Adapting
by Design

TOOLKIT

A companion resource to The Delphi Project's report, **Adapting by Design**, created to support the redesign of higher education models

Daniel Maxey and Adrianna Kezar

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www.thechangingfaculty.org

THE ADAPTING BY DESIGN TOOLKIT HAS BEEN PRODUCED THROUGH THE GENEROUS SUPPORT OF THE SPENCER FOUNDATION.

ADDITIONAL RESOURCES FROM THE DELPHI PROJECT

The Delphi Project has produced a number of materials that may be used alongside *Adapting by Design* and this companion toolkit to supplement the process of examining the current faculty models and designing alternative models. We encourage you to make use of these resources to support your efforts to advance changes at your institution.

Envisioning the Faculty for the 21st Century: Moving to a Mission-Oriented and Learner-Centered Models

In a book edited by Delphi Project director Adrianna Kezar and former co-director Dan Maxey, contributors weigh the concerns of university administrators, professors, adjuncts, and students in order to critically assess emerging faculty models and offer informed policy recommendations.

Non-Tenure-Track Faculty on Our Campus: A Guide for Campus Task Forces to Better Understand Faculty Working Conditions and Necessity of Change

A discussion guide designed for use by task forces, committees, or groups to examine non-tenure-track faculty practices and issues at the campus level.

Non-Tenure-Track Faculty in Our Department: A Guide for Departments and Academic Programs to Better Understand Faculty Working Conditions and Necessity of Change

Similar to the campus-level discussion guide above, but focused on examining non-tenure-track faculty practices and issues at the department level.

Supplemental Focus Guides for Institutional Researchers and Centers for Teaching and Learning

Guides designed for use by Institutional Researchers and Centers for Teaching and Learning to examine how non-tenure-track faculty are supported by programs and services or included in institutional data that are collected and maintained.

The Professoriate Reconsidered: A Study of New Faculty Models

Explore the findings of the Delphi Project's groundbreaking survey study examining key higher education stakeholders views of new faculty roles and work; the results demonstrate key points of consensus that may serve as the basis for new faculty models.

The Imperative for Change: Fostering Understanding of the Necessity of Changing Non-Tenure-Track Faculty Policies and Practices

A report outlining the necessity for addressing the changing faculty and its implication for student learning outcomes, equity, and institutional risk management.

Dispelling the Myths: Locating the Resources Needed to Support Non-Tenure-Track Faculty

This resource outlines potential changes that could be made to improve support for non-tenure-track faculty on campuses, organized in terms of those that would be less expensive to implement or would likely require the reallocation of funding or increased expenditures.

These and other resources can be found at http://www.thechangingfaculty.org

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INTRODUCTION

Opportunities and Challenges

Institutions of higher learning from community colleges to research universities face an array of **opportunities and challenges** that are unsettling traditional approaches to satisfying their educational missions. New research on teaching and learning and pedagogical advances furnish data, knowledge, and techniques to enhance the quality of students' educational experiences and outcomes. Emerging technologies and modalities stretch capacity to scale up innovations, enable institutions to meaningfully engage students from a distance or in between class sessions, and democratize access to information and experiences. Calls for greater accountability to government, taxpayers, external donors, and students who pay increasing amounts of money to attend college demand evidence of student learning and attainment of gainful employment. Changing demographics and continuing diversification push campuses to acknowledge longstanding inequities in the provision of education and reexamine practices to ensure that all students benefit. In spite of these changes and many others, one group continues to have an indispensible role in delivering on institutions' missions: the faculties of colleges and universities.

Although faculty members work hard to meet or exceeding shifting expectations for teaching excellence, research productivity, and service, the professoriate, as an institution, has not adapted in ways that optimize faculty members' professional status, value, and contributions. Rather, changes in the American professoriate over the past several decades represent an "unraveling," reflected in the shift from a more traditional model of a professionalized, mostly tenure-track faculty toward a mostly contingent academic workforce. The erosion of a strong and well-established academic profession, in the absence of new visions to replace the status quo, threatens to deteriorate educational quality at our institutions, and more broadly for the higher education enterprise as a whole. Our ability to continue producing high-quality research and learning outcomes, as well to meet the increasingly complex expectations of our society, is at risk. At the national and institutional levels, deliberate dialogue, followed by collective, intentional action is necessary to ensure that a robust academic profession is in place for years to come so that higher education institutions can continue to meet these important goals. **In addition to the Delphi Project, at the national level several disciplinary societies, faculty unions, and other national higher education organizations have already made numerous contributions to the dialogue about the future of the faculty.[1]**

Adapting by Design

In February 2015, the Delphi Project on the Changing Faculty and Student Success published *Adapting by Design: Creating Faculty Roles and Defining Faculty Work to Ensure an Intentional Future for Colleges and Universities*, a report written to address the need to create a vision for new, future faculty models. The report articulates the rationale for engaging in dialogue about the future of the academic profession and identifies an intentional process that institutions can follow to undertake a redesign of the faculty. Its suggestions range from a tuning of the current faculty models to a more complete overhaul. The report is

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[1] We encourage participants in this process to draw upon resources created by organizations such as the Modern Language Association, Association of American Colleges and Universities, American Association of University Professors, and Coalition on the Academic Workforce to inform their own efforts.

the product of extensive research and discussions with numerous scholars, practitioners, thought leaders in higher education, and leaders representing national higher education organizations.

http://adaptingbydesign.thechangingfaculty.org/

Research on Areas of Agreement About Faculty Models

Since the publication of *Adapting by Design*, the Delphi Project has also conducted and published research that collected the views of faculty, campus administrators, board members, accreditors, and state-level higher education policymakers at a broad range of institutional types to gain a better understanding of these stakeholders' views about potential new faculty models. In *The Professoriate Reconsidered*, the Delphi Project highlighted general agreement among stakeholder groups, indicating greater-than-anticipated potential for common ground and a way forward to create new faculty models.

The areas of strongest agreement include:

1. The need for more full-time faculty;
2. Ensuring some sort of scholarly component in all faculty roles;
3. Fostering greater collaboration among faculty;
4. Allowing some differentiation of roles focused on teaching and research, and developing a more complex view of scholarship, epitomized in Boyer's (1990) *Scholarship Reconsidered*; and,
5. The need to maintain and restore professionalism to the faculty role, which relates to issues such as protecting academic freedom, inclusion in shared governance, equitable pay and opportunities for career advancement, and professional development.

The report's findings dispel the pervasive myth that there is a tremendous and impassable gulf between groups' views about the faculty.

Together, these reports highlight an important convergence of factors that contribute to making this the right time for institutions and the higher education enterprise to take action:

1. The growing awareness of problems inherent in our current, bifurcated faculty models and the continued unraveling of the professoriate; and,
2. Evidence that stakeholders agree on many aspects of the potential path forward.

The Professoriate Reconsidered also reflects circumstances that we have witnessed as we engage in dialogue with administrators and faculty members across the country. While a national dialogue about the implications of trends in the academic workforce continues to take shape, leaders at the institutional level are eager to take action to address concerns about the potential impacts on educational outcomes and the future of faculty work. Institutional leaders are under the greatest pressure to act; unable to wait for trends to shift or for a national consensus to form, they find themselves in need of the resources that can help them to facilitate an intentional process to collectively examine and redesign the faculty models locally at their own institutions.

The Toolkit

This toolkit has been prepared to meet that need. It draws upon recommendations made in *Adapting by Design* and our firm belief that the type of change we have advocated for over several years can be achieved when campus leaders from the administration and faculty working with other stakeholders and engage in meaningful dialogue about shared goals and values, challenges and opportunities. These efforts can help to identify and create an impetus for achieving the changes that are necessary to ensure a successful future for our institutions, our students and faculty, and our communities.

The toolkit has three main sections that follow the three stages of a backward design process for developing new faculty models, as recommended in *Adapting by Design*. These three stages will call on participants in this process to:

1. Identify desired outcomes;
2. Examine the current faculty models; and,
3. Develop a plan for redesigning the faculty.

Each stage of the process begins with a brief introduction, including a list of tasks and goals, a set of resources: worksheets and surveys, and some review and discussion questions to facilitate group dialogue about what was learned and to prepare for the next stage.

PROCESS OVERVIEW

The process that is recommended in *Adapting by Design* employs backward design, an intentional approach that can help campus leaders to think carefully about the desired outcomes—the objectives that are to be met and their relationship to expectations for faculty work—and work backward to develop faculty models that help with achieving those outcomes. Because a similar process is often used for designing outcome-oriented curricula and learning experiences, its fundamentals might already be familiar to faculty and academic staff.[2] The process involves three main steps: 1) Identifying the desired outcomes; 2) Examining the current faculty models; and, 3) Developing a plan for redesigning the faculty. These three steps will serve as the basic framework for the process that you will undertake using the resources in this toolkit.

Stages in Backward Design Process
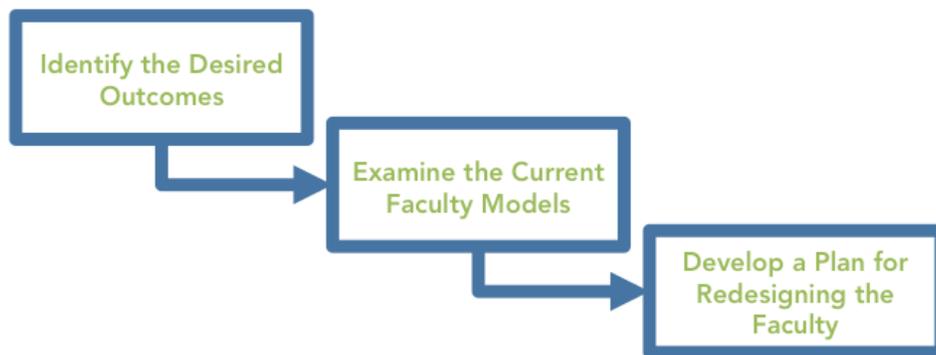
Adapted from Wiggins and McTighe (1998).

Stage-by-Stage Overview

Each stage in the backward design process is accompanied by a set of distinct goals. This toolkit utilizes a series of worksheets and discussion questions to facilitate an orderly and effective process to achieve these goals. Although we recommend a set of specific questions in each worksheet, survey, and discussion section, we encourage you to modify these resources to meet your needs, perhaps by adding new questions that address pertinent issues at your institution. Additionally, you should be mindful of the shared governance system and process at your institution, taking every opportunity to engage with it in these deliberations and the work that will naturally follow to plan and implement new faculty models. Doing so will be critical to ensuring a successful end to this effort.

The table on the next page outlines the main goals for each section and identifies the resources that will be used to achieve them. This information is repeated at the beginning of each section to help participants to prepare for the activities and discussion.

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[2] Wiggins, G., & McTighe, J. (1998). *Understanding by design.* Upper Saddle River, NJ: Merrill Prentice Hall.

Stage One: Identify the Desired Outcomes

GOALS	RESOURCE
Come to consensus on a set of clearly articulated desired outcomes informed by institutional objectives and expectations for faculty work.	**Worksheet 1-1:** Institutional Objectives **Review and Discussion**
Engage a broad set of key stakeholders in the process to ensure that multiple perspectives and priorities are considered.	**Worksheet 1-2:** Stakeholder Group Values and Priorities
Identify the possible effects of various higher education landscape factors that may shape desired outcomes and how they are achieved.	**Worksheet 1-3:** Landscape Analysis

Stage Two: Examine the Current Faculty Models

GOALS	RESOURCE
Produce data needed to critically examine the current faculty models and policies that are in place at our institution.	**Worksheet 2-1:** Institutional Faculty Data Snapshot **Worksheet 2-2:** Faculty Policy Inventory **Survey 2-1:** Faculty Perspectives on Current Models and Work Roles
Identify and evaluate concerns with the current faculty models, as well as their strengths.	**Review and Discussion**

Stage Three: Develop a Plan for Redesigning the Faculty

GOALS	RESOURCE
Identify areas where changes are needed and articulate how problems and challenges may be remedied in new models.	**Worksheet 3-1:** Gap Analysis
Sketch out details for the various types of faculty positions and roles that may become part of new faculty models.	**Worksheet 3-2:** Brainstorming New Faculty Roles **Worksheet 3-3:** Faculty Position Design Considerations
Lay the groundwork for continuing a process to redesign your institution's faculty models.	**Review and Discussion**

How to Organize Participation in the Process

Although we provide you with the resources to facilitate an informed discussion aimed at identifying outcomes, examining the current models, and developing plans for redesign, there is not one right way to organize participation in this process. Below, we identify four possible ways to facilitate the participation of key stakeholder groups.

- **Campus Task Force:** At some institutions, the favored approach may be to convene a task force composed of representatives from key campus stakeholder groups (e.g., faculty, staff, and administrators, and when appropriate, trustees). The task force would be the main group responsible for engaging in an examination of institutional objectives and current faculty and practices, then developing preliminary recommendations for changing the faculty models at your institution. At each stage, outreach, consultation, and engagement with the larger campus community can be facilitated and are encouraged as means to include diverse perspectives and develop collective ownership of the plans that are formed.

- **Joint Union and Administration Task Force:** At institutions with a faculty union, leaders of the union and administration may come together through the task force approach described above in order to work collaboratively toward the development of sustainable faculty models that ensure professionalism in faculty roles, the preservation of essential elements of faculty work such as academic freedom, and the attainment of key institutional goals and priorities.

- **Coordinated Committee Approach:** There may be interest in involving a greater number of individuals in the main deliberations and allowing each group to work through forming their own responses to prompts in order that they may more completely develop their own unique perspectives about issues in question throughout the process. In this case, it may be appropriate to form several committees to work through the resources in this toolkit, each representing a campus stakeholder group such as faculty leaders, administrators and staff, and trustees. At key points in the process, all of the committees could be brought together—or, just a handful of representatives from each—to exchange ideas and share their perspectives. This may help to ensure that different stakeholder groups' ideas are considered, identify areas of agreement, and create plans for changing the faculty models that are formed through consensus building.

- **Grassroots Approach:** On some campuses, it might be necessary to begin this process as a discussion primarily occurring among members of the faculty or the administration. This approach can be employed as a way to begin sorting out ideas about the rationale for pursuing changes and possible alternatives to current arrangements. Nonetheless, this approach can only be a beginning. Achieving meaningful and sustainable changes will require the eventual participation of administrators, staff, trustees, and possibly other stakeholder groups.

You may follow one of these approaches or design your own based on the traditions, processes, and groups that are in place at your institution. Whichever approach you take, it should be one that is comfortable to key stakeholders and facilitates their participation. Reflection on the process at the end of each stage will give you the opportunity to make modifications, as needed, to accommodate your needs.

We strongly recommend utilizing a moderator for convenings of the full group. A moderator can help to keep the process moving smoothly, ensure that stakeholders' voices are heard, foster accountability, and help the group to navigate disagreements and conflict that may arise when discussing sensitive topics. Although it may be possible to find a trusted and neutral party on campus to serve in this role, there may be several benefits to hiring an external consultant to serve in this role.

A Note on Stakeholder Engagement

The Delphi Project has long advocated for the inclusion of representatives of multiple, key stakeholder groups in any process aimed at examining conditions on a campus, determining their effectiveness, and redesigning faculty models to create optimal conditions for achieving outcomes. Administrators and a broad cross section of faculty members from different disciplines and of varying ranks and contract types certainly need to be involved; these groups might not always agree at the outset, but their participation is critical. And, our research has found greater consensus among their views on the future of the professoriate than one might think.

Other internal stakeholders such as students, key staff from offices across campus, or members of the board might also contribute additional perspectives to inform these discussions. External stakeholders such as policymakers, community and business leaders, and accreditors can lend another set of perspectives that may prove valuable in developing models that are attentive to a wider variety of pressures, and thus are more sustainable and capable of standing up to scrutiny from outsiders. Excluding key stakeholders for the sake of convenience can end up derailing the effort in later stages. Be thoughtful to choose inclusion whenever possible to insure that stakeholder groups' voices are heard and that they develop a sense of ownership of the final models.

The materials in this toolkit readily accommodate the participation of faculty members, administrators, and a few other key internal stakeholders at various stages. However, it will be helpful for participants to consider how other groups could be included either directly in this process or through broader dialogues about changing the faculty models. Your teams are encouraged to consider and pursue appropriate ways to facilitate the inclusion of these other stakeholders in this process. Although broader participation may complicate the overall process and require additional time for its completion, the benefits will be realized in the results.

Sample Stakeholder Checklist

Faculty Members:
- [ ] Tenured and tenure-track faculty of all ranks
- [ ] Non-tenure-track faculty, including full- and part-timers
- [ ] Representatives from a variety of disciplines
- [ ] Leaders in faculty governance, as well as faculty members who are not involved in formal ways
- [ ] Union representatives, where applicable
- [ ] Diverse representation on the basis of gender and race and ethnicity should also be sought so the different perspectives and experiences of these faculty members can be heard and considered throughout the process

Administrators:
- [ ] Representatives from the provost's and deans' offices, including senior administrators whenever possible
- [ ] Institutional researchers
- [ ] Assessment and faculty development professionals
- [ ] Human resources officers
- [ ] Budget and finance officers
- [ ] General counsel

Other Institutional Participants:
- [ ] Students: If students are included, attempt to include a mix of undergraduate and graduate students, as well as representatives from various disciplines and different racial and ethnic groups
- [ ] Trustees: Priority may be given to including trustees who serve on the equivalent of the board's academic affairs committee, which deals most directly with decision making about academic programs and the faculty

Possible External Participants and Consultants:
- [ ] State policymakers
- [ ] Community and business leaders
- [ ] Representatives of accrediting bodies

BEFORE YOU GET STARTED
Individual and Group Reflection on Purpose and Goals

Take a moment to jot down any reactions you have to the following questions, preferably individually before you convene to begin working through these materials as a group. The group might also begin its discussion with these same questions to identify some common goals to guide the process.

1. What are your reasons for initiating an examination and potential redesign of your faculty models? Why do you believe initiating this process is important?

2. What sorts of needs are you trying to satisfy? What sorts of problems are you trying to solve?

3. What are the positive attributes of the current faculty models that you wish to preserve?

4. If you are a faculty member, have organizations representing your discipline published resources that offer perspectives that would be useful to draw upon in this process?

BEFORE YOU GET STARTED

Ground Rules for Engagement

The success of this process depends on collaboration and cooperation among stakeholders, which calls upon participants to establish and commit to following a set of ground rules for engaging with one another in a way that affirms mutual respect and common goals. Before the group gets started with the formal processes outlined in this toolkit, we recommend establishing your own set of ground rules for engagement among stakeholders. We suggest the following ground rules, adapted from Phil Race's *500 Tips on Group Learning*, as a starting point.[3]

Commit, individually and as a group, to:

- **Fostering a culture of honesty and trustworthiness.**

- **Affirm collective responsibility for the success of this process.**

- **Practice listening skills.**

- **Encourage and support full participation for everyone involved.**

- **Ensure that everyone takes a fair share of the group work.**

- **Maintain good records to document the progress made by the group and for future reference.**

- **Keep the collective goals of the group at the forefront, ahead of personal desires.**

- **Permit, value, and encourage creativity.**

- **Develop a routine schedule for meetings and timeline and process for sharing information among participants, including reports out from subgroups to the full group.**

- **Review and renegotiate the ground rules and process as needed throughout the process, but always as a group.**

As a matter of course, we also recommend that the group takes this opportunity to determine how to organize participation in this process (see page 6 for recommendations) and ensure stakeholder representation. We also suggest looking ahead through the process that follows to identify appropriate points in each of the three main stages to engage with the institution's shared governance process and representatives.

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[3] Race, P. (2000). *500 tips on group learning*. Sterling, VA: Stylus.

STAGE 1

IDENTIFY THE DESIRED OUTCOMES

Stage One Goals

- Come to consensus on a set of clearly articulated desired outcomes informed by institutional objectives and expectations for faculty work.
- Identify the possible effects of various higher education landscape factors that may shape desired outcomes and how they are achieved.
- Engage a broad set of key stakeholders in the process to ensure that multiple perspectives and priorities are considered.

Tips

- Facilitate inclusive dialogue to allow groups' perspectives to be heard and to foster ownership over the process and its results.
- Some worksheets may benefit from the involvement of a broader set of stakeholders or teams that can take on particular sets of questions. With each step, take a moment to determine what will be the most constructive approach to complete the task at hand.
- Consider validating the findings of this stage with a broader set of stakeholders to confirm they are complete. Identifying the correct goals and outcomes is important to the rest of this process.

In order to be successful, any effort at redesigning faculty models must begin with a comprehensive examination of the desired outcomes, as well as various factors that shape how well those outcomes can be achieved. This will help to ensure that the faculty models that emerge are purposefully structured to attain these important goals.
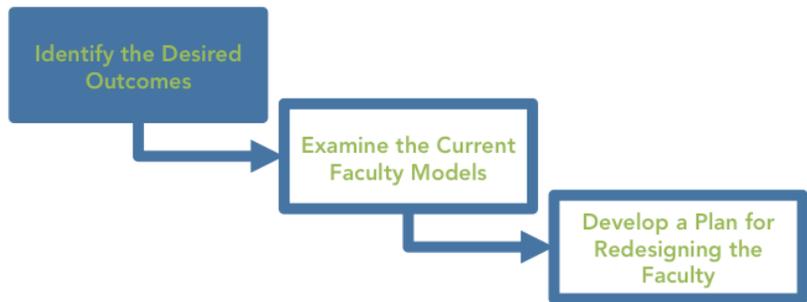
A number of items will be considered in the discussions that occur at this stage; these include:

1. **Institutional objectives**, as represented in mission statements and strategic plans, academic goals such as targets for graduation rates or increasing the utilization of innovative teaching practices, and other goals set by internal and external groups;
2. The **values and priorities of important stakeholder groups**, as well as their relationship to institutional objectives and any similarities or tensions that are apparent; and,
3. **Factors influencing the higher education landscape** that shape desired outcomes and how they are achieved.

At the end of this stage, you will be asked to convene for a discussion about these issues to establish the desired outcomes that will inform an examination of the efficacy of the current models and an eventual redesign.

STAGE ONE
Goal and Task Overview

Goals

- **Come to consensus on a set of clearly articulated desired outcomes** informed by institutional objectives and expectations for faculty work.

- **Identify the possible effects of various higher education landscape factors** that may shape desired outcomes and how they are achieved.

- **Engage a broad set of key stakeholders in the process** to ensure that multiple perspectives and priorities are considered.

Task Summary

- Before beginning Stage One, participants are encouraged to complete the **BEFORE YOU GET STARTED** exercises, either individually or as a group.

- First, utilize **WORKSHEET 1-1: INSTITUTIONAL OBJECTIVES** to begin the process of identifying key outcomes. Each participant can complete this worksheet on their own and then reconvene to discuss responses, or the full group can meet to satisfy this task together.

- Second, document key stakeholders' perspectives about institutional objectives and expectations for faculty work using **WORKSHEET 1-2: STAKEHOLDER GROUP VALUES AND PRIORITIES**. One way to approach this task is to split the full group into subgroups by stakeholder type and ask each subgroup to invite a group of their peers to meet and discuss the questions. Stakeholder groups that are not represented in the group should not be ignored, if possible, and should be accommodated to ensure their views are reflected.

- Third, use **WORKSHEET 1-3: LANDSCAPE ANALYSIS** to facilitate a discussion of various factors in the higher education landscape that might influence desired outcomes, how they are achieved, and expectations for faculty work.

- Finally, once responses and data from all of the above resources have been collected and can be reviewed by all of the participants, convene the group for a discussion of what has been learned and to identify the desired outcomes that will guide a potential redesign of the faculty models using the **REVIEW AND DISCUSSION** questions at the end of Stage One.

WORKSHEET 1-1: INSTITUTIONAL OBJECTIVES

The purpose of this worksheet is to capture the objectives of the institution and determine how they affect expectations for faculty work. You are encouraged to use the space allotted—and more, if needed—to provide summary responses, attaching any relevant statements and documentation referenced so you can share these with your colleagues. This information will help you to set some baseline goals that will inform discussions made throughout the remainder of the process.

1. Locate our institution's official mission statement. What are the main priorities that are articulated, and what are the expectations for faculty work associated with these priorities?

2. Does our institution have a strategic plan? How do the short- and long-term goals contained in the plan shape faculty work today? What effect might they have on expectations for faculty work in the future?

3. If our institution has determined specific academic goals such as targets for graduation rates or improving time to completion in general or for specific groups such as underserved students, increasing community-engaged research, improved quality of learning, or increasing the utilization of innovative teaching practices, what are those goals? How do efforts to achieve these goals affect faculty work?

4. For each, it might also be helpful to identify and include the most recent available data to demonstrate current progress toward attaining the goal.

5. Locate and examine the faculty handbook, tenure guidelines, and other key documents that convey institutional values as they pertain to faculty members and faculty roles. What goals and priorities for faculty work can you discern from these documents?

6. What other objectives that shape expectations for faculty work have been defined for the institution by the following internal and external groups? How do they relate to the goals identified in responses to the previous questions?

    Trustees?   Students and families?

    State leaders?   Accreditors, both regional and disciplinary?

    Faculty leaders?   National and state departments of education?

    Administrators?   Community and business leaders?

7. Are there any other aspects of the institution's culture and organization that contribute written or unwritten elements that relate to or influence the mission of the institution and the way it is realized, including things like traditions or priorities as they are expressed through budget allocations, tenure policies, and the faculty handbook?

8. Considering all of these objectives together, what expectations should we have for our faculty?

WORKSHEET 1-2: STAKEHOLDER GROUP VALUES AND PRIORITIES

The purpose of this worksheet is to catalog values and priorities held by key stakeholders who influence decisions that are made pertaining to the faculty and faculty work. We suggest focusing on the faculty and administrators first, but encourage you to include students, community members, and other groups that you might identify. Be sure to consult with representatives from each group when completing the worksheets and fill out one worksheet for each group. Please also provide a copy of the findings from Worksheet 1-1 with any participants who are asked to give input on this worksheet, as some of the questions here relate to the outcomes that were identified earlier.

☐ Faculty Members[4]   ☐ Administrators   ☐ Trustees   ☐ Students

☐ Community Leaders   ☐ Business Leaders   ☐ Other:_____

1. What are the guiding values and priorities of the group? In general, but more specifically as they pertain to expectations for faculty work, including:

Teaching and learning, including efforts to improve instruction and attainment of learning goals and student outcomes

Research and knowledge creation

Service supporting the campus community and the greater public good

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[4] Faculty members are strongly encouraged to draw upon perspectives reflected within their disciplines and include them in their responses.

2. How do these values and priorities relate to the outcomes identified in Worksheet 1-1?

3. In what ways might they be seen as complementing or creating tension with those objectives or with the values and priorities of other groups?

WORKSHEET 1-3: LANDSCAPE ANALYSIS

The higher education landscape has changed considerably over time, shaping the way institutions determine and seek to achieve their objectives. Increasingly, factors in the landscape—anything from mandates from government and elected leaders to public perception and the media to emerging, alternative providers—are affecting faculty work and roles among all sorts of institutions. A number of factors are likely to continue to influence institutional objectives and faculty work; some of them are included here. Consider what effect these factors are having and will have in the future, and how they will affect efforts to produce the outcomes that have been identified throughout this section.

1. How will changing faculty and student demographics and diversity influence expectations about faculty work in the future?

2. How will expectations for interdisciplinary collaboration affect the future of faculty work?

3. How are the emergence of new and innovative pedagogies and practices, recent research on teaching and learning, and concepts associated with student-centered learning affecting institutional goals, support for faculty members, and expectations faculty work?

4. How are projections for faculty retirements likely to affect our institution in coming years?

5. How will current research and new knowledge about learning, innovative pedagogies, and high-impact practices influence expectations for faculty members at our institution?

6. How are different perspectives about faculty work among academic disciplines shaping changes in faculty models and work?

7. How, if at all, have unions and collective bargaining influenced changes in faculty work at our institution?

8. What role has regional and disciplinary program accreditation played in influencing the faculty models and related policies at our institution?

9. How will current and anticipated mandates from the state and federal government affect expectations for faculty work?

10. How will public calls for greater accountability for assessment, student learning outcomes, gainful employment, and educational mandates at the federal and state level affect planning and expectations for faculty work?

11. How are legal mandates around issues such as healthcare and overtime affecting the ways that the institution hires, classifies, and manages faculty members?

12. How will economic uncertainty in the form of unpredictable enrollments or public funding for higher education, as well as pressure to generate new sources of revenue, affect our capability to deliver on the institution's objectives? How might these factors alter faculty work?

13. How might technology affect the way our institution will meet its objectives in the future and what implications will this have for our faculty?

14. How will internationalization—faculty mobility and the increasing prevalence of international faculty and students on campus, a greater emphasis on global awareness, transnational research collaborations, and global interconnectedness—affect faculty work?

15. What effect will competition in the higher education sector—domestically and internationally or from alternative providers such as for-profits—have on our institution? How might that affect the work of our faculty?

16. What other factors in the higher education landscape in our region, state, nationally, or globally are known to have an impact on our ability to deliver on our institution's objectives or might have an impact in the future? How will these factors influence the design of faculty models?

17. In what ways might new faculty models help our institution to respond to these factors and the changing higher education landscape?

REVIEW AND DISCUSSION

Stage One

Once responses and data from all of the above resources have been collected and can be reviewed by all of the participants, convene the group for a discussion of what has been learned and to identify the desired outcomes that will guide a potential redesign of the faculty models. The following questions will help to frame this discussion, although any other pertinent questions that come to mind may also be addressed collectively as you conclude this stage.

1. Given what we have found in our examination of institutional objectives and the values and priorities of key stakeholders, what are the main outcomes that can be identified that will shape expectations for faculty work as we redesign the faculty models? Write them down and discuss them.

2. At this stage in the process, what are the main points of convergence and divergence among stakeholder groups' values and priorities as they relate to these outcomes, in general, and faculty work, in particular? How can points of convergence be leveraged to propel this effort forward? Which points of divergence need to be addressed in the short-term in order to move forward? Which point to issues that might arise in the longer-term and should be documented and attended to throughout the process? What minority perspectives emerged that we should we keep in mind?

3. Which higher education landscape factors will have an impact on either institutional objectives, expectations for faculty work, or both in coming years? How might these factors be accommodated in an effort to redesign the faculty models?

4. Have the perspectives of as many stakeholders as possible been considered up to this point? Do we need to pause to collect any additional perspectives that may have been excluded? What more can or should be done to include additional, diverse perspectives in later stages?

5. How well have we done in reaching the goals set out at the start of this stage? Are there any issues to which we should return before moving on to Stage Two?

Process Check-In

It is important to be attentive to the process and how well it is working for you, the outcomes of each stage, and participants' engagement and satisfaction as you proceed. A reasonable amount of flexibility may be necessary in working through the process as it is outlined in this toolkit and the ground rules for engagement set in the beginning. Take this opportunity to discuss how well the process is working for you and what sorts of changes, if any, might be needed to ensure success.

STAGE 2

EXAMINE THE CURRENT FACULTY MODELS

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Stage Two Goals

- Produce data needed to critically examine the current faculty models and policies that are in place at our institution.
- Identify and evaluate concerns with the current faculty models, as well as its strengths.

Tips

- Involve Institutional Research to facilitate the collection of data for Worksheet 2-1. They can begin generating these data before this stage formally begins.
- Appointing teams that include knowledgeable faculty and staff members to research each policy area in Worksheet 2-2 may help to split up the work involved.
- Consider preparing the questions in Survey 2-1 in an online survey format to facilitate more widespread participation. Share the survey with faculty members of all ranks and encourage their participation.
- Faculty members from a wide variety of disciplines should be included to ensure their different perspectives about faculty work are reflected.

In addition to understanding desired outcomes, developing new faculty models will require campus leaders to assemble as complete an account of the current state of the faculty as possible. The findings developed here will have an important role in shaping decisions that are made in later stages. Knowing what is working and what is not will help you to identify those attributes that you might attempt to preserve and which ones are no longer serving the institution, the faculty, and students well in order to create more efficacious and sustainable faculty models. To this end, the current faculty models and policies pertaining to faculty work should be examined critically.

Identify the Desired Outcomes → Examine the Current Faculty Models → Develop a Plan for Redesigning the Faculty
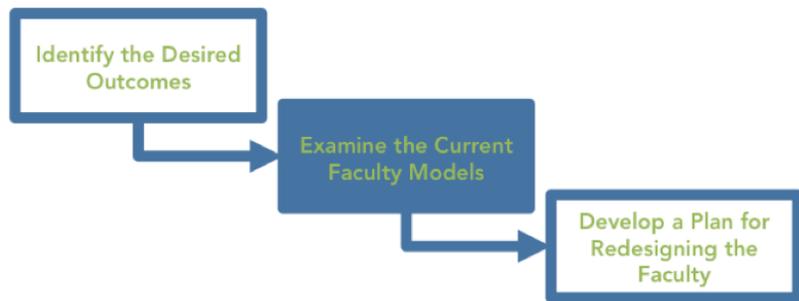
This stage requires data and, as in the first stage, collaboration among various stakeholders to support a complete examination of the current faculty models.

STAGE TWO
Goal and Task Overview

Goals

- **Produce data** needed to critically examine the current faculty models and policies that are in place at our institution.

- **Identify and evaluate concerns** with the current faculty models, as well as its strengths.

Task Summary

- The first task in this section may require the participation and assistance of Institutional Researchers and others with specialized data about the faculty. Working with these professionals, complete **WORKSHEET IV-A: INSTITUTIONAL FACULTY DATA SNAPSHOT**.

- Concurrent to completing the Institutional Faculty Data Snapshot, participants may begin taking an inventory of the institution's faculty policies using **WORKSHEET IV-B: FACULTY POLICY INVENTORY**.

- Although it is not essential to the process, we strongly encourage you to administer **SURVEY 2-1: FACULTY PERSPECTIVES ON CURRENT MODELS AND WORK ROLES** to invite all faculty members, regardless of position or rank, to share their perspectives about the current models.

- Once the tasks above have been completed, convene the group for a discussion of what has been learned about the current models, their strengths and shortcomings in helping the institution to achieve the outcomes identified in Stage One, and to begin to identify changes that the institution can make to improve the faculty models as the effort to redesign them begins.

WORKSHEET 2-1: INSTITUTIONAL FACULTY DATA SNAPSHOT

This worksheet should be filled out by or with support from the institution's Institutional Research office and any other stewards of pertinent data. **These data may be recorded at the institution level, however it is recommended that data are collected at the school/college and department level identify differences in the ways faculty are deployed among the disciplines.** Although it may be time consuming and more difficult to collect data at these levels, participants are encouraged to discuss the potential advantages to determine how to proceed.

1. What are the official faculty appointment/position types and ranks utilized across the institution? Identify the following for each:

   Job titles, as well as standard expectations and job responsibilities. Include a summary of obligations for instruction, research, service, and administration.

   Headcounts and FTE's

   Demographic data including race/ethnicity and gender

   Identify any reporting requirements from accrediting bodies regarding faculty definitions and data

2. For each of the following, identify the number taught by faculty members holding each appointment or position type and rank utilized at the institution. When possible, identify both whole numbers and percentages of the whole.

   Undergraduate courses (by level, if possible)

   Graduate courses

   Credit hours

   Student headcounts

THE ESSENTIAL ELEMENTS OF FACULTY WORK
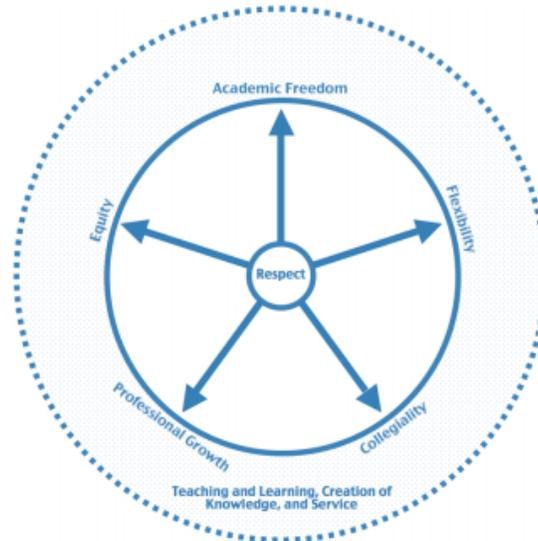
Adapted from Gappa, Austin, & Trice (2007)

A set of essential elements for all faculty positions should be at the core of any attempt to redesign the faculty. This is an important starting point to ensure that any models—in all the various types of positions such a model outlines— provides satisfaction for faculty members, fosters commitment to the institution and to its mission, enhances the capability of institutions to recruit and retain talented faculty members, and optimizes the utilization of human and intellectual capital and potential possessed among the faculty as a whole (Gappa, Austin, & Trice, 2007).

- **Promoting equity among academic appointments;**
- **Vigorously protecting academic freedom;**
- **Ensuring flexibility in appointments;**
- **Fostering professional growth; and**
- **Promoting collegiality or a greater sense of community in academic work.**

These core characteristics are **rooted in a kernel of respect** for the contributions that all faculty members make to the academic community of an institution and to the students the institution strives to educate.

For more information on the essential elements and their importance to the redesign of faculty models, please see Adapting By Design at **http://adaptingbydesign.thechangingfaculty.org**.

WORKSHEET 2-2: FACULTY POLICY INVENTORY

It is important to identify existing policies that influence faculty work—positively or negatively. Making changes to policies that affect faculty work will be an integral part of redesigning faculty models and ensuring that conditions are created that all for successful implementation.

Hiring and Contracts

1. How are decisions about contract type made? Is a needs assessment or any sort of enrollment planning conducted to determine the need to hire new faculty members (of any rank)?

2. How are vacancies for different types of faculty positions filled?

   Be sure to consider the following questions:
   - What are the implications of any disparities in hiring processes for different types of faculty positions?
   - Are minimum qualifications for each type of position clearly identified?
   - Is a formal search always required? How are jobs posted?
   - Timing of new hires: Are faculty hired within adequate time to plan and prepare materials? How much notice are faculty members on fixed term contracts given that their contracts will or will not be renewed?

Compensation and Benefits

1. Are faculty members, regardless of rank or appointment type, fairly and equitably compensated?

   Be sure to consider the following questions:
   - How is compensation decided? Is there a pay scale in place?
   - How are funds for pay raises apportioned? Are all faculty members eligible and fairly considered?
   - Are faculty members, particularly those on part-time or fixed term contracts, compensated for time they spend on activities that might fall outside of the responsibilities detailed in their position description or contract (e.g., office hours, orientation and professional development, service, faculty meetings)?

2. What benefits plans are available to faculty members, and what are the differences in plans available to different appointment types?

   Be sure to consider the following questions:
   - Are faculty members who do not receive benefits from the institution eligible to purchase insurance through a group policy?

Evaluation

1. How is the job performance of faculty members evaluated? How do evaluation practices vary by rank or appointment type?

Be sure to consider the following questions:
- Are multiple measures considered or are student evaluations the primary/only factor considered? Is peer evaluation of instruction a requirement or an option for faculty members?
- Are faculty members evaluated only on those tasks or functions that are part of their job description, such as classroom instruction and the use of effective teaching strategies? If other tasks or functions are considered, should they be formally written into job descriptions?

Reappointment and Promotion

1. Identify the policies for reappointment and promotion for each appointment type. What are they and how do they differ among the appointment types?

Be sure to consider the following questions:
- To what extent do practices pertaining to reappointment and promotion follow policies? Are there differences among academic units?
- Do practices for reappointment of faculty members hired on a term or annual basis allow appropriate time for faculty members to make plans for the upcoming term? How much notice must be given to these faculty members when the classes they are scheduled to teach are cancelled? In each case, is this a fair and appropriate amount of time?
- What opportunities exist for promotion for faculty members with various appointment types? How well do they serve to reward faculty members' work and elevate faculty members who perform exceptionally well in helping to attain key institutional goals?

Instructional Support

1. Are faculty members, regardless of rank or appointment type, provided similar forms of support to promote effective instruction and engagement with their students?

Be sure to consider the following questions:
- Is office space available to all faculty members to provide a dedicated area to work and meet privately with students?
- Do faculty members of all ranks and appointment types have access to basic equipment and services such as instructor textbooks, photocopiers, computers, assistance from student workers, email accounts, and library privileges?
- Are all faculty members able to make use of support for academic technology, including workshops and other forms of support to enhance online and hybrid courses or make better use of technology in the classroom?

Governance

1. Are all faculty members, regardless of rank or appointment type, permitted to participate in faculty governance at various levels: department, school or college, and institution?

> **Be sure to consider the following questions:**
> * What differences exist in how faculty members can participate and vote or are represented in bodies such as the faculty senate or committees?
> * How are faculty members involved or consulted in faculty governance, including those faculty members who are not eligible to participate directly through formal positions in the senate or committees?

Equity

1. How are the policy areas above—hiring, compensation and benefits, evaluation, instructional support, and governance—contributing to or serving as obstacles to ensuring equity among faculty members of various ranks or appointment types?

2. What are the implications?

Academic Freedom

1. How well do the institution's policies help to ensure the protection of academic freedom for members of the faculty, regardless of rank or appointment type? What is gained by preserving or strengthening these policies?

> **Be sure to consider the following questions:**
> * How, if at all, is academic freedom handled differently for different types of faculty appointments or ranks?
> * Do meaningful protections exist for faculty members who hold non-tenure-track positions?
> * How are faculty grievances regarding academic freedom considered?

2. How might some policies be undermining academic freedom? What are the implications?

3. What efforts are currently taken to continually educate faculty members about their rights and responsibilities pertaining to academic freedom?

Professional Growth

1. What opportunities for professional development exist to maintain a vibrant, productive, and knowledgeable faculty? What is gained by preserving or strengthening these policies?

    Be sure to consider the following questions:
    - What are the on-campus and off-campus opportunities available to faculty members? How is participation supported and rewarded?
    - Is professional development, including funding to participate in off-campus opportunities, available to all faculty members, regardless of rank or appointment type?
    - Do formal mentorship opportunities exist? Who is permitted to participate?
    - Do faculty members have the capability to request peer evaluation of their teaching?
    - Are professional growth plans encouraged to guide the professional development of faculty members?

Collegiality and Community

1. Are all faculty members invited to participate in events on campus such as symposia, speakers, or special events?

2. How do the institution's policies help to promote collegiality and community among the faculty? What is gained by preserving or strengthening these policies?

    Be sure to consider the following questions:
    - Does the institution promote faculty learning communities and other similar opportunities for faculty members of various ranks and appointment types to learn together?
    - How do policies that dictate participation in governance and decision making, opportunities to provide fairly compensated service to the institution, or others related to civility, bullying, and harassment facilitate collegiality and community?
    - Do faculty members of differing ranks and appointment types have access to office space in close proximity to allow for collegial interactions?

3. How might other policies undermine efforts to promote collegiality and community? What are the implications?

Concluding Questions

1. What is the overall impact of the policies examined in this policy inventory on the working environment for faculty?

2. What strengths can be identified? What is gained by preserving or enhancing these policies as the faculty models are redesigned?

3. What might need to be improved as changes are made?

Additional Recommended Resources from the Delphi Project

If desired, a more in depth set of conversations about faculty policies and practices can be supported as part of this stage in the process by utilizing the Delphi Project's discussion guide, Non-Tenure-Track Faculty on our Campus. The discussion guide includes questions about tenure-track and non-tenure-track faculty and is designed to facilitate structured dialogues among campus leaders about current conditions and potential changes.

SURVEY 2-1: FACULTY PERSPECTIVES ON CURRENT MODELS AND WORK ROLES

All faculty members, regardless of appointment and rank, should be encouraged to complete this survey in order to collect a wide variety of perspectives about faculty work in its current form, as well as ideas for improvement. **Although we have included some key areas that are important to your examination of the faculty models, we encourage you to modify this survey as you see fit to help answer other important questions that have emerged and can be resolved with help from input provided by members of your faculty.**

Please check all that apply:

Faculty Appointment/Rank:
- [ ] Professor
- [ ] Associate Professor
- [ ] Assistant Professor
- [ ] Annual non-tenure-track
- [ ] Term non-tenure-track

Status:
- [ ] Full-time
- [ ] Part-time

Gender:
- [ ] Female
- [ ] Male
- [ ] Trans*

Discipline:

_____

Number of Years at the Institution:
- [ ] <1 [ ] 1-5 [ ] 6-10 [ ] 11-20 [ ] >20

Hiring and Contracts

1. To what extent do you believe the institution's hiring practices for faculty members of your same appointment type are adequate to provide for the timely hiring of the most qualified applicants?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

2. To what extent do you believe the institution utilizes an appropriate mix of faculty appointment types—full- and part-time, tenure-track and non-tenure-track?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

3. How well does the work you are expected to do match the expectations outlined in your contract?

5	4	3	2	1
Very well	Somewhat	Not sure	Not too well	Not at all

4. In your opinion, what are the strengths of current hiring and employment policies?
   Open-ended response

5. In your opinion, what are the weaknesses of current hiring and employment policies?
   Open-ended response

6. How might hiring and employment policies and practices be improved?
   Open-ended response

Evaluation

1. To what extent do you feel you are fairly evaluated on the job description and expectations outlined in your contract, and not on additional factors?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

2. To what extent do you feel you are provided opportunities to receive constructive peer evaluation of your work, be it in teaching, research, service, or a combination of the three?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

3. To what extent do you feel the institution utilizes evaluation as an opportunity to support professional growth?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

4. In your opinion, what are the strengths of current policies pertaining to equity? (Open-ended)
Open-ended response

5. In your opinion, what are the weaknesses of current policies pertaining to equity? (Open-ended)
Open-ended response

6. How might evaluation policies and practices be improved? (Open-ended)
Open-ended response

Reappointment and Promotion

1. To what extent do you feel that the process and timeline for reappointment allows you adequate time to plan ahead for future terms, if applicable to your position?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

2. To what extent are you satisfied with the opportunities for promotion that are available to you?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

3. To what extent do you feel opportunities for promotion serve to reward faculty members' work and elevate faculty members who perform exceptionally well?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

4. In your opinion, what are the strengths of current policies pertaining to reappointment and promotion?
Open-ended response

5. In your opinion, what are the weaknesses of current policies pertaining to reappointment and promotion?
Open-ended response

6. How might reappointment and promotion policies and practices be improved?
Open-ended response

Instructional Support

1. To what extent do you feel the you are provided with the appropriate resources and support to facilitate teaching and learning?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

2. How might instructional support be improved? What resources are lacking?
Open-ended response

Governance

1. To what extent do you feel that the concerns of faculty members of your same rank or appointment type are voiced and heard in faculty governance?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

2. To what extent do you feel that faculty members of your same rank or appointment type are fairly represented in positions in faculty governance?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

3. To what extent do you feel empowered to be an active participant in our faculty governance system?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

4. In your opinion, what are the strengths of our institution's current policies pertaining to representation through faculty governance?
Open-ended response

5. In your opinion, what are the weaknesses of our institution's current policies pertaining to representation through faculty governance?
   Open-ended response

6. How might governance policies and practices be improved?
   Open-ended response

Academic Freedom

1. To what extent do you feel current institutional policies clearly define and serve to protect academic freedom for faculty members with appointments like yours?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

2. To what extent do you feel that the grievance process enables you faculty members of your same rank or appointment type to speak out about wrongdoing without fear of retribution?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

3. In your opinion, what are the strengths of current policies pertaining to academic freedom?
   Open-ended response

4. In your opinion, what are the weaknesses of current policies pertaining to academic freedom?
   Open-ended response

5. How might policies be improved to better protect academic freedom?
   Open-ended response

Professional Growth

1. To what extent do you believe the institution is invested in promoting your professional growth?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

2. To what extent do you feel current institutional policies create and support opportunities for professional development and growth for faculty members with appointments like yours?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

3. To what extent do you feel the institution provides appropriate opportunities for on-campus professional development?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

4. How many times have you made use of on-campus professional development in the past year?

Never	1	2	3	4	5 or more

5. To what extent do you feel the institution provides appropriate support for faculty members of your same rank or appointment type to pursue opportunities for off-campus professional development such as institutes or conferences?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

6. How many times have you made use of off-campus professional development in the past year?

Never	1	2	3	4	5 or more

7. In your opinion, what are the strengths of current policies pertaining to professional development and growth?
    Open-ended response

8. In your opinion, what are the weaknesses of current policies pertaining to professional development and growth?
    Open-ended response

9. How might policies be improved to better promote professional growth?
    Open-ended response

Collegiality and Community

1. To what extent do you feel current institutional policies promote collegiality and a sense of community among faculty, in general?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

2. To what extent do you feel that policies help to create a positive work environment for faculty members of your same rank or appointment type?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

3. To what extent do you feel that you are a valued member of your department?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

4. In your opinion, what are the strengths and weaknesses of current policies pertaining to collegiality and community?
    Open-ended response

5. How might policies be improved to promote collegiality and community among the faculty?
    Open-ended response

6. To what extent do you feel your views on expectations about faculty work are shaped by traditions in your discipline?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

7. Which disciplinary membership organizations have you belonged to in the last five years?
    Open-ended response

Connection to Mission

1. To what extent do you feel you are encouraged to consider how your work as a faculty member serves the official institutional mission?

5	4	3	2	1
Very important	Somewhat important	Not sure	Not very important	Not at all important

2. To what extent do you feel you are encouraged to consider how your work as a faculty member serves the public good?

5	4	3	2	1
Very much	Somewhat	Not sure	Not much	Not at all

3. What changes could be made that would allow you to feel that your work is better connected to the official institutional mission?
    Open-ended response

Suggestions for Improving Faculty Models and Work

1. What areas can you identify for improving upon the current faculty models, including with regard to the alignment of the faculty models to the attainment of the institutional mission and goals or objectives?
    Open-ended response

REVIEW AND DISCUSSION
Stage Two

Once responses and data from all of the above resources in Stage Two have been collected and can be reviewed by all of the participants, convene the group for a discussion of what has been learned about the current faculty models and examination of whether or how well those models are serving the desired outcomes identified in Stage One. The following questions will help to frame this discussion, although any other pertinent questions that come to mind may also be addressed collectively as you conclude this stage.

General Review of the Faculty Models and Policies

1. Why are faculty appointments allocated the way they are at the institution—both the reasons that seem worthwhile, as well as those that may be seen as objectionable to some?

2. How is the faculty currently being utilized to help achieve the desired outcomes identified in Stage One of this process? Are the faculty models overall, as well as the different types of positions that exist, being utilized effectively to attain desired outcomes at this point in time?

3. How and how well is professionalism in among the faculty being promoted by the current models through the essential elements of faculty work and opportunities to contribute to the public good through faculty work?

Faculty Perspectives About Faculty Work

1. What did we learn about faculty work from the perspectives shared by faculty members themselves?

2. How do they perceive the current models and policies?

3. How do these perspectives vary among faculty members who hold different appointment types or positions? Do perspectives also differ by race and gender? Do perspectives vary by discipline at all?

4. What sorts of recommendations do they offer for improving the faculty models and policies?

Concluding Questions

1. What strengths were identified in our current faculty models and policies?

2. What are the main concerns or problems that were identified?

3. Changing faculty models and policies to address the issues that have been surfaced throughout the process will require engaging in the shared governance process. What is the process for proposing and advancing plans to change faculty models and policies? Map out the process and be mindful to acknowledge it as you move through Stage Three.

4. Have the perspectives of as many stakeholders as possible been considered up to this point? Do we need to pause to collect any additional perspectives that may have been excluded? What more can or should be done to include additional, diverse perspectives in later stages?

5. How well have we done in reaching the goals set out at the start of this stage? Are there any issues to which we should return before moving on to Stage Three?

Process Check-In

As in Stage One, it is important at the end of this stage to be attentive to the process, the outcomes of this stage, and participants' engagement and satisfaction. Take this opportunity to discuss how well the process is working for you and what sorts of changes, if any, might be needed to ensure success.

STAGE 3

## DEVELOP A PLAN FOR REDESIGNING THE FACULTY

Stage Three Goals

- Identify areas where changes are needed and articulate how problems and challenges may be remedied in new models.
- Sketch out details for the various types of faculty positions and roles that may become part of the new faculty models.
- Lay the groundwork for continuing a process to redesign your institution's faculty models.

Tips

- Keep an open mind and be creative in imagining potential new roles. Encourage everyone to speak up and share their ideas about new faculty models! This is an exciting opportunity to build something new together.
- Look toward the future and do not be too constrained by current practices and tradition.
- Faculty members from a wide variety of disciplines should be included to ensure their different perspectives about faculty work are reflected.
- If your group has not already done so, consider enlisting the help of a moderator to facilitate discussion, particularly the brainstorming sessions involved in this stage. A moderator can help to push participants to be more expansive in their thinking.

The third stage, developing a plan for redesigning the faculty, calls upon participants to draw upon the extensive knowledge the group has generated in the earlier two stages to begin designing new faculty models; knowledge from Stages One and Two will help to identify key attributes that need to be accounted for in the redesign. Care should be taken to ensure that the faculty models that emerge are designed to attend to the various outcomes identified in Stage One, are grounded in the essential elements of faculty work, and address problems identified in Stage Two that are encountered in the current models, while aiming to preserve some of the more positive attributes of current faculty roles that were identified.
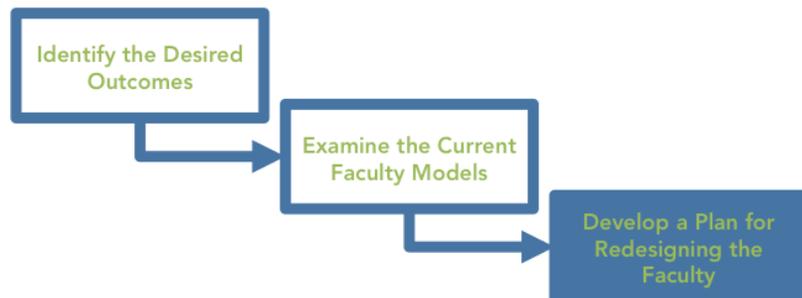
Although this stage is rooted in data and perspectives cultivated in earlier sections, you are asked to look beyond the current conditions to design new models that help the institution to meet its objectives effectively and in a sustainable manner in the future. This is the time for participants to expand their thinking—to free themselves of some of the constraints and traditions of the current faculty models that might be inhibiting progress toward achieving better outcomes and advancing a more professionalized faculty. It is imperative at this stage to discuss and consider bold action. As tempting as it may be to take smaller steps toward change, it will often not be enough to merely address a few superficial problems without addressing the tensions created by the bifurcated models of tenure-track and non-tenure-track faculty, or to just modestly tweak existing faculty roles associated with the traditional tenure-track faculty model. At many institutions, much greater change will be needed. Rise to the occasion and take this challenge on.

Since the activity of designing, debating, planning, and implementing new faculty models is complex and will depend on many variables that will be unique to your institution, the process and materials included in the third stage of this toolkit will not culminate with the implementation of new models. Rather, the main task in this stage will be to sketch out the preliminary details about faculty roles to lay the groundwork for well-informed and extensive deliberation to follow. Many additional discussions will need to occur among stakeholders, a campus staffing plan will need to be formed, formal policies will need to be drafted and debated, votes will be taken in the shared governance system and by the institution's governing board, and efforts to prepare the institution for change will need to be undertaken before any new models can be implemented.

STAGE THREE
Goal and Task Overview

Goals

- **Identify areas where changes are needed** and articulate how problems and challenges may be remedied in new models.

- **Sketch out details** for the various types of faculty positions and roles that may become part of the new faculty models.

- **Lay the groundwork for continuing a process** to redesign your institution's faculty models.

Task Summary

- Using **WORKSHEET 3-1**, conduct a **GAP ANALYSIS** in order to identify misalignment between outcomes identified in Stage One and the current models examined in Stage Two, and determine what needs to change.

- Begin to brainstorm and sketch out ideas for new faculty models, utilizing **WORKSHEET 3-2 BRAINSTORMING NEW FACULTY ROLES** as a guide. Begin with a clean slate and think big, then begin to refine the ideas that are generated. **WORKSHEET 3-3: FACULTY POSITION DESIGN CONSIDERATIONS** will help you to articulate details about specific types of faculty appointment types and positions that may become part of the future faculty models.

- Prepare for the activities that will follow: designing and refining the faculty models, debating, planning, and implementing.

WORKSHEET 3-1: GAP ANALYSIS

Generate a list of all of the desired outcomes identified in Stage One, including any institutional objectives that were produced, in the first column. For each outcome, utilize data and insights generated in the earlier stages to describe how the current models might be causing the institution to fall short in meeting desired outcomes, as well as what needs to change to correct these problems.

Desired Outcome or Institutional Objective	How are the current faculty models and related policies impeding or failing to support achieving this outcome?	What needs to change?

WORKSHEET 3-2: BRAINSTORMING NEW FACULTY ROLES

Part One

Imagine we have a clean slate and could build the faculty that we need to best achieve the desired outcomes and honor perspectives we have surfaced in earlier stages. What sorts of faculty roles would we create and how would they function together to meet the various needs that have been identified?

We are giving you that clean slate here. Open your minds to new arrangements and faculty roles. Think beyond merely tweaking the existing tenure-track and non-tenure-track roles that exist today.

What can we come up with?

Part Two

As a set of faculty roles comes together, discuss the various options that have emerged in discussions among members of the group. Which ones stand out as plausible ideas to achieve the outcomes we have identified? Sketch out what the faculty at our institution will look like. What are the various types of positions that will be deployed and what will be their basic roles and responsibilities?

WORKSHEET 3-3: FACULTY POSITION DESIGN CONSIDERATIONS

Building on the discussion facilitated by Worksheet 3-2, develop a list of the different faculty appointment types or positions that may emerge as part of new faculty models at your institution. Use this worksheet to articulate some of the fundamental characteristics for each of them, as well as their relationship to key faculty policies and practices. Participants are also encouraged to reference the Essential Elements of Faculty Work outlined in Stage Two while drafting these appointment types and positions.

Appointment and Contract

1. Will the appointment type or position be full-time, part-time, or will both be available?

2. What will be the minimum qualifications?

3. What will be the standard length of appointment? Will individuals holding this appointment type or position be eligible for reappointment?

4. Will they be eligible for promotion? What is the sequence of the promotion ladder? What will be the criteria for promotion?

Hiring

1. How will hiring occur and what sorts of policies will govern hiring processes? Will a search be required?

2. What steps will be taken to ensure inclusive recruitment and hiring practices to promote diversity among the faculty?

3. If the appointment type or position is for a fixed term only and is eligible for reappointment, how will reappointments be issued?

Consideration of Essential Elements

1. Consider how each of the essential elements of faculty work will be fostered either through the design of this faculty appointment type or position or through its relationship to the larger faculty model of which it is a part.

    • Equity

    • Academic Freedom, particularly if individuals will not have the protections offered by tenure

    • Flexibility

    • Professional Growth

    • Collegiality

    • Respect

Teaching and Learning

1. Will faculty members holding this appointment type or position be encouraged to make use of evidence-based teaching strategies or other classroom pedagogies? How will they be supported in utilizing these approaches?

2. Will they be encouraged to participate in teaching that engages them with learning communities, service learning, or students interested in conducting undergraduate research? How will they be supported in utilizing these approaches?

3. To what extent will the position employ traditional teaching modalities or innovative modalities and technologies, including those that may allow faculty members to teach remotely?

Evaluation

1. How will the job performance of individuals holding this position be evaluated? Which measures will be considered and will clear expectations be set in advance?

2. Who will conduct their evaluation? Will they have the opportunity to receive rich evaluation feedback from multiple sources, including peers?

3. When they are evaluated, will they be provided with resources and support to help them to improve their teaching or other aspects of their work?

Participation in Decision Making

1. Will individuals holding this position be eligible to pursue and hold office in the faculty governance system? Will they be eligible to vote?

2. Will they be encouraged to attend and participate in faculty meetings?

3. Will they provide input on the curriculum, either for their programs or by having control over the syllabus and selection of materials for the courses they teach?

Compensation and Benefits

1. If there is an existing pay scale for faculty positions, which pay grade(s) will apply to individuals holding this position?

2. Will they be eligible for benefits? If so, which benefits? Health and dental? Retirement savings? Early or phased retirement? Vacation? Sick and family leave? Housing and/or transportation assistance?

3. Will they be paid for additional time they spend on activities such as service, professional development, or office hours?

What Amount of Change is Required?

1. What is required to create and implement this arrangement? Does this reflect a modest change to an existing appointment type or position or is it something new entirely that may require a more substantial reevaluation of policies and practices?

REVIEW AND DISCUSSION
Stage Three

Once responses and data from all of the above resources in Stage Three have been collected and can be reviewed by all of the participants, convene the group for a discussion about the ideas about faculty models and various appointment types and positions that are beginning to emerge. The following questions will help to frame this discussion, although any other pertinent questions that come to mind may also be addressed collectively as you conclude this stage.

1. How well do the various appointment types and positions that have been imagined so far:
   - Help to achieve the outcomes identified in Stage One?

   - Address problems identified in the current faculty models, as identified in Stage Two—either problems with its design or misalignments that are compromising achievement of desired outcomes?

   - Incorporate the five essential elements of faculty work?

   - Demonstrate bold and ambitious thinking to redesign the faculty models, rather than merely tweaking the current models?

2. Describe the vision that is beginning to form for the future of the faculty at your institution.
   - What are the defining characteristics—either those that can already be identified or ideals—of the models that are beginning to take shape?

   - What do you anticipate to be its main strengths in helping to serve the outcomes identified in Stage One?

   - How would it be different from the current models examined in Stage Two?

   - How is it likely to be received by various internal and external stakeholders?

3. Have a broad range of stakeholders had an opportunity for their ideas and interests to be considered in this process? How can you help to ensure the support of stakeholders for the faculty models that are emerging as you move forward?

4. How well have we done in reaching the goals set out at the start of this stage? Are there any issues to which we should return before developing and advancing formal proposals?

CONCLUDING THOUGHTS
WHAT COMES NEXT?

This toolkit was designed to facilitate discussions, to expose important challenges and opportunities, to raise questions and give you some tools to help answer them, and to inspire you as you consider undertaking an effort to redesign your institution's faculty models to better serve desired outcomes and remedy problems with the current models. What comes next and how things will unfold will vary rather significantly from one institution to the next. For this reason, we cannot guide you through a step-by-step process to span the next steps from conceptualization to the creation of formal proposals for changes in models and policies to their consideration in the shared governance system to implementation. However, we provide some recommendations below that will help you to continue the process supported by the toolkit to the eventual implementation of new faculty models. We encourage the team to begin to discuss the next steps and articulate a plan to help guide your efforts as you proceed.

Develop the details of the faculty models and their component appointment types and positions into a formalized campus staffing plan.
- What will the faculty look like overall?
- How will various appointment types and positions be deployed and utilized across the institution to help achieve desired outcomes?

Acknowledge and map the process that will need to be followed to advance proposed changes in models and policies through the shared governance system at your institution in order to prepare for the inevitable consultations, discussion, and deliberation to follow.
- As the plan moves through various layers of the shared governance system such as committees and the faculty senate, as well as the administration and the institution's governing board, it may be necessary to develop the plans into formal proposals. Which participants in this process are best suited to prepare and present proposals to ensure that all perspectives are represented?
- Identify all of the policies that will need to change in order to accommodate the new faculty models. Will these changes also need to be considered and approved by governance bodies, the administration, or the board? Can all of the changes be submitted as a single package of proposals or will some need to be considered as separate proposals?
- Which consultations will be necessary to advance the plan?
- The plan will likely be exposed to greater scrutiny and debate as it advances. What steps can you take to anticipate and consider all of the various questions and concerns that might emerge throughout deliberations beforehand?

Expand the conversation.
- Who has been involved in this process so far? Who else needs to be involved to ensure that the design of the faculty models that are emerging can be successfully completed and implemented?
- How can you help these stakeholders to feel a sense of ownership for the new faculty models as they are developed?

- How can the discussion that has occurred here be expanded to include additional stakeholders? Might you prepare a report, articulating the findings and conclusions, but also highlighting the collaborative process that occurred? Could you meet with groups or host a town hall?
- How might national reports about faculty models and the future of faculty work published by disciplinary societies, faculty unions, and other national higher education organizations continue to inform your efforts as you proceed?
- Consider how the model that has been developed so far might be deployed differently among the various academic units at the institution. How, if at all, might professional associations, accrediting bodies, industry advisory boards, and other groups with deep connections to each field be engaged? What would be the benefits of engaging these groups and how might their insights promote the effective implementation of the plan?

We wish you the best as you undertake this endeavor to develop and implement a plan for redesigning the faculty at your institution. Please share your feedback on this process and its outcomes with the Delphi Project at www.thechangingfaculty.org.

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