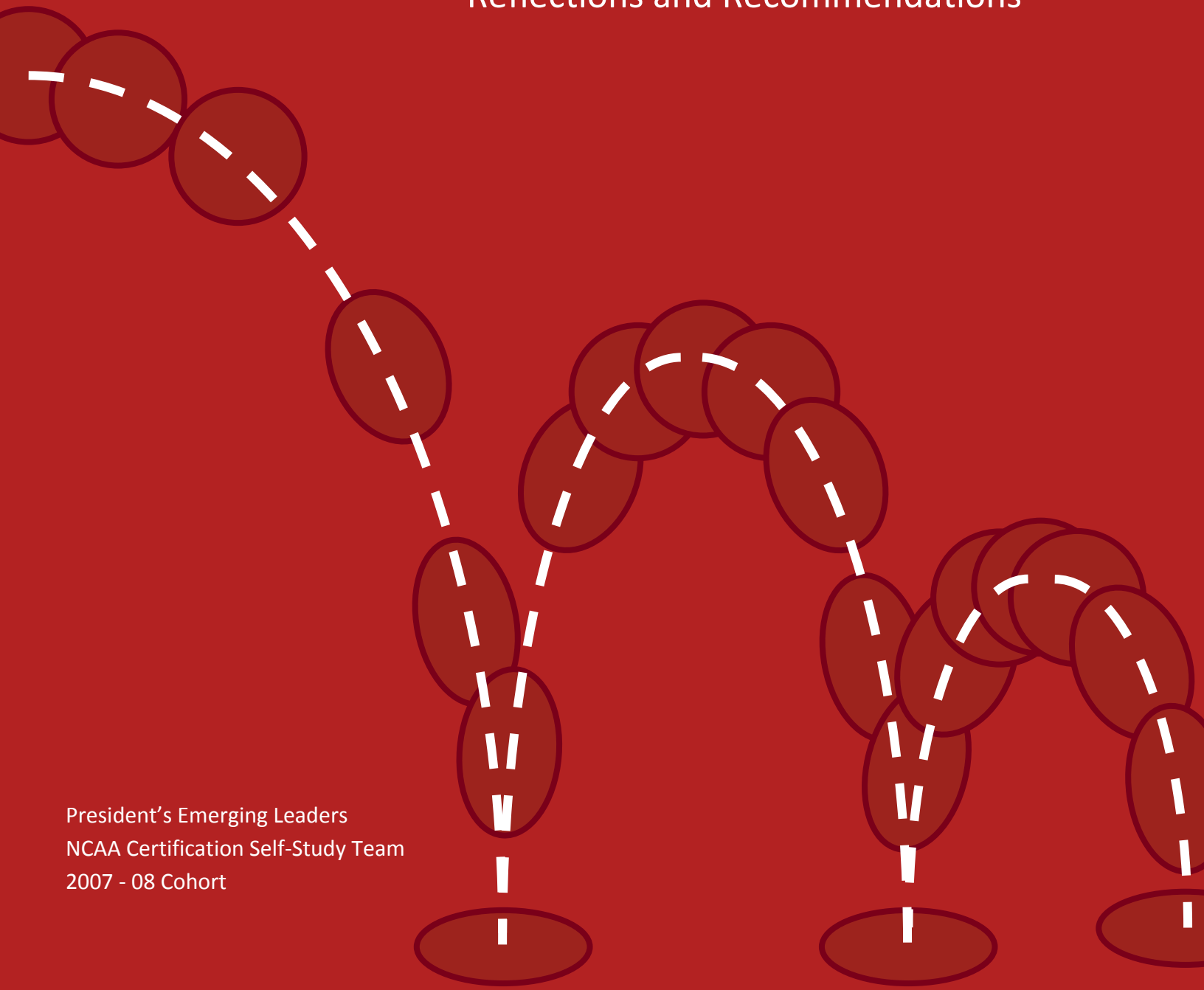


▶ Comprehensive Self-Studies

Reflections and Recommendations



President's Emerging Leaders
NCAA Certification Self-Study Team
2007 - 08 Cohort

Participants

Project Sponsor

Gail Klatt

Associate Vice President for Internal Audits

Team Leader

Lynn K. Holleran

Associate to the Vice President and
Chief of Staff in the Office of the President

Team Members

Maggie Aftahi

College of Liberal Arts

Aaron Asmundson

Office for Student Affairs

Matt Nuttall

Academic Support Resources

Tricia Sanders

University of Minnesota, Crookston

Peggy Talbot

University Services

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Executive Summary

Project Charge

The National Colligate Athletic Association (NCAA) Self-Study President's Emerging Leaders (PEL) team's project will be to assess and evaluate the self-study review process. The question to be answered was whether adopting this methodology more broadly at the University could potentially help us achieve our goal of becoming a top three public research institution?¹

Scope: The team only considered comprehensive self-studies as they could apply to service-and-support units (i.e. non-academic units).

Major Findings

We do not believe the cost of a comprehensive review for all service-and-support units will have a proportionate impact on the University's goal of increased rank. The University's central resources will be better spent studying how service-and-support units can improve their often narrow support areas related to the goal to be top three. For example, our registration times could always be faster, but it is not clear that improving them at this point will increase our rankings. Instead, the Office of the Registrar should be (and is) focused on increasing graduation and retention rates which are an accepted high level ranking metric identified by the Strategic Positioning process.

Purpose & Incentive: "Self-improvement" is not the driving force for units who regularly conduct comprehensive self-studies. Valuable participation in an external group (e.g. NCAA, Higher Learning Commission) was always the incentive in the cases we observed. Conversely, units conducting voluntary studies for self improvement purposes were more focused in their efforts.

Resources: Comprehensive self-studies require substantial human resources from inside and outside the unit. The external groups who require comprehensive self-study always provide support for the process with tools and staff to administer, review, and provide feedback on the study results.

¹ Source: PEL Projects: NCAA Self-Study
<http://www1.umn.edu/ohr/pel/projects/ncaacert/index.html>

Recommendations

Actionable Vision: Universal staff understanding of the mission and vision for improvement is essential to fostering the culture needed for continuous improvement. The president and vice presidents should clearly define the vision for achieving our top three mission including high level but specific **goal metrics** that must be improved to increase our rank.²

*Potential **Goal Metrics** include: targets for research expenditures; endowment assets; faculty awards; post doctoral appointees; student participation in public engagement activities; retention rates and undergraduate graduation rates; and time to degree rates for graduate students.*

Focused Study: Service-and-support unit directors should work with their vice president to identify the goal metrics where their unit is most likely to make the biggest positive impact. A central unit, such as the Office of Service and Continuous Improvement, should maintain a **self-study toolkit**. Components from the self-study toolkit should be applied when assessing their strategy for improving the goal metrics. Potential self-study toolkit components should include both internal and external perspectives. The study should result in an action plan.

***External Perspectives:** customer surveys, customer focus groups, external peer review (academic or commercial).*

***Internal Perspectives:** performance measurements (for units which more closely resemble retail businesses), universal business area study questions (e.g. human resources, financial), staff surveys, processes analysis.*

Action Plan Review: Annually, the action plan progress should be submitted by the director to his or her Vice President or Vice Provost.

Frequency of study should be dependent on the progress made in the action plan.

² Source: "Reaching the top three"
http://www1.umn.edu/umnnews/Feature_Stories/Reaching_the_top_three.html

Background

The National Colligate Athletic Association (NCAA) Self-Study President's Emerging Leaders (PEL) team's project was to assess and evaluate the self-study review process. The question to be answered was whether adopting this methodology more broadly at the University could potentially (particularly with respect to non-academic or service-and-support units) help us achieve our goal of becoming a top three public research institution? Furthermore, the team was asked to investigate the outcomes, or lack thereof, of the 2003 Report on the Comprehensive Review of the Service-and-Support Units (O'Brien/Clayton Report) for further background.

NCAA

The NCAA certification process was seen as an excellent opportunity to observe comprehensive self-studies in action due to its infrequency, scale and university-wide scope. The NCAA began a program of certification for all Division 1 institutions in 1993 and now conducts certification reviews of each institution every ten years. The University of Minnesota was last certified in 1999 and is now beginning its second certification cycle. The NCAA certification process has three primary components: 1) a comprehensive self-study performed by the institution; 2) an external peer review conducted by representatives of peer institutions; and 3) the actual certification decision by the NCAA.

The University's self-study was designed to assess our Athletics program in the areas of academic integrity, equity, student-athlete well being, and governance and rules compliance. Subcommittees have been established to complete the self-study in each of these respective areas. The PEL team participated on each subcommittee to gain a well rounded understanding of the process. For a deeper explanation of this effort and the PEL team's experience, see Appendix A.

O'Brien/Clayton Report

In addition to the NCAA certification participation, the O'Brien/Clayton Report was also seen as a rich source of information to help the team answer its charge. In 2003, the University undertook the President's Enhancing Service and Productivity Initiative. That fall, the co-chairs of the Steering Committee on the Accountability of Service-and-Support Units, Kathleen O'Brien, vice president for University Services, and Tom Clayton, regents professor of English presented the Report on the Comprehensive Review of the Service-and-Support Units to the Office of the President.

The committee was charged with examining where the University can provide resources for regular monitoring, benchmarking and measurement of service outcomes of service-and-support units. The reasoning for exploration of regular review of units was to eliminate a

“reactive” approach to issues or problems which arise, and instead, provide incentive for implementing a culture of continuous improvement that recognizes the notion that further review will occur and adequate service standards will be acknowledged.

The report explored ways to regularly monitor the effectiveness of service-and-support units at the University. The report also included some recommended related policies; notably, it included a policy requiring all service-and-support units to conduct a self-study every five years. President Bruininks did not act on this policy. While the team did not determine the president’s reasoning for not acting on the policy, Vice President O’Brien noted that the timing, intense demand for resources, and similar goals of the Strategic Positioning initiatives were likely a major factor. For the stated goals and recommendations for the report, see Appendix B.

Methodology

NCAA Certification Participation: Participation in the process itself, as well as a focus group conversation with University staff who participated and, in some cases, chaired the subcommittees charged with completing the self-study portion of the certification.

See Appendix A for details.

O'Brien/Clayton Report Analysis: The 2003 Report on the Comprehensive Review of the Service-and-Support Units (O'Brien/Clayton Report) explored ways to regularly monitor the effectiveness of service-and-support units at the University. The group compared the goals of the report with our experience on the NCAA Certification. Our analysis also included an interview with Vice President for University Services Kathleen O'Brien, the co-author of the report.

See Appendix B for details.

Strategic Positioning Goals Analysis: We reviewed the stated goals from the following documents: Advancing the Public Good: Transforming the University of Minnesota into a world-class research university (2007), Transforming the U for the 21st Century (2007), and Final Report of the Metrics and Measurements Task Force (2006).

See Appendix G for details.

Interviews and Focus Group: Team members interviewed 11 individuals who work with self-study processes. Interviewees were both internal and external to the University in order to provide a broad purview.

A focus group of NCAA Self-Study sub-committee participants was conducted to help identify broad-based learning outcomes. Focus group questions ranged from participants' views on NCAA certification goal attainment, value found above and beyond approval for re-certification, committee make-up and organizational structure, and participants' thoughts on the effectiveness of mandatory versus voluntary studies.

*See Appendix D for a list of interviewees.
See Appendix E and F for our list of questions.*

Major Findings

Definition: A comprehensive self-study process consists of the following:

1. A study instrument (essentially, a list of questions to be answered) provided by a governing body (e.g. NCAA, Higher Learning Commission).
 2. The completion of the study instrument by a unit using various approaches ranging from surveys, to focus groups, to document collection.
 3. The review of the completed study by an external unit (typically, a peer institution).
 4. The review of the completed self-study by the governing body.
- **Language:** The term *comprehensive self-study* is not widely understood outside of accreditation and NCAA certification circles. The term's seemingly self-explanatory nature is deceptively vague as it does not prescribe any particular course of action to unfamiliar parties. Our limited survey of service-and-support units from around the academic community found units conducting a variety of reviews that are similar to comprehensive self-studies (e.g. self-assessments, comprehensive reviews, annual reviews, performance standards, service levels).

It should be noted that a self-study is not synonymous with an audit. Audits are conducted by an external unit.

- **Self-Study Components:** There are several different mechanisms that proved successful in the self-study process and there appears to be no uniform manner that seems most effective. Surveys, peer review, business metrics, comprehensive study, and focus groups of peers and internal staff are all valuable parts of a self-study process depending on the organization.

Purpose & Incentive: A comprehensive self-study serves three major purposes:

1. Communicating business community operating norms to unit members, institutional administrators, and key campus constituencies.
 2. Serving as an information-gathering tool for a governing body and the unit. The comprehensive self-study is designed to help pinpoint specific areas where policies, procedures or practices (or lack thereof) may represent areas for enhancement.
 3. Serving as a checklist for units to ensure a comprehensive review.
- **Incentive:** Self-improvement is not the driving force for units who regularly conduct comprehensive self-studies. Valuable participation in an external group (e.g. NCAA, Higher Learning Commission) was always the incentive in the cases we observed.

If the University were to require all service-and-support units to conduct regular comprehensive self-studies, we believe it would require substantial incentive from the Office of the President.

- **Benefits:** Parts of the NCAA self-study, such as the athlete survey, were very beneficial to the Athletics department and its constituents, and were unlikely to occur without incentive from an outside body like the NCAA.
- **Voluntary:** Units conducting voluntary self-studies were focused on improving specific business processes and not a comprehensive review. The assumption of voluntary self-studies performed by departments is that the department conducts a self evaluation, makes its own judgments, and designs its own action plan.
- **Above and Beyond:** Comprehensive self-studies do not provide incentives for units that go above and beyond the metrics used for review; rather, their purpose is to establish minimum standards.

Resources:

- **Cost:** The cost of conducting a comprehensive self-study can be prohibitive. They require substantial human resources from inside and outside the unit. Travel and consultation costs for external reviewers are also a large commitment.
 - The O'Brien/Clayton Report called for a “regular and comprehensive review” of service-and-support units; however, at the same time, the report dismissed similar scopes of review—such as what occurs at Northwestern University—as too costly.
- **Tools:** The external groups who require a comprehensive self-study always provide support for the process with tools and staff to administer, review, and provide feedback on the study results. If the University were to require all service-and-support units to conduct regular self studies, it would also need to provide adequate resources (e.g. staff, processes, and tools) for conducting objective studies. The services of the University’s dozens of service-and-support units are extremely diverse, ranging from law enforcement, to endowment management, to fleet services. Consequently, a universal self-study tool would do little to address their primary business concerns.
- **Commitment:** The amount of time required from participating individuals is often a large commitment beyond what most staff are willing to contribute. When the process is largely composed of external constituents, commitment to follow up on recommendations is low. Study participants who are not members of the unit under review still develop a sense of ownership and are frustrated when they are not included in, or informed of, the follow through on findings. Study participants concluded it would be advantageous for self-study project leaders to inform all participants of both findings and ongoing follow up plans to ensure reviewers are recognized as valued contributors, feel a sense of ownership, and have access to continuing plans of action.
- **Follow through:** The PEL team felt strongly that the action plan to address gender equity and minority issues was among the most important and critical components of the NCAA self-study in terms of follow through, process improvement, and goal alignment.

Recommendations

The Office of the President should not require all service-and-support units to conduct comprehensive self-studies. The University of Minnesota's goals do not align with typical benefits and outcomes of a comprehensive self-study like the one required by the NCAA. Specifically, the University's goal is to exceed its peers and not simply align with their minimum standards. Furthermore, the intra-University environment does not possess the resources to administer a comprehensive self-study program for our large and diverse group of service-and-support units.

The PEL Team recommends that service-and-support units conduct focused self-studies which are aimed at making a measurable impact on the University's specific Strategic Positioning goals. The Office of the President must provide the areas of focus for these units, because in most cases these units have no external organization administering standards.

We recognize that individual service-and-support units may find great value in conducting comprehensive self-studies. While we do not wish to discourage those units finding value in undertaking the comprehensive self-study process of their own volition, the team believes the Office of the President should not be involved in managing this process.

Actionable Vision

Universal staff understanding of the University's goal, mission and vision for improvement is essential to fostering the culture needed for continuous improvement. The president and vice presidents should clearly define the vision for achieving our top three mission including high level but specific **goal metrics** that must be improved to increase our rank.

Many goals, some of which are metric based, have been communicated throughout the Strategic Positioning process. However, these goals are inconsistent in their presentation and are buried within long documents. See appendix G for examples from 2007.

Goal Metrics are measurable, high level goals that will lead to an increase in rank. Potential Goal Metrics include, but should not be limited to: targets for research expenditures; endowment assets; faculty awards; faculty appointments; post doctoral appointees; student participation in public engagement activities; retention rates and undergraduate graduation rates; and time to degree rates for graduate students.

- There should be a regular and ongoing public relations campaign aimed at educating all service-and-support unit staff members about the University's goal metrics. All staff should have an understanding as to how they, as individual contributors, can help move the University toward its goals.
- Staff should be surveyed annually to measure their understanding of the University's mission and goals, as well as measure self-perceived impact on the goals. The Pulse survey may be a good opportunity to measure this. We found that the Target Corporation uses its employee satisfaction survey to measure some unit effectiveness metrics.

Focused Study

All service-and-support units should conduct regular, limited self-studies which are focused on meeting Strategic Positioning goals. Service-and-support unit directors should work with their vice president or vice provost to identify which goal metrics are the most appropriate measures for their unit. Units that are already required to conduct self-studies, such as Athletics, should work consideration of the Strategic Positioning goals into their study plan.

The establishment of goal metrics is a key first step toward implementing a focused self-study. If these cannot be established and service-and-support units wish to engage in a self-study, we recommend these units refrain from attempting to engage in a study that would speak to the Strategic Positioning goals. Rather, external, relevant sanctioning bodies and professional associations should be consulted to determine what areas of study might provide the most focused and actionable goals; for example, the American Association of Collegiate Registrars and Admissions Officers (AACRAO) provides a comprehensive self-study tool for registrars. However, the team wishes to strongly emphasize that these tools are not designed to help units exceed their peers.

While all service-and-support units should conduct regular limited self-studies which are focused on meeting Strategic Positioning goals, the PEL team does not recommend a specific frequency. Rather, we recommend that the schedules be determined for each unit separately based on their resources and goals. In place of regularity, the PEL team recommends transparency of all units' study schedules like those posted by Northwestern University³ and an annual review of the action plan.

Self-Study Toolkit

Components from a **self-study toolkit** should be applied when devising a strategy for improving the goal metrics.

- A central unit, such as the Office of Service and Continuous Improvement (OSCI), should maintain a **self-study toolkit**.
 - Many of the components which could make up the self-study toolkit already exist around the University; however, they are spread out across different offices and not readily accessible. While these offices may continue to operate these services, OSCI is well positioned to advertise and organize the resources in a toolkit format. They are also well positioned to coordinate the efforts of the different offices offering services.

³ <http://www.adminplan.northwestern.edu/progrev/index.htm>

- The existing OSCI Improvement Liaisons should be utilized as champions and information resources in each unit to help spearhead the efforts required for these self-studies.
- Potential self-study toolkit components should include both **internal and external perspectives**.
 - External perspectives are advantageous to units being reviewed as outside viewpoints provide the opportunity to benchmark best practices and incorporate fresh perspectives from other peers.

External Perspectives

<p>Customer Surveys</p>	<ul style="list-style-type: none"> ● We need an easily accessible tool for conducting surveys. Currently, many different survey tools (e.g. Survey Monkey, Office of Institutional Research, department developed Web forms) are employed by units around campus. Privacy and security requirements can be a concern when units are not consulting central resources. ● Office of Institutional Research currently provides survey support which meets all of the University’s privacy and security requirements. We feel that this would be an appropriate tool for service-and-support units <http://www.irr.umn.edu/surveys.htm>. ● The team perceived a general sense of disenchantment with surveys among survey participants. Often, survey participants are unable to perceive a direct connection between a survey and its outcomes, leading to a feeling that their opinion isn’t highly valued. We believe this can be overcome by carefully incorporating information and insights from the surveys into an action plan.
<p>Customer Focus Groups</p>	<ul style="list-style-type: none"> ● The office of Measurement Services currently provides some support for conducting focus groups <http://oms.umn.edu/oms/tools/focusgroups.php>.

External Peer Review	<ul style="list-style-type: none"> • This can be very costly if you are bringing in external consultants. This cost is exacerbated when travel and lodging cost are required. • The University should provide service-and-support units with reasonable cost guidelines for this process to help with planning and budgeting. • Service-and-support units have more in common with corporate entities than the academic units at University. Harvard regularly consults with business units of the many respected corporations in their metro area, and we believe the Twin Cities offers similar resources.
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Internal Perspectives

Performance Measurements	<ul style="list-style-type: none"> • For service-and-support units which more closely resemble retail businesses (e.g., Facilities, Northrop), we recommend that performance measures are tracked centrally and published. This would provide transparency and accountability. <ul style="list-style-type: none"> ○ This recommendation would require a consulting unit such as OSCI to work with service-and-support units to identify relevant measures and install reporting mechanisms. ○ These performance measurements should be tied to the identified goal metrics. • On the academic side, the Office of the Senior Vice President for Academic Affairs and Provost offers a “Accountable to U” Web site which tracks relevant academic performance measures <http://www.academic.umn.edu/accountability/index.html>.
Study Questions for Universal Business Areas	<ul style="list-style-type: none"> • While we do not recommend a universal comprehensive self-study tool for all service-and-support units, there are several universal business areas (e.g. human resources, budgeting) which could be addressed through universal questionnaires.
Staff Surveys	<ul style="list-style-type: none"> • See customer surveys above. • We found that Target Corporation uses part of their annual “Best Team” staff survey to gather unit level areas for improvement. Each team reviews their top area of strength and develops an action plan for its two areas which need the most improvement.

Process Analysis	<ul style="list-style-type: none">• Units should map and review their most common or most time consuming business processes.• This can take consultation from process experts. As an example, University Services hired external consultants as part of their FM Transformation project. OSCI may be a good place to house this type of expertise internally.
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Action Plan

The result of a conducting a self-study of any kind should be an **action plan** submitted to the appropriate vice president or vice provost. An emphasis on follow through tied to the study is essential because the unit will be undertaking the study as part of the University's culture of continuous improvement rather than achieving some tangible finite goal such as accreditation or certification. These self-studies are geared at achieving the University's goals and would be reinforced by developing and adhering to a specific plan of action.

*An **action plan** is a document used to guide the implementation of business process improvements. It often contains task assignments, milestones, timelines, resource allocations, data collection methodology, and evaluation criteria.*

- A plan progress should be submitted by the director to their vice president or vice provost on an annual basis.
- Vice presidents and vice provosts must be held procedurally accountable for reporting on the success of the action plan.
 - The timing could be aligned with, and be part of, the compact process. Although the compact planning process at the University has been refined to be as “compact” and concise as possible, there may be potential value in incorporating action plans stemming from self-study participation that would align with the goals of the current process.

Appendix A: Summary of NCAA Self-Study

Explanation of the NCAA Division I Certification Program

The NCAA began a program of certification for all Division 1 institutions in 1993 and now conducts certification reviews of each institution every ten years. The University of Minnesota was last certified in 1999 and is currently in the process of its second certification cycle. The NCAA certification process takes 18 months to complete and has three primary components:⁴

- A comprehensive self-study performed by the institution
- An external peer review conducted by representatives of peer institutions
- The actual certification decision by the NCAA

The NCAA views the certification process as a key component in demonstrating its fundamental commitment to integrity in intercollegiate athletics by:

- Opening the affairs of athletics to the university community and the public
- Setting standards for the operation of Division 1 programs
- Putting tough sanctions in place for institutions that fail to conduct a comprehensive self-study or to correct problems

As a PEL team, we were asked to participate in the self-study process of the NCAA certification. The team was divided up and placed on the following sub-committees:

- Academic Integrity
- Governance and Commitment to Rules
- Equity and Student-Athlete Well-Being (this sub-committee was split into; 1) Equity and 2) Student-Athlete Well-Being

Overall, the NCAA Certification process provided great insight into the intricacies involved in the process of executing a self-study which evaluates a large, prolific unit in the University setting, bringing together several administrators, faculty, staff and students– in addition to administrators and staff in the Department of Athletics.

In regards to committee work, there was no set process established for the three subcommittees. Often, several different strategies for implementation were explored. Some committees met frequently and included participation of all areas on several levels; other committees met rarely and relied on the work of one or two individuals; and yet other committees relied on the expertise of members working in that particular area of knowledge (i.e. compliance) to inform the work of the committee overall.

⁴ Source – NCAA Certification Web site

http://www1.ncaa.org/membership/membership_svcs/athletics_certification/index

The specific tasks assigned to each PEL participants varied by committee and committee chair. Each team member's unique experience was a topic open for general discussion during our weekly PEL team meetings. Some team members had the opportunity to observe the process at an arm's length away, where other members gathered and analyzed information, offered consultation from a non-athletics point of view, conducted informational interviews, drafted sections of the self-study report, provided document editing and formatting, or in some cases, gathered all accessible information, conducted research, and then composed a first-round draft to submit to the steering committee.

Frequency of sub-committee meetings also ranged from twice or less a month to twice a week during the self-study evaluation. The major time periods for information gathering began in September 2007 and concluded in December or early January 2008. Campus-wide consultation on the self-study findings occurred in February and March 2008, and the final report was submitted to the NCAA in May 2008. The NCAA peer review team will visit the University in the fall of 2008, and the NCAA Athletics Certification Committee will issue a final certification decision in February 2009.

Through our participation in the NCAA Certification sub-committees we experienced broad leadership styles and with that, varying committee structure, set-up and organization. In keeping with the one of the initial questions asked of our team: Which process mechanics were the most effective in developing meaningful results? It is impossible for us to ascertain if the end goal or "meaningful result" (i.e. NCAA approval for re-certification) has, in fact, been reached, because the certification process is not yet complete. However, all sub-committees, in our opinion, developed meaningful results that will lend themselves to supporting the University's case for NCAA approval and certification; what differed is how we got there.

The Benefits of Self-Study

Given the timing of the NCAA Certification, our PEL team was only engaged with the first component of the certification process: a comprehensive self-study. The core of athletics certification is the institution's self-study, in which campus-wide participation is critical. An effective self-study benefits the institution by providing:

1. Self-awareness. The self-study offers a unique opportunity to educate individuals across the campus about the athletics program's goals and purposes, the many challenges facing athletics, and the ways in which athletics supports the institution's mission.
2. Affirmation. Athletics certification is couched in the affirmative—its aim is, after all, to certify—and the self-study process will reveal many aspects of the athletics program worthy of praise.
3. Opportunities to improve. Even an outstanding program can be better, and problems will be identified routinely as part of any institution's self-study. As these problems come to light, the self-study process will offer a forum for suggestions from individuals with a wide range of experiences.

To take this one step further, the University had determined its own criteria for institutional gains by setting the following goals:⁵

The University's self-study will assess our [athletics] program in the areas of academic integrity, equity, student-athlete well being, and governance and rules compliance. Sub-committees have been established to complete the self-study in each of these respective areas. Our stated goals for this effort are to:

- Affirm the alignment of the Department of Intercollegiate Athletics with the University of Minnesota's mission and its commitment to uncompromising integrity;
- Affirm that the activities of the Department of Intercollegiate Athletics are consistent with NCAA, Big Ten, and University principles, rules, and policies;
- Inform the University and broader public communities about the Department of Intercollegiate Athletics' processes, goals, and purposes;
- Provide a comprehensive, public, and transparent dialogue about the role of intercollegiate athletics in the University experience;
- Identify opportunities to improve the operations of the Department of Intercollegiate Athletics, the University (where appropriate), and the overall experience of our student-athletes;
- Develop specific action plans to act upon the opportunities identified;
- Identify areas of excellence and best practices for broader adoption;
- Receive an unconditional certification from the NCAA Certification Committee.

As a team, we agree that successful self-studies have several components in common, one being shared ownership. The team members who felt most fulfilled in the process experienced a strong sense of value for a common goal, had clear organizational structure and well-defined member expectations, participated in thoughtful discussions, were consulted where appropriate, felt equitable in terms of committee member work-load, and worked together to develop action plans to not only meet NCAA certification needs, but looked beyond status quo to structure responses with continuous improvement in mind -- for the good of both student athletes and our institution.

In an effort to answer the questions: 1) Would similar reviews throughout the University aid us in attaining our goal of becoming a top three public research institution and 2) Is the process of a self-study/review advantageous? As a PEL team we analyzed key goal words and/or statements of the NCAA self-study to help form answers to those questions:

- Alignment;
- Affirmation;
- Inform the University and broader public communities about the processes, goals, and purposes;
- Provide a comprehensive, public, and transparent dialogue about the roles;
- Identify opportunities to improve;
- Develop specific action plans to act upon the opportunities identified;

⁵ Source: PEL Projects: NCAA Self-Study
<http://www1.umn.edu/ohr/pel/projects/ncaacert/index.html>

- Identify areas of excellence and best practices for broader adoption.

For an evaluation, discussion, and explanation of our views, please see, “Major Findings” on page 9.

Appendix B: Summary of the Report on the Comprehensive Review of the Service-and-Support Units (O'Brien/Clayton Report, Fall 2003)

Project Charge

1. Examine means whereby the university can provide for regular monitoring of the effectiveness of key service/support units;
2. Benchmark the relationship between the levels of administrative resources allotted to our service-and-support units and the quality of their service;
3. More consistently and effectively measure service outcomes and service-and-support units.

Objectives

- Quality assurance
- Continuous improvement
- Accountability and integrity
- Pride in making significant contributions
- Opportunity for recognition
- Open communication between service units and their customers
- Dialogue between consultant groups and executive officers on quality of service units

Recommendations

- Customers should be more involved in the strategic planning process from the beginning to assist in determining appropriate measures.
- The strategic plans of service-and-support units will need to strike a balance between meeting the needs of customers and aligning unit priorities with those set by the president and the Board of Regents.
- Adopt an administrative policy to ensure comprehensive reviews are conducted on a 5-year rotating basis for each service-and-support unit reporting directly to the office of a vice president.

- Adopt administrative procedures to provide guidance and recommendations for units to consider as they form and implement their own unique standards for high quality service.
- Establish a model for implementing the policy that places oversight and responsibility of comprehensive review with the president, accountability with the vice presidents to whom the units report, and opportunity for units and senate committee members to provide input on review committee membership and the final review committee report.
- Strengthen performance measurement by moving from input based measures to output based measures, and by upgrading the University's metrics capacity and training in the developmental measures of quality assurance processes through ongoing annual and comprehensive strategic reviews and planning processes.
- Establish a central access point for accepting and responding to complaints/commendations.
- Establish a regular and uniform comprehensive review for all University service-and-support units to ensure that their accountability and commitment to meet the needs of their constituents is in accordance with the University's renewed commitment to enhancing service and productivity.

Components of Review Currently In Place

1. Self-Study reflects the specific identity of the unit to include:
 - a. Strategic/Business Plan - annual plan with mission statement, opportunities or threats, work plan, measures and benchmarks.
 - b. Compact - defines key priorities to sustaining or enhancing the mission of the unit.
2. Self-Assessment:
 - a. Financial Perspective
 - b. Internal Business Perspective
 - c. Innovation and Learning Perspective
 - d. Customer Perspective
 - e. Outcome Perspective
 - f. Customer Input
 - g. Recognition Programs
 - h. Effect of Financial Reality on Service Expectations - resources available vs. level of performance expectations.
3. Evaluation by Review Committee
4. Response by Responsible Administrator

Outcome of the Report on the Comprehensive Review of the Service-and-Support Unit

The report included a formal administrative policy along with implementation procedures; however, with the timing of leadership changes at the University and challenging budget constraints, Strategic Positioning took priority and this policy never went into effect.

Appendix C: List of Service-and-Support Units⁶

Office of the President

- Office of the General Counsel
- Senate Office
- Department of Intercollegiate Athletics
- Office of Licenses & Athletic Properties
- Chief Financial Officer and Treasurer
- Department of Audits
- Office of Institutional Compliance
- Office of Service and Continuous Improvement

Senior VP Academic Affairs and Provost

- Academic Support Resources (Registrar, Student Finance, One Stop, Classroom Management)
- Office of Budget & Finance
- Earle Brown Center (CCE)
- Office of Information Technology
- Office of Institutional Research and Reporting
- University Libraries
- Academic Support Resources (Registrar, Student Finance, One Stop, Classroom Management)

Vice President and Executive Vice Provost for Faculty and Academic Programs

- Office of Student Affairs
- Office for Multicultural & Academic Affairs
- Office of International Programs
- Children, Youth & Family Consortium
- Weisman Art Museum
- Business & Community Economic Development

Vice President for Human Resources

- Employee Benefits
- Center for Human Resource Development
- Center for Teaching & Learning Services
- Human Resource Information (PeopleSoft) & Payroll
- Graduate Assistant Employment Services
- Job Center
- Labor Relations & Staff Compensation
- Employee Assistance Programs
- HR Policy Development & Consulting
- Ethics Point
- Office of Conflict Resolution
- Disability Services/U-Return

Vice President for University Relations

- Information Services (telephone operators)

⁶ Source: Summary of the Report on the Comprehensive Review of the Service-and-Support Units and update in May of 2008 by University Services Human Resources

Alumni Association
University Foundation
Retirees Volunteer Center

Vice President for Research

Patent & Technology Marketing
Sponsored Projects Administration
Office of Oversight, Analysis & Reporting
Office of Regulatory Affairs
Office of Responsible Conduct for Research and Ethics
Electronic Research Administration

Vice President for University Services

Auxiliary Services

- Addressing & Mailing
- Bindery
- Bookstores
- Campus Mail
- Dining
- Fleet Services
- Housing and Residential Life
- Office of Equipment Services
- Parking & Transportation Services
- Printing Services
- U Card Office
- University Dining Services
- University Stores

Facilities Management

Utilities and Engineering
- Facilities Zone Services
Hazardous Materials Management
Risk Management

Cap. Planning and Project Man. CPPM

Design
Consult
Contract Management

Northrop Auditorium

Public Safety

- Emergency Management
- University Police Department
- Central Security

Campus Health and Safety

- Environmental Health and Safety
- Building Code and Inspections

University Services Human Resources

University Services Communications

University Services Finance

Appendix D: Interviewee List

Interviewees

- Stephanie Bellegge
Marketing Training Consultant
Organizational Effectiveness
Target Corporation
- Michelle Christopherson
Director
Center for Adult Learning
University of Minnesota, Crookston
- Tina Falkner
Director of Administration
Academic Support Resources
University of Minnesota
- Stephanie Helgeson
Athletic Director
University of Minnesota Crookston
- Brad Hoff
Chief Administrative Officer
Facilities Management
University of Minnesota, Twin Cities
- Deborah Jakubs
Rita DiGiallonardo Holloway University Librarian and Vice Provost for Library Affairs
University Libraries
Duke University
- Stephen Levin
Chief Information Officer
University Services
University of Minnesota, Twin Cities
- Judy Neppel
Executive Director, MN Rural Health Association
Previous Chair, Coordinator for self-study, Higher Learning Commission
University of Minnesota, Crookston

- Kathleen O'Brien
Vice President, University Services
University of Minnesota, Twin Cities
- Joe Shultz
Associate Analyst, Policy and Planning
Office of the Senior Vice President for Academic Affairs and Provost
University of Minnesota, Twin Cities
- Susan Shefte
Director of Special Projects
Office of the Vice President for Administration
Harvard University

Focus Group Participants

- Kim Boyd
Director of Equal Opportunity & Affirmative Action
University of Minnesota, Twin Cities
- Katherine Himes
Assistant to Sr. VP Academic Affairs and Provost
University of Minnesota, Twin Cities
- Perry Leo
Director of Graduate Studies, Aerospace Engineer & Mechanics
University of Minnesota, Twin Cities
- Jerry Rinehart
Vice Provost for Student Affairs
University of Minnesota, Twin Cities

Consulted

- Eden Inoway-Ronnie
Executive Assistant to the Provost
University of Wisconsin Madison
- Diana Moffo
Administrative Assistant
Massachusetts Institute of Technology, Office of the Provost

- Jane Carroll
Assistant Dean of the Faculty
Dartmouth College
- Karen Gibbons
Chief of Staff
Office of the Provost
University of Michigan
- Ursulla G. Knakmuhs
Assistant to the Provost
Northwestern University

Appendix E: Individual Interview Questions

President's Emerging Leaders: NCAA Certification/Self-Study Review Team

- 1) Please explain the purpose of your self-study (requirement, self-initiated, etc.)
- 2) Did you use a pre-existing tool? Or did you hire a consultant?
- 3) What was the process you went through? Timeline?
- 4) Who participated? Why? We're they the right choice?
- 5) What were the outcomes of the self-study?
- 6) What value was gained from this process?
- 7) What are the structural or process changes that occurred?
- 8) What kind of follow-up is in place?
- 9) What would/will you do differently next time?
- 10) When do you plan to do the self-study again?
- 11) Could the components/themes around your self-study apply to other entities at the University of Minnesota, for example the service-and-support areas of the U?

Appendix F: Focus Group Interview Questions

1. At the University, have you been involved in any other self studies? Were they similar or different than the NCAA Certification? Why or why not?
2. Based on the goals for the self-study as stated by the NCAA, do you think these goals have been met and/or will be met by this process? Which goals?

Goals

- a. To affirm the alignment of the Department of Intercollegiate Athletics with the University of Minnesota's mission and its commitment to uncompromising integrity.
 - b. To affirm that the activities of the Department of Intercollegiate Athletics are consistent with NCAA, WCHA, Big Ten and University principles, rules and policies.
 - c. To inform the University and broader public communities about the Department of Intercollegiate Athletics processes, goals, and purposes.
 - d. To provide a comprehensive, public and transparent dialogue about the role of intercollegiate athletics in the University experience.
 - e. To identify opportunities to improve the operations of the Department of Intercollegiate Athletics, the University where appropriate, and the overall experience of our student-athletes.
 - f. To develop specific action plans to act upon the opportunities identified.
 - g. To identify areas of excellence and best practices for broader adoption.
 - h. To receive an unconditional certification from the NCAA Certification Committee.
3. Beyond the primary goal of being certified by the NCAA, what additional value do you see this self-study brings to Athletics, your primary area, and/or the University as a whole?
 4. Did you feel a personal sense of ownership as part of this process? Also, will you be involved with any of the follow-through based on the recommendations that have or will be a result of the Certification?
 5. If you could change the manner or process of the NCAA Certification self-study, what—if anything—would you change? Why or why not?
 6. As a PEL group, one of the notions we have discussed in our trainings is that organizations must ensure they have “the right people on the bus” in order to be effective in project management. In other words, the people with the right skills and knowledge which adds value to the process are imperative to a successful process and producing a successful product. In your opinion, do you think the NCAA self-study had “the right people on the bus”? Did you encounter conflicts of interest? If so, how did you work to overcome these?
 7. In your opinion, how do you think the University would approach the NCAA Certification process if it were voluntary rather than required? What aspects of the process, participations, and outcomes would be different, if any?

Appendix G: Various Strategic Positioning Goals Stated in 2007

Transforming the U for the 21st Century (2007)

http://www1.umn.edu/systemwide/strategic_positioning/pdf/SPReport_FINAL.pdf

- For the Twin Cities and Morris campuses, the goals are a four-year graduation rate of 60 percent, a five-year rate of 75 percent, and a six-year rate of 80percent. (The four-year graduation rates for the Twin Cities and Morris campuses in 2006 were 40.7 percent and 44.1 percent, respectively.) (page 10)
- For the University of Minnesota Duluth, the goals are a four-year rate of 40 percent, a five-year rate of 60 percent, and a six-year rate of 65 percent. (The four-year graduation rate for the Duluth campus in 2006 was 25.9 percent.) (page 10)
- For the University of Minnesota Crookston, the goals are a four-year rate of 40 percent, a five-year rate of 50 percent, and a six-year rate of 55 percent. (The four-year graduation rate for the Crookston campus in 2006 was 22.7 percent.) (page 10)
- Our goal is to make it easy for students be successful. (page 11)
- In fall 2006 we announced an ambitious new goal to more than double the number of students helped through scholarships and fellowships funded through private gifts, from its original total of 4,800 to 10,000. (page 10)
- The University will expand its freshman seminar program so that more first-year students will be able to enroll in one of these courses. Currently 40 percent of freshmen enroll in such courses; our goal is percent to substantially increase that percentage. (page 14)
- Our goal is to be best among peers, focused on service, and driven by performance. (page 24)

Table 1: The Undergraduate Experience at the University of Minnesota Twin Cities—1997 and 2007

	1996-97	2006-07	Change
Undergraduate enrollment	23,889	26,645	+20.9%
Freshmen class size (fall)	4,279	5,439	+27.1%
Applications for admission (freshman)	13,990	24,083	+70.8%
Percent of entering freshmen who are students of color	16.0%	20.2%	+4.2%
Percent of freshmen in the top 10% of their high school class	26.0%	38.7%	+10.7%
Percent of freshmen in the top 25% of their high school class	60.0%	76.3%	+16.3%
Percent of freshmen living on campus	71.1%	80.6%	+9.5%
Percent of undergraduates who identify themselves as commuter students (SES) [†]	46.6%	35.4%	-11.2%
Percent of undergraduates who participated in student organizations or activities (SES) [†]	50.0%	73.6%	+23.6%
Percent of students who are not working at a paid job while in school (SES) [†]	25.6%	25.7%	+0.1%
Percent of students rating the overall quality of academic programs as excellent, very good, or good (SES) [†]	75.3%	89.0%	+10.7%
Percent of students rating classroom quality as excellent, very good, or good (SES) [†]	41.6%	62.4%	+40.8%
Percent satisfied (SES) [†]	62.5%	91.3%	+9.0%
Four-year graduation rate	15.2%	40.7%	+25.5%
Five-year graduation rate ^{**}	36.6%	57.9%	+21.8%
Six-year graduation rate ^{**}	45.0%	60.6%	+15.8%

[†] Roger Harold, "Student Interest Survey, 1975-2004," University of Minnesota, data from 1996 and 2006 surveys.
^{**} Student Experiences Survey, administered each anniversary year since 2007; data in 2007 column are from 2006 survey.
^{***} Initial graduation rates are for the 2002 entering cohort; see page 30 for more details.

ADVANCING THE PUBLIC GOOD: Transforming the University of Minnesota into a world-class research university (2007)

Stated Goals:

- The University's goal is for half of undergraduates to have a faculty-mentored research or creative arts experience by the time they graduate.
- We have recruited 426 new faculty during the past two years, nearly halfway to our 5-year goal of 1,000 new faculty.
- Our goal is to be best among peers, focused on service, and driven by performance.