

## AGENDA

### COMMITTEE ON UNIVERSITY AND FACULTY PERSONNEL

**Meeting:**     **2:45 p.m., Tuesday, September 21, 2010**  
                  **Glenn S. Dumke Auditorium**

George G. Gowgani, Chair  
Glen O. Toney, Vice Chair  
Roberta Achtenberg  
Debra S. Farar  
Kenneth Fong  
Margaret Fortune  
Raymond W. Holdsworth  
Peter G. Mehas

#### **Consent Items**

Approval of Minutes of Meeting of July 13, 2010

#### **Discussion Items**

1. Compensation for Vice Presidents: Annual Update, *Information*
2. Executive Compensation: Annual Executive Relocation Report, *Information*
3. Executive Compensation: Annual Executive Transitions Update, *Information*
4. Human Resources Strategic Vision and Goals, *Information*

**MINUTES OF THE MEETING OF  
COMMITTEE ON UNIVERSITY AND FACULTY PERSONNEL**

**Trustees of The California State University  
Office of the Chancellor  
Glenn S. Dumke Conference Center  
401 Golden Shore  
Long Beach, California**

**July 13, 2010**

**Members Present**

George G. Gowgani, Chair  
Glen O. Toney, Vice Chair  
Herbert L. Carter, Chair of the Board  
Debra S. Farar  
Kenneth Fong  
Margaret Fortune  
Peter Mehas  
Charles B. Reed, Chancellor

Chair Gowgani called the meeting to order.

**Approval of Minutes**

The minutes of September 22, 2009, were approved as submitted.

**Executive Compensation**

Trustee Gowgani announced that the committee had three action items to consider and introduced the first item, which set compensation for the recently appointed executive vice chancellor and chief academic officer. Chancellor Reed welcomed Dr. Ephraim Smith to the Chancellor's Office and the leadership he brings to his new role. He noted that Dr. Smith spent the past 20 years at CSU Fullerton where he served as dean of the school of business and most recently as vice president for academic affairs. Compensation for Dr. Smith was recommended effective July 1, 2010, as stated in the agenda item. (RUF 07-10-01)

The committee's second item set compensation for Mr. Don Kassing as interim president of San José State University, effective August 1, 2010. Chancellor Reed presented the item and commented that he was extremely pleased that Mr. Kassing agreed to return to the CSU having previously served as president of the San José campus. Compensation for Mr. Kassing was recommended as stated in the agenda item. (RUF 07-10-02)

Chancellor Reed presented the committee's final item and welcomed Dr. Robert Glidden as interim president of California Polytechnic State University, San Luis Obispo, effective August

2

U&FP

1, 2010. Dr. Glidden was previously the president of Ohio University where he oversaw six campuses. Chancellor Reed expressed confidence that his leadership will keep Cal Poly moving forward. Compensation for Dr. Glidden was recommended as stated in the agenda item.  
(RUF 07-10-03)

Trustee Mehas asked for clarification that the items being recommended did not represent an increase in compensation. Chancellor Reed confirmed.

On behalf of the board, Chair Carter expressed appreciation to Dr. Smith for assuming his new responsibilities at the Chancellor's Office and acknowledged his long service to the CSU. Chair Carter also welcomed and thanked Dr. Glidden for agreeing to serve as interim president at the San Luis Obispo campus.

Trustee Gowgani adjourned the meeting.

**COMMITTEE ON UNIVERSITY AND FACULTY PERSONNEL**

**Compensation for Vice Presidents: Annual Update**

**Presentation By**

Charles B. Reed  
Chancellor

**Summary**

In January 2008, the Board of Trustees adopted a resolution (RBOT 01-08-01) requiring the chancellor to review and approve presidential recommendations for vice presidential compensation (salary, salary increases, bonuses, and supplemental forms of compensation) at the initial appointment and subsequently. Additionally, the item requires the chancellor to make an annual report each September or November on vice presidential compensation.

The annual update on vice presidential compensation is provided in Attachment A.

**Compensation for Vice Presidents: Annual Update**

Campus	Name	Title	Effective Date	Description of Action	Prior VP Position Salary	New VP Position Salary	Supplemental Compensation	Funding for Supplemental Compensation
East Bay	Houpis, James	Provost and Vice President for Academic Affairs	3/1/2010	Filled vacancy	\$211,572	\$229,992		
Fullerton	Murray, Steven	Acting Vice President, Academic Affairs	7/1/2010	Filled vacancy	\$215,904	\$200,148		
Humboldt	Whitlatch, Frank	Interim Vice President of Advancement	8/1/2010	Filled vacancy	\$180,000	\$140,004		
Long Beach	Para, Donald	Provost and Senior Vice President of Academic Affairs	5/17/2010	Filled vacancy	\$227,856	\$230,004	Auto Allowance - \$7,200/annual	Non-General Funds
Los Angeles	Chavez, Lisa	Vice President for Administration and CFO	8/1/2010	Filled vacancy	\$225,000	\$220,008		
Los Angeles	Ney, Cheryl	Interim Provost and Vice President for Academic Affairs	7/1/2010	Filled vacancy	\$230,004	\$210,000		
Los Angeles	Vaidya, Ashish	Provost and Vice President for Academic Affairs	10/1/2010	Filled vacancy	\$230,004	\$230,004	Club membership - \$2,652/annual	Non-General Funds
Monterey Bay	Higgs, Ronnie	Vice President for Student Affairs and Associate Vice President for Enrollment Services	5/27/2010	Filled vacancy	\$155,004	\$155,004		
Monterey Bay	Saunders, Kevin	Interim Vice President, Administration and Finance and Executive Director of the University Corporation at Monterey Bay	5/26/2010	Filled vacancy	\$160,008	\$174,000		
Northridge	Watkins, William	Vice President, Student Affairs	6/1/2010	Filled vacancy	\$190,032	\$194,004		
San Bernardino	Sharp, Larry	Vice President, University Advancement	9/1/2010	Filled vacancy	\$180,132	\$200,000		

**Compensation for Vice Presidents: Annual Update**

Campus	Name	Title	Effective Date	Description of Action	Prior VP Position Salary	New VP Position Salary	Supplemental Compensation	Funding for Supplemental Compensation
San Francisco	Nava, Robert	Vice President, University Advancement	8/2/2010	Filled vacancy	\$230,004	\$211,200		
San Jose	Laker, Jason	Vice President for Student Affairs	8/15/2010	Filled vacancy	\$206,556	\$210,000		
San Jose	Nance, William	Chief of Staff and Interim Vice President for Information Technology and CIO	8/14/2010	Filled vacancy	\$210,000	\$210,000		
San Jose	Selter, Gerry	Provost and Vice President for Academic Affairs	1/1/2010	Filled vacancy	\$228,576	\$229,992		
San Marcos	Stiglitz, Eloise	Vice President for Student Affairs	7/1/2010	Filled vacancy	\$174,900	\$190,008		
Sonoma	Rahimi, Saeid	Interim Provost, Chief Academic Officer and Vice President for Academic Affairs	7/1/2010	Filled vacancy	\$206,604	\$204,000		
Stanislaus	Strong, James	Provost and Vice President for Academic Affairs	5/1/2010	Filled vacancy	\$205,008	\$205,008		
Campus	Name	Incumbent's New Title	Effective Date	Description of Action	Incumbent's Old Salary	Incumbent's New Salary	Supplemental Compensation	Funding for Supplemental Compensation
Sacramento	Garcia, Philip	Vice President for Public Affairs and Advocacy	7/1/2010	Promotion/ Reorganization	\$125,940	\$160,000		
San Marcos	Hawk, Linda	No change	7/1/2010	Equity increase	\$170,000	\$192,000		
Stanislaus	Gajic-Bruyea, Susana	No change	6/1/2010	Equity increase	\$143,004	\$157,308		

**COMMITTEE ON UNIVERSITY AND FACULTY PERSONNEL**

**Executive Compensation: Annual Executive Relocation Report**

**Presentation By**

Charles B. Reed  
Chancellor

**Summary**

In January 2008, the Board of Trustees adopted a resolution (RBOT 01-08-01) requiring the chancellor to make an annual report each September or November on relocation expenses provided to executives. This item reports the relocation expenses for the vice chancellor, university relations and advancement appointed on October 31, 2008.

**Annual Report**

At the November 18-19, 2008 meeting of the Board of Trustees compensation for Mr. Garrett P. Ashley was approved as a system executive. Included in the compensation was a provision for relocation expenses in accord with long-standing system policy. The relocation was from Sacramento, California to Long Beach, California.

Relocation of household:

Amount authorized: \$8,275

Amount paid: \$13,199.71

Home sale fees and expenses:

Amount authorized: \$40,500

Amount paid: \$37,474

Temporary storage of household furnishings and goods:

Amount paid: \$1,167.38

Temporary housing:

Amount paid: \$8,243.40

**COMMITTEE ON UNIVERSITY AND FACULTY PERSONNEL**

**Executive Compensation: Annual Executive Transitions Update**

**Presentation By**

Charles B. Reed  
Chancellor

**Summary**

In November 2006, the Board of Trustees adopted a resolution (RUFP 11-06-06) requiring the chancellor to report annually, in a public meeting in March, on all existing individual executive transition programs. Subsequently, in January 2008, the Trustees' Ad Hoc Committee on the Bureau of State Audits adopted a resolution (RBOT 01-08-01) requiring the chancellor to report on progress and deliverables in the annual update on executive transitions. The resolution also recommended that the annual report be made in September or November rather than March, to report near the beginning of the fiscal and academic years.

The annual update on existing individual transitions is provided below. There is only one individual currently active in a transition program.

Dr. Jeronima Echeverria retired from her position as executive vice chancellor and chief academic officer, and Dr. Jon S. Whitmore resigned as president of San José State University. Dr. Echeverria and Dr. Whitmore did not meet the eligibility criteria of the Transition II Program and therefore, were not eligible to participate in a transition program.

Dr. Warren J. Baker retired from his position as president at California Polytechnic State University, San Luis Obispo. As a rehired annuitant, Dr. Baker will serve as special assistant to the chancellor. The position is expected to last for a period of two years with a salary set at the annual rate of \$109,834. Dr. Baker will assist with the science, technology, engineering and mathematics (STEM) initiatives and the Gates Foundation. On behalf of the California State University, Dr. Baker will continue to support the California MESA program, the U.S.-Mexico Science Foundation, and the California Council on Science and Technology.

**Active in a Transition Program**

Dr. Barry Munitz  
Executive Transition Program: Trustee Professor  
Salary: \$98,496

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Agenda Item 3

September 21-22, 2010

Page 2 of 2

Time Base: 80%

Assignment Location: California State University, Los Angeles

Assignment: Continue to focus on fund raising for CSU Los Angeles; provide executive coaching and mentoring; continued linkages to the strengthening of K-12 education; build on strategic relationships and community interaction that benefit the campus and its programs.

It is important to note that individuals participating in a transition program no longer receive housing allowances and vehicle allowances that were provided when serving in an executive capacity in the California State University. If employed half time or more, an individual in a transition program would receive standard benefit provisions including health care (medical, dental, vision), insurance programs, and vacation and sick time accruals afforded CSU employees.

## COMMITTEE ON UNIVERSITY AND FACULTY PERSONNEL

### Human Resources Strategic Vision and Goals

#### Presentation By

Gail E. Brooks  
Vice Chancellor  
Human Resources

Margaret Merryfield  
Senior Director  
Academic Human Resources

#### Summary

Systemwide Human Resources has developed a strategic vision and a series of goals as well as a set of ongoing measures of key outcomes for each goal. For each measure identified, we have also provided a suggested schedule for activities to be undertaken by the CSU Chancellor's Office and by the campuses.

#### Background

The *Strategic Vision for Human Resources in the California State University* (Attachment A) began with a series of discussions in 2007-2008 regarding the development of a strategic vision for human resources in the California State University as well as a series of strategic goals in support of that vision. Draft versions of the strategic vision and goals were presented to university audiences, including campus presidents, provosts, business officers, human resources officers, faculty affairs officers, police chiefs, the Academic Senate, and many others.

The document titled *Human Resources Strategic Vision and Goals in Context* (Attachment B), developed in 2009 and 2010, sets forth the strategic vision and goals developed through that process as well as the context for human resources in the CSU. The document highlights commitments within *Access to Excellence*, the strategic plan for the California State University adopted by the Board of Trustees in 2008, that are closely linked to the strategic goals for human resources in the CSU. It examines each strategic goal in detail to consider what steps the university might wish to take in moving toward the goal and concludes by identifying key outcomes that the university intends to pursue.

These outcomes and accompanying measures are further elaborated in the document titled *Human Resources Strategic Goals: Outcomes and Measures* (Attachment C). For each outcome,

human resources has identified one or more measures of progress that will be undertaken either by the CSU Chancellor's Office or the campuses or both. A schedule of activities, including reporting expectations, is included. The outcomes and measures have been reviewed by the presidents, provosts, business officers, human resources officers, and faculty affairs officers, and their feedback has been incorporated.

The proposed strategic vision for human resources in the California State University is as follows:

The CSU is recognized as a leader in recruiting and retaining a talented and highly skilled community of employees. The people who work for the CSU are vital to accomplishing its mission. The role of human resources is to provide leadership within the community of faculty, staff, and administrators to ensure that the CSU can recruit, retain, and engage a highly talented and diverse workforce in accomplishing the CSU's mission. We believe that an inclusive environment that values equity and diversity, leadership, integrity, trust, excellence, teamwork, and communication is essential.

The individual strategic goals, along with key outcomes and measures for each, are as follows:

**Goal:** Employees are engaged and productive with the skills and behaviors required to meet the California State University mission.

*Outcome 1:* Skilled human resources professionals earn and maintain professional credentials and possess relevant competencies and knowledge of the California State University.

*Measure:* Participation in professional human resources associations, training in support of human resources competencies, and progress toward and/or completion of recognized professional credentials and/or certifications.

*Outcome 2:* The CSU work environment is empowering, collaborative, and customer-focused and encourages creativity, innovation, and open communication.

*Measure:* Responses to biennial employee climate surveys.

**Goal:** The California State University demonstrates concern for the health, well-being, and safety of its employees.

*Outcome:* Employee assistance programs (EAP) and wellness programs are available on all campuses.

*Measure:* Level, availability, and ease of access to services provided.

**Goal:** Risk and issues of compliance related to human resources are well managed.

*Outcome 1:* Systemwide human resources policies, state and federal employment laws, and collective bargaining agreements are consistently applied while individual campus practices are respected.

*Measure:* Establishment of appropriate benchmarks and provision of evidence over time of improvement in timely and consistent compliance with policies, laws, and collective bargaining agreements.

*Outcome 2:* Relevant and/or mandated training related to legal compliance and administration of collective bargaining agreements is provided for the appropriate individuals in a timely manner.

*Measure:* Completion of training within statutory, contractual, and policy guidelines.

**Goal:** The California State University fosters an environment of continuous human resources improvement.

*Outcome:* California State University human resources processes are reviewed for efficiency, effectiveness, and relevancy on an ongoing basis.

*Measure:* Evidence from annual reports showing key process improvements.

**Goal:** Collective bargaining is focused on accomplishing the California State University's mission.

*Outcome:* Collective bargaining philosophy, proposals, and agreements further the mission and goals of the California State University.

*Measure:* The extent to which negotiated changes to bargaining agreements are consistent with the mission of the California State University.

# The Strategic Vision for Human Resources in the California State University

The CSU is recognized as a leader in recruiting and retaining a talented and highly skilled community of employees. The people who work for the CSU are vital to accomplishing its mission. The role of human resources is to provide leadership within the community of faculty, staff, and administrators to ensure that the CSU can recruit, retain, and engage a highly talented and diverse workforce in accomplishing the CSU's mission. We believe that an inclusive environment that values equity and diversity, leadership, integrity, trust, excellence, teamwork, and communication is essential.

<b>Strategic Goals</b>
Employees are engaged and productive with the skills and behaviors required to meet the California State University mission.
The California State University demonstrates concern for the health, well-being, and safety of its employees.
Risk and issues of compliance related to human resources are well managed.
The California State University fosters an environment of continuous human resources improvement.
Collective bargaining is focused on accomplishing the California State University's mission.

## **HUMAN RESOURCES STRATEGIC VISION AND GOALS IN CONTEXT**

### **INTRODUCTION**

This document is intended to align a vision and key strategic goals for human resources across the California State University (CSU) system in furtherance of the university's strategic plan, *Access to Excellence*. It offers a view of the ideal environment at the CSU for its human resources, one in which all employees (faculty, staff, and administrators) share responsibility for accomplishing the university's mission of serving its students. It is intended to provide guidance to anyone who has responsibility for the people who work and live at the university not restricted to the departments that have assigned responsibility for "Human Resources." It deliberately avoids being prescriptive; instead, it offers broad goals and strategies for consideration by the individual campuses and the chancellor's office. It intends to provide the flexibility for campuses and the chancellor's office to determine priorities within this framework and the means to accomplish those priorities. This strategic vision is offered with full recognition and acknowledgement of the excellent work that is currently underway throughout the CSU.

In early conception, the strategic vision and goals for human resources in the CSU were presented to groups within the university including the academic senate, executive council, provosts, business officers, human resources officers, associate vice presidents for faculty affairs, police chiefs, and many others. Adjustments were made to the strategic vision and goals based on their input; their feedback is summarized and included as an appendix.

Though the strategic vision was conceived in much better economic times, in this very difficult environment it is even more important to have a roadmap to follow to guide those with responsibility for human resources through these substantial challenges.

### **STRATEGIC VISION AND GOALS**

#### ***Statement of Vision***

The CSU is recognized as a leader in recruiting and retaining a talented and highly skilled community of employees. The people who work for the CSU are vital to accomplishing its mission. The role of human resources is to provide leadership within the community of faculty, staff, and administrators to ensure that the CSU can recruit, retain, and engage a highly talented and diverse workforce in accomplishing the CSU's mission. We believe that an inclusive environment that values equity and diversity, leadership, integrity, trust, excellence, teamwork, and communication is essential.

***Statement of Goals***

1. Employees are engaged and productive with the skills and behaviors required to meet the California State University mission.
2. The California State University demonstrates concern for the health, well-being, and safety of its employees.
3. Risk and issues of compliance related to human resources are well managed.
4. The California State University fosters an environment of continuous human resources improvement.
5. Collective bargaining is focused on accomplishing the California State University's mission.

**CONTEXT**

***Access to Excellence***

In May 2008, the Board of Trustees adopted *Access to Excellence* as the strategic plan for the California State University. The strategic vision for human resources extends and elaborates on key elements of *Access to Excellence* as they relate to the employees of the CSU. As described in the Introduction, "*Access to Excellence* focuses on the intersection of the California State University (the CSU) with the economic, political, and social environment of the State of California, anticipating what the people of the state will need from the CSU in the next decade, and how best to position the institution to meet those needs. It is a public statement of the principles and core values of the institution, and sets forth broad strategic goals that will be the basis for setting priorities and measuring success over the next several years." The full text of *Access to Excellence* is available at <http://www.calstate.edu/accesstoexcellence/>.

The body of *Access to Excellence* is a comprehensive analysis of the assets, challenges, and strategic context in which the CSU exists. Following this analysis, *Access to Excellence* sets forth three institutional priorities:

1. Increase student access and success;
2. Meet state needs for economic and civic development, through continued investment in applied research and addressing workforce and other societal needs; and
3. Sustain institutional excellence through investments in faculty and staff, innovation in teaching, and increased involvement of undergraduates in research and in their communities.

As its pathway to achieving these priorities, *Access to Excellence* further commits the CSU to action in eight areas, including two that are closely linked to the CSU Human Resources Strategic Vision and Goals. These two commitments are presented in their entirety below.

**Plan for faculty turnover and invest in faculty excellence (Commitment 2 in *Access to Excellence*).** The CSU will develop a comprehensive plan for reinvestment in its faculty to meet its goals of reducing compensation gaps and increasing the number of tenure-track faculty. In addition, the CSU commits to a comprehensive faculty planning effort, to include turnover planning, attention to recruitment and retention practices, and consideration of faculty development and evaluation strategies to support excellence in both pedagogy and scholarship. This work on faculty development will include investments in applied institutional research about effective pedagogy, effective practices in student engagement, and ways to improve educational outcomes. It is recognized that individual CSU universities have developed innovative programs with regard to workload reallocation for exceptionally productive faculty. The CSU will undertake a study to identify best practices in this regard and will disseminate information about such practices throughout the system.

**Plan for staff and administrative succession and professional growth (Commitment 3 in *Access to Excellence*).** Attention to recruitment, professional development, and compensation for staff and administrators is also a priority. Complementary strategies to those that are employed for faculty need to be put in place. These strategies should include a commitment to closing salary gaps where they exist, providing a safe and healthy environment, and offering appropriate levels of training and development. CSU system leadership will engage in the analytical work needed to project administrative turnover, and will evaluate whether existing campus- and system-level policies are adequate to provide the type of succession planning that is central to the future success of the institution. System-level resources also need to be invested in nurturance of the next generation of academic and administrative leaders, to give them the knowledge, skills, and communication tools essential to leadership capacity for the future.

*Access to Excellence* also includes an accountability plan that identifies system-level actions necessary to achieve these goals, measures of success, and suggested campus-level actions. Components of the plan that have relevance to human resources are presented in Appendix 2. Many of the elements of the accountability plan will further the implementation of the CSU Human Resources Strategic Vision and Goals. The full accountability plan is available at: <http://www.calstate.edu/accesstoexcellence/accountability/>.

### ***Context for Human Resources in the CSU***

A variety of forces, internal and external, influence the human resources environment for the CSU. Continued student demand places pressure on enrollments, and therefore staffing needs. The extent to which the CSU is able to recruit employees to fill these needs varies greatly and depends on a complex set of factors including demographics, location, the extent to which compensation is competitive in the marketplace, and the availability of qualified individuals. As a public institution, the CSU is dependent on its annual appropriation in the state budget and subject to political considerations. As a public institution, the CSU is also held accountable by the public; its actions come under scrutiny from the press, and a high degree of transparency in its dealings is expected. The decisions and actions of other state agencies can also profoundly affect the CSU. A prime example is the 21<sup>st</sup> Century Project, the replacement of the payroll system used by the State Controller's Office, which will require a significant investment by the CSU to prepare for the transition.

Collective bargaining is a pervasive influence on human resources in the CSU given the fact that most non-management employees belong to one of 13 bargaining units. Human resources policies are established within a complex weave of state and federal laws as well as the provisions of nine separate collective bargaining agreements.

### ***Key Assets***

The CSU has a number of critical *assets* that support its efforts to recruit, retain, and engage a highly talented and diverse workforce. Its mission has broad support, and employees see their work as having meaning for the students they serve (whether that service is direct or indirect.) As a community, the CSU is diverse, and this diversity is recognized as an asset by many current and potential employees. Many of the campuses exist in areas viewed as desirable places to live. The strong tradition of shared governance within the system is particularly valued by CSU faculty. Employee benefits programs, particularly the pension system which offers a defined benefits program with significant security for employees who spend a career with the CSU, are among the best in the nation; the result is that many employees are willing to make a long-term commitment to the institution.

### ***Key Challenges***

At the same time, the CSU faces certain perennial *challenges* that affect human resources. The most obvious is chronic underfunding, which affects all areas, from the ability to offer competitive wages in recruitments to support for professional development to labor relations; this challenge has never been greater, or had more impact on employees. A second challenge is the complexity of managing a 23-campus system plus a central office in which each site has a distinctive culture and considerable autonomy. Perhaps as a consequence of this complexity, there

are areas where system-level policy does not exist (but almost certainly should) as well as areas where existing system policy may present impediments to campus flexibility, and the CSU has not previously attempted to develop a systemwide strategic vision for human resources. Collective bargaining and the regulatory environment have reduced flexibility. Finally, depending on the region, external factors such as the cost of housing and other quality-of-life factors may present significant challenges, especially in recruiting individuals from outside California.

### **STRATEGIC GOALS: A CLOSER LOOK**

In this section, we examine each goal in detail, and consider what some outcomes of implementing each goal might be. Throughout the discussion, when we refer to “campuses” we are including the chancellor’s office as a workplace within the CSU with its own human resources needs.

#### ***Goal 1: Employees are engaged and productive with the skills and behaviors required to meet the California State University mission.***

In many ways this first goal is an overarching goal, and the goals that follow support it. A prerequisite for having employees who are skilled and productive is that clear organizational goals must be in place; in other words, employees cannot be successful if their work and roles have not been defined. Opportunities to communicate the organization’s goals and each employee’s role within the organization occur at several points:

- Recruitment is an opportunity to identify those faculty, staff, and administrators who will be engaged and productive and committed to the mission.
- Orientation is an opportunity to introduce institutional values and lay out performance expectations.
- Evaluations hold employees accountable for their performance and at the same time provide an opportunity to establish standards and criteria that are well-aligned with rewards and support those behaviors that are needed to meet the mission.
- Training and professional development provide opportunities for employees to develop needed skills, learn to respond to changing demands, and acquire the tools to advance professionally.

For a faculty member, career advancement might be qualifying for tenure, promotion, or range elevation, moving from a temporary position to a tenure-track position, or moving into a position with additional responsibility (such as a department chair role.) For staff members, too often the only path for advancement is to look for a similar job in a different department in order to receive a salary increase; the CSU would be in a better position to retain excellent staff members if advancement opportunities were more available and publicized. Talented faculty and staff with

an interest in administration would also benefit from more systematic opportunities to acquire the skills necessary for advancement.

In implementing this goal, each campus should consider how it could approach each of the above areas (recruitment, orientation, performance evaluation, training and professional development) for different employee groups. Numerous examples of excellent practice now exist within the system that could serve as models.

A key component of supporting employee engagement is creating an inclusive and empowering campus environment. An inclusive environment has a culture that values open communication, transparency, and trust, and that values every employee's contribution. From the human resources perspective, inclusivity has multiple meanings. In addition to the responsibility of human resources to ensure equal employment opportunity and to practice non-discrimination, the workplace climate might be characterized by the following:

- Appropriate stakeholders are brought into discussions and included in decision-making, as appropriate.
- Communication strategies reach all employee groups, and there are opportunities for employees to provide feedback.

In measuring their efforts to create an inclusive environment, campuses should pay attention to climate and consider where opportunities for inclusion, consultation, and communication exist. On matters affecting faculty, is the Academic Senate part of the conversation? Are there opportunities for temporary faculty to feel connected to their departments and the university? Are staff members treated with respect? Are lines of communications with the unions open and used?

***Goal 2: The California State University demonstrates concern for the health, well-being, and safety of its employees.***

In general, healthy employees with a sense of well-being in the workplace are more likely to be engaged and productive than those suffering from mental or physical health issues, and productivity may suffer in an unsafe environment. Examples of areas where the university can play a role might include:

- Provision of mental health support, such as an Employee Assistance Program;
- Attention to work-life balance issues, with differentiated programs that accommodate different life stages;
- Provision of wellness programs; and
- Provision of well-maintained facilities.

In implementing Goal 2, campuses will need to analyze workplace needs and areas of vulnerability in order to design appropriate responses. As an example of situations that can tax human resources departments, in recent years several campuses have experienced closures due to fires, and the Northridge campus experienced a major earthquake. These natural disasters are unpredictable but inevitable and disrupt the lives of employees as well as students, so it is important that campuses be prepared to respond quickly, responsibly, and compassionately.

***Goal 3: Risk and issues of compliance related to human resources are well managed.***

Managing risk in human resources has significant impact systemwide; for example, the largest volume of cases in litigation is consistently in the area of employment. Managing issues of risk and compliance begins with clear, well-documented policies consistently applied by knowledgeable human resources managers. Effective communication is also critical; information must be current and readily available to employees as well as managers. Risks in the area of labor relations can be reduced if problems are identified and corrected at the earliest opportunity.

In implementing Goal 3, campuses should be cognizant of the above areas, and may also wish to consider the training needs of their staff as well as managers and supervisors. At present, campus human resources offices vary greatly in terms of staffing, support, and experience.

***Goal 4: The California State University fosters an environment of continuous human resources improvement.***

Having established clear goals and policies, departments need to establish standards for a good human resources environment and perform periodic self assessments. Feedback from assessments should be translated into process improvements. Managers must be sophisticated consumers of information and must have access to data and information that is timely, well-organized, and accurate. The technology infrastructure should be designed to support strong business processes, offering automation where possible. In turn, well-designed business processes are used to drive the development of technology; technology does not drive the process.

In implementing Goal 4, campuses and the chancellor's office should consider where business processes would benefit from updating, and where technology can add value. Are we doing things a particular way only because "they've always been done that way?" Are our information systems capable of meeting our needs? What new opportunities would effective technology bring? Where would we benefit from standardization, and where is it important to allow distinctive campus practices? It will also be important to take stock of information resources to determine whether the available reports and analyses support business needs.

***Goal 5: Collective bargaining is focused on accomplishing the California State University's mission.***

In many ways, the strong collective bargaining environment of the CSU can potentially be an asset to the CSU in achieving its mission. When competitive wages and excellent benefits have been negotiated, the university is aided in recruiting highly qualified faculty and staff, and employee protections may encourage individuals to make a long-term commitment to the CSU. Likewise, the unions can be an important partner on issues of mutual benefit, as was demonstrated by the work of the Alliance for the CSU in 2008. An environment of mission-driven collective bargaining might include:

- Development of collective bargaining proposals that take the educational mission of the CSU into account.
- Contract provisions that can be consistently administered throughout the system.
- Contract provisions that support the CSU's ability to recruit and retain a talented and highly skilled community of employees.
- Timely conclusions to contract negotiations.
- Resolution of grievances at the lowest possible level.

In implementing Goal 5, campuses should work with the chancellor's office to identify contractual provisions that support the CSU mission as well as areas that impede the mission. In addition, campuses should examine their relations with local union representatives. Are labor-management committees used to identify and solve problems at early stages where appropriate? Do unions receive timely communications on matters of interest? Do labor relations managers evaluate grievances on a case by case basis, working toward early resolution when it is appropriate?

**MEASURES OF SUCCESS**

How will we know if we are successful in moving toward these goals? As the chancellor's office and campuses consider changes designed to strengthen human resources policies and procedures and to support one or more of the above goals, it will be important to incorporate measures of success. The following are a non-exhaustive set of suggestions for how we might begin to measure our progress. We note that many of these measures are already in place on at least some campuses.

- Periodic climate surveys measuring employee motivation for success and other factors such as well-being, concern for safety, and inclusion.
- Tracking of outcomes in recruitments (e.g., the annual CSU Faculty Recruitment Survey.)
- Customer satisfaction measures and climate surveys.
- Professional development expenditures and participation levels.

- Pervasiveness of model programs (such as faculty-staff assistance programs, programs for work-life balance, staff mentoring programs.)
- Periodic audit of policies.
- Periodic audit of business practices.
- Tracking of grievances and outcomes.
- Periodic audit of utilization of web resources.

#### **NEXT STEPS: MOVING FORWARD**

While this document suggests a number of ways for campuses and the CSU system to make progress toward these goals and each campus will almost certainly be carrying out many activities that support the strategic vision for human resources, a limited number of key outcomes have been identified for reporting over the next several years.

The following key outcomes have been identified:

- A. Skilled human resources professionals who have attained professional certification and who possess relevant competencies and knowledge of the CSU.
- B. A work environment that is empowering, collaborative, and customer-focused and encourages creativity, innovation, and open communication.
- C. Employee Assistance Programs (EAPs) that are available, easily accessed, and well-publicized on all campuses.
- D. Consistent application of systemwide human resources policies, state and federal employment laws, and collective bargaining agreements while respecting individual campus practices.
- E. Relevant and/or mandated training related to legal compliance and administration of collective bargaining agreements that is provided for the appropriate individuals in a timely manner.
- F. California State University human resources processes that are reviewed for efficiency, effectiveness, and relevancy on an ongoing basis.
- G. Collective bargaining philosophy, proposals, and agreements that further the mission and goals of the California State University.

In order to facilitate progress in the above areas, the chancellor's office will work with the campuses to collect relevant data, share results, and develop strategies going forward. In addition, the chancellor's office will report progress periodically to the Board of Trustees.

**Appendix 1. Feedback from campus constituents (e.g. human resources directors, associate vice presidents/deans of faculty, plant operations managers, chief administrative/business officers, presidents, police chiefs, other administrators, the Academic Senate) regarding possible actions that would support the strategic goals.**

In 2007-08, the strategic goals were circulated among several constituent groups who were asked to provide ideas and suggestions for how to accomplish the goals. A number of common themes emerged that, in many cases, were applicable across several of the goals. These themes are presented below.

**Importance of training and professional development**

Professional development is seen as essential across the organization. Constituents spoke to the need for effective orientations for new employees, training to ensure that employees have the skills necessary to carry out their responsibilities, professional development opportunities that would support employees' career advancement, and training and continuing education for managers and department chairs.

**Communications strategies**

Constituents believe the campuses and the chancellor's office must communicate effectively and consistently with employees. Good communications keep members of the campus community well-informed and updated. When communications to members of the university community are clear, timely, structured to allow feedback, genuine, and pervasive, they contribute to the creation of an inclusive community. Communications must also penetrate the "silos" that tend to isolate different units on campus.

**Employee-friendly policies**

Constituents see opportunities to support work-life balance for employees, tailored to their needs and circumstances, and to take advantage of flexibility in existing programs. Constituents support the concept of Employee Assistance Programs as well as programs focused on wellness and promotion of health and safety.

**Risk management**

Risk management is a priority for constituents as well. Ensuring that managers are well-trained and knowledgeable is integral, as is sharing and dissemination of good practice. Constituents also cited the need to construct policies in such a way as to facilitate compliance.

**An inclusive university**

Respondents recognized the importance of inclusive decision-making in which stakeholders are consulted and are made aware of relevant issues. Inclusivity goes hand-in-hand with effective communications. Constituents strongly support the CSU's commitment to diversity and support hiring strategies that ensure diverse candidate pools. They see value in collaborative partnerships on campus as a source of new ideas and creativity.

### **Focus on recruitment**

Recruitment policies and practices are seen as the starting point for creating a community in which employees are engaged and productive. Respondents spoke to the need for recruitment practices to be welcoming as well as an opportunity for each campus to communicate its strengths, values, and mission. They support guidelines for recruitment that would yield excellent and diverse candidate pools, as well as training for individuals who carry out recruitments.

### **Identification and sharing of best practices**

Constituents recognize that across the system a wealth of good ideas and practices are already in place, and support efforts to share and disseminate these good practices. They acknowledge that greater standardization of practice may be desirable.

### **Regular review and assessment**

Respondents want the CSU to evaluate its efforts to determine what is working and what is not and to complete the feedback loop by making changes where appropriate. They recognize that training is needed to ensure that decision-makers know how to conduct such assessments and make use of them.

### **Availability of robust data and information in support of good practice**

Constituents recognize the need for timely human resources information in support of campus planning and decision-making. Areas where information is needed might include employee demographics, compensation, turnover, recruitment, etc. Data sources need to be “translated” for end users, and users must be appropriately trained to be able to make use of the sources.

### **Availability of functional cost-effective technology**

Constituents expect that useful technology will be available to support all of the above areas, from common web-based job applications, to webinars for cost-effective delivery of training, to human resources and payroll information systems that support policy implementation, to useful and usable databases.

### **Commitment to collaboration with the unions**

Constituents believe that opportunities exist for the university and its unions to work collaboratively toward common goals. They mention using labor-management committees to solve problems collaboratively, and they see opportunities for joint programs and workshops.

## **Appendix 2. Components of *Access to Excellence* accountability plan that relate to human resources**

The *Access to Excellence* accountability plan includes the following components: (1) system-level actions that have been identified as necessary to achieve the goals; (2) indicators to gauge system-level or campus-level success in achieving goals; and (3) suggested campus-level actions (referred to in the accountability plan as “institution-level actions”) that might be undertaken in support of goals. Those components that address human resources issues are presented below.

### **SECTION 1: System-Level Actions Necessary to Achieve *Access to Excellence* Goals**

#### **Commitment 2. Plan for Faculty Turnover and Invest in Faculty Excellence**

- Support CSU institutions by means of analytical work to identify compensation gaps, monitor retention and turnover among faculty, monitor progress toward increasing the proportion of tenure-track faculty, and monitor demographic trends among faculty.
- Develop a faculty database to support recruitment and retention, including information about growth areas, anticipated retirements, and net need for faculty at the system and institution levels.
- Develop and disseminate consistent guidelines for faculty hiring processes.
- Work collaboratively with the California Faculty Association to ensure that bargaining agreements support the recruitment and retention of a talented and diverse faculty in support of CSU mission.
- Sponsor systemwide opportunities for professional development and dissemination of research, such as the annual community engagement research conference.
- Undertake a study to identify best practices in workload reallocation.

#### **Commitment 3. Plan for Staff and Administrative Succession and Professional Growth**

- Support CSU institutions by means of analytical work to identify compensation gaps where they exist, monitor retention and turnover among staff and administrators, and monitor demographic trends among staff and administrators.
- Review policies and practices to ensure that risk and compliance issues are well managed, and that the system is able to meet its obligations in key areas, such as implementation of the new state payroll system.
- Undertake a benchmark compensation study for the Management Personnel Plan (MPP) employment category, using external comparators.
- Identify and disseminate strategies for developing leadership at institution level, including identifying individuals with potential talent for management, providing professional development programs for staff, and providing pathways for staff and faculty to develop administrative skills.
- Develop orientation and continuing education programs for managers to provide them with the knowledge and skills needed to meet the needs of the CSU.

**SECTION II: Indicators to Gauge System- and/or Campus-Level Success in Achieving *Access to Excellence* Goals**

- Increase in the proportion of tenured and probationary faculty.
- Increase in the diversity of employees.

**SECTION III: Suggested Institution-Level Actions to Achieve *Access to Excellence* Goals**

**Commitment 2. Plan for Faculty Turnover and Invest in Faculty Excellence**

- Develop and carry out effective recruitments, adhering to systemwide recruitment guidelines.
- Maintain fully-functioning faculty professional development offices.
- Establish, review, and implement policies for evaluation, retention, tenure, and promotion that are well-aligned with *Access to Excellence* commitments.
- Provide support for faculty at all career stages to achieve excellence in both pedagogy and scholarship.
- Conduct institutional research on effective pedagogy.
- Create effective practices for student engagement.
- Develop ways to improve educational outcomes.
- Review and implement, as appropriate, identified best practices in workload allocation.
- Address faculty workload in graduate programs, including responsibilities for research, scholarship, and supervising culminating experiences.

**Commitment 3. Plan for Staff and Administrative Succession and Professional Growth**

- Identify high-risk positions, including taking steps to retain individuals and/or plan for succession, as appropriate.
- Review and implement, as appropriate, identified strategies for developing leadership, including identifying individuals with potential talent for management.
- Provide professional development programs for staff, and provide pathways for staff and faculty to develop administrative skills.
- Create programs that support employees' safety as well as physical and mental well-being.

**HUMAN RESOURCES STRATEGIC GOALS: OUTCOMES & MEASURES**

**Employees are engaged and productive with the skills and behaviors required to meet the California State University mission.**

<b>Outcome</b>	Skilled human resources professionals earn and maintain professional credentials and possess relevant competencies and knowledge of the California State University.			
<b>Measure</b>	Participation in professional human resources associations, training in support of human resources competencies, and progress towards and/or completion of recognized professional credentials and/or certifications.			
	<b>Systemwide Human resources will:</b>	<ul style="list-style-type: none"> <li>• <i>Year 1</i> Identify professional associations, certification programs, and credentialing opportunities specific to the human resources profession.</li> <li>• <i>Year 1</i> Identify core competencies for Human Resources employees.</li> <li>• <i>Year 2</i> Conduct systemwide census of memberships, subscriptions, professional activities and publications, credentials and certifications held by California State University employees with the Human Resources campus offices.</li> <li>• <i>Year 2</i> Provide learning opportunities in support of the core competencies for Human Resources employees.</li> </ul> <p><i>Year 3 and alternate years thereafter</i> Report on above.</p>	<b>Campuses will:</b>	<ul style="list-style-type: none"> <li>• <i>Year 1</i> Collaborate with Systemwide Human Resources in the identification of core competencies for Human Resources employees at the campus level.</li> <li>• <i>Year 2</i> Conduct census of memberships, subscriptions, professional activities and publications, credentials, and certifications held by California State University employees within the Human Resources campus offices.</li> <li>• <i>Year 2</i> Support and encourage active participation of Human Resources employees in learning and professional development opportunities where possible.</li> </ul> <p><i>Year 3 and alternate years thereafter</i> Report on the above.</p>

**Employees are engaged and productive with the skills and behaviors required to meet the California State University mission.**

<b>Outcome</b>	The CSU work environment is empowering, collaborative, and customer-focused and encourages creativity, innovation, and open communication.		
<b>Measure</b>	Responses to biennial employee climate surveys.		
	<p><b><i>Systemwide Human Resources will:</i></b></p>	<ul style="list-style-type: none"> <li>• <i>Year 1</i> Develop and pilot test a climate assessment survey instrument.</li> <li>• <i>Year 2</i> Provide core assessment survey to campuses for administration; campuses may add supplemental questions at their discretion. Collect data to establish systemwide baseline.</li> <li>• <i>Year 3 and alternate years thereafter</i> Develop and implement action plans based on results; revise core survey as appropriate and re-administer.</li> </ul>	<p><b><i>Campuses will:</i></b></p> <ul style="list-style-type: none"> <li>• <i>Year 1</i> Collaborate with Systemwide Human Resources in the development and testing of the survey instrument.</li> <li>• <i>Year 2</i> Administer core survey instrument as well as supplemental questions at campus discretion. Report data to Systemwide Human Resources.</li> <li>• <i>Year 3 and alternate years thereafter</i> Develop and implement action plans based on results. Recommend revisions to instrument, administer survey according to schedule, and measure results.</li> </ul>

**The California State University demonstrates concern for the health, well-being, and safety of its employees.**

<b>Outcome</b>	Employee assistance programs (EAP) and wellness programs are available on all campuses.			
<b>Measure</b>	Level, availability, and ease of access to services provided.			
	<p><b>Systemwide Human Resources will:</b></p>	<ul style="list-style-type: none"> <li>• <i>Year 1</i> Develop and test a survey instrument to measure the availability level and access to services provided by EAP and wellness programs.</li> <li>• <i>Year 2</i> Administer survey to campus Human Resources; collect and analyze data to establish systemwide baseline.</li> <li>• <i>Year 2</i> Share and discuss findings and best practices with Human Resources officers and other California State University leaders. Develop recommendations for core services and timelines for achieving these levels of service.</li> <li>• <i>Year 3 and alternate years thereafter</i> Share results from campus reports and recognize best practices.</li> </ul>	<p><b>Campuses will:</b></p>	<ul style="list-style-type: none"> <li>• <i>Year 1</i> Provide input on the development of survey instrument.</li> <li>• <i>Year 2</i> Participate in survey by reporting on campus EAP and wellness programs.</li> <li>• <i>Year 3 and alternate years thereafter</i> Report on status of campus activities, including progress toward providing core services and levels of utilization of services.</li> </ul>

**Risk and issues of compliance related to human resources are well managed.**

<b>Outcome</b>	Systemwide human resources policies, state and federal employment laws, and collective bargaining agreements are consistently applied while individual campus practices are respected.			
<b>Measure</b>	Establishment of appropriate benchmarks and provision of evidence over time of improvement in timely and consistent compliance with policies, laws, and collective bargaining agreements.			
	<p><b>Systemwide Human Resources will:</b></p>	<ul style="list-style-type: none"> <li>• <i>Year 1</i> Review policies, laws, and grievances/complaints to identify compliance issues that require remedy. Work with campuses on strategies to improve compliance. Establish ongoing schedule for follow-up.</li> <li>• <i>Year 2 and every year thereafter</i> Work with campus officials to address identified items. Implement strategies to improve compliance, including clarification of policies and provision of training as appropriate. Monitor identified issues for improvement and share findings with campus human resources officers.</li> </ul>	<p><b>Campuses will:</b></p>	<ul style="list-style-type: none"> <li>• <i>Year 1</i> Provide input on compliance challenges faced at the campus level. Work with systemwide human resources on strategies to improve compliance.</li> <li>• <i>Year 2 and every year thereafter</i> Participate in dialogue with systemwide human resources and take action as needed. Share best practices with other campuses and systemwide human resources</li> </ul>

**Risk and issues of compliance related to human resources are well managed.**

<b>Outcome</b>	Relevant and/or mandated training related to legal compliance and administration of collective bargaining agreements is provided for the appropriate individuals in a timely manner.			
<b>Measure</b>	Completion of training within statutory, contractual, and policy guidelines.			
	<b>Systemwide Human Resources will:</b>	<ul style="list-style-type: none"> <li>• <i>Year 1</i> Provide access to mandated training; identify unmet training needs related to compliance and the reduction of risk. Invite campus input.</li> <li>• <i>Year 2</i> Develop and/or identify training and learning opportunities to meet systemwide needs. Communicate availability.</li> <li>• <i>Year 3 and subsequent years</i> Track and report on participation in training sponsored at the Systemwide level; assessment of needs ongoing.</li> </ul>	<b>Campuses will:</b>	<ul style="list-style-type: none"> <li>• <i>Year 1</i> Identify trainees, implement mandatory training, and validate participation. Provide input as invited.</li> <li>• <i>Year 2 and every year thereafter</i> Evaluate training and identify emerging needs for systemwide training.</li> </ul>

**The California State University fosters an environment of continuous human resources improvement.**

<b>Outcome</b>	California State University human resources processes are reviewed for efficiency, effectiveness, and relevancy on an ongoing basis.		
<b>Measure</b>	Evidence from annual reports showing key process improvements.		
	<p><b><i>Systemwide Human Resources will:</i></b></p>	<ul style="list-style-type: none"> <li>• <i>Year 1</i> Invite dialogue with campus human resources to identify current processes or practices that need improvement.</li> <li>• <i>Year 2</i> Identify and recommend applicable learning resources to promote process improvement skills with emphasis on human resources processes.</li> <li>• <i>Year 2</i> Design standardized reporting format for annual report.</li> <li>• <i>Year 3</i> Recognize and share process improvements; assist in forming collaborative teams for wider implementation, as appropriate.</li> </ul>	<p><b><i>Campuses will:</i></b></p> <ul style="list-style-type: none"> <li>• <i>Year 1</i> Participate in the dialogue to examine human resources processes.</li> <li>• <i>Year 2</i> Encourage participation in learning, as needed.</li> <li>• <i>Year 3</i> Annually, share best practices. Seek additional campus or collaborative improvement opportunities.</li> </ul>

**Collective bargaining is focused on accomplishing the California State University's mission.**

<b>Outcome</b>	Collective bargaining philosophy, proposals, and agreements further the mission and goals of the California State University.			
<b>Measure</b>	The extent to which negotiated changes to bargaining agreements are consistent with the mission of the California State University.			
	<p><b>Systemwide Human Resources will:</b></p>	<ul style="list-style-type: none"> <li><i>Year 1</i> Analyze existing collective bargaining agreements and determine how they support the mission. Solicit appropriate campus input.</li> <li><i>Year 2 and every year thereafter</i> Examine all changes as they occur for their applicability to the mission. Negotiate changes with the Unions.</li> </ul>	<p><b>Campuses will:</b></p>	<ul style="list-style-type: none"> <li><i>Year 1</i> Assist Systemwide Human Resources with analysis of the collective bargaining agreements, clarifying and adjusting local interpretation and implementation.</li> <li><i>Year 2 and every year thereafter</i> Campus experts participate in collective bargaining.</li> </ul>