less clearly related to their professional development; however, their work also concerns this committee, as they are not only members of the UW–Madison "learning community," but also citizens of this institution.

### Graduate and Professional Students

The importance of having a diverse graduate student body and of having a university

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[7] It should be noted that, at the time this document went to press, the Vision Priority "Maximizing our Human Resources" had been modified to include two divisions, "Employees" and "Students." Associate Vice Chancellor Paul Barrows serves as the contact person for this new area, which focuses on increasing diversity among students, enhancing undergraduate education through connected learning environments, providing academic support to students, and improving teaching assumptions and practices. [Ward, D. A Vision of the Future: A Progress Report on our Priorities (January 1999): 41–46.]

that best supports their professional development can be best appreciated by viewing graduate students as faculty in training. First, they participate in the three key functions of faculty: research, instruction and service. Second, they are the scholars from whom colleges and universities will choose our faculty in the future. Thus, a diverse and vital graduate student body is critical.

Unfortunately, the first of the groups cited above—Teaching Assistants—seems to come under frequent attack by those who assume that they are inadequately trained, or that their presence in a classroom degrades the quality of a UW–Madison education. Such attacks are a national phenomenon and demonstrate a lack of understanding of the role of Teaching Assistants. Nevertheless, the university should continue to ensure that those graduate students who do so much to extend its ability to serve its undergraduates are carefully selected and well-trained in the skills they will need to serve not only the students they now face in UW–Madison classrooms, but also those students they may face in the future when they are members of a faculty. The institution should continue to work with all those interested in progress in this area, including departments, colleges, the Teaching Assistants Association (the union representing teaching and project assistants), groups like Issues in Life Sciences Education (ILSE) and other students interested in teaching and professional issues. For example, over the last ten years, schools and colleges have made enormous strides in offering training and workshops to its Teaching Assistants.

International graduate and professional students face further challenges when they have contact with undergraduates as teachers or researchers at this institution. There are often perceptions that some lack the language skills to teach students in English, despite requirements that proficiency in these skills be required for teaching positions to be awarded. It must be emphasized that these graduate assistants' very presence contributes to the diversity of the institution, and that there is an inherent value in encouraging students to make the effort not only to master a difficult subject, but also to learn to understand from someone who is different from them, broadening their cultural horizons.

Although the precise functions of graduate assistants differ, they may all be faculty in training. In addition, the university trains a number of professional students (for instance in the business school, law school, medical school, veterinary school, etc.) some of whom are also faculty in training. With all of these students, the university may find itself able to address questions of diversity and professional development through the following spheres.

1. **Recruiting**. The Graduate School and some of the professional schools have been very active in recruiting diverse student bodies. Graduate School recruiting is typically performed by individual programs or departments. The Graduate School functions by providing recruiting fellowships, sending representatives to recruiting fairs, establishing inter-institutional relationships with predominantly minority undergraduate institutions, and helping to sponsor summer undergraduate research programs. We recommend that these efforts be maintained and expanded to the limit of available resources.

2. **Compensation**. The Graduate School and some of the professional schools have worked hard to develop resources for student fellowships/scholarships. While we know that resources are limited, we recommend that these efforts be expanded.

3. **Environment**. As with all other university members, a welcoming environment does count. This is in essence the easiest to address (few resources need be spent) and the most difficult; it is not only critical for the narrow aim of developing a more diverse graduate/professional student body, it is also fundamental if we are to have an open challenging exchange of ideas. In addition, graduate and professional students should be considered and treated as faculty peers. Here, as elsewhere, we recommend that the institution make every effort to develop and

sustain an open and welcoming environment for all faculty, staff and students.

4.  **Progress to degree**. Professional schools typically have structured curricula, but the graduate programs and departments are much less structured. In some cases the student functions almost as an independent scholar under the guidance of a faculty mentor. Successful program tracking of student progress to degree may well be critical in determining how successful we are in training the next generation of faculty. We urge the graduate school to work with individual degree granting units in the development and implementation of progress milestones.

5.  **Graduate tracking**. Departments should view graduate and professional students as a resource for recruiting future faculty. We recommend that departments establish mentoring or tracking programs for their graduates with the goal of either encouraging them to apply for future positions, or to at least be "unofficial" recruiters for UW–Madison.

Finally, we note that the law and medical schools have been very successful in increasing minority student enrollment during the last decade. We suggest that other schools meet with these two schools to discuss their strategies with the aim of adopting those appropriate for their own disciplines.

### Student Hourly Employees

Other student employees (typically paid as student hourly workers) are often part of the "face of the institution": they may be guides for SOAR, they may serve ice-cream at Babcock Hall, they may answer the telephone in the Office of the Registrar. Their work, too, should be valued as a contribution to the overall health of the institution. Further, if the university is to frame as a "learning environment," departments employing students should be encouraged to take advantage of using student hourly employment as an opportunity to contribute to every student's education. Student employees benefit when they are able to develop skills and assume new responsibilities; to the extent they can, departments should ensure that their student employees are trained not only in the skills necessary to perform adequately in their positions, but also in the skills expected of a responsible citizenry.

### Leadership and Professional Development

Issues of Leadership and Professional Development were discussed in all employee categories as areas demanding particular attention. As described above, the *Vision for the Future* established a priority of "Maximizing Our Human Resources," which included a goal of promoting professional development and career advancement for all employees. While much has been accomplished, much remains for the next decade.

Fostering effective leadership at all levels at UW–Madison continues to be an important effort. In addition to the projects discussed above (see section above entitled "Where we are Now: UW–Madison's Progress Toward 'Maximizing Human Resources'"), it should be noted that these and other leadership enhancement programs have been linked to a series of "indicators of success" that will assist program coordinators in evaluating and modifying them as they evolve to meet the needs of the institution and its employees.

If fully implemented and fully communicated and fully available to staff members, projects begun or planned would go a long way toward addressing those issues identified by faculty and staff in surveys and focus group meetings. In assessing what would help and where we should go in the area of Leadership and Professional Development, one must separate leadership and professional development and recognize differences among types of university appointments. Procedures that govern different types of appointments, and environmental realities on campus, mean that different steps are needed for Administrators, Faculty, Academic and Classified Staff.

> Departments should ensure that their student employees are trained not only in the skills necessary to perform adequately in their positions, but also in the skills expected of a responsible citizenry.

## Leadership

Leaders are those who set the tone for the UW–Madison in human resources. We are affected by university leadership at campus, school/college, and department/program levels, and also by our membership in the UW System. The multiple campus leadership levels, and our strong tradition of shared governance, complicate the situation. We found the following themes of concern regarding leadership:

- Do leaders really set the tone for the UW? What is the message they provide, and do they "live it" as well as "talk it"?
- Do we prepare leaders adequately for their special responsibilities? How do they learn to manage?
- Are leaders accountable for their actions? Do people know that? How are leaders held accountable?
- Where so much is at stake in the processes of hiring, promotion, and retention, what does it matter what "leaders" think and do? How does each leader's tone affect the department/program level where most of these decisions are made?

An extensive list of opportunities is offered to Department Chairs and Center Directors who would take advantage of them. Workshops on recruitment and hiring, dealing with difficult people, handling complaints, time management, and managing the tenure process are among workshops offered for chairs. Some of these are required for new chairs. Several concerns were expressed, however. One concern was that the workshops tended to deal primarily with procedures and paperwork, and less with people. Several chairs of exemplary departments stated that they felt inadequately prepared for dealing with the psychological demands of their roles. The UW–Madison is particularly challenging in that chairs are typically elected by their colleagues and many chairs rotate every two-to-four years. This requires preparing a new set of faculty members each year to take on these temporary administrative posts. It also means that the way faculty leaders carry out their responsibilities could be affected by their expectation that they will "return to the faculty" in a few years. This is a strength of our governance process, but it can also mean timidity and delay in getting new ideas in place. More permanent chairs of departments at other universities may direct what happens in a hiring decision; "leaders" here must encourage, coax and reason.

While training resources are made available to those who serve in a leadership role, we fall far short by many accounts in a key resource: time. Training has two components: what does the university offer? And how can staff members take advantage of the offerings? Creating the time-or in a discouraging number of cases even being *allowed* to create the time-is a real obstacle to the ability to take advantage of training and professional development opportunities. For chairs and upper level staff members who do not encounter "permission" problems, there is still the fact that the job responsibilities do not go away while the chair attends a workshop; they simply wait and sometimes magnify. Certainly the stress levels are magnified, and the opportunity to do the thinking and careful reflection we want from our leadership is infrequent and precious. Finding a way to ameliorate this problem, both for leadership and for professional development, should be one of the major goals of the next decade.

Leadership training doesn't always reach those who need it. The panel of chairs that discussed "Maximizing Human Resources at the Departmental Level" (see above) stressed the importance of top leadership making the right statement-while at the same time saying that "diversity needs to be raised to a higher priority on the grassroots level...." One suggestion in this area is to explore ways to involve all members of departments more closely in planning processes that stress diversity goals. Retreats, where they occur, typically involve only faculty, yet academic and classified staff also create the climate for diversity, and hiring decisions are made at many levels. Encouraging more comprehensive involvement in such planning retreats seems an

important step. (Although this may be a particular challenge in large departments.)

Another suggestion addresses the fact that hosting a departmental retreat must now be financed by departmental gift money. Setting up a fund to finance such events might remove one obstacle and be a very positive step. As an interim step toward finding resources for the large number of departments at this university, it might be helpful to "praise" or "reward" some exemplary departments by funding "model department" retreats (or other special benefits) and spread the word widely that these are a benefit of the department's hard work and achievements. As a focus group participant noted, it's "hard to make training mandatory, but [it] could be persuasive to demonstrate the benefits of a culture change." Finally, making it permissible, really ok, for a whole department to shut down for a day or two to hold such a reflective occasion would be another positive step. Retreats are typically held on weekends, creating difficulties for those with child care or other obligations, and raising issues of compensatory time or overtime payment for members of the classified staff and resentments among others.

### Professional Development

"Professional Development" should be what a university is in business to do anyway. As one of the subcommittee consultants (Emeritus Executive Vice President Joseph F. Kauffman) said in discussing the university as a learning institution vs. the university as an employer, "The environment of the place is geared toward releasing the capacity of people to learn."

The term can encompass a wide variety of meanings: helping staff members plan out a career path and assisting them in achieving it; helping staff do a better job of what they are doing; providing new skills and interests to enable staff members to grow in their current positions or move on to others; establishing networks and sense of community and other methods of helping staff members feel satisfaction and fulfillment in their positions. Professional Development opportunities can assist diversity efforts by enabling minorities and women to move into areas previously closed to them; and in any case they enrich the intellectual life of the university as they enable staff members to reach their potential.

Among the **themes of concern** expressed regarding professional development were a set of questions:

- Do we provide enough opportunities, for a broad enough group of staff members? And almost more importantly, is there enough communication about what is available?
- Are staff members, particularly the academic and classified staff, really given the opportunity by their supervisors to take advantage of the opportunities?
- Do we train supervisors well enough in how (and why) to support career advancement on the part of their subordinates? Do they know how to do the paperwork for promotions and reclassifications? Are they sufficiently convinced of the importance of professional development that they will spend the necessary time, and allow their subordinates the time even flex time away from their jobs to pursue courses or workshops? The importance of regular training and refreshers for managers and supervisors was a recurring theme.
- Does the university really offer "family-friendly" and "professional development-friendly" personnel policies that allow staff members to attend courses (with or without tuition breaks) while fully employed at the university?
- What do professional development programs such as the Kauffman Administrative Development seminar and the newly developing Leadership Institute prepare people for? Must they leave their positions in order to gain the opportunity to use their broader skills and knowledge?
- How do women and minorities, in particular, break out of middle level management into leadership positions on campus? Must it be a faculty route to get

into positions of real academic leadership? Must we train and develop minority academic staff members for positions of academic leadership in other institutions-and if so, could we do more to develop cooperative programs that will address our difficulties with offering tenure to a sufficient number of minority faculty members?

Among the types of professional development opportunities frequently mentioned as desired are the following: workshops and other special opportunities; flex time or real release time to allow staff members to take advantage of professional development opportunities; course tuition remission for formal courses; identification of career ladders; mentoring programs; ways for staff members to gain job satisfaction and fulfillment without necessarily leaving their existing positions; better connection mechanisms so that staff members feel a part of the broader university community; departmental retreats to help develop management skills; alternate routes to establishing credentials typically gained by experience not available to the staff members; practice in "self-promotion" through résumé preparation and interviews. Many of the opportunities exist or are being added, yet the concerns expressed show that more opportunities may be needed and more information about them be made available.

Time and money are two very scarce commodities. If cultural changes are to be achieved, as many obstacles as possible must be removed from the path. At least one focus group participant suggested that staff training and professional development shouldn't come from departmental budgets; perhaps the same should be said of time. Departments and administrative units (such as student services units) face regular shortages of funds for staff to carry out required programs and activities, like staffing undergraduate courses or admitting or registering or advising students. It is difficult for departments to contemplate allocating already inadequate funds for professional development activities, or allowing staff members to be absent when there is already a shortage of available staff time.

In the area of professional development, there are three imperatives for the university: offering the opportunities is a first and crucial step, and we have gone a long way in meeting this objective. Communicating them to a wide range of people is another. And making it possible for staff members to participate in them is a third.

## Part IV: Conclusion and Summary of Recommendations

The future of UW–Madison will be to master change. The nature of the university is evolving; in particular, faculty, who may see themselves as individual scholars, have had to adapt to roles as both managers and employees. It will be the challenge of human resources to capitalize on the entrepreneurial spirit of the individual while also balancing the needs of social responsibility and good citizenship.

This committee notes that three elements inform the recommendations made below:
1. Good practices in Human Resources are closely tied to achieving sustainable diversity.
2. Achieving diversity will be rewarded.
3. While the university has begun to put innovative and promising practices in place and made opportunities available to many employees, it must strive to work more energetically at each.

### I. Continue to support the current "Vision Priority" to "Maximize Human Resources."

I.a.  Explore ways to involve more people in these efforts, integrating the work of individuals, departments, programs, centers schools and colleges across campus to facilitate cross-fertilization of ideas and to instill "ownership" in a "grass-

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roots" level of commitment to these efforts.

I.b.    Ensure that programs are widely available and improve advertisement and communication about them.

## II. Strengthen the Human Resources System for ALL employees

II.a.    Continue or expand development of a multi-tiered, ongoing orientation process for all employees that not only offers guidance to new employees (familiarizing them with, facilities, services, policies, procedures and benefits-including access to leadership opportunities, mentoring programs, etc.), but which also introduces and welcomes them to the underlying culture of the university; augment this with a process of "continuing orientation" that makes the issue of culture (and the practical matters of new services or policies) subject to continuing evaluation and development. Include employees in evaluation and design of these programs, and work to help them evolve as the culture changes.

II.b.    Strengthen and develop leadership opportunities, training and support for those who seek them; for those who are in leadership roles, require that they pursue training in leadership skills. Particular attention should be paid to those individuals who are in positions to evaluate and supervise the work of others.

II.c.    Not only should the institution encourage the development and expansion of mentoring opportunities, but efforts should be made to discover why more people don't take advantage of these programs or why the word isn't getting out about them. (Consider developing a formal network for mentoring program coordinators to facilitate and support their work and efforts to communicate about it.)

II.d.    Develop a culture of constant mentoring, nurturing and continuous recruiting, recognizing that the latter may occur both within the institution (as our graduates often return as faculty and staff) and outside the institution through ties cultivated at conferences, through professional meetings and other "non-UW" networks.

II.e.    Continue to expand and develop "family friendly" policies, seeking to make these widely available to all employees.

II.f.    Remove barriers to full participation in HR development programs: ensure that a program and structure exists, that time and funding are made available, and that permissions are granted to allow employees to take advantage of these programs.

II.g.    Increase opportunities for staff to take credit and non-credit courses for both personal and professional development.

II.h.    Clarify or identify potential career paths for members of the Classified and Academic Staff.

## III. Integrate Diversity into all aspects of decision-making.

III.a.    Keep diversity issues in the forefront of discussion: in faculty and academic staff governance decisions, campus-wide committee decisions, etc. Make a commitment to diversity a fundamental part of institution, department and program missions.

III.b.    Academic Planning Councils should be charged with the responsibility to identify expectations for creating and maintaining a diverse faculty and staff (including a system of assessment and outcomes) for each college/school.

III.c.    Develop criteria for selection and evaluation of campus leaders that include consideration of diversity as a critical component.

III.d.    Review existing and future strategic plans to evaluate the extent to which they reflect a commitment to diversity.

III.e.    Make money available to effectively recruit a diverse faculty and staff.

III.f.    Encourage targeted, personalized recruiting strategies, cultivate promising graduates and improve communication about the administrative structures available to search committees.

III.g.    Improve the search process to make diversity an issue at the forefront of discus-

sion: strive to have diverse search committees and hiring boards.

## IV. Hold individuals at all levels accountable for an institutional commitment to good HR practice, which includes a commitment to diversity.

IV.a . Offices of campus administration, schools and colleges should reflect and support the goals of having a diverse faculty, staff and student body; leadership should be required to set a strong example.

IV.b. Continue to develop measures for assessment and accountability of effective Human Resources practices campus-wide that will impact search and selection processes, implementation of policies and procedures, developing and supporting new programs, etc.

IV.c. Improve communication (marketing and "in-reach") about current efforts so that people who need these resources know where to find them

IV.d. Ensure that knowledge of state and federal laws and campus policies and procedures are carried out in practice.

IV.e. Recognize that it is time to take action on existing concerns.

IV.f. Offer rewards for good Human Resource practices and to exemplary departments.

## V. Make room for innovation.

V.a. Consider the use of "benchmarking" or the identification of effective practices (from within or outside of the institution), the development of metrics and study of current practices and processes to identify what will work best to achieve a diverse workforce.

V.b. Pilot (and study the effect of) innovative programs, such as the Cluster Hire program, the Anna Julia Cooper Scholars program.

V.c. Continuous monitoring to insure pay equity.

### Acknowledgments

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