

# Category 1 - Leadership

## 1.1 Senior Leadership

### a. Vision and Values

**1.1a(1)** Rochester Community and Technical College (RCTC) is committed to continuous improvement. This is embodied in the college's values of excellence and innovation. RCTC began its quality journey in 1992 when the former Minnesota Riverland Technical College identified continuous quality improvement as a goal in its strategic plan. Since 1996, the College has participated in the Minnesota Quality Awards program in 1996, 1999, and 2000; and the Malcolm Baldrige National Quality Award (MBNQA) in 2004 and 2005. Additionally, in 2001, the College requested and was granted permission to participate in a special emphasis Baldrige-like reaccreditation process by the North Central Association (NCA) Higher Learning Commission (HLC) using the Baldrige Performance Excellence Criteria. In 2002, RCTC became a member of the Academic Quality Improvement Program (AQIP) of the Higher Learning Commission. AQIP provides for a Baldrige-like process guiding the ongoing accreditation efforts of the College using a continuous quality improvement-based approach. The approach is dynamic and requires annual activities and reporting versus the traditional episodic review once every five to ten years. The commitment to continuous improvement is evidenced by the College's ongoing dedication to self-assessment as a means to plan and improve.

RCTC senior leaders set and deploy strategic directions and goals through a Performance Improvement System (**Figure P.2-3**) which includes a robust Organizational Leadership and Shared Governance System (**Figure 1.1-1**), Student Learning System (**Figure 5.1-1**), diverse communications mechanisms (**Figure P.1-5**), Strategic Planning Process, and Integrated Planning Process (**Figure 2.1-1**).

Feedback reports from the Malcolm Baldrige National Quality Award (MBNQA), the Minnesota Council for Quality (MCQ) and HLC/AQIP have informed the Strategic Planning Process (SPP) and Integrated Planning Process (IPP) by highlighting opportunities for improvement, challenges, and strategic themes. This input has been documented in improvement matrices creating a strategic framework guiding conversations on vision, values, and strategic direction for the College. In November 2004, RCTC reconvened a Strategic Planning Task Force. The purpose of this 20-member strategic planning group was to reaffirm and recast RCTC's signature statements (mission, vision, values, design criteria, and statement of desired culture – see **Figure P.1-2**); and to identify strategic challenges (**Figure P.2-2**). The Strategic Planning Task Force was comprised of leadership personnel from the various collective bargaining units or their designee(s),

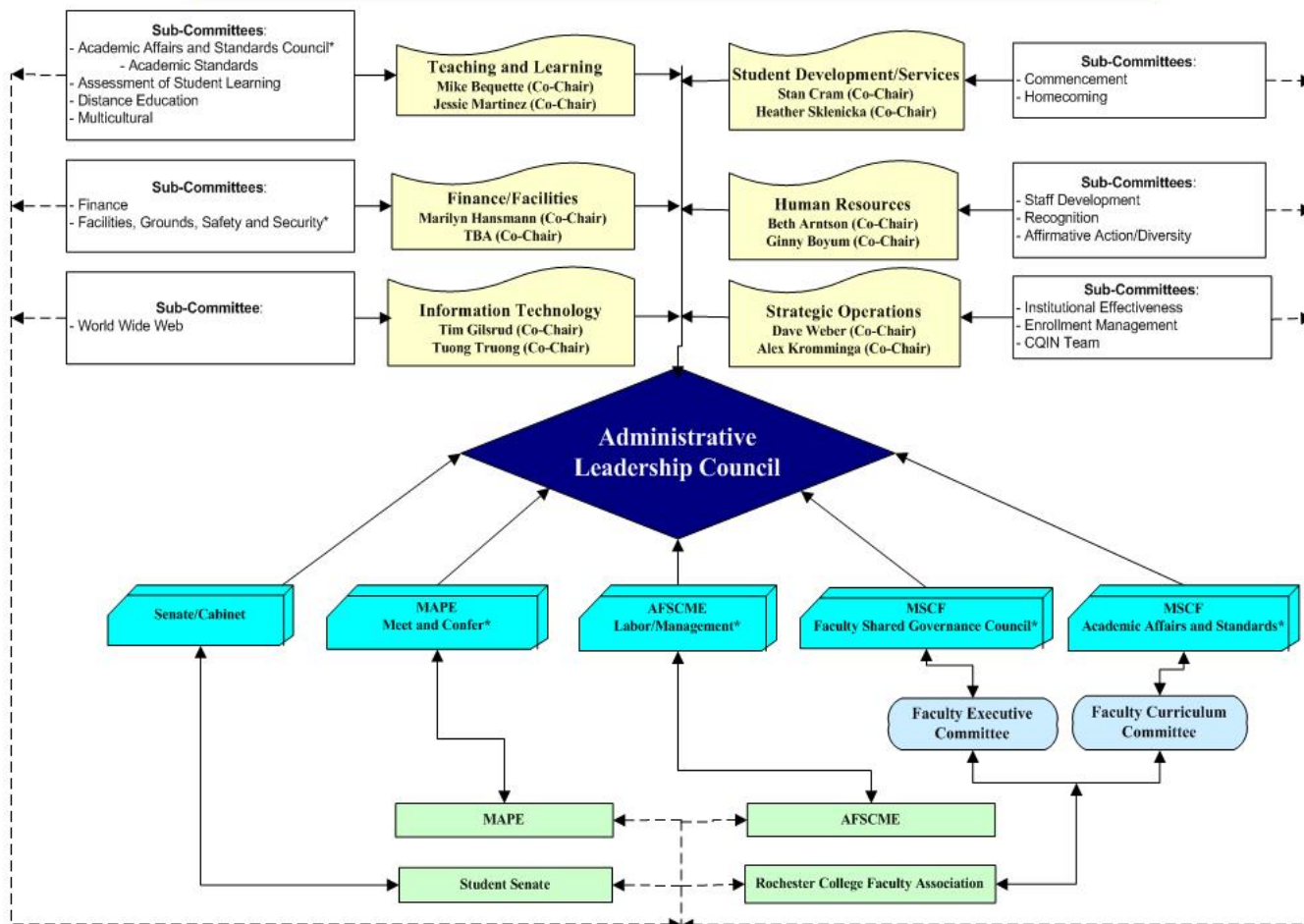
business and industry representatives, and key community and opinion leaders. The outcomes of the Strategic Planning Task Force set college direction for the next three years. Each year as part of the IPP, the Leadership Cabinet and Leadership Council review and make modifications as needed to the strategic plan. This leads to the establishment of Division-level goals and strategies linked to college goals and strategies.

The Organizational Leadership and Shared Governance System is composed of interlocking groups that includes college leadership shared governance groups, the Student Senate and other key stakeholder organizations. RCTC leadership is divided into seven divisions: the Office of the President, Teaching and Learning, Student Development and Services, Finance and Facilities, Human Resources, Information Technology, and Strategic Operations (formerly College Relations and Effectiveness). The College leadership team includes the Leadership Cabinet, Leadership Council, and the Cabinet/Council/Committee's ("C3"). Membership on the Leadership Cabinet includes the President, Vice President for Teaching and Learning, Vice President of Student Development and Services, Vice President of Finance and Facilities, Chief Human Resources Officer, Chief Information Technology Officer, and Chief Strategic Operations Officer. The Leadership Council is comprised of the Cabinet members plus the four Academic Deans.

The College's Leadership System also includes shared governance including groups that exist by contractual agreement to provide a forum for exchange of views between faculty/staff and administration in determination of campus operations, policy, and planning prior to final decision making. All-college committees are depicted in **Figure 1.1-1** in yellow. The College's all-college committee structure is complimented by task forces, ad hoc groups, and other rapid response teams. Newly formed this year is the Cabinet/Council/Committees or "C3". This group includes College leadership and the co-chairs of each all-college committee. They meet as a clearinghouse for committee, sub-committee, task force, and other ad hoc groups.

Other stakeholder populations comprise the leadership system include the University Center Rochester (UCR) partners. The UCR Advisory Council, UCR Executive Council, UCR Cabinet, and UCR Council meet on regular cycles to discuss joint issues. Another dimension of the organizational leadership system is the relationship that RCTC and UCR have to a community advocacy group called the Greater Rochester Area University Center (GRAUC). GRAUC plays a significant role in lobbying the Minnesota Legislature, system officials and others for a dynamic and innovative higher education campus including a focus on campus development and the expansion of upper division and graduate programs at UCR.

# ALL-COLLEGE COMMITTEES



**Figure 1.1-1 – Organizational Leadership and Shared Governance System**

The College also has a Foundation governed by a separate Board of Directors. The Foundation supports college goals and has as its mission to support student access to college through fund raising and scholarship efforts. In addition, many of the College’s 70 academic programs and departments have established program advisory committees including industry experts and practitioners who guide and make curricular and other program recommendations.

**1.1a(2)** RCTC is a member of the Minnesota State Colleges and Universities System (MnSCU) and adheres to State law and system policies and procedures. The College is one of a few colleges and universities that opted to be part of an annual and ongoing financial reporting and auditing process conducted by the Office of Internal Auditing for the system. Periodically, the College also participates in other legislative or agency sponsored audit activities (e.g., financial aid, health and safety, wireless technology, etc.). For the second consecutive year, the College received an Award of Excellence from MnSCU for fiscal management.

**1.1a(3)** The Organizational Leadership and Shared Governance System promotes a grass roots structure that embraces the empowerment of faculty and staff and the alignment of resources to a student-centered, continuous improvement and customer-focused learning community. College leaders reinforce college strategic directions, goals and values through an Integrated Planning Process (IPP) in **Figure 2.1-1** that links self-assessment, continuous improvement planning, and budgeting aligned to signature statements.

The Integrated Planning Process also incorporates a Balanced Scorecard (BSC) approach to managing and tracking college performance. The Balanced Scorecard is composed of eight key performance indicators (KPIs) and related core measures. The BSC (**Figure 4.1-1**) includes college and Cabinet-level dashboards to monitor and track college performance. The IPP empowers academic and non-academic departments with the ability to identify innovative strategies supporting college strategic goals and to be agile by focusing both on college strategic directions

and the unique needs of their key customers, students, and stakeholders.

The College fosters organizational learning using a variety of approaches such as focused Staff Development Day activities. These days include topics aligned with college strategic directions and goals, provide mandated and or need to know information, and offer team building activities and sharing sessions. Staff development day agendas also include topical sessions on health and safety, ethics, fraudulent acts and reporting requirements and other legal topics. Organizational learning is further fostered through the Center for Teaching and Learning (CTL) that provides knowledge sharing and educational opportunities. By contract, all faculty are eligible to receive an annual amount of money no less than \$500 to support professional and personal development activities through a faculty administered budget. All non-teaching staff can access a minimum of \$300 annually to support personal and professional development through an all-college staff development budget. The College is in the beginning stages of these initiatives. The first was to tie annual performance evaluation to the creation of professional development plans.

Another initiative was the creation of a year-long calendar of staff development activities on campus, such as “Just for You” technology-training sessions covering wide array of topics. A third initiative was the establishment of “Leadership RCTC.” This program is intended to develop leadership and future leadership succession through a one-semester leadership orientation program. Another leadership program that the College has three participants in cohort one is the MnSCU Leadership Academy. Orientation sessions for new faculty and staff include an overview of legal and ethical behavior.

## **b. Communication and Organizational Performance**

**1.1b(1)** Diverse communications approaches are used to communicate and deploy college strategic directions (**Figure P.1-5**). Other communications tools that are used include the Baldrige Banterings newsletter, signature cards, RCTC Forums, strategic planning documents, and presentations at other staff meetings. For example, faculty and staff have been provided with signature cards that outline the college vision, mission, values, and key performance indicators.

Shared governance provides a forum for the exchange of views between faculty/staff and administration in determination of campus operations, policy, and planning prior to final decision making (**Figure 1-1.1** dark green boxes). Shared governance provides a forum for communicating and ensuring leadership accountability for management actions related to collective bargaining agreements, fiscal accountability and the protection of stakeholder interests. The formation of an all-college Finance/Facilities Committee provides a venue to gather

input, receive recommendations and assume accountability for fiscal matters. The Minnesota State College Faculty (MSCF) Shared Governance Council (General Matters), and MSCF Academic Affairs and Standards Council (Curriculum), are groups that ensure accountability and a balance of interests within the organizational leadership and governance system. Similar strategic and operational dialogues occur with AFSCME Labor/Management, and MAPE Meet and Confer. The UCR Executive Council, UCR Advisory Council and GRAUC bring an external view and promote and provide for other stakeholder interests. GRAUC serves as a liaison with the UCR partners and represents community interests as proposals for co-development are advanced to the Rochester City Council for approval.

The College’s Organizational Leadership and Governance System includes active and monthly dialogue with students at Student Senate/Leadership Cabinet meetings. The Student Senate is composed of officers and eight freshmen and sophomore senators. The Student Senate meets monthly with the Leadership Cabinet. The College has a long history of partnership with students since the formation of the Student Council in 1921. This robust organizational leadership structure allows college leaders to share, gather input, gain support, establish two-way communications, and balance value for all key student and stakeholder groups including key customer segments, stakeholders, partners, and suppliers on a weekly or monthly basis. This robust system allows for an exchange of views, meet and confer, and an exchange of dialogue to gain input about needs, expectations and the requirements of the college’s diverse community. College leadership deploys strategic directions and goals in support of its signature statements through these leadership bodies.

Each month, the College president awards the “Best Bee” award (on the recommendation of the Recognition Subcommittee). Additionally, at each Staff Development Day function, staff and teams are recognized for achievements. Merit Awards are also selected by senior leaders annually based upon nominations by supervisory staff. These awards are given based upon MnSCU policy and procedures and/or language contained in collective bargaining agreements.

**1.1b(2)** The College identifies KPIs linked to goals and core measures aligned with core strategies. Each Cabinet member has undergone a process to create dashboards (**Figures 6.1-1 and 6.2-1**) with measures that are part of the College dashboard and other measures linked to learner-centered and key support processes (Levels 1-2-3) composing the Student Learning System (SLS). Linkages of KPIs and core measures with goals are depicted in **Figure 2.2-2**. The College has taken previous feedback reports from the Minnesota Council for Quality, the Higher Learning Commission, and MBNQA and created improvement matrices by categories within in the Malcolm Baldrige Performance Excellence Criteria. These have been used to identify patterns of similar feedback leading to the

establishment of strategic directions, goals, functional level strategies, and actions. KPI and core measure trends, improvement matrices, and intelligence gathered from the College's diverse listening and learning approaches validate the institutions strategic focus. The Organizational Review and Program Analysis Process (not shown) is used to flow external review findings into the SPP and IPPs. An example this year was a repeated finding related to student and stakeholder service. Feedback from formal research and opportunities for improvement cited in feedback reports cited gaps in service. This resulted in a college goal being modified and each divisional work plan including a goal on service. Every department in this example was to write a supporting strategy signaling how they would improve service in their respective areas. These activities focus the College on actions supporting the values of innovation and excellence and our vision to be a gateway to world-class learning opportunities.

## 1.2 Social Responsibility

### a. Organizational Governance

**1.2a(1)** The College addresses its impact on society for its programs, services, and operations in several ways. The first approach is accreditation. RCTC has both institutional and programmatic accreditation. At the institutional level, the HLC accredits RCTC. The last major review was conducted in the spring of 2001. Since that time, RCTC has joined the Academic Quality Improvement Project (AQIP). AQIP is for institutions seeking a more dynamic and Baldrige-like approach to accreditation. Being a member of AQIP requires yearly activities and reporting on a seven-year cycle. In addition, the college has a number of specialized program accreditations ([Figure P.1-4](#)).

The College also has key practices to ensure legal, safety, risk management and equity ([Figure 1.2-1](#)). Legal requirements are monitored and managed by the Office of the President. Each institution is assigned a liaison in the Attorney General's Office to assist college leadership in operational, health, safety, and other legal matters. The Attorney General's Office also assists the campus in interpreting policy, procedure, and matters of State law. College operations are governed by state statutes and policies and procedures established by the Board of Trustees. Risk management assessments are conducted by Construction-Occupancy-Prevention-Exposure (COPE) in conjunction with the Finance and Facilities Office. Responsibilities for health, ethics, workplace safety, affirmative action, and equity are co-managed by the Human Resources and Finance and Facilities Offices to assure compliance. The College has also established a Critical Incident and Response Plan to address campus emergencies including chemical/hazardous substance spills, civil protest, criminal or violent behavior, gas leaks, fire, flood, aircraft down on campus, death on campus, etc. This has been done to protect students, faculty and staff, stakeholders, and the general community from adverse

impacts of college operations. The College is working with MnSCU, Olmsted County Public Health and other agencies in the creation of a Pandemic Flu plan to be complete this summer.

**1.2a(2)** Each year the Office of the President conducts performance assessments for all Leadership Cabinet members. A 360-degree multi-rater process is used. Target populations include pre-determined participants by the President and individuals recommended by the Leadership Cabinet members. The total survey population includes internal and external individuals who are key customers, suppliers, partners, and other stakeholders. Approximately 40 persons are targeted in each assessment. Responses are collected via electronic surveying. Leadership Cabinet members submit individual self-assessments, summaries of achievements related to college goals, and goals for the next fiscal year. The President meets with each Leadership Cabinet member to share findings, discuss areas for improvement and agree on goals. This process has been in place for several years. In the 2002-2003 fiscal year the process went from a paper and pencil method to electronic surveying. This increased overall participation rate and reduced the cycle time to complete the process.

### b. Legal and Ethical Behavior

**1.2b(1)** The College addresses its legal behavior and impacts of its operations on the greater Rochester area through the management of a variety of compliance processes ([Figure 1.2-1](#)). For each categorical responsibility practice, measures and targets are identified.

**1.2b(2)** RCTC employees are required to adhere to ethical obligations and a code of conduct established by Minnesota State Statute 43A.38. This Code of Conduct includes an obligation for reporting and investigating fraudulent or dishonest acts. The law, policies and procedures are included on the college web site and in the employee online handbook. See 5.2(2) text for additional information.

### c. Support of Key Communities

**1.2c** RCTC is active in the Greater Rochester Area. This involvement is wide and diverse. Activity is targeted in community organizations, service organizations, and in initiatives targeted at supporting populations of people with identified needs. College leaders, faculty, and staff serve in a number of local organizations ([Figure 7.6-2](#)) and on local boards including the Rochester Area Chamber of Commerce, the Rochester Diversity Council, Leadership Greater Rochester, Rochester Rotary Clubs, Rochester Area Quality Council (RAQC), Rochester Arts Council, Boys and Girls Club, Intercultural Mutual Assistance Agency (IMAA), Family Y, Rochester Area Math Science Partnership (RAMSP), and others. Sixty-three percent of those volunteering do so between one and ten hours per month. In addition to support for organized groups, the college is engaged in other community stewardship efforts

including Adopt a River, Adopt a Highway, United Way, Christmas Anonymous, Habitat for Humanity, and others. Each year, RCTC seeks donations of Teddy Bears from faculty, staff, and friends of the college. These Teddy Bears are given to the Olmsted County Sheriff's Office and the Rochester Police Department. The bears are used by law enforcement officials as gifts of comfort given to children who are themselves or have family who have been involved in accidents or are victims of crimes.

Key college communities include those that have a focus on higher education, complement college strategic directions and goals, and/or provide services to potential student populations or groups. RCTC is also involved with organizations whose purpose is to advance the economic vitality and quality of life in the Greater Rochester Area. As a community college, part of our mandate is to broadly meet

the diverse needs of the community and serve as a resource to the community and the region. The College has active partnerships and staff representation with area organizations which serve targeted or underserved populations. The College is active in organizations that promote educational, cultural, and recreational opportunities for area youth. The College is a founding member and has played an active role in the Rochester Area Quality Council. The Council has brought ten previous MBNQA recipients to the community in support of college and community needs. Other world-class programming includes the Disney Keys to Excellence, the Pike Place Fishmongers, and business best-selling authors have come to campus as a result of this partnership. The College has been active with the Chamber of Commerce supporting annual initiatives, providing support, and co-sponsoring community-wide planning programs.

Responsibility	Process	Practices	Measures	Goal/Target
Legal	College Policy Development	Legal Consultation	Compliance with State Law	Compliance
Risk Management	Risk Management	Insurance Reviews	COPE Review Findings	No Findings
Ethics	College Policy Development	Human Resources	Adherence to Policy	No Ethical Violations
Equal Education and Employment Opportunity and Affirmative Action	Affirmative Action/Diversity	Reasonable Accommodations Access	Compliance to Standards Grievances Investigations American's With Disabilities (ADA)	Compliance 0 0 No Findings
Health and Safety	Parking/Security	Right to Know  Campus Security  Workplace Safety	Participation in Right to Know Training  Crime Reports	99% All Maintenance Staff Trained  No more than 1 incident per year  Yearly Walk Around
Critical Incident	Parking/Security	Critical Incident Planning	Number and Type of Incidents	0
Accreditation	Institutional Assessment	Continuing Accreditation	Full Accreditation – No Finding	No Findings
Fiscal Accountability	Budgeting and Financial Reporting	System Audits	Clean Audit - No Significant Findings	Clean Audit

Figure 1.2-1 – Societal Responsibilities