

**PROCEEDINGS OF
PRESIDENT'S STAFF RETREAT
AUGUST 11 & 12, 2003**

**INITIATING A COMPREHENSIVE PLAN
FOR
UNC's FUTURE**

INTRODUCTION

These Proceedings provide documentation of the discussions held and decisions made during the President's Staff Retreat, August 11 & 12, 2003. Content summarizes Retreat actions integrated with the pre-reading materials distributed by President Norton to the Staff.

The purpose of the retreat was to initiate a process for the development of a Comprehensive Plan for the University to flourish as a distinctive university. With leadership provided by President Kay Norton, the Retreat agenda facilitated pertinent conversations resulting in:

- A name and idea to describe the planning process and communicate its purpose,
- Guiding principles,
- Proposed criteria and format for compiling information and data needed to inform decisions, and
- Activities and timelines to accomplish the process.

These Proceedings serve both to document the Retreat outcomes and to be used as reference material as the campus community moves forward to determine the future for UNC.

The President's Staff Retreat participants are:

President Kay Norton
Allen Huang
Fran Schoneck
Ken McConnellogue
Ron Lambden
Elaine Quam
Ellie Gilfoyle

OBJECTIVES

1. Review and discuss factors necessary for success and the barriers to change
2. Identify a name for the planning process that communicates positive forward movement
3. Create the “idea” and guiding principles that form the basis for the development of a Comprehensive Plan
4. Develop proposed criteria and report format for compiling information and data from each academic and non-academic unit
5. Determine a process to gather campus input regarding the proposed criteria and process
6. Identify a process, including activities and timelines for designing and implementing a Comprehensive Plan, including budget implications; process to promote frequent, honest and open communication, campus involvement, and collaboration

PRODUCTS OR OUTCOMES

1. Name for the process
2. Simple and motivating “idea” or purpose for developing a Comprehensive Plan for UNC
3. Guiding principles
4. Proposed criteria and reporting format that permit a synthesis of quantitative and qualitative indicators to inform decisions
5. Collaborative process, including suggested activities to enhance communication and campus interaction, people involved, and timelines to be implemented during 2003-2004

AGENDA

- Identify and share lessons learned from past personal experiences with organizational change
- Review facts that impact the future delivery of quality programs and services
- Discuss factors necessary for success and barriers to change as pertinent for UNC's comprehensive planning process
- Development of the motivating "name" and "idea" to communicate identified values and purposes for planning
- Create Guiding Principles to direct the planning process
- Develop proposed criteria and report format to inform planning decisions
- Discussion and decisions about process activities and timelines to develop a Comprehensive Plan and ideas for implementation and budget implications
- Summary and next steps

SUPPORTING INFORMATION

FOR

CONSIDERATION

IN

DEVELOPING THE PROCESS

AND

THE COMPREHENSIVE PLAN

LESSONS LEARNED FROM PAST EXPERIENCES

To initiate discussions and capture important learning from past experiences, each person attending the retreat described an organizational change experience and delineated the important lessons learned. Lessons from the past served as a solid foundation for capturing the wisdom of the group and for designing a successful planning process that is grounded in integrity.

Lessons learned:

- Importance of declaring the purpose for change, get others involved to initiate change
- Relate to the best interest of the total organization, not to specific individuals
- Try to make the most of the situation and do what is best for the organization
- Do the right thing for the organization
- Value of and recognition for individuals as part of the change process
- Recognition of history and traditions
- Others may not see the value of change, but if handled correctly, most people adapt and may agree that change is good
- There is usually a transitional time before some people realize the value of change
- Even those people who are not impacted by the change have just as strong feelings about change as those directly impacted.
- When positions are eliminated as a result of reorganization or reallocation of funds, there is an impact on the survivors
- Have a clearly stated change purpose that is communicated to all, when faculty and staff understand the purpose they will embrace the purpose and understand the direction
- Self-initiated change facilitates creativity
- Change takes people out of their comfort zone
- Most people focus on the negative aspects of change
- Do not do things that are fueled by ego or for self-gratification
- Change impacts people's lives
- Don't spring things on people
- Remember what your customers want
- Need to be sensitive to issues and concerns of those individuals on the "front-line"
- Communication must be open, honest and timely
- Barriers to change need to be discussed and understood by leadership
- Confidentiality must be respected
- Trusting relationships are vital to the process

Factors that impact UNC programs and people

- In the past two years, UNC has seen a profound decrease in state support; \$7.8M for FY 03, and for FY 04 \$11.2M less than the original allocation for FY03 (25% reduction of general fund allocation)
- FY 04 and 05 budget are likely to see further reductions if the state's economic growth does not meet the targeted goal (6.1%) for FY04
- Tuition increases do not replace the financial loss realized (increase of \$2.2M in tuition revenues)
- State laws and regulations (TABOR, Gallagher, Amendment 23) may continue to affect state budget decisions for higher education
- The current culture, objectives, and values of CCHE may result in state policies that will affect enrollment for the next few years
- Projection of fewer dollars available for grants and contracts, and the current economic climate that affects external funding from private sources
- Hiring freeze initiated in FY 03 and travel restrictions are being continued in some form
- A total of 78.3 FTE plus funds for hourly, part-time and student employee dollars have been cut to balance the budget for FY 04
- A Joint Retrenchment Committee has been activated and a report submitted to the President. Before the JRC recommends action concerning financial exigency and the need for a Reduction in Force (RIF), the committee requests more information regarding the impact of current cuts to programs be studied, alternatives to a RIF, identification of actions being taken by other schools in Colorado, and ultimately the development of a Comprehensive Plan, including a historical perspective and projections for the future
- Enrollment is projected to increase while state funding will decrease
- At the national level higher education is coming under scrutiny for its high percentage tuition increases.
- There is a trend at the national level for higher education accountability with the pressure to develop performance standards for students to achieve
- The public generally does not trust higher education to be well managed, it is viewed as a private, rather than a public, good by public policymakers

UNC has a lot going for it!

Positive factors to be preserved and/or enhanced—

UNC:

- Has a heritage and traditions of a teacher preparation institution
- Has the advantage of being a higher education institution and not a business
- Has a statutory mission and Board adopted vision that establishes it as a comprehensive undergraduate program and a specialized graduate research university with selective admission standards
- Has statewide authority to offer graduate programs for the preparation of educational professionals
- Has a cadre of committed, visionary leaders
- Has stated policies and regulations that promote a culture of shared governance and open communication
- Promotes faculty-student interaction, and has a reputation as a student-friendly institution
- Have quality faculty and staff whose primary focus is on the quality of the learning experience for students
- Spends a greater percentage of its budget on instruction per student than any other university or college in the state
- Promotes an educator-scholar culture
- Is a Carnegie Research Intensive Institution with grant and contract funding approaching \$10M
- Has some programs that have received national and state recognition for their excellence
- Has excellent campus resources including residence halls, contemporary classroom buildings, a student center, a recreation center, club opportunities, student and career placement services, multicultural centers, library
- Has an excellent external communication network to assist with statewide policy decisions and legislation to benefit the institution

- Has an established Foundation; \$87M of managed assets, a sponsored college, endowed and funded chairs, professorships, scholarships, and several uniquely privately funded programs
- Have 33 extended programs, four online degree programs and over 200 online courses
- Has established several Partnership Schools for its teacher preparation programs
- Is a vital part of the Greeley community
- Has an established partnership with Colorado State University, Aims Community College and several other Colorado community colleges
- Has a Denver presence
- 85% of the UNC students come from Colorado
- 55,189 alumni live and work in Colorado

Factors for consideration that relate to and/or enhance planning

- Current accreditation (NCA) self-study process can provide vital information regarding future directions; site visit will add an important perspective regarding UNC and its future
- Available Program Assessment Reports can be used in planning
- Transformation to Division 1 AA - costs, benefits, future plans that will impact funding and fundraising
- General Education review (approximately 220 courses listed to meet requirements) - What is the purpose of UNC's general education requirements? Do we need a "core" curriculum? What might be a cost-effective organization to lead and manage a "core?"
- Potential revenue enhancements from off campus program offerings, summer programs and fundraising need to be identified
- Continue exploration and decisions regarding agreements with community colleges and discussions regarding "seamless education" (K – 16 transitions)
- Potential for differential tuition for specific majors or colleges

FACTORS FOR SUCCESS

THE POWER OF LEADERSHIP

The President's Staff, as the top leadership group, is responsible to set the cornerstone for a dynamic, successful process. Each member has an individual and a collective role; the roles are distinctive and there is a need for leaders to be "on the same page." The campus community looks to leadership for direction and decisions that are made in the best interest of the University. Leaders need to support each other and develop trusting relationships. To feel comfortable about change and engage in the process, people must understand their role and potential actions and have trust in the leadership. Leading change with integrity is the foundation for success. To succeed, leaders:

- Need to have a common direction, a shared understanding of goals and values, be explicit about individual and collective roles and play an active role in leading the agreed upon strategy (Reference #6). Leaders, at every level, need to be consistent role models – each person "walking the same talk" (Reference #2). Integrity is an absolute for leadership success.
- Need to have skills of interaction and collaboration, take risks together, participate in constructive debate, engage in honest dialogue and build trust (Reference #6).
- Need to understand and embrace the value of "taking time" (Reference #3) --- "move forward slowly to move fast!"
- Need to develop and lead a process that values and plans for involvement from all the people who will be affected by the plan's outcomes (Reference #1).
- Need to be accessible and engage in frequent, open and honest communication (Reference #2). Leaders must take time to think through the "story"; what makes change worth understanding – and be able to explain that story to all of the people involved in making change happen (Reference #1). COMMUNICATION, COMMUNICATION, COMMUNICATION
- Must be able to renew themselves to expand capabilities in response to change, look to outside sources of information, provide coaching and support for each other (Reference #6). Leaders must believe the "team" is a safe place to deal with issues, their own vulnerabilities, concerns and frustrations (Reference #3).
- Need to commit to weekly half-day sessions focusing on the progress being made, major strategic issues, potential opportunities and to identify necessary modifications for successful outcomes (Reference #6).

OTHER FACTORS FOR SUCCESS

- *THE POWER OF AN IDEA* - Organizational change must be based on a simple and motivating academic and business “idea” so that all people involved can understand the reason for change and its meaning for them individually. A powerful idea is the motivating and unifying proposition that, when communicated well, propels the entire process. The idea must be communicated to all people who will be impacted by the change (Reference #s 1 and 2).
- *THE POWER OF TIME AND INVOLVEMENT* - Timing of the launch must be considered. When will the change process and plans have the best chance to rally support from the people involved to assist the University to achieve its strategies and objectives? Identification and timing of planned activities are essential and must be communicated to all. Planned activities and timelines must promote opportunities for campus-wide inclusion and communication (Reference #s 2 and 3).
- *THE POWER OF SOCIAL REALITIES* - Leadership must be realistic and patient; taking into account constraints and social realities such as policies, regulations, resources, resistance and reluctance of managers to give up resources and responsibilities. To prevent constraint problems from emerging throughout the process, initial diagnosis and analysis of potential constraints are essential (Reference #s 2 and 5).
- *THE POWER OF THE MISSION* - An organization’s mission drives everything. The mission is the basis for strategy and determines what an organization will and won’t do. The mission communicates the unique role and scope of the organization, serving as the academic grid, against which the right decisions about programs and services can be determined (Reference #s 3 and 4).

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BARRIERS TO CHANGE

In the quest to understand the characteristics of both successful and failed organizational change efforts, researchers and practitioners have identified several key factors that result in slight resistance to major sabotage. Success depends upon the recognition of possible barriers, the recognition of employees' fears, and the development of a plan to diminish the impact of resistance.

Barriers to consider include:

- Taking action before adequate communication
- Pushing decisions and actions from the “top” without opportunity for input from the “bottom”
- Timing of decisions and actions that limit involvement
- Process that does not provide interactions and communication and is not open to revision and/or modification
- Inconsistencies in leaders' words and actions leading to miscommunication and misunderstanding
- Lack of trust in leaders
- Lack of understanding for the purpose, vision or “idea” for change
- Unrealistic expectations of the problems and the solutions
- “Closet of Gold” – unrealistic perspective of leadership responsibilities
- Lack of involvement from the organization's community
- Voices of the few that mask the feelings of the many, and
- Rumors that occur because of lack of information and the timing of communication

Employees' Fears are:

- Fear of negative outcomes for them individually and for their unit
- Fear of the unknown
- Fear of the flaws perceived in the management plan. (Reference #1))

Plans to Address Resistance

Literature has identified that resistance to change is a primary reason for the failure of change efforts in organizations. Reducing resistance to change is crucial to the success of change efforts.

Resistance is diminished under a set of conditions conducive to alleviating the concerns of employees (Reference #5))

- When ownership of change by participants is high
- When change has clear support of management
- When participants perceive change as increasing efficiency

- When change is consistent with participants' values and ideas
- When participants feel that their security and autonomy are protected
- When participants have been involved in diagnosing the problem
- When participants' objections are taken seriously and argued out in full
- When feedback and discussion prevent miscommunication and misunderstanding
- When participants feel trust, support and confidence
- When change is open to review, revision and modification

Eight steps to ensuring a successful organizational transformation (Reference #4))

- Establishing a sense of urgency
- Forming a powerful guiding coalition
- Creating a vision (idea)
- Communicating the vision (idea)
- Empowering others to act on the vision (idea)
- Planning for and creating short-term wins
- Consolidating improvements and producing still more changes
- Institutionalizing new approaches

Action steps for successful transformation (Reference #2))

- Mobilize commitment to change through joint diagnosis of problems
- Develop a shared vision of how to organize and manage the change process
- Foster consensus for the new idea, competence to enact it, and cohesion to move it along
- Spread revitalization to all departments without pushing it from the top
- Institutionalize revitalization through formal policies, systems, and structures
- Monitor and adjust strategies in response to problems in the revitalization process

RECOMMENDATIONS TO REDUCE RESISTANCE

1. Recognize that resistance to change is pervasive (Reference #1)
2. Plan for frequent and open communication processes and honor the importance of allowing time for discussions and reflections (Reference #s 1 and 3)
3. Identify potential constraints and realities (Reference #s 1 and 4)
4. Establish participant ownership over the change process; allow all members of the organization to assist in diagnosing the problems, assist in establishing change strategies. Take everyone in the organization seriously in these discussions (Reference #s 1, 2 and 5)
5. Become comfortable with negotiation and dialogue that spans various components and teams within the organization (Reference #s 1 and 4)

6. Develop a purpose/idea for change that provides a guiding framework about which enthusiasm can be generated and sustained (Reference #s 1 and 4)
7. Work to achieve maximum consensus and recognize that lack of support among the organization's managers, in particular, is detrimental (Reference #s 1 and 2)
8. Develop strategies that ensure security and autonomy will be protected and be proactive about communicating that guarantee (Reference #s 1 and 5)
9. Attend to the fears of participants in all areas and at all levels of the organization (Reference #1)
10. Avoid perpetuating unhealthy competition, win-lose scenarios that devalue certain groups' efforts (Reference #1)
11. Enhance communication throughout the change endeavor and be honest (Reference #s 1, 2 and 3)
12. Remain open to evaluation and adjustment – in fact plan for evaluation and modification of planned activities and timing (Reference #s 1 and 5)
13. Be aware of and monitor resistance and rumors
14. Assure people that they will be heard and valued
15. Communicate change as positive
16. Empower Department Chairs and Directors with the tools needed to engage in the leadership process

References:

1. Kusmirek, K.: (2001) *Understanding and Addressing Resistance to Organizational Change*. Center for the Study of Higher and Postsecondary Education, University of Michigan Ann Arbor, Michigan
2. Beer, M. Eisenstat, R. & Spector, B (1990) Why change programs don't produce change. *Harvard Business Review*, 68(6), 158-166.
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4. Kotter, J. (1995). Leading change: Why transformation efforts fail. *Harvard Business Review*, 73 (2), 59-67.
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GUIDEPOSTS FOR

DISCUSSIONS AND DECISIONS

INITIATING THE PROCESS TO CREATE

A COMPREHENSIVE PLAN

Developing the Plan

What we want the name to communicate

The name should communicate our values and beliefs – that comprehensive planning is a creative, positive, and open process to create the change needed to direct the future of UNC.

The name selected:

CHARTING THE FUTURE

To develop the purpose or “idea” for planning, two questions were answered

1. Why do we need to develop a Comprehensive Plan?

To:

- Enhance our quality and achieve prominence within the academic environment
- Address expanding demands and declining resources
- Determine the best use of our resources
- Address external/internal expectations and demands
- Use available technology – learning how to use the tools available
- Determining what we are “good” at as it relates to the needs of the state
- To be able to go from “good enough” to great

2. What does the effort seek to achieve?

- A design for the future that includes the optimal mix of programs and services
- Great programs and services in support of the UNC mission
- Development of long-term financial tools, structures, and plans that enable us to achieve our academic goals
- A timely process that promotes involvement with the campus community
- A process that is characterized by open, honest communication

Consideration of the above factors resulted in the identification of the “idea” for engaging in a comprehensive planning process:

- **Discovering Opportunities**
- **Fostering Imagination**
- **Investing for Greatness**

Guiding Principles

Following discussions, guiding principles to serve as the cornerstone for directing the change process were delineated:

- Value and respect all participants
- Value and recognize individual and collective investment in the university
- Exercise civility and integrity
- Create a culture of trust
- Welcome discourse that will inform decisions in the best interest of the university
- Be committed to open, honest and timely communications
- Implement a timeline driven by the academic and fiscal demands
- Be guided by clearly articulated criteria that are balanced and grounded in the mission
- Be mindful of the various communities that the University serves and of those that shape our future

Criteria for collecting information and data to inform decisions

Recommendations from the literature and past experiences

Ten Criteria proposed by Dickeson (p54)

1. History, development, and expectations of the program
2. External demand for the program
3. Internal demand for the program
4. Quality of program inputs and processes
5. Quality of program outcomes
6. Size, scope, and productivity of the program
7. Revenue and other resources generated by the program
8. Costs and other expenses associated with the program
9. Impact, justification, and overall essentiality of the program
10. Opportunity analysis of the program

Classic criteria used for planning within higher education

1. Centrality to the mission
2. Uniqueness
3. Demand for program/service
4. Quality of the program
5. Program productivity

6. Financial resources and expenses

Proposed criteria and report format to gather information and data

Through discussions it was determined that criteria must communicate the purpose and outcomes of the planning process. Criteria were not to be used for prioritizing or ranking programs; rather, they are used to organize information and data to inform decisions regarding the future. Thus, a report format and criteria were developed to include the categories of past, present, and future. Also it was determined that each organized unit on campus, academic and non-academic, would complete a report, with the specific report submitted to the unit's respective Dean or Vice President. The Dean/Vice President would be charged to review reports, make comments and transmit the reports with a cover letter to a Design Team. The designated Design Team would review the written materials and schedule an open meeting with each Dean/Vice President to discuss the reports. The purpose of the meeting is to assist with clarification and understanding of the report content. The Design Team will use the material to inform decisions regarding the future for UNC. (See Activities and Timelines for further clarification of the process.)

Below are the proposed criteria and format to be discussed by the campus community:

1. The Past

- History and development of program at UNC
- Expectations for programs/services

2. Present Descriptors

- Centrality to the Mission
- External and internal demand for the program, including its uniqueness
- Quality of program inputs and outcomes
- Productivity and revenue and other resources. Data will be provided by central administration, however, data about units' grants, contracts, and funds raised during 2001-02 will need to be provided by each unit (fiscal year 2001-02 data will be used because it is the most recent complete data set available and is not skewed by budget rescissions and reductions)

3. The Future: The Boldness to Dream

Imagine UNC as a great University

- How should it be structured?
- How should resources be generated?
- How should resources be allocated?

- How would you design curriculum that includes a liberal arts foundation, professional preparation and real world experiences?
- What programs and services are necessary to support student's success?
- How do we achieve and maintain a culture of trust?
- Other (*dream on!*) We invite your ideas and comments – Tell us about the rest of your dream for UNC's future.

Suggested Activities and Timeline For Discussion

Activities and timelines consider budget implications and timing for budget preparation and presentation, as well as the role of the Board of Trustees in various stages:

1. By August 13, 2003 – President presents “Charting the Future” plan to Academic Council.
2. By August 17, 2003 – President invites members to serve on Design Team – Members selected include: Kay Norton, Allen Huang, Fran Schoneck, Ken McConnellogue, Ron Lambden, Michelle Quinn, Tom Gavin, Vinnie Scalia, Gary Hatch, Tony Montoya and Bob Hetzel. Ellie Gilfoyle and Elaine Quam will serve as ex-officio members.
3. By August 19, 2003 – President presents “Charting the Future” to faculty via cover letter and to staff via e-mail.
4. By August 19, 2003 – President presents the “Charting the Future” concepts to the President’s Council.
5. By August 19, 2003 – Web site for “Charting the Future” up and running.
6. By August 20, 2003 – President presents “Charting the Future” ideas and Retreat outcomes to JRC.
7. By August 22, 2003 – President presents “Charting the Future” ideas to Faculty Senate Retreat. Send invitations via e-mail to leadership team regarding a “Leadership Summit.”
8. By August 28, 2003 – President presents “Charting the Future” ideas to Board of Trustees for information, comment and discussion of Board of Trustees’ role. Conduct similar meetings with other governance groups (PASC, SRC, SPEEC, Faculty Senate).
9. September 18, 2003 – President presents the “State of the University” address to the campus community. The address will serve as kick-off for the “Charting the Future” process.
10. September 19, 2003 – President will host a “Leadership Summit” to communicate plans and proposed activities/timelines; to enhance the understanding of goals, objectives and criteria, to gather input about plan, concerns, issues and fears as well as suggestions and questions; to empower leadership team to engage in a vital, collaborative communication and planning process with their respective constituencies; and to build trust and the spirit of community.

11. September 20-30, 2003 – Comment period for university community on the planning process.
12. September 24, 2003 – Community State of the University address. Press release to media.
13. By October 1, 2003 – Submit to campus community the synthesis from campus input regarding criteria, activities, and timing; together with the format to be used by units for developing their reports, (report also should summarize impact of current cuts); dates for unit reports to be submitted and plans for meetings to be held during January 2004. Communicate charge given Design Team to campus.
14. By October 1, 2003 – Productivity data and financial resources and expenses provided to units for use in developing reports.
15. October 10, 2003 – Present “Charting the Future” process update to Board of Trustees.
16. By November 14, 2003 – Unit reports submitted to respective Dean/Vice President for discussion and integration into a College or Division report.
17. By December 23, 2003 – Deans/VPs transmit units’ written reports and comments in the form of a cover memo to Design Team.
18. January 2004 – Design Team to hold meetings with Deans and Vice Presidents for clarification, meaningful discussions and recommendations.
19. February 2004 – Design Team develops proposed “Charting the Future” plan.
20. Early March 2004 – President and Design Team convene the second Leadership Summit to discuss the “Charting the Future” plan.
21. March 2004 – President presents the first draft of “Charting the Future” plan to the Board of Trustees.
22. March – May 2004 – Comment periods for campus community on “Charting the Future” plan.
23. May 2004 – Design Team finalizes the “Charting the Future” plan.
24. May 7, 2004 – Board reviews and acts on “Charting the Future” plan.
25. May 2004 – President communicates “Charting the Future” plan and implementation phase to be initiated during FY 05 to campus community.

26. May or June 2004 – Press release regarding “Charting the Future” plan.
27. June 2004 – Board of Trustees approval of final budget.
28. Fall 2004 – President will present the State of the University address to campus and community.
29. Fall 2004 – President will host a Leadership Summit for clarification, discussion and delineation of implementation of “Charting the Future” plan.