

Proposal to Create the



Please direct correspondence regarding this Institute to Jennifer Swanberg, Ph.D., Associate Professor, College of Social Work (257-3351; jswanberg@uky.edu)

In accordance with university regulation AR II-4.0-5, the following Institute proposal has been developed for review by the originating college and dean, other interested faculty and units, and the University Senate. After review and comment, the proposal will be forwarded to the Provost, the President, and the University Of Kentucky Board Of Trustees.

1. Goals and Significance

The Institute for Workplace Innovation (iWin), a new interdisciplinary research institute affiliated with the University of Kentucky, assists Kentucky-based organizations with developing high-performance work environments by aligning organizational policies, practices and workplace cultures with the demands of employees' lives on and off the job. By providing the most up-to-date information about innovative workplace solutions, the Institute promotes quality work environments, effective workplaces, and work-family balance. The Institute is also committed to furthering UK's research agenda by engaging in the highest caliber multi-disciplinary research that can make a valuable and lasting contribution to the body of work-life research and to Commonwealth's economy.

Mission:

The Institute for Workplace Innovation will enhance workplace productivity in the changing economy by providing employers with knowledge and opportunities related to innovative practices that enable the creation of quality work environments while ensuring a balance between employee commitment to work and family. The Institute for Workplace Innovation is committed to:

- *Engaging* employers in the adoption, implementation, and utilization of innovative workplace solutions which benefit employers and employees;
- *Developing* a regionally based research agenda focused on the workforce and economy in the 21st century; and
- *Affecting* public discussion about the employer, employee, and economic benefits associated with innovative workplace options.

The University of Kentucky will be the first land-grant university in the United States to establish an Institute that responds to its state's current economic and workforce development concerns by engaging employers in adopting, implementing, and utilizing innovative workplace options. In 2003, Kentucky's Governor declared Kentucky "Open for Business" and committed to making Kentucky a better place to live, work, and raise a family.¹ The Institute for Workplace Innovation can be a key player in ensuring that Kentucky is indeed "open for business" – helping employers negotiate the difficult and stressful terrain of work-family issues and creating positive work environments, satisfied employees, and increased productivity.

¹ Kentucky State Plan, 2005

The Institute's mission complements the goals of the Kentucky Workforce Investment Board's Strategic Plan that discusses numerous factors that "are converging to create a sense of urgency for solving workforce and economic development challenges that will exist through the 21st century." These factors include "creating a quality of environment that attracts and retains workers."²

Goals

Goal 1: Employer Engagement.

The UK Institute for Workplace Innovation will engage employers in innovative workplace solutions through three primary mechanisms:

1. Workplace Innovation Network. A membership-based organization, the Kentucky Workplace Innovation Network (WIN), cultivates a collegial network between small, medium and large employers interested in promoting quality work environments, becoming employers of choice, and promoting work-life integration. WIN's mission is to foster collaboration among its members and to create and sustain employer workforce efforts that effectively meet both business and employee needs. The overall goal of WIN is to develop innovative workplaces that retain and recruit talented employees and that promote work-life integration.

- WIN provides a forum and resource base for organizations interested in becoming more effective in their management and human resource practices. Network meetings and employer development services cover a broad range of topics of interest to organizations that seek to become an employer of choice. Topical areas of interest may include increasing employee engagement and resilience, changing organizational culture, flexible work options, diversity, and career development over the lifespan.
- WIN serves as a vehicle for members to meet and learn from one another. Through quarterly meetings, listserv, monthly updates and an interactive web site, WIN members benefit from up-to-the-minute information and research. As part of the Institute for Workplace Innovation, all WIN members benefit from the Institute's in-depth, continuing research and expertise.

2. Workplace Research. The Institute's research is nationally recognized, locally based, interdisciplinary, and theory driven. Research is designed to inform both workplace practices and public policy. The Institute is committed to bridging the worlds of academia and business. Our affiliated faculty and business leaders are leaders within the field, Current research areas include Kentucky's Innovative Workplaces; Best Practices; High Tech Small Companies: Forging Strategies for Workplace Innovation; Kentucky's Study of the Changing Workforce; Kentucky's Study of Employers; Workplace Flexibility & the Hourly Workforce; Domestic Violence, Employment and Workplaces; and Cancer, Informal Caregiving & Employment. The Institute

² Kentucky Workforce Investment Board Strategic Plan, 2004.

leads and collaborates on the most rigorous of studies and is committed to their practical application in the business community.

3. Workplace Development. The Institute engages the broader business community in the adoption, implementation, and utilization of innovative workplace practices by providing a range of consulting strategies. Executive and management training, issues briefs, and organization consultation are examples of technical assistance available for purchase.

Goal 2: Interdisciplinary Collaboration & Student Education

The Institute is interdisciplinary and multi-organizational. It is an interdisciplinary collaboration between the College of Social Work, Public Health, and Business. Additionally, individuals from academia, business, government, community, and health collaborate to find effective strategies to enhance the working lives of employees and organizational outcomes. Institute associates, board members and network affiliates will represent faculty and staff across the University, business leaders, community-based agencies, and organizations such as the Chamber of Commerce, League of Cities, and Small Business Associations. We will engage members of the university community in this research agenda by offering competitive grant funding to support innovative pilot/start-up research projects that are aligned with the Institute's mission and vision. The Institute also facilitates the training of students and will encourage the development of work-life research with funding from federal agencies, industry, and private foundations.

2. Justification

Background:

Over the past three decades, the United States has witnessed major shifts in the demographic landscape of the labor force. Today's workforce is comprised of more women, single parents, older workers, and employees with working partners. Further, a large percent of the labor force is working more than one job, and more people are working in jobs that require non-traditional shifts. As such, an institutional mismatch between the needs of contemporary workers and the contemporary workplace has emerged. As a result, a growing number of workers report strain integrating the often-competing demands of life on and off the job while a growing number of employers report difficulty in recruiting and retaining quality employees.

Simultaneously, small and medium firms in the U.S., including Kentucky, are facing serious workforce challenges associated with these changing demographics. Nationally based research suggests that employees and employers benefit when workplace practices are aligned with the needs of both employers and employees. In particular, modifying workplace environments and processes to better meet the changing needs of the contemporary workforce has been shown to assist employers in becoming an "employer of choice" in the community. Innovative workplace solutions (such as flexible scheduling, job sharing, tele-commuting, implementation of employee wellness and childcare programs, and opportunities for employee education) assist employers in recruiting and retaining valuable employees, and assist working families in meeting their

multiple responsibilities. In turn, the economy benefits from a more stable labor force and workplaces which are more productive.

Kentucky as a Leader in Workplace Innovation:

By establishing Kentucky as a leader in workplace innovation, recruitment and retention of employees – and the ability to attract new businesses and manufacturers – will be enhanced, ultimately benefiting Kentucky’s economy and the lives of its citizens. To respond to Kentucky’s current economic and workforce development concerns, it is critical that Kentucky’s employers learn and develop management strategies promoting innovative and effective workplace practices. The UK Institute for Workplace Innovation will engage employers in developing, adopting, implementing, and utilizing innovative workplace options. In 2003, Kentucky’s Governor declared Kentucky “Open for Business” and committed to making Kentucky a better place to live, work and raise a family.³ The Institute for Workplace Innovation can be a key player in ensuring that Kentucky is indeed “open for business.” iWin can help employers negotiate the difficult and stressful terrain of work-family issues that while creating positive work environments, satisfied employees, and increased productivity.

The field of work-life is just now beginning to be recognized as an important interdisciplinary field that has important implications for the way we live and work. Thus, the University of Kentucky through this Institute, with this unique focus and organization, is positioned to make a significant contribution to understanding and offering policy and practice recommendations about a social problem that working people encounter every day; meeting the demands of work, family and personal life. UK has several accomplished junior and senior scholars and practitioners from a variety of disciplines including, social work, business, nursing, public health, behavioral science and agriculture that have been studying various aspects of the work/family dilemma. By bringing together these people under the auspices of one Institute, UK has the potential to become a national and international leader in addressing one of the largest contemporary social problems.

The Institute for Workplace Innovation is poised to work with the Workforce Investment Board, the State and local Kentucky Chambers of Commerce, Kentucky League of Cities, and employers to create and sustain workplace environments that will support profitability, employee productivity, and retention. These changes will place Kentucky as a location of choice and a model of workplace innovation. Further, the Institute is poised to further develop collaborations with nationally recognized universities. Currently the Institute has collaborative projects with the Center for Work and Family at Boston College and the Center on Aging, Work and Flexibility.

³ Kentucky State Plan, 2005

Consistent with University of Kentucky's Vision, Mission and Goals:

The Institute for Workplace Innovation is consistent with the Mission, Vision and Goals of the University and supports the strategic plan. The goals of the Institute address the University's commitment to providing leadership to the Commonwealth and beyond by promoting human and economic development that improves people's lives. The Institute will unify research, education, and service to discover factors that influence worker concerns with organizational outcomes and economic development. The partnering of business, community and academia creates the opportunity for addressing the most salient issues for workers and employers.

The Institute will provide opportunities for the University to meet and exceed Strategic Plan Goals:

- The deliberate interdisciplinary focus of the Institute creates an opportunity for establishment of a nationally recognized research center (Goal I).
- Outstanding students interested in the areas of working families and innovative workplaces will be attracted to the Institute and the opportunity to work with distinguished faculty and business and community leaders (Goal II).
- The strategic plan addresses the desire to attract, develop, and retain distinguished faculty through competitive compensation, policies and support of faculty and staff. The Institute will provide an opportunity for faculty to participate in interdisciplinary research. (Goal III).
- The Institute supports the discovery, sharing and application of new knowledge by bringing together those who benefit from the knowledge with those who conduct the research. The discovery and application will be dynamic and on-going (Goal IV).
- Further, research and education content of the Institute is one that requires diversity of thought, culture, gender and ethnicity (Goal V). That is, the workplace of the future is one that recognizes and embraces differences among employees.
- Lastly, the Institute's mission sets out to improve the quality of life for workers and their families (Goal VI).

3. Faculty Leadership

Dr. Jennifer E. Swanberg, Associate Professor, College of Social Work will be the Executive Director of the Institute for Workplace Innovation. Dr. Swanberg will be responsible for: (1) overseeing the development of the Institute's vision, mission, goals and strategic plan; (2) establishing the Institute's governing boards; (3) creating the administrative infrastructure of the Institute; (4) cultivating the University-based intellectual capital that will be the foundation of the Institute; (5) establishing employee engagement strategies, workplace research priorities, and workplace development opportunities, and (5) facilitating the necessary processes to secure an endowment, grant and private funding needed to promote the UK Institute for Workplace Innovation's reputation nationwide.

Dr. Swanberg has extensive expertise in the area of organizational studies and the effects of job conditions on working families. She has conducted research on workplace culture, workplace

flexibility in service and manufacturing industries, the adoption of innovative workplace practices, and the effects of intimate partner violence on women's employment and workplaces. She is currently co-directing two studies focusing on developing business success by creating responsive workplace cultures, and flexible work arrangements for older workers. These two studies are funded by the Ford Foundation and the Alfred B. Sloan Foundation, respectively.

Prior to coming to University of Kentucky, Dr. Swanberg worked as a Research Associate at the National Center for Alcohol and Substance Abuse at Columbia University, and at the Families and Work Institute (FWI) in New York City. While at FWI, she co-authored *The 1997 National Study of the Changing Workforce*. She has lectured and published reports on creating work environments supportive of employees' work, personal and family needs. Dr. Swanberg has appeared as a work-family expert on national television and radio including MSNBC, CNN, NPR, BBC, CBC.

She has published in scholarly journals such as *Family Issues*, *Journal of Occupational Health Psychology*, *Trauma, Violence & Abuse*, and *Work, Family and Community*. She is the guest co-editor of a forthcoming special issue of *Journal of Interpersonal Violence* focusing on intimate partner violence, women's employment and workplaces. In 2005, one of her publications was among the top 20 work-family research articles as selected by Rosabeth Moss Kanter Award for Excellence in Work-Family Research. In addition to her academic publications, Dr. Swanberg writes a work-life column for *Business Lexington*.

Advisory Boards:

Dr. Swanberg is establishing three advisory boards: 1) University of Kentucky Workplace Innovation Scientific Advisory Board; 2) Workplace Innovation National Advisory Board; and 3) Kentucky Workplace Innovation Employer Board. The UK Scientific Advisory Board will be comprised of faculty and researchers from various disciplines including, business, public health, social work, medicine, behavioral health and nursing. The scientific advisory board will provide guidance on all aspects of the research process including, research methodology, grant funding, survey development, and statistical analyses. The national advisory board that will be comprised of nationally recognized university scholars in the field of work and family and nationally recognized employers that have taken a lead in their industries in creating innovative workplaces. The national advisory board will keep the Institute informed about national economic and workplace trends and research findings, and they will be asked to provide guidance into the development of the Institute. Finally, the Institute of Workplace Innovation will develop a Kentucky Employer Board which will be comprised of 5-8 Kentucky-based employers that will have direct input into the development of the Institute's mission, purpose, and service delivery. Additionally, members of the board will keep Institute staff informed about current and relevant issues facing their workforce and businesses.

4. Reporting Relationship

The UK Institute for Workplace Innovation will for administrative purposes fall under administrative structure of the College Of Social Work, but will work in close collaboration with the College of Business and Economics and the College of Public Health. The Institute Executive Director will report directly to the Dean of the College of Social Work, and will have an indirect reporting relationship with the President Todd, as this initiative is a President's initiative.

Administrative and professional staff hired to work for the projects under the Institute guise will report directly to Institute Executive Director.

5. Staff Requirements

The Institute for Workplace Innovation will require at least .5 to 1 FTE for the Executive Director to lead the Institute, 1 FTE for administrative support to cover the functions listed below, at least 1 FTE to support research functions.

The Executive Director will be responsible for:

- Development and ongoing management of the Institute
- Overseeing the all aspect of scientific research conducted at the Institute
- Overseeing the development and management of the iWin Employer Network

The Associate Director of Administration and Operations will perform the following functions:

- Financial & operational management
- Grants administration
- Regulatory affairs
- Personnel issues
- Maintenance of the Institute's web site

The Research Associate will be responsible for:

- Conducting original research that has a direct impact on Kentucky's citizens
- Developing issues briefs
- Managing the web-site content
- Writing grants
- Providing the most recent information about workplace trends to employer network members

6. Space and Equipment Needs

The locus of activity of the faculty and researchers involved in the Institute for Workplace Innovation will be at 2365 Harrodsburg Road. Funding for office space will be covered from initial start-up funds from the President's office. Beyond year three, rent will be covered by the revenues generated by the iWin Network.

7. Proposed Operating Costs

No operating costs are requested. We anticipate that a combination of start-up funds, grant funds, revenue from the iWin Network, and endowments will be used to cover the operating costs. These funds cover partial support of Executive Director's salary, Associate Director's salary, Research Associate, office supplies, communication costs and other start-up expenses.

8. Potential for Generating Extramural Funds

The potential of the UK Institute for Workplace Innovation to secure extramural funding is far-reaching. The faculty and staff associated with the Institute have a strong history in securing extramural funding. Further, the combined research and service mission of the institute allows for the cultivation of mutually advantageous relationships between organizations and researchers

At present, the Institute has identified several potential external funding sources including federal grant funding and private foundation funding. Social issues pertaining to work/family issues have peaked the interest of both Federal and private foundation sources. Thus, by cultivating interdisciplinary teams of researchers under the auspices of the Institute, we are well positioned to garner extramural funding and support. In addition, the Institute will encourage the development of programmatic funding that will be pivotal to the evolution and retention of a talented research team.

9. Other Benefits of the Center

By supporting and collaborating with iWin, partners and sponsors will be advancing the status of the employees within Kentucky's workplaces – creating a winning situation for all Kentuckians. Partners will also benefit from:

- State-of-the-art workplace research and implementation strategies
- Workplace development initiatives
- The opportunity to network with other business professionals dedicated to making Kentucky an innovative and exciting place to work

The Institute for Workplace Innovation will create positive economic growth within the Commonwealth by helping to overcome the institutional mismatch that exists between the needs of employers and employees. Transforming Kentucky's employers into workplaces of choice will help to create a stable workforce, which in turn helps to enhance employee productivity and overall economic stability. Therefore, workplace innovation is good for the employee, the employer, and the economy. By supporting this project, the University of Kentucky will be supporting Kentucky's economy, workplaces and working families.



KENTUCKY SOCIETY OF TECHNOLOGY
CORPORATION

March 9, 2006

Lee T. Todd, Jr.
President
Office of the President
University of Kentucky
101 Gillis Bldg
Lexington, KY 40506-0033

Dear Lee:

I understand that per the recommendation of the University Work-Life Task Force, Dean Hoffman and Dr. Jennifer Swanberg have established an interdisciplinary institute to address Kentucky's workforce and economic development issues using a novel and innovative approach - that is one that focuses on creating effective workplaces by aligning organizational practices with the demands of employees' work-family lives.

Ever since I heard about the concept of the Work-Life Institute, now known as the Institute on Workplace Innovation, (iWin) I realized that it could not only be an essential resource for organizations that are concerned about issues surrounding recruiting and retaining workers.

The Institute for Workplace Innovation has the opportunity to engage employers in developing a more productive workforce, which may help attract new businesses to Kentucky. Furthermore, the emphasis on the implementation and utilization of innovative workplace options to enhance productivity and work-life balance simultaneously, could help to bring jobs to areas of Kentucky with high unemployment and underemployment. For instance, businesses could "outsources" jobs to rural areas of the state.

Lee, I also believe that the Institute could add real value by addressing the unique pressures and needs of families with providers involved in the high-octane (and uncertain) environment of entrepreneurial companies.

I think the Institute is a good idea and will help extend your vision for the University and Kentucky.

Sincerely,


Kris W. Kimel
President

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UNIVERSITY OF KENTUCKY

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October 30, 2006

Kay Hoffman, Dean
College of Social Work
619 Patterson Office Tower
0027

Dear Kay:

One of the keystones of the University of Kentucky's Top 20 plan continues to be our ability to influence issues that affect the Commonwealth. I have long said that if we are going to attain our goal of becoming a Top 20 public research university, we must conduct the type of research that will have an impact on our citizens.

I view the establishment of the Institute for Workplace Innovation an essential component to attaining that Top 20 status. The Institute's commitment to promoting quality work environments, effective workplaces, and work-family balance are critical to establishing our Commonwealth as an "employer of choice" and ensuring we are prepared for the changing economy and the changing work force.

My office will work with Dr. Swanberg to establish the institute and will provide resources as needed to ensure founding members are identified and established. We will further work with the institute to cultivate employers to serve as charter members of the Institute's network. I am enthusiastic about the regionally based research that Dr. Swanberg is proposing as well as her engagement with national leaders in the area of workplace-based research.

Good luck with this exciting opportunity to advance the economy of Kentucky and the well-being of our citizens. I look forward to working with you and Dr. Swanberg as we proceed in developing the research, educational, and service aspects of the Institute for Workplace Innovation.

Sincerely,

A handwritten signature in black ink, appearing to read 'Lee T. Todd, Jr.' The signature is written in a cursive, flowing style.

Lee T. Todd, Jr.
President

An Equal Opportunity University



College of Social Work
 619 Patterson Office Tower
 Lexington, KY 40506-0027
 (859) 257-6654
 Fax: (859) 323-1030
www.uky.edu/SocialWork/

To: University Senate

From: Kay Hoffman, PhD *KH*
 Dean, College of Social Work

Re: Creation of Institute for Workplace Innovation

Date: October 25, 2006

On September 25, 2006 the College of Social Work unanimously approved the creation of the Institute for Workplace Innovation and recommended that efforts proceed in establishing it as a University Center for research and service.

This memo is to inform the Senate of the College of Social Work's support of the Institute and the work of Dr. Swanberg. She conducts work-family research, specifically examining organizations and working families. She has already gained local and national for her work. We feel most fortunate to have Dr. Swanberg as a faculty member and recommend her as the Executive Director of the Institute for Workplace Innovation.

I look forward to your approval of the Institute and thank you for your time and consideration.



Gatton

COLLEGE OF BUSINESS & ECONOMICS
UNIVERSITY OF KENTUCKY

UK
UNIVERSITY OF KENTUCKY

October 25, 2006

Kay Hoffman, PhD
Dean, College of Social Work
619 Patterson Office Tower
0027

Dear Kay,

The Gatton College of Business and Economics supports of the establishment of the Institute for Workplace Innovation at the University of Kentucky. I look forward to engaging in such a partnership regarding the Institute for Workplace Innovation.

Dr. Swanberg has played the major significant role in envisioning and initiating the establishment of the Institute and we are confident that it will have a considerable impact on work-life environment in Kentucky and the world beyond. I am aware that Dr. Swanberg has already met with several of our faculty/Center Directors related to potential collaborative research.

Partnership among Colleges in creating and maintaining interdisciplinary programs of significance is a necessary ingredient of Top 20 Universities. The groundwork for future joint research efforts with the Gatton College and the proposed Institute is being laid and we are eager to see the growth and development of the Institute take place.

Sincerely,

Devanathan Sudharshan, PhD
Dean, Gatton College of Business and Economics

RE FW iWIN Acad Org and Strut Committee.txt

From: mnewman@uky.edu

Sent: Wednesday, November 08, 2006 10:08 AM

To: Brothers, Sheila C

Subject: RE: FW: iWIN Letters RE: Acad Org and Strut Committee

Ooops! **Positive recommendation**

On 8 Nov 2006 at 9:39, Brothers, Sheila C wrote:

Does the cmte offer the approval with a positive recommendation (or no recommendation or a negative recommendation)?

Thank you! This will probably go to the Senate in December.

Sheila

Office of the Senate Council

Phone: (859) 257-5872

Fax: (859) 257-8375

-----Original Message-----

From: mnewman@uky.edu [mailto:mnewman@uky.edu]

Sent: Wednesday, November 08, 2006 9:22 AM

To: Brothers, Sheila C

Subject: Re: FW: iWIN Letters RE: Acad Org and Strut Committee

Sheila

Looks like we have input from all committee members at this point and all voted to approve the iWin proposal.

Melissa



UNIVERSITY OF KENTUCKY

Learn • Challenge • Succeed

PROVOST BUDGET OFFICE

December 6, 2006

Kaveh Tagavi, Chair
University Senate Council
201 Main Building
CAMPUS 0032

Dear Dr. Tagavi:

RE: Institute for Workplace Innovation (iWin)

I am writing, on behalf of the Provost, concerning the feasibility of establishing the UK Institute for Workplace Innovation in the College of Social Work as a University Center. I understand that the proposal has been approved by the Senate Council which will forward its recommendation to the Senate.

In 2000, the President's Commission on Women asked President Todd to consider establishing a Task Force on Work-Life at the University of Kentucky. The Commission had conducted a series of focus groups to understand the work-life needs of UK's faculty, staff and families. Dr. Jennifer Swanberg, associate professor in the College of Social Work, was secured to analyze the data generated from the focus groups. Her expertise is in the field of Work-Life and policy development. As a result of the Commissions report and request, Dr. Todd established the UK Work-Life Task Force. It was charged with developing recommendations to assist the University of Kentucky faculty and staff in meeting both their work and family needs. An outcome of the Task Force was a recommendation to establish the UK Institute for Workplace Innovation. With support from the President, the Institute was established in July, 2006. The Institute is:

- Developing a regionally based research agenda that is focused on the changing economy and workforce in the 21st century;
- Engaging employers in the adoption, implementation and utilization of innovative workplace solutions that benefit employees, employers and the economy;
- Affecting public discussion about the economic and social benefits associated with innovative workplace options.

Provost Budget Office
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Kaveh Tagavi, Chair
University Senate Council
December 6, 2006
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The Institute is currently funded through start-up funds provided through the President's Office. In addition, iWin has already successfully secured close to \$100,000 of funding from granting agencies and anticipates starting two additional projects by March 2007 which will be supported by external awards. Continued support of the Institute will be sustained by external contracts and research grants as well as the support of the members of the *Employer Network Roundtable* and its prestigious *Founders Circle*. Support is also provided through partnership with the Colleges of Business and Economics Public Health.

The Institute for Workplace Innovation has sufficient resources to ensure continued success. I am certifying this program as administratively feasible.

Sincerely,



Karen T. Combs
Vice Provost for Budget and Administrative Services

Cc: Kumble Subbaswamy
Heidi Anderson
Jeannine Blackwell
Connie Ray
Phil Kraemer