The CEO's Role in Transformational Teaching and Learning

Focus on Human Capital Strategy

Aspen Institute College Excellence Program

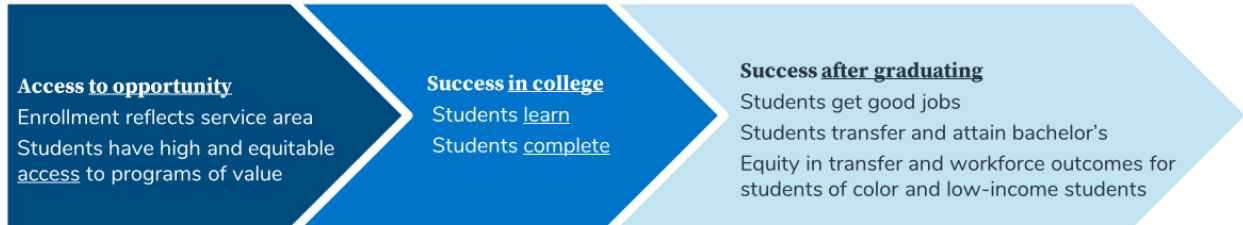**PARTICIPANT TOOLKIT**

November 15, 2022

1:30 - 4:00 PM CST

Table of Contents

Note Catcher: The CEO's Role in Teaching and Learning

Aspen CEP Framework for Student Success

We define college excellence as student success—as changed lives, as thriving families, as strong communities, and as colleges achieving strong and improving student outcomes across our framework.

Access to opportunity
Enrollment reflects service area
Students have high and equitable access to programs of value

Success in college
Students learn
Students complete

Success after graduating
Students get good jobs
Students transfer and attain bachelor's
Equity in transfer and workforce outcomes for students of color and low-income students

Aspen CEP Framework for Teaching and Learning

The CEO must own the teaching and learning strategy

Understand student, faculty, governance, and national contexts

Elevate innovative faculty and bring them to the center of reform

Institutionalize systems and practices for sustained improvements

Additional Notes:

Institutionalize Human Capital Systems and Practices for Sustained Improvements

Guiding Question: What would it look like to have a human capital strategy aligned to student success and equity goals?

Advance a human capital strategy that supports goals for improved teaching and learning	**Align** faculty life cycle to teaching and learning strategy	**Prioritize and sustain** progress in words and deeds
- Ensure strong leadership for human capital within the college (including w/in senior team) - Devise strategy for human capital change that contributes to teaching and learning improvements	Identify how changes can be made in the following systems: 1. Recruitment 2. Hiring 3. Onboarding 4. Professional development 5. Retention and promotion	- Communicate the importance of teaching and learning improvements to student success and equity goals - Allocate resources to sustain long-term change - Ensure that all faculty (including adjuncts) participate

Additional Notes:

Independent Reflection: What does it look like to have a transformational CAO leading this work?

Independent Reflection:

- Review the ideal job description for the chief academic officer (CAO) on pages 6-7 of this toolkit.

- Next, complete the traditional-versus-transformational assessment for your current CAO on pages 8-9 of this toolkit.

- After you complete your independent reflection, use the questions on page 10 to guide group discussion.

Job Description for **Transformational Chief Academic Officer (CAO)**

Core Duties and Knowledge

- Serves as the chief academic officer of the institution, responsible for the academic enterprise, including: program development and assessment; teaching and learning assessment; faculty appointment; professional development, evaluation, and tenure processes; development of academic policy and procedures

- Leads the development and implementation of data-informed strategies to improve college access; admissions and enrollment processes; and increase retention, progression, and graduation

- Committed to academic and institutional excellence, student success, and the elimination of equity gaps

- Serves as an effective team player and member of the CEO's executive senior team

- Is visible and present for faculty, department chairs, and academic deans

Strategic Vision and Program Development

- Plays a leadership role in developing and ensuring execution of a vision that advances student access, excellence in teaching and learning, and student success across all academic departments

- Understands the importance of aligning teaching practice to different learning styles and utilizing multiple modalities, and works to advance the capacity and practice of faculty college- or university-wide

- Stays current on the science of teaching, learning, and assessment, and evidence about optimal student success practices

- Demonstrates commitment to evidence-based practice by using data to make decisions, celebrate successes, and communicate priorities; regularly modifies evidence-based strategies and programs to account for changing landscapes, policies, and student needs

- Strategically aligns improvements in the learning environment [and in student advising, especially at institutions where faculty serve as advisors] to broader institutional goals and efforts to advance student success and equity in access, retention, completion, and post-graduation outcomes

- Demonstrates commitment to improving student learning and success through strategic approaches to faculty appointment, professional development, evaluation, and assessment

- Demonstrates commitment to diversity, equity, and inclusion throughout all levels of the organization

- Demonstrates commitment to ensuring that academic programs provide smooth pathways to further education and the workforce

- Ensures the integrity and accountability of academic programs by upholding professional and accreditation standards

- Has a strategic vision for the institution's research goals, operations, revenue streams, expenditures, and related resources [especially at research universities]

Collaboration

- Deeply values the engagement of faculty and academic leaders throughout the college/university in advancing a strategic vision and understands the role of academic leaders and decision-making processes in institutional transformation

- Maintains strong relationships with other college/university executives—including the vice president for student affairs, vice president for workforce development, chief information officer, chief diversity officer, and chief financial officer—to collaborate on efforts to achieve student success and equity goals

- Works closely with campus vice presidents, deans, and department chairs to prioritize student success (for example, in program design, course scheduling, and advising)

- Demonstrates an understanding of the role academic leaders and faculty can play in supporting effective student advising [at institutions where advising is primarily conducted by professional advisors instead of faculty]

- Facilitates effective processes that engage academic leaders and faculty in organizational development and change
- Collaborates closely with the CIO to develop systems that advance effective online/virtual education and the use of AI and predictive analytics for student success
- Advances student learning and success through collaboration with outside entities, including employers, K-12 school systems, universities, and community-based organizations

Demonstrated Attributes

- Academic experience
- Commitment to the institution's mission
- Commitment to student-centered teaching and learning and the belief that all students have the ability to succeed
- Experience making strategic change with a sense of urgency
- Experience tackling complex issues and making bold decisions for the good of students and the institution
- High degree of emotional intelligence
- Experience in effectively handling issues regarding students and faculty
- Strong communications skills with direct reports and staff members, senior team-level colleagues, the CEO, and board members
- Oriented to building effective relationships and making things happen
- High-energy change agent who effectively communicates the "why" ahead of and during anticipated changes
- Demonstrated and continually evolving understanding of the student experience

Assessment of Key Transformational Senior Team Roles

CHIEF ACADEMIC OFFICER (CAO)

Instructions: For the following qualities and mindsets of the chief academic officer (CAO), check the box to indicate which quality is most true for your institution's CAO, traditional or transformational.

Traditional	Transformational
● Believes it is solely the responsibility of disciplines and departments to determine the content of and requirements for faculty professional development.	● Takes responsibility for advancing excellent teaching practices by devising college-wide goals for professional development, allocating resources accordingly, and visibly recognizing teaching excellence.
● Believes student success goals, such as improving retention and completion, are the responsibility of divisions that provide student services and the senior team members who oversee them.	● Shares responsibility for student success by ensuring that faculty are fully engaged and by collaborating with student services to ensure that academic enterprises (including faculty advising practices) are fully aligned with student success goals and activities.
● Views learning assessment as a necessary requirement of accreditors that can be used voluntarily by faculty to advance their teaching practice and student learning.	● Views learning assessment as a critical tool that all faculty and disciplinary leaders should use to improve student learning at the course, program, and college-wide levels.
● Takes independent responsibility for course scheduling without consulting student services staff.	● Works collaboratively with faculty and student services leaders and staff to understand the needs and experiences of students—through data analysis and advisor and student voices—to inform the building and modification of course schedules.
● Believes academic program design and delivery should be exclusively responsive to internal stakeholders, including faculty, based on precedent and faculty interest.	● Works to ensure that program design and delivery considers the needs of students after graduation in careers and further higher education (including bachelor's attainment after community college).
● Relies on deans, department, and faculty senates and unions to interact with faculty.	● Interacts directly with a wide range of faculty to understand their perspectives and identify exceptional teaching and learning.

- Leaves campus-wide communication about the urgency and potential for advancing equitable student success to the CEO.

- Collaborates with the CEO and other senior team members to communicate the urgency and potential for advancing equitable student success.

- Leads student affairs/services units based on tradition and history, seeing the scope and pace of change as constrained by expectations rooted in the past—regardless of the trajectory of student success or evidence about the student experience.

- Regularly analyzes and uses data, predictive analytics, and qualitative evidence of the student experience to make decisions about programs, evaluate their effectiveness, celebrate successes, and communicate priorities.

Group Discussion: What does it look like to have a transformational CAO leading this work?

Consider the CAO job description and from-to. What aha! moments or reflections do you have from these tools? What did you learn from assessing your CAO this way?

Where does your CAO fall on the traditional/transformational spectrum?

What next steps might you take as a result of this learning?

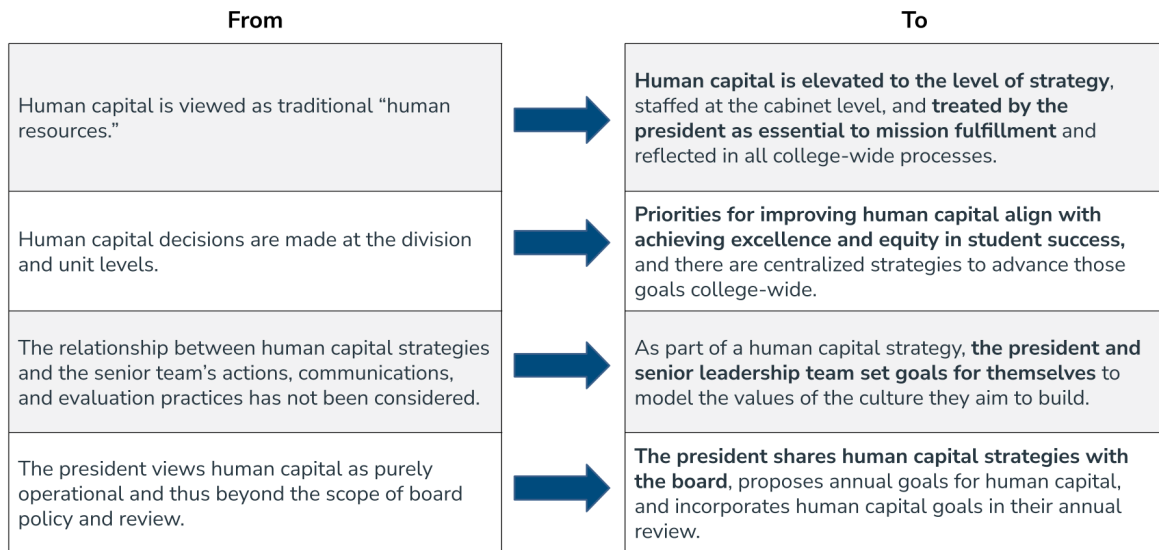How does your CEO/CAO partnership impact a campus wide culture of teaching and learning?

How can you as a CEO own the teaching and learning strategy?

What are your roles and responsibilities versus those of the CAO in developing and executing the teaching and learning strategy?

Note Catcher: Transforming Human Capital Systems to Support Teaching and Learning

Human Capital: Traditional to Transformational

From		To
Human capital is viewed as traditional "human resources."	→	**Human capital is elevated to the level of strategy**, staffed at the cabinet level, and **treated by the president as essential to mission fulfillment** and reflected in all college-wide processes.
Human capital decisions are made at the division and unit levels.	→	**Priorities for improving human capital align with achieving excellence and equity in student success,** and there are centralized strategies to advance those goals college-wide.
The relationship between human capital strategies and the senior team's actions, communications, and evaluation practices has not been considered.	→	As part of a human capital strategy, **the president and senior leadership team set goals for themselves** to model the values of the culture they aim to build.
The president views human capital as purely operational and thus beyond the scope of board policy and review.	→	**The president shares human capital strategies with the board**, proposes annual goals for human capital, and incorporates human capital goals in their annual review.

Key Human Capital Strategies:

- Recruitment
- Hiring
- Onboarding
- Professional development
- Retention and promotion

Additional Notes:

Independent Reflection: Human Capital Strategy to Transform Teaching and Learning

- Complete the traditional/transformational tool for human capital strategy on page 14-19 in this toolkit. For each item, reflect on whether your college is currently more traditional or more transformational.

- As you complete the tool, reflect on your college's human capital strategy and its alignment to college-wide mission and goals. Consider your biggest priorities as you move from traditional to transformational human capital systems and the next steps for implementation.

Assessment of Key Transformational Human Capital Strategies

Instructions: For each item in the charts below, select whether your college is currently more traditional or transformational.

Human Capital Strategy that Supports Vision and Mission

Traditional	Transformational
• Human resources is a compliance and tactical function, needed to hire and retain staff but not used strategically.	• Human capital is elevated to the level of strategy, staffed at the cabinet level, treated by the CEO as essential to mission fulfillment, and reflected in all college-wide processes.
• Human capital decisions are made at the division and unit level.	• Priorities for improving human capital are set at the cabinet level and aligned with student success and equity goals.
• The relationship between human capital strategies and the senior team's actions, communications, and evaluation practices has not been considered.	• As part of human capital strategies, the CEO and senior leadership team set goals for themselves to model the values of the culture they aim to build.
• The CEO views human capital as purely operational and thus beyond the scope of board policy and review.	• The CEO shares human capital strategies with the board, proposes annual goals and budgets that advance human capital strategy, and incorporates human capital goals in their annual review.

Assessment of Key Transformational Human Capital Strategies

Continued

Recruitment Practices

Traditional	Transformational
• Recruitment is seen as a task and is done as it has always been done.	• College leaders have developed and are implementing a recruitment strategy aligned to mission, have adopted specific goals for recruitment across the college and for each major division, and routinely monitor progress toward those goals.
• Recruitment is done through traditional (and often narrow) sources, resulting in candidate pools not aligned to diversity and other human capital goals.	• The CEO and senior team set expectations for strong, diverse candidate pools for every position, provide financial support for aligned recruitment strategies and professional development, and have equitable policies and procedures for recruitment that reflect human capital goals.
• Job descriptions across the college predominantly list technical skills and related experiences for the role.	• Position descriptions across the college reflect the college's vision and mission, including why equity-oriented, student-centered faculty and staff are important to fulfilling the college's vision and mission.

Assessment of Key Transformational Human Capital Strategies

Continued

Hiring Practices

Traditional	Transformational
• Guidance on hiring focuses on compliance with legal and administrative rules regarding permissible hiring practices.	• The college requires the use of hiring tools that prioritize employee characteristics and experience aligned to the college's human capital strategy.
• Divisions develop hiring committees from within the division, limiting perspectives.	• Hiring and selection committees include representatives from other college divisions or departments and senior leadership, include individuals with equity-based and transformational mindsets, and represent the diversity of the student population.
• Hiring committees assess candidate qualifications based exclusively on technical skills and experience.	• Hiring committees assess candidates' commitments to student success and learning, equity-mindedness, and capacity to advance the college's mission.
• The CEO is not involved in most hiring decisions at the college.	• The CEO has final approval on all new full-time hires at the director level and above, including department chairs and deans.

Assessment of Key Transformational Human Capital Strategies

Continued

Onboarding Practices

Traditional	Transformational

• Onboarding focuses on processes and procedures, use of institutional technology and other systems, benefits, and compliance with institutional rules.	• Onboarding at the college:
	  • Centers on the most important aspects of professional development related to student success and equity, thereby communicating the value the college places on mission-aligned professional development.
	  • Includes orientation to the institution's history, mission, values, and strategies for student success and equity.
	  • Promotes a sense of belonging for each individual, including through development of relationships between new hires and their department, supervisors, and other departments across the college.

Assessment of Key Transformational Human Capital Strategies

Continued

Professional Development Practices

Traditional	Transformational
• Professional development and training opportunities are typically decided at the department level.	• College leaders have adopted and resourced a professional development strategy aligned to mission and informed by student outcomes data.
• Most professional development is voluntary.	• Every employee has a professional development and training plan that ensures ongoing, sustained learning experiences aligned to student success and equity, which are differentiated based on their roles, professional goals, and career aspirations at the institution.
• Required professional development is an event that occurs during a few days or weeks each year.	• The college provides professional development and training through multiple formats to foster both full- and part-time employee engagement. The college adopts a significant, centralized professional development budget each year and requires that division budget submissions reflect professional development goals.

Assessment of Key Transformational Human Capital Strategies

Continued

Retention and Promotion Practices

Traditional	Transformational
● Job security is based on years of service and the unit's enrollment.	● The CEO, senior leadership team, and leaders in every unit monitor and reward the engagement of faculty and staff in mission-aligned student success and equity work.
● Promotions for faculty and staff are based on time on the job. .	● The college transparently rewards behavioral development and pursuit of practices that are designed to advance student success and equity outcomes.
● Staff and faculty evaluations occur annually and are not linked to professional development plans.	● Salary increases and pay scales align to performance-based measures, including student outcomes, feedback, and progress toward the college's student success and equity goals.
● Expectations for job performance are specific to each department or division.	● Promotion practices are rooted in efforts to advance student success and equity, and require faculty and staff to refine their practices based on an understanding of outcomes rooted in student-centered information.

Group Discussion: Human Capital Strategy to Transform Teaching and Learning

Where are your biggest priorities to move from a traditional human capital strategy to a transformational one?

What CEO actions could you take to start that work? Who needs to be engaged? What are your next steps?

Who leads human capital from the cabinet level? How do they collaborate on strategy with the CAO? What changes do you need to make?

Are there clear lines of communication/delegation on who is responsible for the systems of recruiting, hiring, developing, and compensating/promoting faculty?

TAKE HOME TOOLS
Job Description for **Transformational Chief Financial Officer (CFO)**

Core Duties and Knowledge

- Has primary responsibility for managing—in ways consistent with the strategic direction of the CEO—business operations, accounting procedures, financial planning and management, business accounting, risk management and compliance, budgeting, foundation management [if pertinent], materials management, and facilities management

- Hires, develops and supervises finance personnel

- Serves as an effective team player and member of the CEO's executive senior team

- Works closely with academic and senior administrative leaders to align financial operations with institutional mission and strategies

- Understands local, state, and federal laws and regulations applicable to public higher education

- Analyzes and develops financial pro forma for new initiatives

- Builds understanding—for all members of the CEO's senior team—of how finances work, how finance is a strategic tool for student success, and why certain financial decisions are made

Strategic Vision

- In collaboration with the CEO, has the ability to lead the institution in establishing priorities through the allocation of limited resources

- Regularly considers how changes to the current business model can advance institutional mission and financial position

- Understands how strategic finance can advance the student success agenda and works with the senior team to align practices with the college/university's student success and equity goals for improved student outcomes

- Seeks new ways to support the efforts of the whole institution

- Shows creativity in identifying and securing resources to support the college/university's mission and student success and equity agenda

- Can reliably predict the college/university's future financial challenges and opportunities, and prepare the institution to meet those challenges and maximize opportunities

- Demonstrates commitment to diversity, equity, and inclusion throughout all levels of the organization

Collaboration

- Collaborates deeply with the CEO in developing financial strategy, budgets, and financial practices aligned to the college/university's student success and equity agenda

- Maintains strong relationships with other college/university executives—including the vice president for student affairs, vice president for workforce development, chief information officer, and chief diversity officer—to collaborate on joint efforts toward student success and equity goals

- Seeks to understand program and project goals and readily adapts finance strategy accordingly

Demonstrated Attributes

- Innovative financial leader with demonstrated financial expertise

- Understanding of and commitment to the institution's mission and student success

- Ability to effectively lead complex organizational change

- Takes strategic action with a sense of urgency

- Good analytical and listening skills in understanding and monitoring how institutional financial and operational processes impact students, with focused attention on under-resourced students, students of color, adult learners, and first-generation students

- Remains knowledgeable about all areas of the enterprise in academic and administrative units

- Strong communications skills with direct reports and staff members, senior team-level colleagues, the CEO, and board members

- Oriented to building effective relationships and making things happen
- High-energy change agent who effectively communicates the "why" ahead of and during anticipated changes

Job Description for **Transformational Vice President of Student Services**

Core Duties and Knowledge

- Serves as the chief student services officer of the college/university and executive leader responsible for developing, maintaining, and assessing the coordinated delivery of essential student services that lead to increasing levels of student success, including admissions; new student orientation; registration; financial aid; student records; advising; testing and assessment; counseling; student recruitment and outreach; enrollment management; veterans affairs; student employment; student development; services for students with disabilities; and student conduct
- Leads the development and implementation of data-informed strategies to improve college access, admissions and enrollment processes, and increase retention, progression, and graduation rates.
- Serves as an effective team player and member of the CEO's executive senior team
- Familiarity with technology to support student success
- Designs and implements processes for regularly evaluating program effectiveness and ensuring that evaluations are used to modify program design and delivery

Strategic Vision and Program Development

- Crafts and implements strategies for ensuring that faculty, staff, and administrators deeply understand the student experience
- Plans for, achieves, and sustains efforts to ensure that services reach all students who could benefit
- Ensures that student service design and implementation are consistently informed by current student experiences as well as by those who work with students (such as advisors, counselors, librarians, financial aid officers, and faculty)

- Regularly modifies evidence-based strategies and programs to account for changing landscapes, policies, and student needs
- Ensures the student services division's efforts to improve student success are aligned with those of academic divisions to improve student outcomes in the classroom and academic advising
- Develops a comprehensive vision for how student services can advance student success through both academic supports and nonacademic holistic resources and services
- Demonstrates commitment to diversity, equity, and inclusion throughout all levels of the organization

Collaboration

- Partners/collaborates with academic leaders (including provosts, deans, and faculty leadership) to advance student success initiatives that result in improved student outcomes
- Collaborates closely with the CIO to develop systems that advance effective online/virtual education and the use of AI and predictive analytics for student success
- Works collaboratively with the vice president of academic affairs/provost to ensure a seamless student experience, from inquiry and application through enrollment, persistence, and graduation
- Advances student support services, learning, and success through collaboration with outside entities, including employers, K-12 school systems, community colleges, universities, and community-based organizations

Demonstrated Attributes

- Understanding of and commitment to the institution's mission and student success
- Ability to effectively lead complex organizational change

- Takes strategic action with a sense of urgency
- Capable of readily adapting student services and other programming to changing circumstances and new information
- Good analytical and listening skills with the ability to understand and monitor how institutional processes impact students, with focused attention on under-resourced students, students of color, adult learners, and first-generation students
- Strong communications skills with direct reports and staff members, senior team-level colleagues, the CEO, and board members

- Oriented to building effective relationships and making things happen
- High-energy change agent who effectively communicates the "why" ahead of and during anticipated changes
- Significant experience working directly with students
- Experience with building community partnerships
- Advocate for the student voice and student success

Assessment of Key Transformational Senior Team Roles

TRANSFORMATIONAL SENIOR TEAM ROLES ASSESSMENT FOR CHIEF FINANCIAL OFFICER (CFO)

Instructions: For the following qualities and mindsets of the chief financial officer (CFO), check the box to indicate which quality is most true for your institution's CFO, traditional or transformational.

Traditional	Transformational
• Believes the CFO "owns" the budget, withholding information from others to ensure the fiscal strength of the institution in good and in difficult times.	• Aims to build widespread fiscal knowledge and budget transparency, believing they are essential to ensuring that unit leaders can align spending to mission; builds trust that resources are aligned to mission; and connects their efforts to those of others within the institution.
• Believes student success goals, such as improving retention and completion, are the responsibility of other senior team members.	• Shares responsibility for student success by collaborating with academic and student services to ensure that fiscal resources and processes are fully aligned with student success goals and activities.
• Views the budget as a static, year-by-year process.	• Ensures that budget planning spans multiple years and that there's adequate flexibility to adjust the budget each year, based on emerging needs and changing circumstances.
• Presents the budget in traditional cost centers, failing to reveal the connection between planned expenditures and mission and strategy.	• Presents the budget in dynamic ways that foster deeper understanding of the connection between planned expenditure and mission and strategy, including through trends over time, comparisons to peer institutions, and ratios related to student access and success.
• Treats the budget as a fixed amount of resources to be parsed out among units within the college.	• Partners with the CEO and other senior team members to creatively generate resources, including by building and leveraging external partnerships, creating operational efficiencies, and activating resources traditionally regarded as unavailable (such as savings from hiring delays).

- Believes the college's foundation, reserves, and hidden funds should be as large as possible in anticipation of unforeseen fiscal circumstances.

- Believes resources should be applied to achieving the mission and excess reserves should not be maintained unless required by law or policy.

Assessment of Key Transformational Senior Team Roles
VICE PRESIDENT FOR STUDENT SERVICES (VPSS)

Instructions: For the following qualities and mindsets of the vice president for Student Services (VPSS), check the box to indicate which quality is most true for your institution's VPSS, traditional or transformational.

Traditional	Transformational
• Believes it is up to individual student service units to decide the content and process of professional development, and that professional development goals and resources should be decided solely by directors and division heads.	• Takes responsibility for advancing excellent practice through professional development that is significantly integrated across student service units and supported through adequate resource allocation and visible recognition.
• Believes it is up to student service units to decide the criteria and process for hiring staff, and that the VP for student services is not responsible for ensuring alignment of such criteria and processes with college-wide priorities.	• Takes responsibility for aligning staff hiring with institutional priorities for student services delivery; ensures that the college has adopted prioritized attributes for hiring diverse staff with the technical expertise needed in each unit, and that college-wide priorities are utilized in hiring systems (for example, interview questions, assessment rubrics, and committee deliberations).
• Believes improving student retention and completion is not a significant faculty responsibility, but rather the responsibility of student services units that oversee student advising and student life, and provide out-of-class academic and nonacademic support.	• Shares responsibility for advancing student retention and completion by collaborating with the provost and academic units to ensure that faculty are fully engaged in the classroom, in their advising practices, and in collaboration with advisors and other staff.
• Leaves campus-wide communication about the urgency and potential for advancing equitable student success to the CEO and academic leaders.	• Collaborates with the CEO and other senior team members to communicate the urgency and potential for advancing equitable student success.

- Leads academic units based on mission and history and sees the scope and pace of change as constrained by tradition—regardless of the trajectory of student success or evidence about the student experience.

- Regularly analyzes and uses data, predictive analytics, and qualitative evidence of the student experience to make decisions about programs, evaluate their effectiveness, celebrate successes, and communicate priorities.

- Defers to academic units to interact directly with faculty.

- Works to ensure that student services professionals interact directly with a wide range of faculty to share understanding about the student experience in and out of the classroom and collaborate on student success efforts.