

# Category 1 - Leadership

## 1.1 Senior Leadership

### a. Vision, Values and Mission

**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 (MQA) program in 1996, 1999, and 2000; and the Malcolm Baldrige National Quality Award (MBNQA) in 2004, 2005, 2006 and 2007. 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. This dynamic approach requires annual activities and reporting versus episodic reviews 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, innovate and improve.

RCTC senior leaders set and deploy strategic directions and goals through multiple systems including the College Performance Improvement System (**Figure P.2-3**), Organizational Leadership and Shared Governance System (**Figure 1.1-1**), Student Learning System (**Figure 6.1-1**), Strategic Planning Process (SPP), Integrated Planning Process (IPP) in **Figure 2.1-1**, Balanced Scorecard (Category 4) and diverse communications mechanisms (**Figure P.1-5**). Feedback reports from the MBNQA, the Minnesota Council for Quality (MCQ) and HLC/AQIP have benefited SPP and IPP processes by highlighting strengths, opportunities for improvement, and challenges. Each year, the Leadership Cabinet and Council reviews and modifies the strategic goals and divisional strategies as a kick-off step for the IPP. This ensures that goals and Division-level strategies continue to be important to the College's sustainability.

The Organizational Leadership and Shared Governance System (**Figure 1.1-1**) is comprised of integrated groups that include college leadership, shared governance and meet and confer constituencies, the Student Senate, and other key stakeholder organizations. RCTC Leadership is divided into six divisions all reporting to the College President: Teaching and Learning, Student Development and Services, Finance and Facilities, Human Resources, Information Technology, and Strategic Operations. The College leadership team

includes the Leadership Cabinet, Leadership Council (**depicted in green**), 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.

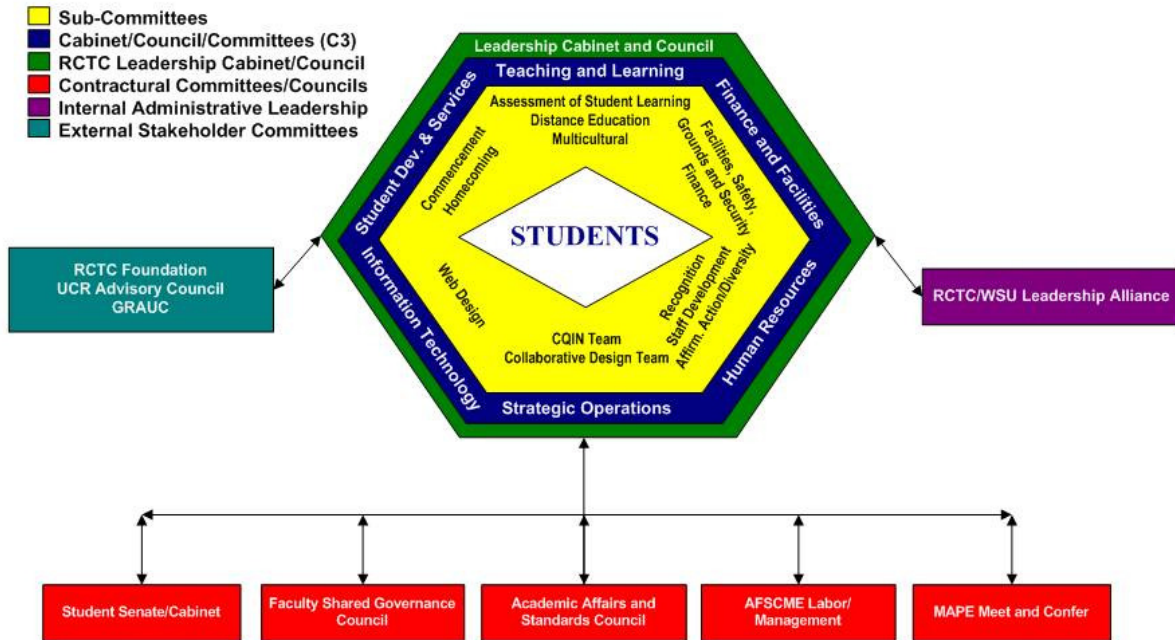
The College's Organizational Leadership and Shared Governance System includes meet and confer and shared governance groups that exist by contractual agreement to provide a forum for exchange of views between faculty/staff and administration in determination of campus operations, policy, and planning 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 and are depicted in **yellow**. RCTC's

Cabinet/Council/Committees, is referred to as "C3," and aligns with the Minnesota State Colleges and Universities (MnSCU) Board of Trustees committee structure. C3 membership includes college leadership, and faculty and staff. Each committee is led by a senior cabinet member and a faculty/staff co-chair chosen by the 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. This year, a common five-step values-driven and outcomes-based meeting structure was adopted by C3 committees to ensure continuity and consistency between committees and a focus on values and outcomes.

The College also has the RCTC Foundation that is governed by a separate Board of Director's, the Foundation Executive Director reports to the College President. The Foundation supports college goals and has a mission that enhances student access to college through fund raising and scholarship efforts. Other aspects of the organizational leadership and shared governance system (**depicted in teal**) are fully outlined in the Organizational Profile **P.1b(1)**.

**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)**.

## Organizational Leadership and Shared Governance System



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

**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 the Integrated Planning Process (IPP) **Figure 2.1-1** which links self-assessment, continuous improvement planning and aligns resources to our vision, mission and values (signature statements) in **Figure P.1-2**.

The IPP also integrates a Balanced Scorecard (BSC) approach to managing and tracking college performance. The strategic plan is shown as a Strategy Map in Category 2. RCTC tracks 41 core measures (CMs) each aligned to a college goal and dynamically tracked on the BSC. College goals are (**Figure 2.1-3**) aligned with the MnSCU strategic plan and the Accountability Dashboard. The BSC (**Figure 4.1-1**) includes College and Cabinet-level dashboards to monitor and track college performance. The IPP requires annual self-assessment and empowers academic and non-academic departments to identify initiatives, strategies, and actions supporting college goals and division strategies. Departments must be agile and focus both on college strategic directions and the unique needs of their key customers, students, and stakeholders. These efforts create

an environment focused on organizational performance and improvement.

The College fosters organizational learning through its Student Learning System (SLS) in **Category 6** by using a variety of approaches including 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 is establishing a performance management system that aligns employee’s annual performance reviews with individual professional development plans, the College’s competency model and other evaluative standards. RCTC offers a wide array of leadership development opportunities including Leadership Greater Rochester, Leadership RCTC, and the Luoma Leadership Academy further outlined in **5.1-b**. RCTC also has a variety of programs in place including Best Bee’s, Shining Stars and a newly implemented effort patterned after a Ritz Carlton best practice called “WOW stories.” The College has also developed the “Leadership Investment for Tomorrow (LIFT),” 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, maintain a focus on performance and deploy the College's vision, mission, values and goals (**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, core outcomes, etc. Additionally, in order to ensure immediate emergency communication for both students and employees, the College launched the STAR Alert Emergency Notification System.

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 American Federation of State, County, Municipal Employees (AFSCME) Labor/Management and Minnesota Association of Professional Employees (MAPE) Meet and Confer Committees. The UCR Advisory Council and the Greater Rochester Advocates for Universities and Colleges (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 representatives from chartered clubs. 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. All comments are logged, categorized, and routed to the appropriate person/department for investigation/follow-up. **See 3.2a(3).**

Last year President Supalla implemented a series entitled *Chat with the President*. The purpose of these sessions was to provide an avenue for faculty and staff to visit with President Supalla on campus issues and share ideas. There are no agenda, no presentations, just chat. The Vice President for Teaching and Learning holds similar sessions called "Open Mike."

**1.1b(2)** The College identifies strategic directions and goals linked to core measures in **Figure 2.2-2** via leadership meetings and as part of it SPP, IPP and BSC processes. For example, each Cabinet member has undergone a process to create dashboards with measures that are part of the College dashboard and other measures linked to Level 1, 2, and 3 processes comprise the Student Learning System (SLS) (**Figures 6.1-1**).

To further cascade these processes, create alignment and embed a culture of accountability and continuous improvement, each year all academic departments engage in academic program review (APR) with nonacademic departments conducting comparable self-assessment. Then, in the IPP continuous improvement plans are submitted and resource requests are made. Plans are then linked to Level 1, 2 and 3 processes and departmental measures that support division strategies and college goals. All nonacademic departments undertake a similar process. Each academic and nonacademic department has a dashboard of CMs that are strategically and operationally aligned. As part of the IPP, all departments submit mid-year and end-of-year reviews as to progress achieved.

The College's participation in the Academic Quality Improvement Program (AQIP) requires a declaration of vital few action plans. The identification of these actions plans derives from institutional research findings and strengths and opportunities highlighted in previous feedback reports from the Minnesota Council for Quality, the Higher Learning Commission, and Malcolm Baldrige National Quality Award and other sources. In the Strategic Planning Process (SPP), the College conducts an Organizational Review and Program Analysis Process to examine findings and establish strategic focus. For example, the College declared Better Serving Stakeholders as one of its vital few projects. The Strategic Operations Committee has established a strategy map with eight strategies and multiple

actions to guide improvement efforts. To date this has resulted in actions including the establishment of service attributes, design of a Welcome Center, the Collaborative, new committee meeting process, the Buzz Box, and Gesture of Goodwill initiatives. Similar efforts are underway with other committees. The AQIP process operates on a seven year reaffirmation of accreditation process. Each year, the College must report on its progress on its vital few projects. The College can retire projects and add new ones each year, thus keeping a constant focus on improvement.

As noted above, this year the College has launched an initiative called “The Collaborative.” This process was a Mayo Clinic best practice that the College has benchmarked and adapted to its environment. The Collaborative creates a year-long approach focused on improvement, innovation, and problem solving efforts on system challenges and opportunities the College is facing. The approach is deployed through the C3 all-college committee structure. Each committee selects an area of focus based on research and feedback report findings. Then, a structured process of learning, sharing and making positive change is undertaken. All committees will participate in four learning sessions complimented with work between these learning events using an enhanced plan, do, check, and act methodology based on the Toyota problem solving process. Committees can collaborate with other committees and invite other employees and content experts to participate in the process. A feature of all learning sessions is the ability of all faculty and staff to participate in keynote presentations that are part of each learning event.

## **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 implemented 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 can utilize MnSCU General Counsel and is assigned a liaison in the State Attorney General’s Office to assist college leadership in operational, health, safety, and other legal matters. The MnSCU General Counsel 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 Emergency Operations 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.

**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. 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 and Council members follow a similar 360-degree multi-rater process for annual performance reviews, which includes surveying 30-50 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 process also requires Cabinet members to address performance levels for measures on divisional dashboards. 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 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
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  American’s With Disabilities Act	Access Searches	Compliance to Standards Grievances Investigations Office of Civil Rights Review	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 External Financial Reporting	System Audits	Clean Audit - No Significant Findings	Clean Audit

**Figure 1.2-1 – Societal Responsibilities**