

# 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 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, 2005 and 2006. 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 Higher Learning Commission's Academic Quality Improvement Program (AQIP). AQIP provides a Baldrige-like process guiding the College's ongoing accreditation efforts using a continuous quality improvement-based approach. The dynamic approach requires annual activities and reporting versus the traditional episodic review once every five to ten years. The College's commitment to continuous improvement is evidenced by dedication to self-assessment as a means to plan and improve.

RCTC senior leaders set and deploy strategic directions and goals through the College 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 6.1-1), diverse communications mechanisms (Figure P.1-5), Strategic Planning Process, and Integrated Planning Process (Figure 2.1-1).

Feedback reports from the MBNQA, the Minnesota Council for Quality (MCQ) and HLC/AQIP have benefited 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. Each year, the Leadership Cabinet and Leadership Council reviews and modifies the strategic plan as needed in the IPP. This links and aligns Division-level goals and strategies to College strategic directions and goals. The College will undergo another Strategic Planning process in the Fall of 2007.

The Organizational Leadership and Shared Governance System (Figure 1.1-1) is composed of interlocking groups that include college leadership, shared governance and meet and confer groups, the Student Senate, and other key

stakeholder organizations. RCTC Leadership is divided into seven divisions: the Office of the President, Teaching and Learning (Academic Affairs), Student Development and Services (Student Affairs), Finance and Facilities, Human Resources, Information Technology, and Strategic Operations (College Relations and Effectiveness). The College leadership team includes the Leadership Cabinet, Leadership Council, and the Cabinet/Council/Committees (C3). The members of the Leadership Cabinet are 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 Organizational Leadership and Shared Governance System includes meet and confer and shared governance 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. These groups are depicted in Figure 1.1-1 in red. All-college committees are depicted in blue. The College's all-college committee structure is complimented by sub-committees, task forces, ad hoc groups, and other rapid response teams depicted in yellow. RCTC's Cabinet/Council/Committees, referred to as "C3," aligns with the MnSCU committee structure, and membership includes College leadership and the faculty/staff co-chairs of each all-college committee. C3 meets monthly as a clearinghouse for committee, sub-committee, task force, and other ad hoc groups to share issues and focus on major topics affecting the College. Notes from the meetings are published on the College's website to promote open communication.

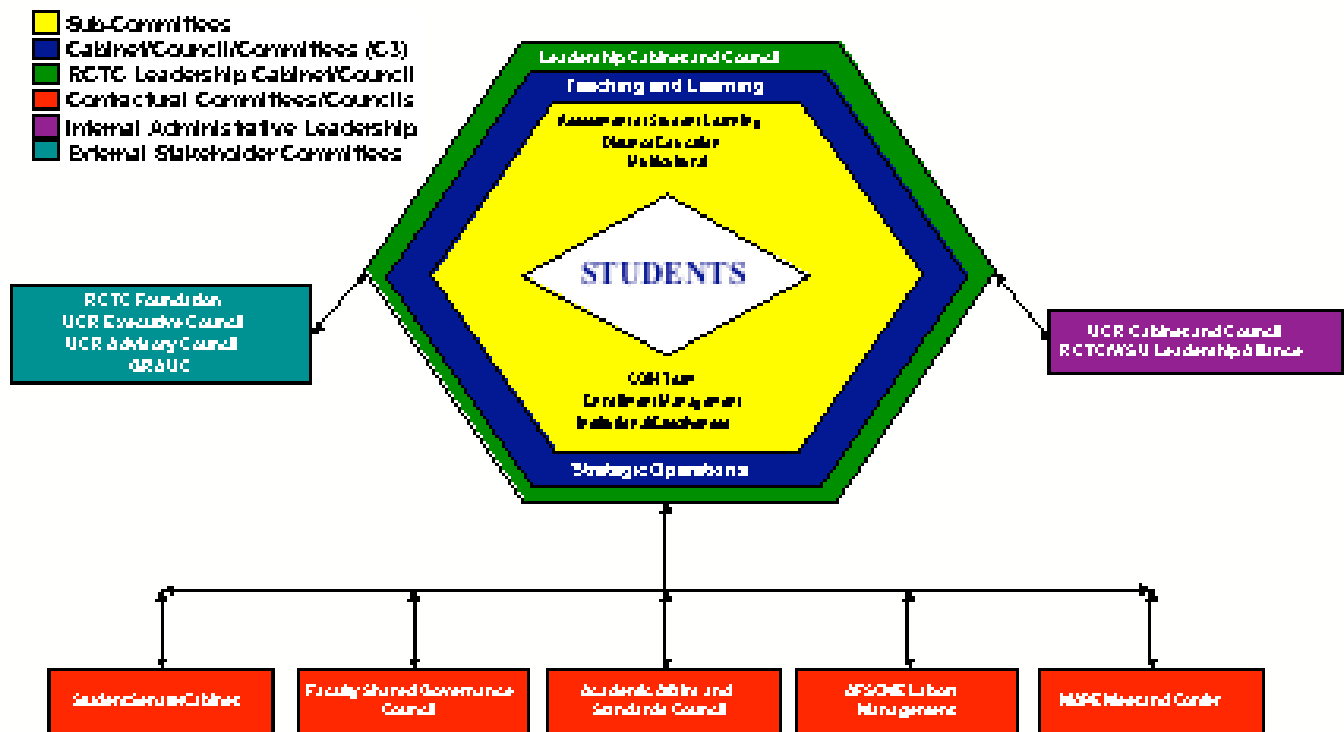
Other stakeholder populations comprise the leadership system at University Center Rochester (UCR). The UCR Advisory Council, UCR Executive Council, UCR Cabinet, and UCR Council meet on regular cycles to discuss joint issues. The primary purpose of UCR Advisory Council is to strengthen UCR through advice and counsel to Chief Officers of the three UCR partners. Significant emphasis is made on academic programs, including support for industry advisory committees that address the full compliment of UCR program offerings and needs. Other issues addressed by the UCR Advisory Council include recruitment, retention and placement of students, faculty recruitment, technology infrastructure, campus site plans, and other subjects relevant to academic program support

Another dimension of the organizational leadership and shared governance system is the relationship that RCTC and UCR have with the Greater Rochester Advocates for Universities and Colleges (GRAUC), a community advocacy group (depicted in green). GRAUC plays a major 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 expansion of upper division and graduate programs offered by UCR Partners. 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 and state government.

The College also has a Foundation governed by a separate Board of Directors. The Foundation supports college goals and has a mission that enhances 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 comprised of industry experts and practitioners who guide and make curricular and other program recommendations.

## Organizational Leadership and Shared Governance System



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

**1.1a(2)** RCTC is a member of the Minnesota State Colleges and Universities System (MnSCU) and adheres to State laws and system policies. RCTC is part of an annual financial reporting and auditing process conducted by the MnSCU Office of Internal Auditing. Periodically, the College also participates in other legislative or agency sponsored audit activities (e.g., financial aid, health and safety, wireless technology, etc.). There are also various laws and policies governing ethical behavior as outlined in **5.1b(2)**.

**1.1a(3)** The Organizational Leadership and Shared Governance System promotes a grass roots structure that embraces empowerment of faculty and staff and 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) **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 BSC is composed of twelve key performance indicators (KPIs) and 27 Core Measures (CMs). 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 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 through its workforce development system and a variety of approaches such as orientation sessions for new faculty and staff conducted at the beginning of each semester, focused Staff

Development Day events and other development activities that are further outlined in **5.1b**. Additionally, the College ties employee annual performance reviews with individual professional development plans that will be required of all faculty and staff starting in FY08. The College also offers a wide array of leadership development opportunities also further outlined in **5.1-b**. RCTC also has a variety of employee recognition programs in place, and has a strategy to expand on recognition efforts in FY08. And finally, the College has developed “Leadership Investment for Tomorrow (LIFT)”, a new and dynamic program especially designed for students. LIFT develops effective and essential leadership skills through education and diverse experiences. These up and coming student leaders are mentored by key high-level administrative personnel and assist in numerous College projects that result in valuable life skills.

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

**1.1b(1)** Diverse communication approaches are used to communicate and deploy college strategic directions (**Figure P.1-5**). Other communications tools include the Baldrige Banterings newsletter, signature cards, strategic planning documents, and presentations at staff meetings. For example, faculty and staff have been provided with signature cards that outline the college vision, mission, values, and key performance indicators. Additionally, in order to ensure immediate communication for both students and employees on campus during an emergency, the College has enrolled in an emergency notification engine provided through Connect-ED. Through this pro-active approach, the College will achieve major improvements in communication, public relations and good will.

Labor/Management, meet and confer and shared governance forums provide for an exchange of views between faculty/staff and administration in determining campus operations, policy, and planning. Although final approvals are made by the President (with consultation with the Cabinet/Council) (Figure 1-1.1 white box), these forums provide a means of communicating and ensuring leadership accountability for management actions related to collective bargaining agreements, fiscal accountability and the protection of stakeholder interests. For example, 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 Committees. The UCR Executive Council, UCR Advisory Council and GRAUC bring an external view and promote and provide for other stakeholder interests.

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 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 information, gather input, gain support, initiate two-way communications, receive recommendations, 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 sharing 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.

In addition to the structured shared governance processes, the College also provides an on-line “Comment Card” avenue for stakeholders to share compliments and concerns anonymously via the internet. This process does not supersede any formal grievance procedure, but rather makes available another tool for comments to be received by the Office of the President; logged; categorized; and routed to the appropriate person/department for investigation/follow-up. **See 3.2a(3)**.

**1.1b(2)** The College identifies strategic directions and goals linked to KPIs and core measures in **Figure 2.2-2**. Each Cabinet member has undergone a process to create dashboards (**Figures 6.2-1 and 6.2-2**) with measures that are part of the College dashboard and other measures linked to learner-centered and key support processes (1,2, and 3) composing the Student Learning System (SLS) (**Figures 6.1-1**). 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 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 institution’s strategic focus. The Organizational Review and Program Analysis Process 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 to include a goal on service in each divisional work plan outlining how they would improve services in their respective areas. These activities focus the College on actions supporting the values of learner-centered, 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 the impact on society of 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 Program (AQIP). AQIP is designed 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 MnSCU General Counsel also assists the campus in interpreting policies, procedures, and matters of State law; and provides legal and ethical training for the employees. College operations are governed by state statutes and policies/procedures developed by the Office of the Chancellor and approved 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 completed this summer.

**1.2a(2)** Annually the Office of the Chancellor conducts an assessment on the performance of the President. The 360-degree multi-rater process includes surveying a list of key constituency groups mutually agreed upon between the Chancellor and the President. These constituents include members from the student body, bargaining unions, subordinates, peers and community leaders. In addition to the survey, the President submits to the Chancellor a list of achievements from the previous year, and a work plan for the upcoming year. Upon completion of the survey

summary, the Chancellor meets individually with the President to review the assessment materials.

Locally the Leadership Cabinet members follow a similar 360-degree multi-rater process for annual performance reviews, which includes surveying 50-70 stakeholders mutually agreed upon between the Leadership Cabinet member and the President. In addition to the stakeholder assessment feedback, each Leadership Cabinet member submits to the President individual self-assessments, summaries of achievements related to College goals, and goals for the next fiscal year. The President meets individually with each Leadership Cabinet member to share the findings, discuss areas for improvement and mutually agree upon the divisional goals. Both the Presidential assessment and Leadership Cabinet assessment processes have been in place for several years.

### b. Legal and Ethical Behavior

**1.2b(1)** The College addresses its legal responsibilities and impact of its operations on the greater Rochester area through the management of a variety of compliance processes (**Figure 1.2-1**). Each categorical responsibility identifies processes, practices, measures and goals/targets.

**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, in the employee online handbook, and shared through training at staff development days. **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, Family Y, Rochester Area Math Science Partnership, 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 Highway, United Way, Christmas Anonymous, Habitat for Humanity, and others. Each year, RCTC collects Teddy Bears from faculty, staff, and friends of the college, and donates them to the Olmsted County Sheriff's Office and the Rochester Police Department, who in turn share them with other local agencies who come upon children in need of a "friend" for

comforting during a traumatic situation (automobile accident, domestic violence situation, etc.)

Key college communities, including those that 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 that serve targeted or underserved populations. The College

is active in organizations that promote educational, cultural, recreational and social 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 eleven 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	Figure Reg.
Legal	College Policy Development	Legal Consultation	Compliance with State Law	Compliance	7.6a(3)
Risk Management	Risk Management	Insurance Reviews	COPE Review Findings	No Findings	7.6a(4)
Ethics	College Policy Development	Human Resources	Adherence to Policy	No Ethical Violations	7.6a(2)
Equal Education and Employment Opportunity and Affirmative Action	Affirmative Action/Diversity	Access Searches	Compliance to Standards	Compliance	7.6a(4)
	American's With Disabilities Act		Grievances Investigations Office of Civil Rights Review	0 0 No Findings	7.4a(1) At Site 7.6a(4)
Health and Safety	Parking/Security	Right to Know	Participation in Right to Know Training	99% All Maintenance Staff Trained	At Site
		Campus Security	Crime Reports	No more than 1 incident per year	7.5-17
		Workplace Safety		Yearly Walk Around	At Site
Critical Incident	Parking/Security	Critical Incident Planning	Number and Type of Incidents	0	7.5-17
Accreditation	Institutional Assessment	Continuing Accreditation	Full Accreditation – No Finding	No Findings	7.6a(4)
Fiscal Accountability	Budgeting and External Financial Reporting	System Audits	Clean Audit - No Significant Findings	Clean Audit	7.6a(3)

**Figure 1.2-1 – Societal Responsibilities**