



Thank you for attending Co:Lab! We are excited to share this early version of the Observed Practices, Lean model with the attendees.

This collection of good ideas was sourced from the field, and stands as a testament to both the power and importance of sharing and collaborating to move higher education toward equity. These learnings and case studies are meant to serve as a source of inspiration for institutional leadership teams and those that support them—which is an important step on the road to committing to a plan for transformation.

#### SOME TIPS FOR USE

This deck will become navigable when put into show mode—just click the “Slide Show” icon and you will be able to click links to explore the information. When in “Normal” mode, the links will not work.

Please feel free to share this **work-in-progress** resource with your colleagues, but do not change the content.

We hope you find this resource interesting and useful, and we welcome your feedback on the content, form, or how the Observed Practices could be used in the future. Keep the exploratory, collaborative spirit of Co:Lab rolling by engaging in this effort with us. If you have any questions or comments, please contact [colab@gatesfoundation.org](mailto:colab@gatesfoundation.org).

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# OBSERVED PRACTICES: LEAN

Good ideas from institutions that are making progress in narrowing attainment gaps and increasing student success.

## **This resource contains:**

Synthesized learnings, hypotheses, and common threads found in successful approaches at 2- and 4-year, regional comprehensive institutions working with limited budgets and serving diverse populations.

Visit the Executive Summary for a more in-depth definition of Lean.

INTRODUCTION

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# INTRODUCTION

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“ We’ve made progress in giving students from all backgrounds access to college – **but we haven’t finished the all-important job of helping them achieve a degree**...we must move with urgency to reinvent American higher education to meet the needs of the new majority of students on our campuses, delicately balancing the jobs they need with the education they desire.”

— Complete College America

## PURPOSE

This document presents the findings of the **Transformational Model** project conducted on behalf of Rockefeller Philanthropy Advisors. The project examined **ten institutions** among the Frontier Set that serve significant populations of **first-generation, low income, and/or minority students**.

The project is a key step in the design of a **dynamic information resource** that will enable similar institutions to more effectively start or accelerate **changes to drive transformation** in the **student experience** and close gaps in **student outcomes**.

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## STRATEGIC RATIONALE

**Successful Transformation is a Win for...**

### Students

- Improved retention and completion rates
- Reduced achievement gaps
- Decreased time to degree
- Decreased student debt
- Increased employment and earning potential

### Institutions

- Increased retention and tuition revenues
- Greater impact as a talent engine for the local economy

### Communities

- Economic revitalization (more qualified workers)
- Equity and mobility for underserved groups

This project studied **ten two- and four-year institutions** that have undergone institutional transformation with the goal of improving student success and organizational effectiveness while maintaining accessibility. Although the team **did not observe one specific path to successful transformation**, we did find a consistent five-stage journey across institutions that led to **significant transformation despite resource constraints**.

## INSTITUTIONAL TRANSFORMATION IN FIVE STEPS

### *Catalysts for Change*

Are you satisfied with student outcomes at your institution?

1

*Both external or internal catalysts can help leaders of the institution realize a need or desire for change*

### *Preconditions for Transformation*

Are you ready and able to do something about it?

2

*Institutions address pressing issues then clarify foundational commitments and institutionalize commitment to change*

### *Assessing & Making Choices*

How do you prioritize items on your change agenda?

3

*An assessment of existing capabilities and gaps enables the prioritization of a well-defined set of initiatives organized under a cohesive plan*

### *Implementing & Managing Change*

What needs to happen to ignite comprehensive transformation?

4

*Alignment among leaders and attention to stakeholder engagement and institutional culture underpin the change process*

### *Sustaining Transformation*

How will you maintain improvements to student success?

5

*With a focus on continuous improvement, institutions adopt a narrative of transformation aligned with their student success mission*

## CASE STUDY INSTITUTIONS

**Two-Year:** Davidson County Community College • Indian River State College • Northeast Wisconsin Technical College  
• San Jacinto College • Sinclair Community College

**Four-Year:** Delaware State University • Northern Arizona University • Portland State University • Sam Houston State University  
• University of North Carolina—Greensboro

# Reflections on Institutional Journeys

The following observations consistently applied to the institutions' journeys of transformation

## Deep Institutional Commitment to Student Success

- Stakeholders at all the participating institutions were welcoming, thoughtful, and candid in sharing insights
- There was a consistent understanding among leaders and faculty that their institutions are engines of opportunity for the local community and that improving the student experience and student outcomes is a key priority
- These institutions maintain can-do attitude in commitment to transformation, despite resource constraints

## Actions Supported by Strategy

- Interviewees credited the empowerment of key leaders and inclusive strategic planning in driving a focus on student success and institutional transformation
- Key actions and activities cited by stakeholders include: student-focused initiatives, organizational redesign, resource reallocation, alignment of support functions, and a commitment to continuous evaluation and improvement

## Varying Degrees of “Leanness” and Transformation

- The institutions all meet the criteria for good-fit “lean” transformation candidates insofar as they face resource constraints, but the degree of resource constraint is variable, with some institutions actively managing themselves to less severe levels of financial restriction as they progress through their transformation
- The scale and complexity of institutions' transformation journeys also varies, with some institutions pursuing rapid shifts and others adopting more gradual change

## Different Approaches, Multiple Paths

- There is no “one size fits all” approach to transformation. Institutions have made substantially different, and sometimes diametrically opposite, choices on important issues like merit compensation and structuring of academic advising
- The way in which institutions have prioritized and sequenced transformation activities appears to be highly dependent on their context, structure, available resources, and leadership

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# Reflections on Institutional Values

Despite changes to local and regional economics and demographics, both the two- and four-year institutions remained committed to their access missions

## Goals and Aspirations

**The ten institutions remained accountable to serving a local population, primarily or exclusively, by:**

- Maintaining accessibility via reasonable and stable entrance requirements, community partnerships, and moderate tuition
- Acting as engines of opportunity for their regions
- Focusing on growing their footprint in their defined service areas (city, county, metro region, or state) and being responsive to demographic trends and workforce needs
- Prioritizing sustainability over rapid growth given their resource constraints and access missions

## Attitude and Approach

**The ten institutions generally exhibit a remarkable degree of tenacity and pragmatism in that they:**

- Acknowledge financial constraints but do not accept them as an excuse to deviate from focusing on students
- Are cognizant that they can only pursue a certain number of initiatives at one time
- Constantly evaluate effectiveness of investments and programs
- Are open to scaling down or stopping initiatives when they are not producing desired results

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## A Few Caveats to Our Findings

Although rich insights emerged from the institutions regarding the elements of “lean” transformation, a number of factors limit our ability to definitively identify the formula of successful transformation

### Differences in Institutional Resources

- Some circumstances challenge traditional concept that institutions which pursue “lean” transformation must face severe resource constraints. Examples include thriving local economies (SJCD), enrollment growth (UNCG), and recent state funding increases (DSU)
- Institutions vary significantly in whether and how much they have experienced fiscal and/or other challenges in recent years, which influences the pace, prioritization, and sequencing of transformational activities
- Many institutions appear to have been more financially constrained in the past than they are today due, in part, to effective strategic finance practices associated with “lean” transformation

### Unclear Links between Actions and Outcomes

- Given that each institution has pursued a unique combination of transformational activities, it is difficult to attribute any specific action to subsequent progress on student success outcomes
- Many institutions have recently implemented new initiatives which, though promising, do not have enough years of data to demonstrate impact on outcomes
- Standard IPEDS metrics do not fully capture the range of successful outcomes at these institutions (e.g. sub-degree credential / course completion; completion by transfer students; success rates for non FTIC students)

### Differences in Institutional Journeys and Choices

- Some institutions have undergone transformations of their education and/or business models over an extended period of time (i.e., 20+ years) while others have only recently begun to focus on transformation
- Institutions vary by whether change was driven by external factors vs. internal dynamics
- Certain institutions have focused on building institutional capacity in both student-focused areas and administrative functions (e.g., HR, IR, Finance, etc.), while others have smaller “portfolios” of innovation and less intentional connections between the student success and support functions

### Potential for Sample Set Limitations

- Given the small sample size, it is possible that these institutions are not representative of the broader set of lean institutions (e.g., all five of the two-year institutions have access to student completion resources and coaching through their membership in Completion by Design or Achieving the Dream)
- Each institution may have had its own characteristics that would be difficult for others to replicate; however, these institutions shared many common characteristics, and there were no obvious outliers skewing the sample

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# Helping to Initiate Change, Not Making the Case for Change

Efforts to date have focused on helping engaged and interested institutions understand the transformation journey, not on convincing recalcitrant institutions of the need to transform

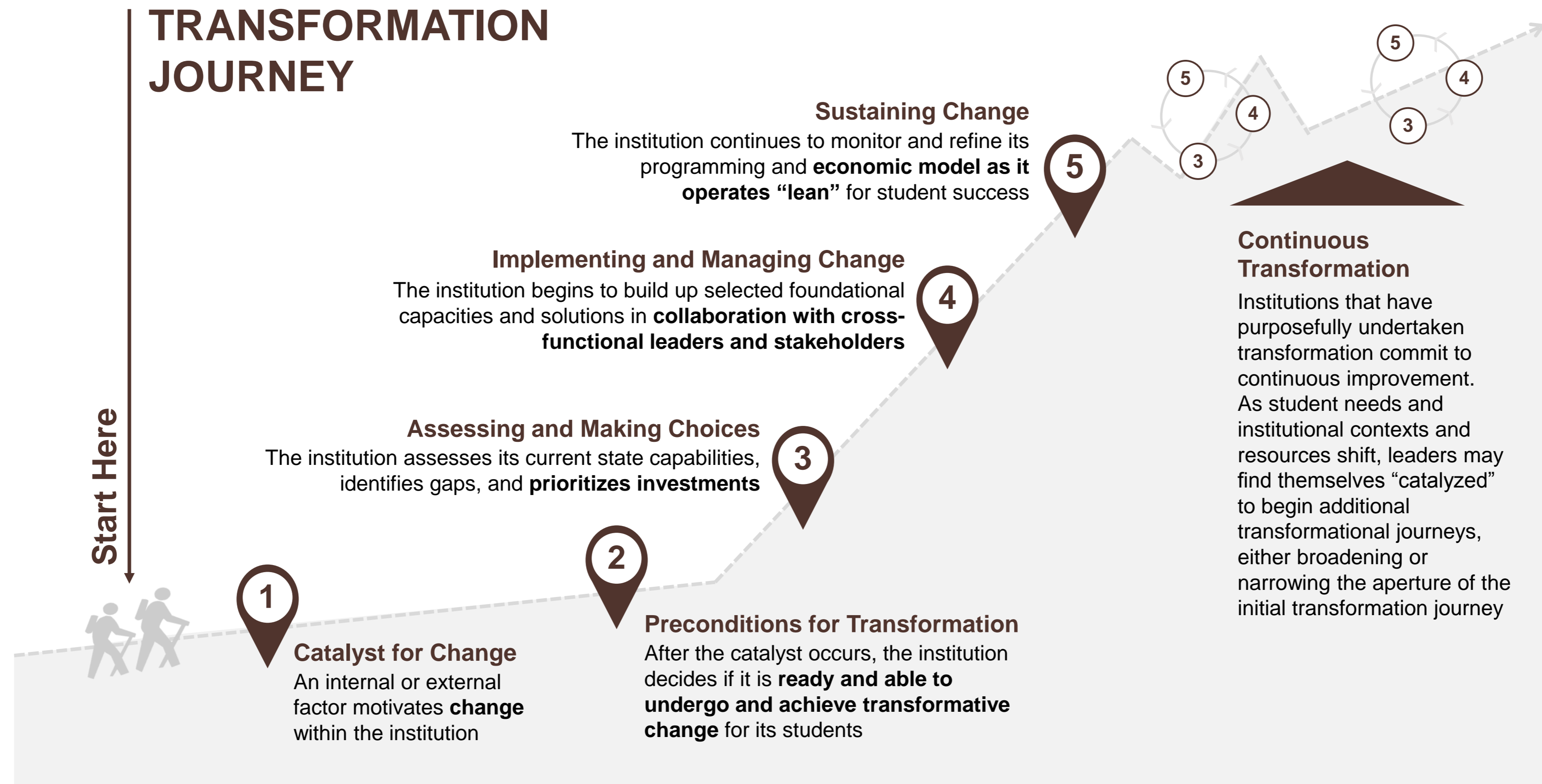
## Model Scope and Purpose

- The current content of this Model documentation is designed for institutions which already understand the value of transforming around student success and which seek guidance on how best to approach such a transformation
- This current Model takes that interest in / commitment to student success as an assumed starting point. It is not intended to make the mission-focused, economic, or financial case for change to institutions who have not demonstrated a pre-existing willingness
- That is not to say that making such a case is not a valuable endeavor: indeed, convincing hesitant or risk-averse institutions to change is necessary if substantial, sector-wide achievement gains are to be realized
- While future versions of the Model may include the case for change – either developed specifically as part of the Model or integrated from other leading sources of information – this content in this current iteration is focused on institutions which are ready to move forward with a student-focused transformation agenda



# Institutional Journey to Student Success Transformation

Across the ten lean institutions, there were five main stages observed in student success-centric transformational change



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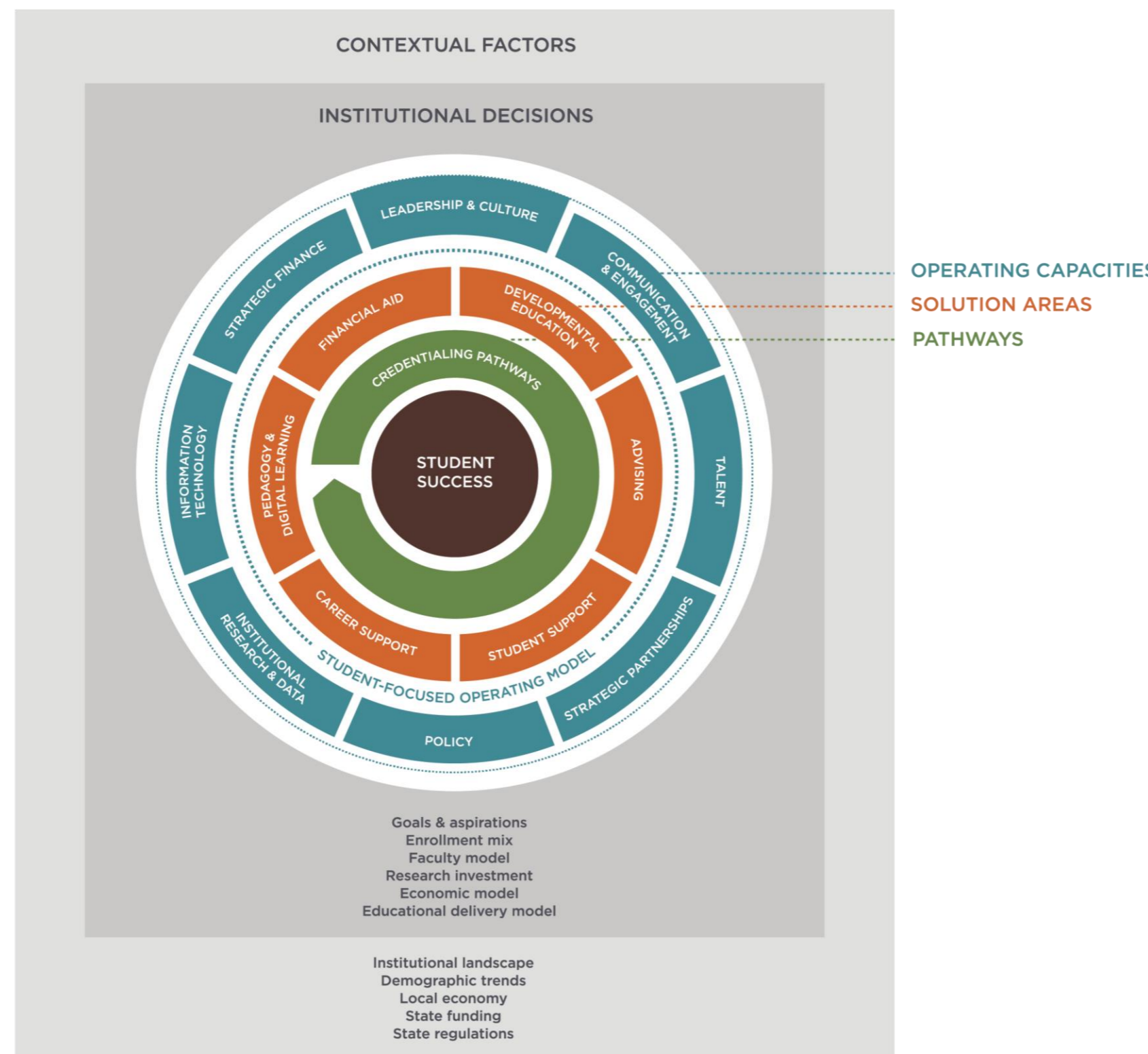
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## Lean Model Framework

Driving decisions at the case study institutions were a range of contextual factors and prioritization and sequencing of capacities and solutions, with leadership as the keystone.



**Contextual Factors** provide both challenges and opportunities outside the present leadership's control.

**Institutional Decisions** are purposeful choices within the institution's control, setting the stage for pursuing transformation.

**Operating Capacities** enable the institution to mobilize to effectively serve a larger, more diverse student base.

**Solution Areas** are student-facing programs and services in which the institution attempts to improve student outcomes.

**Pathways** refers to the institution's ability to help students see a clear route to a meaningful credential (and a career) and then support students to keep them on that path to success.

## “Lean” Model vs. “Mega” Model

The Lean framework builds on the large scale (Mega) transformation model by distinguishing key capacities and solutions observed in the ten case study institutions

- The Mega model framework offers a **useful starting point** for understanding the drivers and elements of institutional transformation
- Many similarities exist between the Mega and Lean case study institutions in their contextual factors (e.g., **declining state funding for higher education**) and decisions around transformation (e.g., **commitment to student success**)
- A key element of the Mega model was aggressively driving enrollment growth as both an impact and economic model strategy, whereas Lean institutions achieved the same ends by **improving the effectiveness of their student-focused solutions and their operational efficiency**, with growth as a secondary consideration
- Each of the capacities and solutions identified in the Mega model were also prioritized by the Lean institutions, but there were important differences in how they **articulated, sequenced, and structured their choices**<sup>1</sup>. For example:
  - Whereas the Mega model identified *Leadership, Talent, and Culture* as an important capacity, the project team observed *Leadership and Culture, Communications and Engagement, and Talent* as distinct areas of attention and investment early in the Lean institutions’ transformation journeys
  - The Lean institutions distinguished between operating model shifts focused on achieving greater organizational effectiveness in core functional areas such as finance and talent and *Student-Focused Operating Model* shifts that laid the groundwork for new student success initiatives
  - The Mega model did not include *Developmental Education*, but this was an important solution for many of the Lean institutions, especially the two-year colleges
- While the Mega model excluded two-year colleges, community and technical colleges were an important element of the Lean Transformation project. The contextual factors, institutional decisions, and capacities and solutions were largely consistent across the Lean two- and four-year institutions with some differences in prioritization based on **local demographic and economic trends**, the need for investment in **Developmental Education** among more two-year vs. four-year institutions, and a range of **faculty model** considerations

1. See Appendix for a visual representation of differences between Mega and Lean capacity and solution categories

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## “Lean” Model Value Proposition

For institutions faced with constrained resources and seeking to improve student outcomes and close the achievement gap, the “Lean” Model offers several differentiating benefits

### Providing proof that change is possible and effort is rewarded:

Tackling a large and complex transformation can be daunting – even overwhelming – to many institutions. The Model provides confidence that, with intentional but achievable effort, the institution “move the needle” on student outcomes, based on the experiences of other similarly-situated institutions

### Fomenting and framing institutional discussions:

True transformation requires commitment from across the entire institution, but such strategies are difficult to define or implement in the siloed world of higher education. The Model provides a true institutional framework to define and structure these critical cross-unit conversations by taking the entire organization into consideration

### Explaining that transformation does not require a “superhero”:

Transformational narratives often over-emphasize a single, dynamic leader whose personality could not be duplicated elsewhere; this Model dispels the “cult of personality” storyline by focusing on multiple leadership roles across the institution and the specific tactics and activities behind successful leadership



“Lean” characterizes an institution’s approach to transformation, not necessarily the institution itself. While there are a set of minimum pre-conditions institutions must meet, any institution meeting those pre conditions could theoretically pursue a “lean” transformation.

### Defining a roadmap for transformation:

The Model describes the overall journey of successful transformations, giving institutions the ability to understand where they are in their own journey and how their own path might unfold; for many institutions, the Model will provide additional confidence that they have already begun their journey and help define discrete next steps

### Giving practical guidance on the “how-to’s” of transformation:

Each component of the Model is not only clearly defined, but also enriched with examples of successful strategies and tactics observed at the case study institutions, providing guidance on how to build particular institutional capacities or deploy specific solutions

### Confirming that no “one size fits all” solution exists:

The Model is steeped in the concept that each institution is unique and no two institutions’ journeys or priorities will be alike, giving each college or university the confidence to engage in reflective internal discussions around their own transformation and identify those components of the Model which will have the greatest impact for their particular institution

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## Understanding “Leanness”

Institutions most likely to pursue “lean” transformation, and those likely to benefit the most from it, demonstrate a particular set of economic, attitudinal, and community-focused characteristics

### Economic

- Limited ability to secure substantial new revenue for transformational activities through tuition increases and state funding
- Dependence on local and/or state support and corporate partnerships
- Considerable financial barriers to obtaining postsecondary education in the community

### Attitudinal

- Acceptance of relatively fixed resources as an opportunity for innovation and entrepreneurship in driving efficiencies or reallocating resources
- Mindset of can-do, creative, flexible problem solving
- Utilization of support at all levels

### Community

- Well-defined service area
- Opportunity generators for the local community or a defined population
- Partnerships needed with K-12 schools and other local or regional postsecondary institutions
- Reliance on public and social services

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## Characteristics of “Lean” Transformations

These economic, attitudinal, and community-minded characteristics are manifested in a variety of ways in a “lean” transformation

“Lean” Transformations are characterized by ...

Economic Attitudinal Community

**Maximizing the effectiveness of existing operating models:** Institutions do not seek to “shift the cost curve” or fundamentally change their approach to educational delivery



**Maintaining existing scope of service:** Institutions primarily seek to expand the reach of their educational programs as a means of furthering academic or access missions, not to improve financial outcomes



**Unwavering emphasis on access mission:** Institutions do not compromise their underlying missions for the sake of economic stability, particularly in terms of providing access to students with marginal academic qualifications who require significant (and costly) support



**Profound connection and service to the local community:** Institutions believe their mission is to serve the local community or region, driving them to constantly improve their understanding of the current and future needs of the community and involve local leaders in institutional decision making



**Constant emphasis on highest and best use of resources:** Institutions consistently and systematically evaluate potential, new, and existing services – both academic and administrative – to determine whether existing resources are deployed for maximum impact



**“Relentless incrementalism” in enhancing revenue streams or reducing expenditures:** Understanding that there is no single “silver bullet” which will eliminate economic pressures, institutions pursue a portfolio of incremental revenue and expense improvement plans which, in aggregate, result in financial sustainability



# Ideal Candidates for the Lean Transformation Model

The concept of lean transformation applies broadly to many institutions of higher education

## Ideal institutional profiles which may best benefit from this lean transformation model may focus on:

- 1 Financial State**  
 Possess a basic level of financial stability and sustainability, a willingness to actively pursue new funding sources, and a balanced focus on both investment and disinvestment; not seeking large-scale economic transformation or radical restructuring of cost per degree
- 2 Scale**  
 Offer sufficient scale (likely > 3,000 students) to enable use of organizational restructuring and resource reallocation to drive operational efficiencies
- 3 Access Mission**  
 Commit to improve success rates for students without increasing admissions standards– the institution evaluates success based on student outcomes, not incoming test scores
- 4 Culture**  
 Engage and empower full team, from senior executives to student-facing staff, to use innovation and entrepreneurship to creatively do more with less in a manner that supports students
- 5 Public**  
 Only public institutions were evaluated in the development of the model; further investigation could evaluate the model's suitability for private institutions

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## Preliminary Model Hypotheses (1 of 2)









Numerous hypotheses were reviewed, and though important factors in the model, did not lead to a meaningful bifurcation in the model design or journey

Hypothesis	Examples	Description
<p><b>Length of Transformation Journey</b>                      History of intentionally investing in student success and general transformational activities</p>	<p><i>Long History</i>  </p> <p><i>Recent History</i>  </p>	<p>Length did not create meaningful differentiation—some institutions generated change despite being on much shorter transformation journeys</p>
<p><b>Leadership Longevity</b>                      Longevity and stability at the President and Cabinet level</p>	<p><i>Little Turnover</i>  </p> <p><i>More Turnover</i>  </p>	<p>Though leadership stability clearly contributes to transformation success, examples exist in which institutions continued transformation during/despite multiple instances of leadership turnover</p>
<p><b>Urbanization &amp; Population Growth</b>                      Degree of urbanization and population growth</p>	<p><i>Urban</i>  </p> <p><i>Less Urban</i>  </p>	<p>Geography did not provide added value given broad range of circumstances for contextual influences from local economy, state support, etc.</p>
<p><b>Union Representation</b>                      Presence and bargaining power of unions, particularly amongst faculty</p>	<p><i>Unionized</i>  </p> <p><i>Not Unionized</i>  </p>	<p>Union representation did not create meaningful differentiation in the ability to effect and sustain change</p>
<p><b>Tenure System</b>                      Presence and size/scope of faculty tenure at the institution</p>	<p><i>No Tenure</i>  </p> <p><i>Tenure</i>  </p>	<p>Presence and size/scope of a tenure system did not create meaningful differentiation in institutions' ability to generate change; institutions often used similar strategies and approaches, regardless of faculty tenure status</p>



## Preliminary Model Hypotheses (2 of 2)

Numerous hypotheses were reviewed, and though important factors in the model, did not lead to a meaningful bifurcation in the model design or journey

Hypothesis	Examples	Description
<p><b>System Affiliation &amp; Centralization</b>                      Membership in a regional or state system and degree of centralization of postsecondary governance</p>	<p><i>Self-Governing</i></p>  <p><i>System-Governed</i></p> 	<p>Degree of centralization or decentralization in governance did not appear to impact the overall effectiveness of similar transformation strategies</p>
<p><b>Economic &amp; Enrollment Growth</b>                      Economic health of the region and enrollment growth trends</p>	<p><i>Growing</i></p>  <p><i>Not Growing</i></p> 	<p>Economic health and/or enrollment growth trends did not provide added value given broad range of circumstances for contextual influences from local economy, state support, etc.</p>
<p><b>Market Share in Service Area</b>                      Presence of competition from other postsecondary institutions in an institution's defined service area</p>	<p><i>Primary Provider</i></p>  <p><i>Competitive</i></p> 	<p>Our sample included successful institutions operating in both high and low competition environments</p>
<p><b>Two- and Four-Year</b>                      Degree granting status of the institution</p>	<p><i>Two-Year</i></p>  <p><i>Four-Year</i></p> 	<p>Evidence of transformation success across capacities/solutions is similar across two- and four-year institutions, including across distinct governance models</p>

# Transformation Model Objectives and Approach

The concept of lean transformation applies broadly to many institutions of higher education

## Objectives

**Identify** specific and cumulative solutions which:

- Prioritize student success and address gaps in operating capacities
- Are relevant to specific institutional contexts
- Reduce race, gender, and socioeconomic status as predictors of student success
- Are transferable to, and replicable by, a broader set of institutions

**Design and develop** a practical model and set of insights that:

- Meet the demand from institutions serving first generation, low income students
- Can be shared efficiently and can be tailored to different institutional types and roles
- Provide evidence and tools for action
- Support shared language, definitions, and opportunity to compare

## Approach

- Gather data on ten Frontier Set institutions

### Two-Year

- Davidson County Community College
- Indian River State College
- Northeast Wisconsin Technical College
- San Jacinto College
- Sinclair Community College

### Four-Year

- Delaware State University
- Northern Arizona University
- Portland State University
- Sam Houston State University
- University of North Carolina Greensboro

- Prepare deep-dive case studies of each institution, including information gained from data analysis and qualitative interviews
- Identify common themes between these institutions' paths to transformation
- Synthesize findings into a common, replicable set of strategies and actions

## Activities

### Listen and Analyze



#### Data Collection | April to July 2017

- Coordinate with the ten institutions to collect preliminary data
- Conduct 2-3 day site visits with 25-40 interviews each
- Analyze data and site visit notes to identify evidence and drivers of comprehensive transformation

### Tell the Story



#### Case Studies | August 2017

- Develop a historical understanding of the transformation journey
- Identify and organize the institutional decisions driving transformation
- Catalog the solutions and capacities associated with student success
- Organize these findings into a case study on institutional change

### Extrapolate Learnings



#### Model | August and Beyond 2017

- Synthesize findings across ten case studies
- Chart a general path to transformation
- Detail a replicable set of strategies, decisions, actions, capacities, and solutions
- Build a preliminary model mapping out the path to transformation with tools and guiding decisions to accelerate the transformation path

## Case Study Institutions: Two-Year Colleges

### Local Context

The five two-year colleges, primarily associate's and technical degree granting institutions, serve **both large and small cities** characterized by both **economic growth and decline** in recent years

### Role in the Community

The majority of these institutions are members of a state system and are the **only community college in their regions**, giving them a **significant role in workforce and economic development**

### Student Body






They serve a large portion of **low income, first-generation, and underrepresented minority students**—their commitment to serving these students limits their ability to raise tuition and fees

## Transformation Model Institution Snapshot<sup>1</sup>

2010-2015 Increase

2010-2015 Decrease

2010-2015 No Change

2015 Statistics	Location	System Affiliation	Enrollment	Percent Pell	Percent Students of Color	Net Cost of Attendance
 Davidson County Community College	Thomasville, NC	North Carolina Community College System	3,797	57%	29%	\$6,829
 Indian River State College <sup>2</sup>	Fort Pierce, FL	Florida College System	18,204	41%	44%	\$1,547
 Northeast Wisconsin Technical College	Green Bay, WI	Wisconsin Technical College System	13,654	33%	17%	\$9,282
 San Jacinto College <sup>2</sup>	Pasadena & Houston, TX	N/A	28,326	28%	73%	\$7,677
 Sinclair Community College	Dayton, OH	University of Ohio	18,136	41%	41%	\$5,302

<sup>1</sup> Comprehensive case studies detailing the contexts, challenges, successes, and transformation journeys of each institution were created as an input to this model. More information about each institution can be found in the appendix. All statistics from IPEDS 2015 reports; enrollment from 2016

<sup>2</sup> Indian River State College offers select baccalaureate degree programs. San Jacinto College will soon begin offering baccalaureate degrees.

## Case Study Institutions: Four-Year Universities

### Local Context

The five four-year universities are primarily undergraduate-serving institutions and are located in regions characterized by both **economic growth and decline** in recent years

### Governance

These institutions have **varying degrees of self-governance**, some being **members of state systems** while others **operate independently**

### Student Body






They serve a large population of **low income, first-generation, and underrepresented minority students**—their commitment to access limits their ability and desire to increase tuition and fees

## Transformation Model Institution Snapshot<sup>1</sup>

2010-2015 Increase

2010-2015 Decrease

2010-2015 No Change

2015 Statistics	Location	System Affiliation	Enrollment	Percent Pell	Percent Students of Color	Net Cost of Attendance
 Delaware State University	Dover, DE	N/A	4,413	47%	90%	\$12,951
 Northern Arizona University	Flagstaff, AZ	Arizona Board of Regents	28,303	28%	73%	\$14,615
 Portland State University	Portland, OR	N/A	28,348	41%	42%	\$13,476
 Sam Houston State University	Huntsville, TX	Texas State University System	19,163	43%	47%	\$11,872
 University of North Carolina - Greensboro	Greensboro, NC	University of North Carolina System	18,592	43%	48%	\$9,875

<sup>1</sup> Comprehensive case studies detailing the contexts, challenges, successes, and transformation journeys of each institution were created as an input to this model. More information about each institution can be found in the appendix. All statistics from IPEDS 2015 reports; enrollment from 2016

## Contextual Factors: All Institutions

The case study institutions underwent transformation in the context of shifting state funding models, legislative pressures, and regional economic growth

### EXTERNAL FORCES IMPACTING DECISION MAKING ACROSS THE TEN CASE STUDY INSTITUTIONS

- Changes impacting the labor market resulting in new demand for certain programs
- Declining state funding and / or budget cuts and changing state funding models (e.g., performance based funding)
- Limited ability to secure substantial new revenue for transformational activities through tuition increases or state funding
- Stagnant funding for students from Pell grants
- Increased federal, state, and local accountability for graduating students with limited debt
- Enrollment growth during times of economic recession and decreasing state funding
- Major role in meeting state degree attainment goals (e.g., Oregon 40-40-20, Texas 60x30TX) driving enrollment and completion pressures



### EXAMPLES



#### State Funding

The state of North Carolina has cut educational appropriations by more than 10% since the recession



#### High School Graduation Rates

The state of Oregon has one of the lowest high school graduation rates in the country



#### State Policy

State of Ohio has increased focus on college affordability, pathways, and degree completion in recent years



Each two- and four-year institution shared a strong sense of being “resource constrained” as a result of these contextual factors

## Additional Contextual Factors: 2-Year Institutions

The two-year colleges have faced unique contextual factors that were not present or as salient for the four-year universities

### ADDITIONAL FACTORS FACING THE FIVE TWO-YEAR COLLEGES

- Reliance on funding from both state and local sources drives uncertainty
- Employment growth in regions has driven down community college enrollments as potential enrollees opt for workforce
- Tuition freezes at several institutions limit their ability to fill gaps left by decreases in state funding
- Declining manufacturing sector creates opportunity for reskilling incumbent workers and a clear role for institutions in talent pipeline, particularly in smaller communities



### EXAMPLES



#### Economic Growth Impacts

In 2009, at the deepest point in the economic recession, DCCC enrollment grew 17% from the previous year; in 2015, as employment rebounded<sup>1</sup>, enrollment decreased over 7%



#### Changes in Industry

Local employers are increasingly looking to IRSC to upskill the labor force and attract new industry to the community



#### Reliance on Local Taxes

Local taxes are the largest income source of revenue for the College and provide resources for needed capital improvements

1. Source: IPEDS (NCES)

## Additional Contextual Factors: 4-Year Institutions

The four-year universities have encountered contextual factors distinct from their two-year counterparts which have influenced their transformation journeys

### ADDITIONAL FACTORS FACING THE FIVE FOUR-YEAR UNIVERSITIES

- Increased dependence on tuition and fees as state funding declines and costs climb
- Increasing student enrollment putting pressure on academic and student services
- National developmental education reform shortening time spent in developmental courses
- Pressure to balance student success against other institutional priorities, e.g. investment in research or improvement in external rankings



### EXAMPLES



#### Enrollment Growth

NAU has faced student enrollment growth pressures alongside economic challenges in Arizona 7%



#### Increased Dependence on Tuition

PSU was planning a 9% tuition hike in Fall 2017 to address rising costs until the state approved increased funding for the university over the summer



#### Developmental Education Reform

Major recent legislative action in Texas includes mandating co-requisite models for developmental education



# Economic Considerations



Across the institutions, economic decisions focused heavily on maintaining or improving effectiveness at the institutions' current scale rather than attempt to "grow out of" financial stress

## Hallmarks of Institutions' Economic Plans



Belief that successful pursuit and focus of current mission and strategic agenda did not require enormous infusion of new funding



Plans for growth focused on mission expansion and/or incremental revenue enhancement to replace other declining sources of funds, not on "cost curve shifting" economic transformation



Scalability concerns focused on maximizing ROI for institution as currently situated, not as a means of changing size of institution



Creativity and willingness to actively pursue new funding sources



Equal focus on investment and disinvestment: identification of new initiatives paired with difficult but necessary decisions on programs/services to reduce or eliminate



Stabilization of finances to maintain cushion for unexpected downturns; utilization of reserves

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# ECONOMIC MODEL



## Multi-faceted Revenue Growth

The institutions largely considered their economic levers malleable, yet not completely changeable

The institutions did not seek large scale economic transformation such as Mega-style growth or radical restructuring of the costs of a degree. Rather, the institutions pursued multiple incremental improvements which, in aggregate, helped create a stable and reliable economic model:

### Practice

#### Incidence *(X of 10 institutions)*

Advancement and Fundraising



Tuition and / or Fee Increases



Foundation or Government Grant Making



State / Local Government Relations and Lobbying



Traditional Program Enrollment Growth



Creation / Expansion of Online Programs



High-Pay Student Growth (international mostly)



Signifies practices related to Strategic Finance

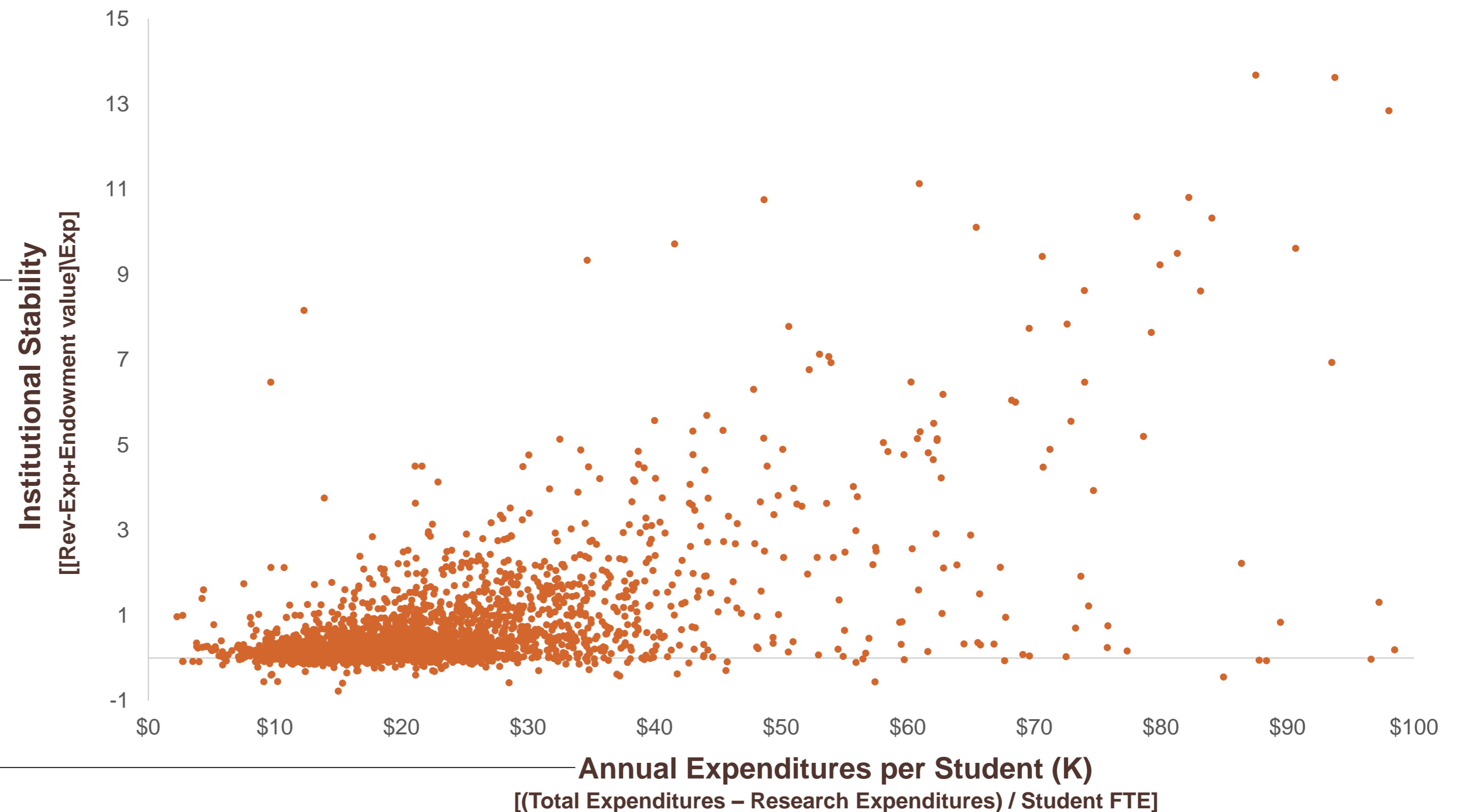
## Assessing Economic Conditions

Understanding the relative wealth and financial stability of institutions helps determine if any patterns or commonalities exist among the institutions

### All 2-Year and 4-Year Institutions

**Institutional Stability** ratio combines annual operating margin with endowment value to approximate financial stability.

**Expenditures per Student** approximates both overall wealth and possible benefits /challenges of scale for institutions of various size. Research expenditures have been removed to focus on educational spending.



Note: n=2746 institutions; 24 institutions with revenues per student greater than \$100K and/or stability factor greater than 15.0 not displayed on chart.  
\*Source: IPEDS FY2015

## Economic Conditions: 4-Year Institutions

The small sample size of institutions does not allow for definitive findings, but economic analysis indicates that there may be a large, but not comprehensive, group of 4-year institutions best suited for Lean transformation

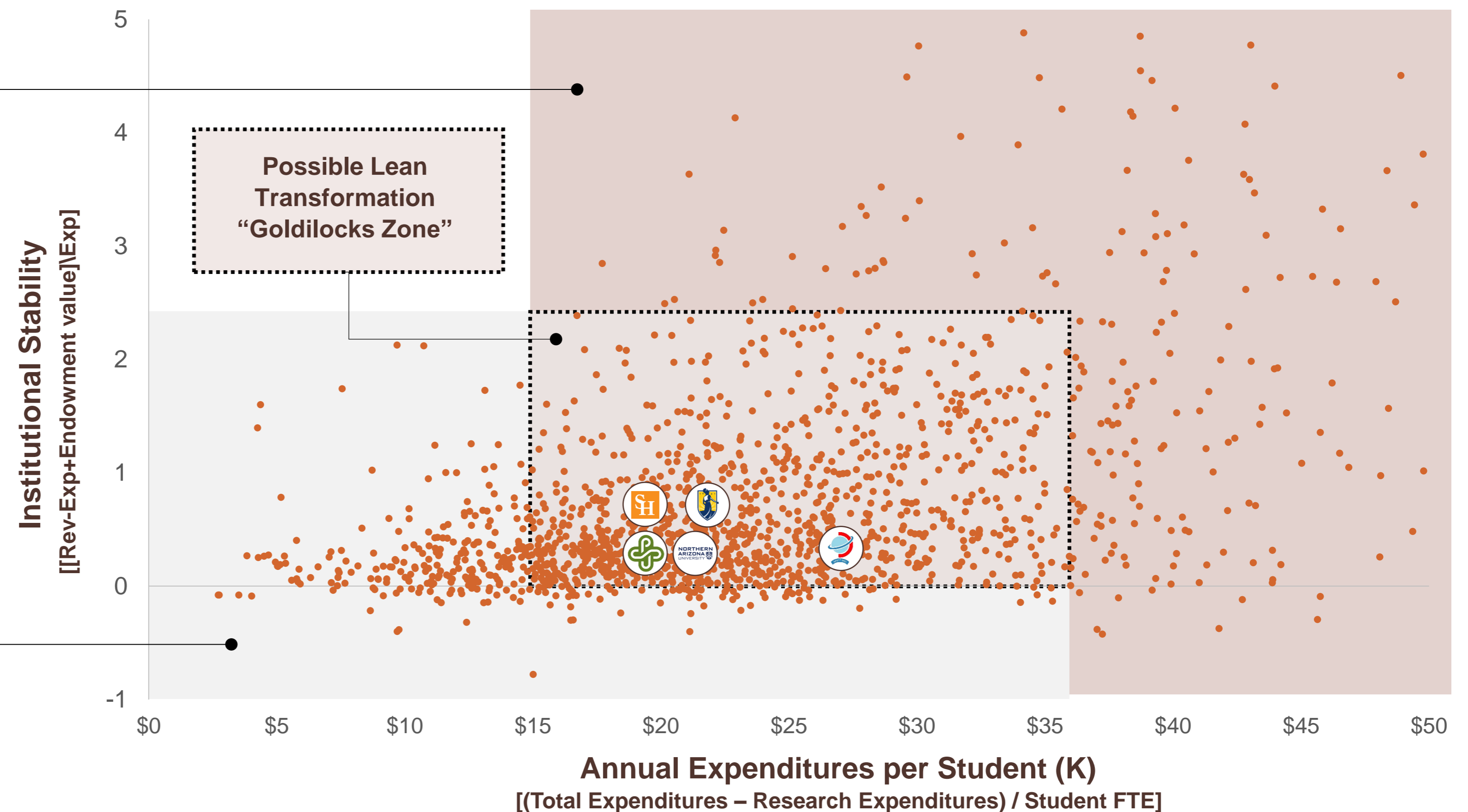
### 4-Year Institutions

**Preliminary Hypotheses:**

These institutions may not feel sufficient economic stress to initiate a transformational agenda or may feel stable enough to take on riskier, more transformational change

**Preliminary Hypothesis:**

These institutions may not have baseline financial resources and/or scale to transform

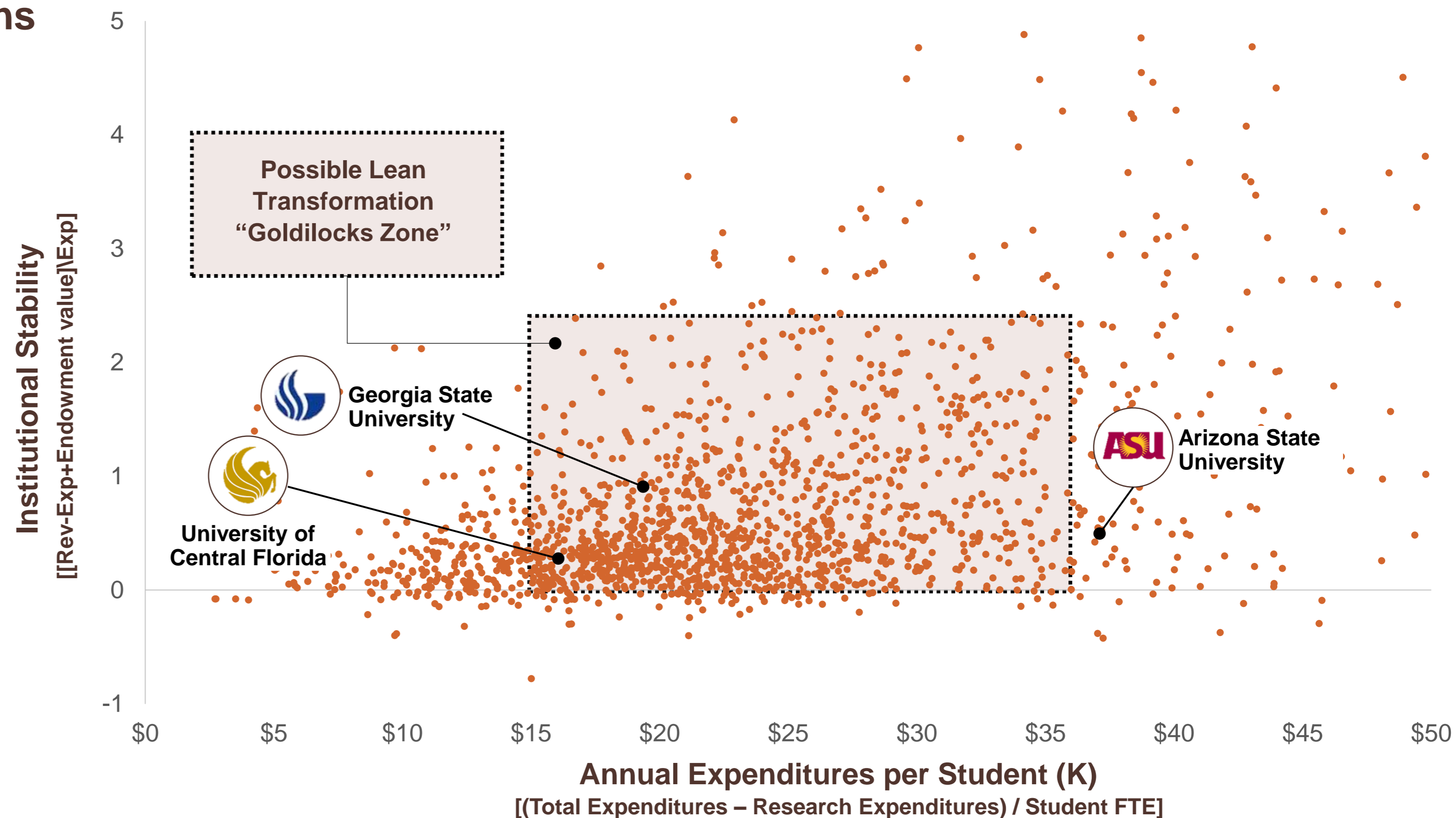


Note: n=2746 institutions; 24 institutions with revenues per student greater than \$100K and/or stability factor greater than 15.0 not displayed on chart. Source: IPEDS FY2015

## Economic Conditions: Mega Model Institution Comparisons

Two of the three Mega institutions exist within the possible Lean transformation “Goldilocks Zone,” indicating that institutions with similar economic conditions could potentially elect to pursue different approaches to transformation

### Mega Model Institutions



Note: n=2746 institutions; 24 institutions with revenues per student greater than \$100K and/or stability factor greater than 15.0 not displayed on chart.  
\*Source: IPEDS FY2015

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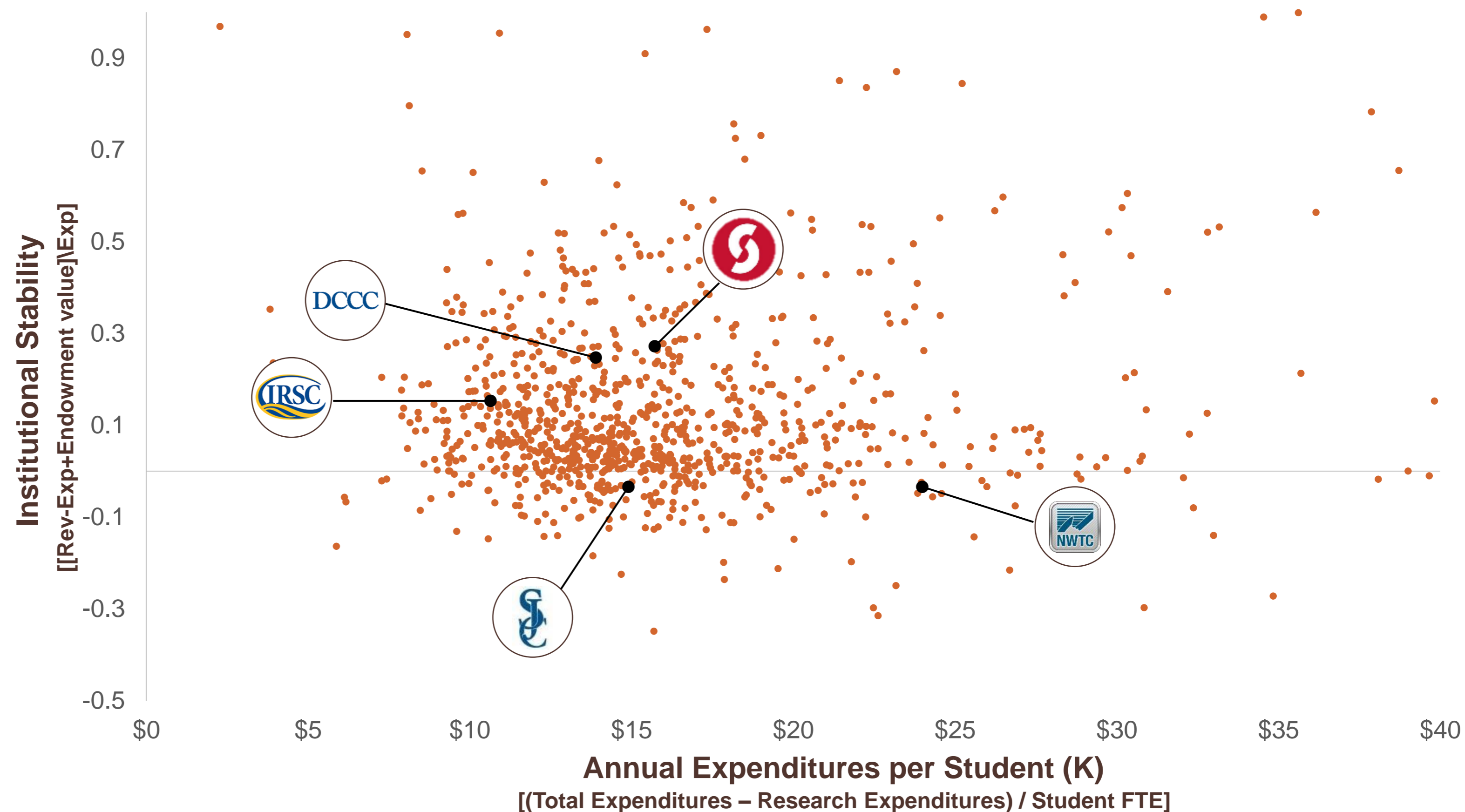
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## Economic Conditions: 2-Year Institutions

The 2-year model institutions exist in different positions within the large cluster of peers, indicating many such institutions could potentially pursue a Lean transformation

### 2-Year Institutions



Note: n=2746 institutions; 24 institutions with revenues per student greater than \$100K and/or stability factor greater than 15.0 not displayed on chart. Source: IPEDS FY2015

## Other Potential Paths to Transformation

Several other approaches to change might lead to institutional transformation but were not observed in our sample

### Institutional Decisions



#### Institutional Mission

Rather than shifting the fundamental mission of their institutions, the colleges and universities in our sample have maintained a core mission of maintaining access and serving as the local gateway to economic success for their city, county, metro region, or state



#### Educational Delivery Model

While all of the institutions in our sample worked to limit cost of attendance increases for students, none had explored opportunities to significantly *decrease* the cost of a degree



#### Faculty Mix

Changes in these institutions' faculty mix has largely been in response to swings in enrollment (or as risk mitigation mechanisms in case such swings occur) rather than as an intentional effort to change the underlying economic model



#### Enrollment Mix

Many institutions have partnered with K-12 organizations or other postsecondary institutions to diversify or increase revenue from the state and improve other outcomes (e.g., developmental education, dual enrollment, transfer opportunities, etc.)



#### Research Investment

While some institutions have increased the attention given to research to help improve their academic reputation, most (though not all) institutions put primary focus on academics and student success

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## Caveats on the Scope of Research

### Scope of Research

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The purpose of the observations in the following pages is to provide **directional recommendations for transformation**. Examples given are those that the case study institutions view as positively impacting student success at their institutions.

The structure and scope of the underlying research does not allow for more specificity, and we will use directional rather than prescriptive language to signal this limitation.



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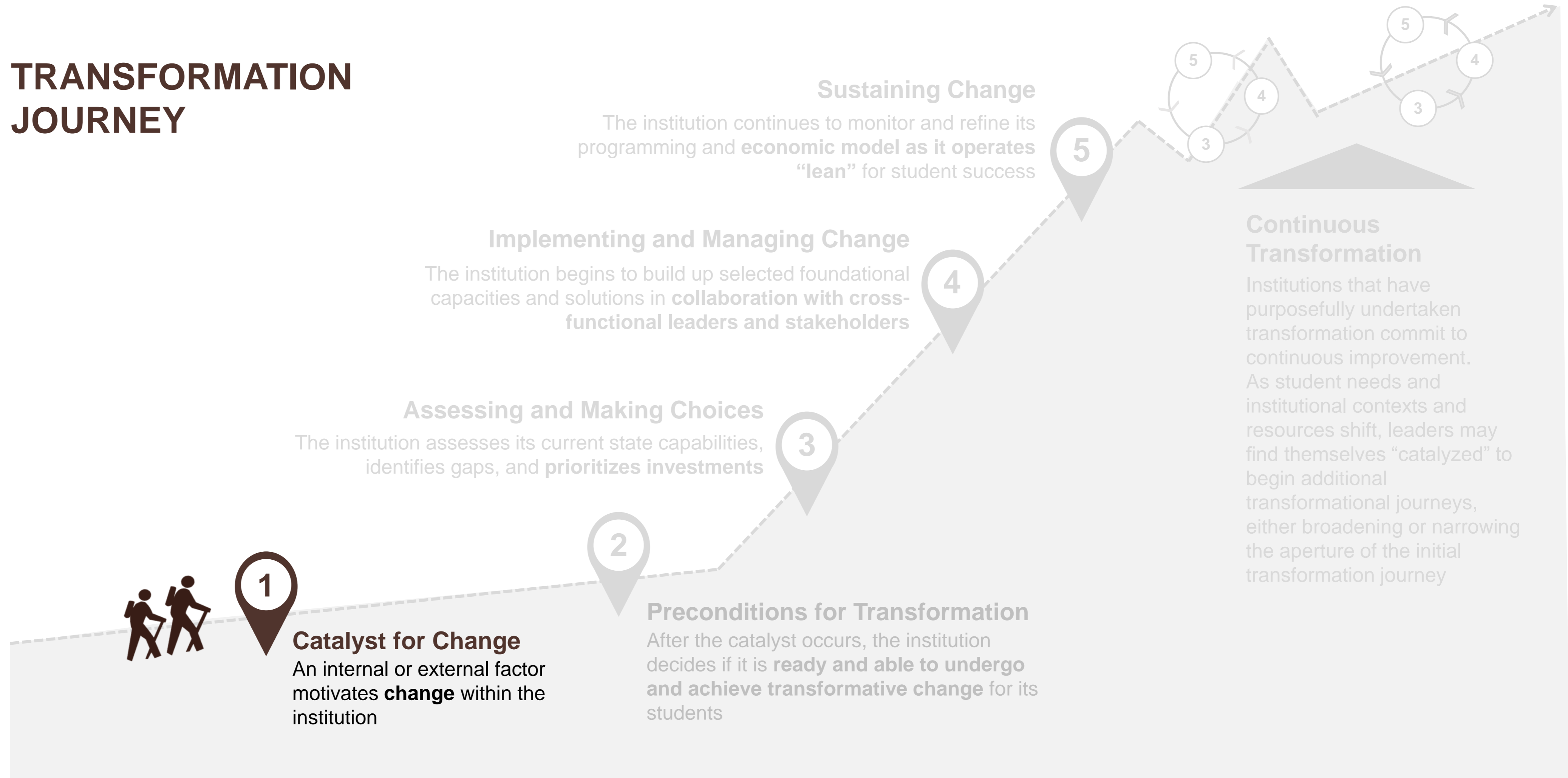
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# TRANSFORMATION MODEL

## Catalyst for Change

## TRANSFORMATION JOURNEY



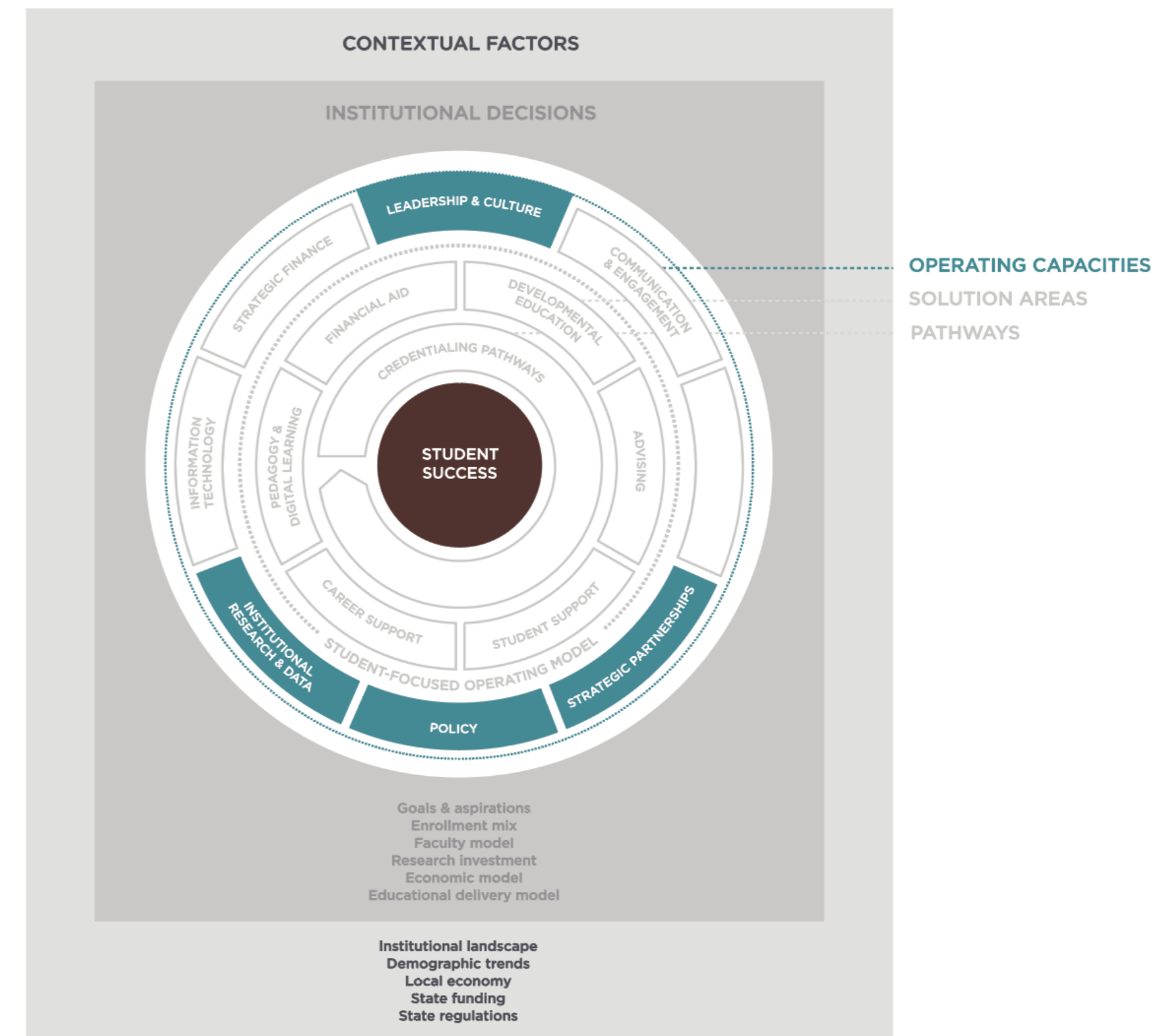
## Catalysts for Change: Overview

Some event or combination of events (internal or external) triggers a need or desire for change within the institution

### Takeaways

- There is **no prescribed formula for the initiation of institutional change**. An institution’s transformation journey can be triggered by a variety of different catalysts, including (but not limited to) new leadership, external partnerships, and policy changes
- The effectiveness of catalysts is primarily dependent upon **strong leadership across all levels**, at the Presidential to Managerial levels
- Catalysts may be **initiated by the institution** (e.g., partnerships) or may **occur beyond the institution’s control** (e.g., state policy changes)
- Once they occur, catalysts help members of the institution **realize a need or desire for change**
- Subsequently, the institution must decide whether or not it is **ready to take on a change**

The most relevant aspects of the Lean Transformation Framework at this stage of the journey are highlighted:



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## Catalyst for Change

### NEW LEADERSHIP

- A new president / executive team member / board arrives and establishes a focus on student success
- The new leader(s) serves to rally the institution around a shared mission

### EXTERNAL PARTNERSHIPS

- Working with external partners (e.g., consultants, national collaboratives, K-12 institutions, industry players) can cause an institution to reevaluate its programs and offerings

### EXAMINATIONS OF DATA AND BROADER LANDSCAPE

- A better understanding of student outcomes data and comparative data (often with the help of external partners) can mobilize campus leaders
- Institutions may be inspired by the growing body of shared student success literature or major higher education nonprofits or movements (e.g., Complete College America)

### CHANGES IN VISION OR PRINCIPLES

- Existing leadership decides to shift the institution's focus to student success

### POLICY CHANGES AND PRESSURES

- Change may be imposed or prioritized as a result of legislative and system-wide decisions and policies such as funding cuts, performance based or other metrics-based funding, unionization, and statewide education attainment goals

### COMMUNITY NEEDS

- A growing need for quality local education and workforce skill providers (especially during periods of economic downturn) may push an institution to improve programs

## Catalysts for Change: Stories from the Field



### DCCC

- DCCC’s transformation journey **continued with a new chapter with the 2003 arrival of a new president**, who brought 20+ years of experience in higher education instruction and administration
- The President and her team **sought out partnerships** with Achieving the Dream, Aspen Institute, Completion by Design, and the Gates Foundation; these partners **motivated DCCC to adopt a range of student success priorities** over the years



### SJCD

- SJCD commenced their student success journey **by joining Achieving the Dream**
- After joining ATD, the College’s **leadership analyzed their data** and became aware of poor graduation outcomes; this **led to shift in focus from enrollment to student completion**
- SJCD further catalyzed its journey with the **hiring of Dr. Brenda Hellyer as Chancellor, Dr. Laurel Williamson as the Vice Chancellor, and George González as the Institutional Research Director**



### NAU

- NAU’s student success mission **reached a new level in 2001 under President John Haeger** in response to the national **growing college completion focus**
- Haeger’s work was **continued** by the VP of Enrollment Management and Student Affairs, VP of Academic Affairs, and President Rita Cheng
- NAU’s focus on outcomes has been **intensified by the Arizona Board of Regents’ 2025 enrollment, retention, and diversity goals**



### SHSU

- The **2001 appointment of President James Gaertner started SHSU’s student success transformation journey**; through the many initiatives he led, he helped the University **focus on enhancing student retention, increasing affordability, and more**
- The University continued its journey with the leadership of **Provost David Payne**, who led a cross-divisional team to **design a centralized advising center**

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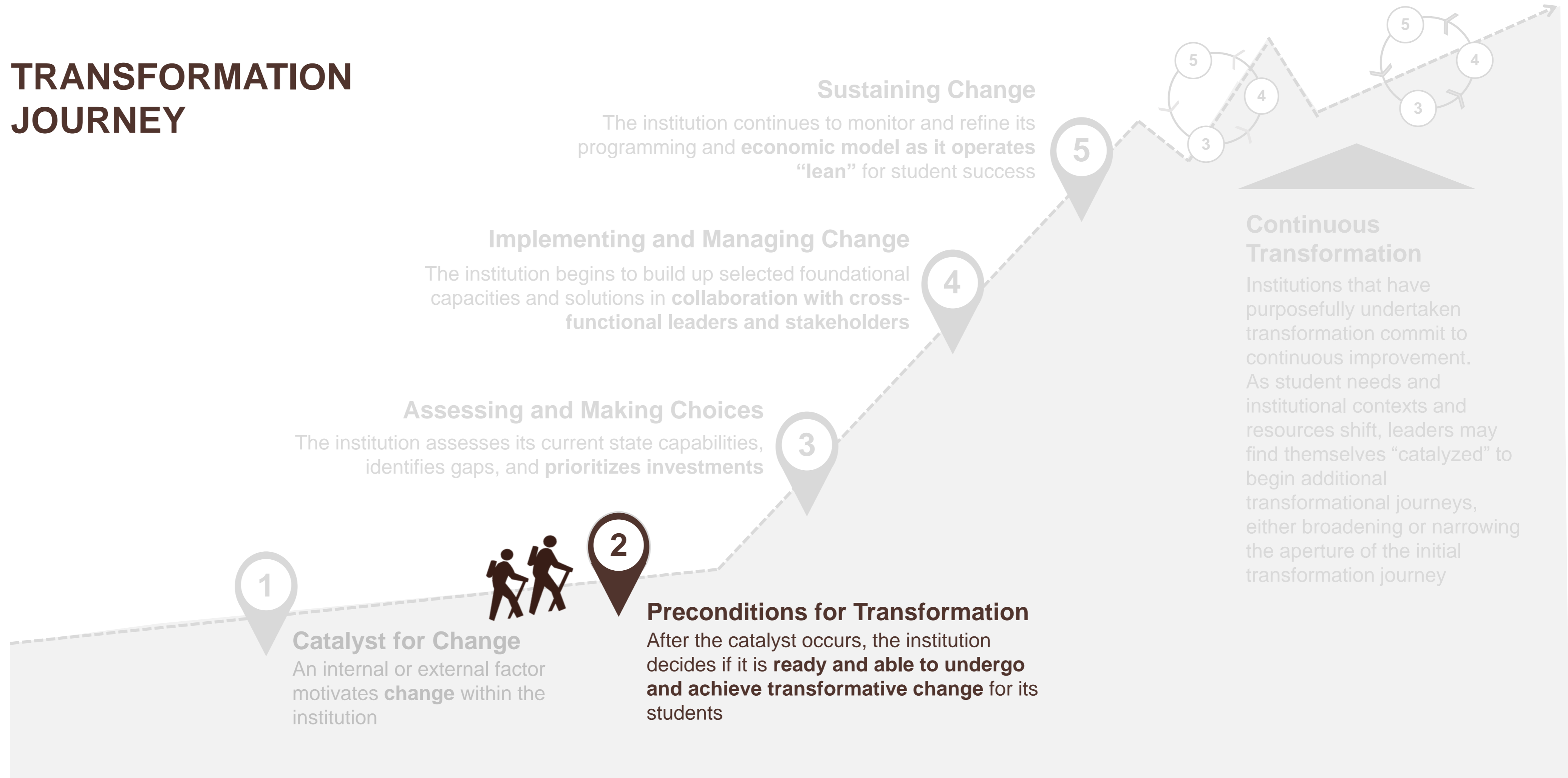
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# TRANSFORMATION MODEL

## Preconditions for Transformation

### TRANSFORMATION JOURNEY



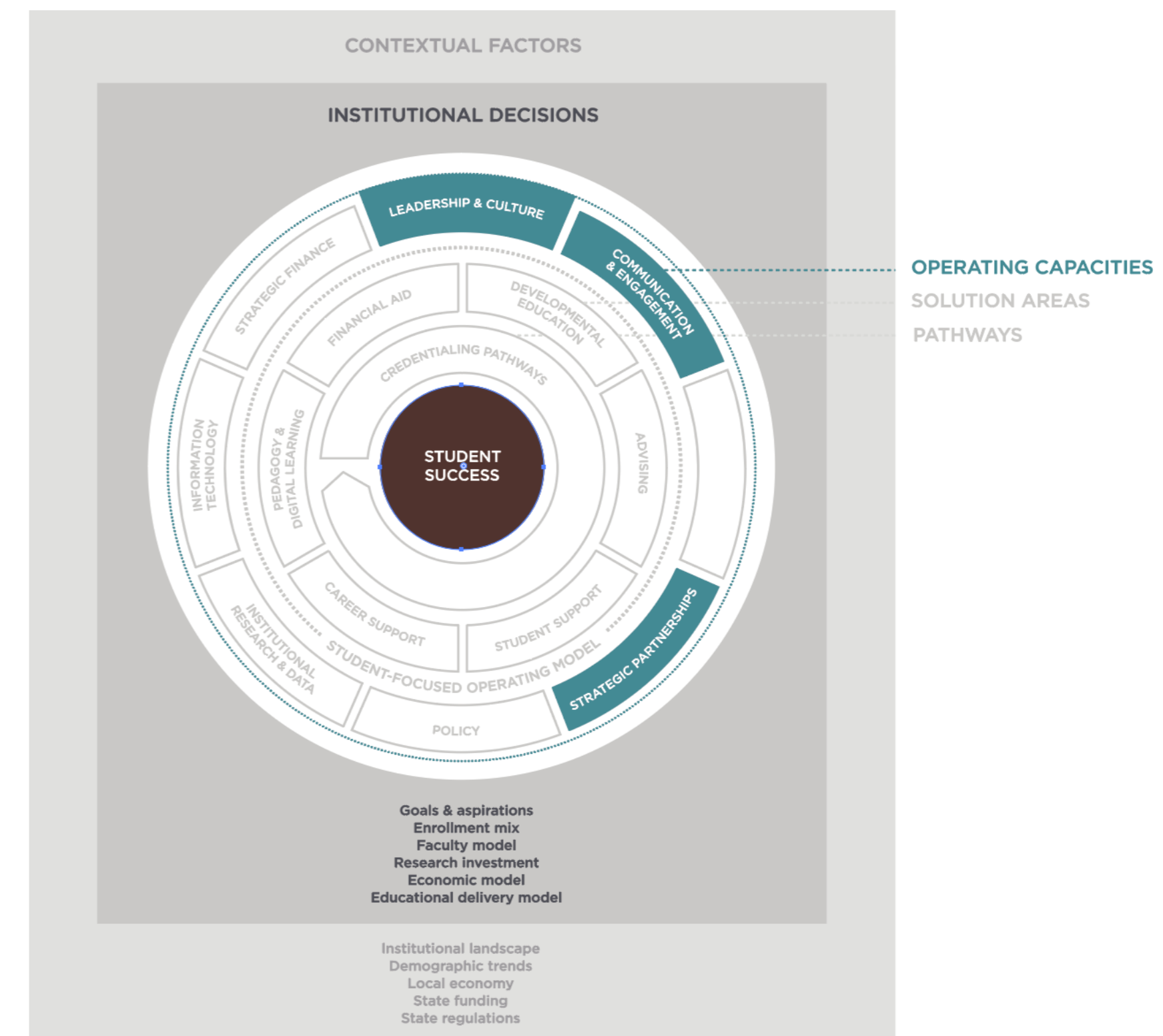
## Preconditions for Transformation: Overview

After the catalytic event occurs, the institution decides whether it is ready and able to undergo and achieve transformative change for its students

### Takeaways

- Although an institution may be motivated to change, it may not be ready for transformation. Before making this decision, the institution should determine whether it **meets certain preconditions for change**
- Should an institution be unable to meet all of these preconditions, **transformation is still possible**. However, **addressing these factors before beginning an intentional transformational journey is critical** for academic, financial, operational, talent, and, of course, student success
- First, **effective leadership must exist at multiple levels** to generate and sustain a commitment to student success.
- Next, it must **understand and reaffirm a commitment to its priorities** role in the community and be ready to **institutionalize this commitment**
- Finally, in committing to student success, the institution should be able to **identify change agents to provide leadership throughout the transformation**

The most relevant aspects of the Lean Transformation Framework at this stage of the journey are highlighted:



## Preconditions for Transformation

### INSTITUTIONAL STABILITY

- The institution should minimize or stabilize distress (e.g., legal) as it prepares to undertake transformational activities
- The institution should have a base level of necessary funding / resources (or seek new sources of revenue) to invest in new solutions or capacities

### AWARENESS OF SELF

- The institution must solidify its identity before initiating a change
- This involves understanding institution's vision (e.g., research aspirations or admissions selectivity) and the students it aims to serve (e.g., low income, first-generation)

### CHAMPION OF CHANGE

- A designated change agent or agents should lead the charge; the change agent(s) could include anyone from top leadership that has the support of the president, board, administration, faculty, etc.
- The change agent should actively aim to bring different perspectives together from across the institution

### CHANGES IN VISION OR PRINCIPLES

- Leadership must adopt and socialize a vision centered around student success
- Prior to sharing this vision, leadership should consult key stakeholders among faculty and administration to understand perspectives and readiness for change

### AWARENESS OF COMMUNITY

- If the catalyst for change is community need, the institution should seek to better understand its surrounding community to ensure that planned shifts will actually improve its service to the community
- The institution should seek guidance and support from community leaders during the change

### SUPPORTIVE LEADERSHIP

- The president and board must be supportive of the vision and open to investing in new capacities and solutions as well as to seeking innovative resources (e.g., private grants, business ventures) to support these ideas

## Preconditions Checklist: External Factors

The following list of preconditions – both observed at case study institutions and extrapolated from more general knowledge of the sector – should be met before pursuing transformation

### External Factors

### Internal Factors

#### LEGAL AND REPUTATIONAL

- No major lawsuits or legal challenges with significant brand or financial risk
- No public-facing crises or public relations issues which severely impact institutional reputation
- No significant personal and/or institutional relationship issues with local or state government or community leaders

#### REGULATORY AND COMPLIANCE

- No major unaddressed financial accounting or financial reporting failures or audit findings
- No significant challenges with relevant federal and state regulations
- No accreditation issues which could impact continued delivery of a significant set of programs

#### PROGRAMMATIC STABILITY

- No major prospective student population shifts which significantly decrease enrollment
- No major regulatory or career market changes which significantly impact demand for key programs
- No entry of competitor institutions which significantly decrease enrollment



## Preconditions Checklist: Internal Factors

The following list of preconditions—both observed at case study institutions and extrapolated from more general knowledge of the sector—should be met before pursuing transformation

### External Factors

### Internal Factors

#### ORGANIZATIONAL TRUST

- No recent executive turnover due to scandal or irreparably damaged internal relationships
- No issues which have severely damaged trust between Board and President/Chancellor
- No issues which have severely damaged trust among members of the Executive Cabinet
- No issues which have severely damaged trust between institutional leadership and faculty
- No issues which have severely damaged trust between institutional leadership and staff
- No issues which have severely damaged faculty-staff relationship

#### FINANCIAL STABILITY\*

- Sufficient resources to maintain day-to-day operations
- No major future costs “coming due” (e.g., balloon debt payments, deferred maintenance) without means for paying
- No confirmed and precipitous declines in existing revenue sources

\* See the Economic Model section for more detail on financial stability and transformational viability

#### SELF-AWARENESS

- Recognition and acknowledgement that student success is an institutional priority and must be improved
- Commitment from institutional leadership to focus effort and resources on student success
- Identification of an individual, or small group of individuals, who will be responsible for leading and coordinating change across the institution

## Preconditions for Transformation: Stories from the Field



### IRSC

- IRSC embarked on a transformation journey in 2000 to create a people-centric culture; prior to that, college leadership **spent 12 years implementing corrective actions for the institution** (e.g., assessment, lawsuits)
- The transformation began with a **climate study**, which included data collected from interviews with 200+ people to identify areas of opportunity across IRSC



### SCC

- Dr. Steve Johnson was **selected as president** based on his strong vision for, and commitment to, student success
- The **Vice Provost for Student Completion role was created** and currently oversees and champions ~60 student success initiatives
- The Board of Trustees supported both a **commitment to removing barriers** impeding student success and **maintaining academic rigor**



### DSU

- One of DSU's most recent president's first priorities was to build **strategic government partnerships** which resulted in millions of dollars of new funding
- The Board, looking to **build a more transparent and data-focused institution**, appointed a new VP of Finance with expertise in business process reengineering, finance, etc



### PSU

- Provost Roy Koch **convened the First Steps for Student Success and Retention committee** which reviewed retention and graduation rates data, literature on best practices, and PSU policies and practices
- Sukhwant Jhaj was appointed **Vice Provost for Academic Innovation and Student Success** and currently oversees key student success efforts

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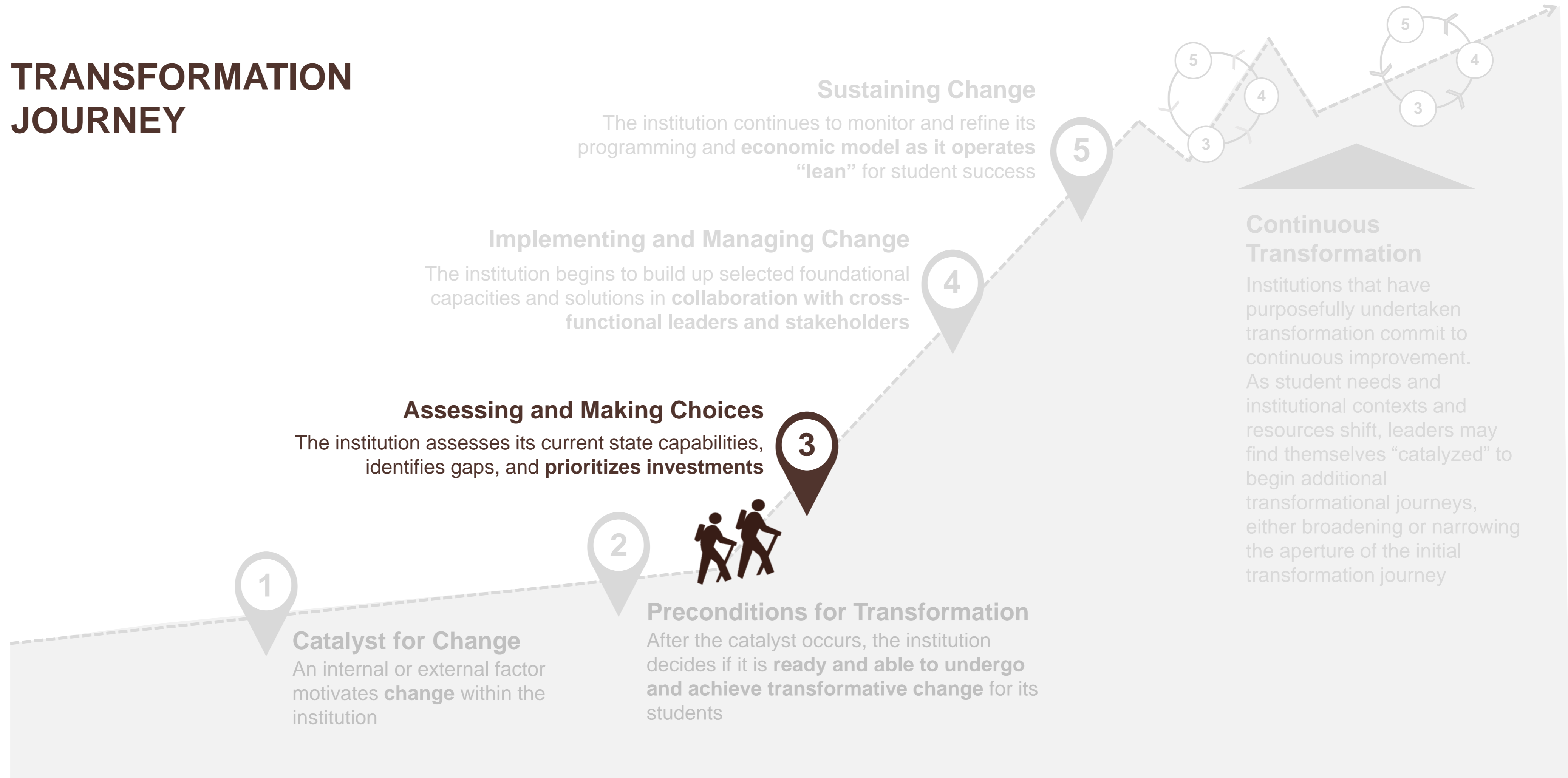
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## Assessing and Making Choices

### TRANSFORMATION JOURNEY



## Assessing and Making Choices: Overview

The institution assesses its current state capabilities, identifies gaps, and prioritizes capacities and solutions to invest in based on those assessment findings

### Takeaways

- Once the decision to change has been adopted, the institution should **assess its existing capabilities and gaps** and determine what area(s) to prioritize
- Although multiple projects may be planned or in-process, institutions need to think of the projects as **components of a single campaign**
- Operating capacities that enable the institution to meet diverse student needs **should be developed first**. These include leadership and culture, strategic finance, and the development of a student-focused operating model
- Solutions are ways in which the institution attempts to improve student outcomes and should be pursued **after the prerequisite capacities** are in place
- Choosing what not to do** is as important as choosing what to do. To maintain directional clarity and focus, institutions should set a **small number of goals** and remain laser-focused on achieving them

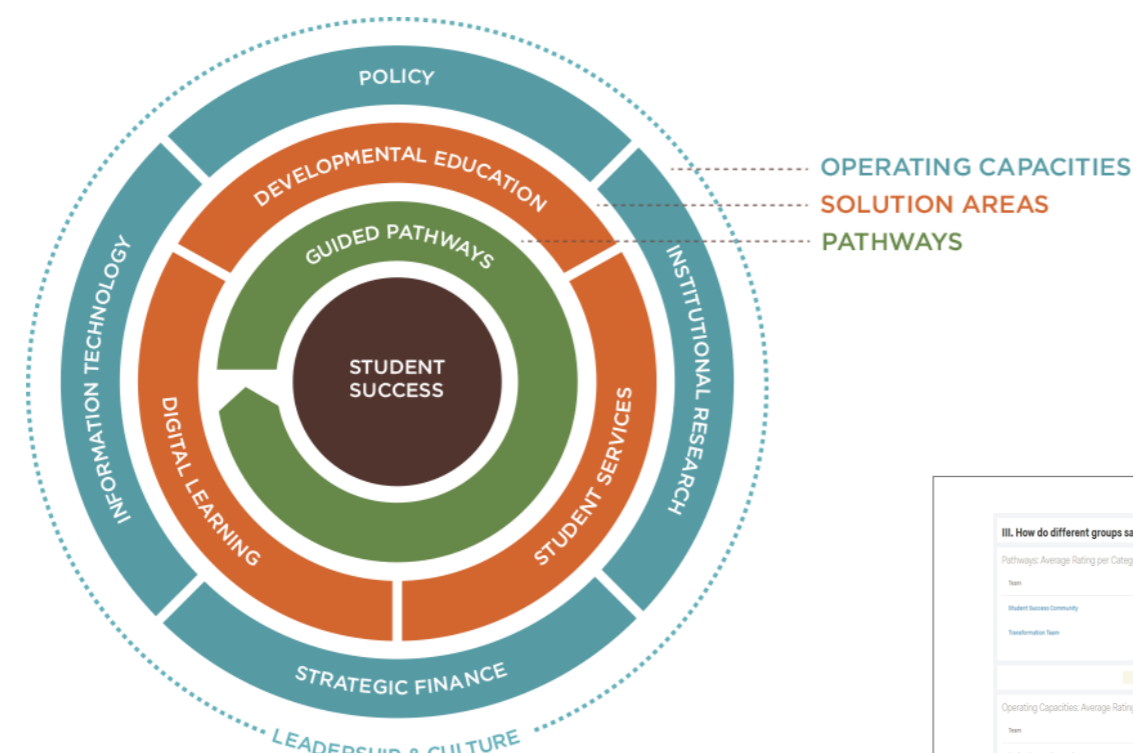
At this stage in the journey, all aspects of the Lean Transformation Framework are relevant.



## Assessing and Making Choices

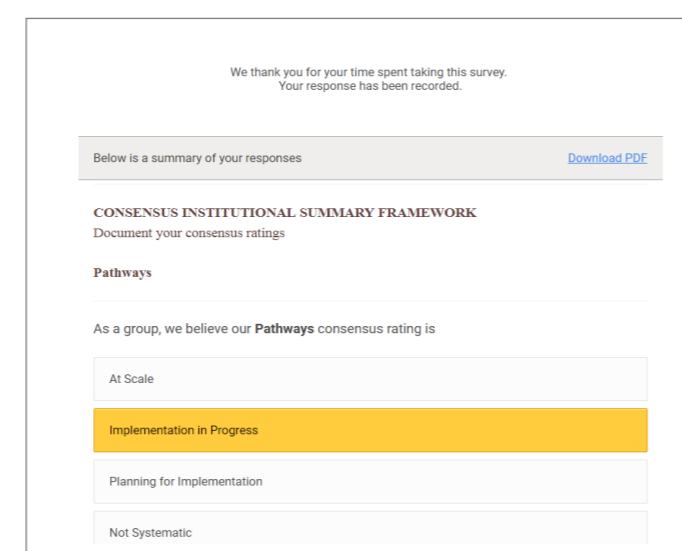
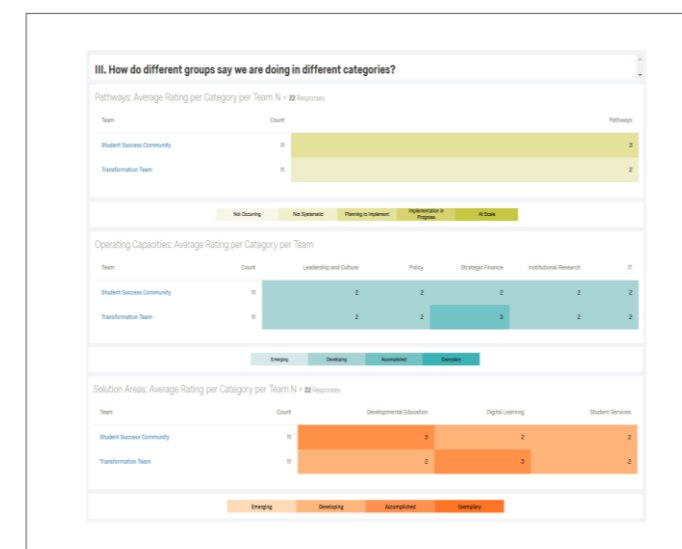
The Institutional Transformation Assessment (ITA) is a tool that helps institutional leadership teams plan, prioritize, and identify next steps. The assessment is built on rubrics sourced from experts in the field, and can help guide and inform an effective and efficient conversation by providing a common language.

As members of the Frontier Set, all of the case study institutions have taken the assessment.



This is the ITA framework, organized by the same categories as this resource: capacities, solutions, and pathways.

To the left are example outputs that can be used to guide the conversation that follows assessment.



### QUESTIONS THE ITA CAN HELP PROMPT & ANSWER:

- Who are our strongest transformation leaders and how do we empower them?
- What are our major strengths today? What are our biggest gaps?
- Which gaps are most pressing (in relation to student success)?
- What assets (e.g., human, financial) can be repurposed or leveraged in support of transformation?
- Which capabilities do we need to invest in first?
- How do the planned initiatives fit together in a broader, comprehensive plan?

## Assessing and Making Choices: A Starting Place

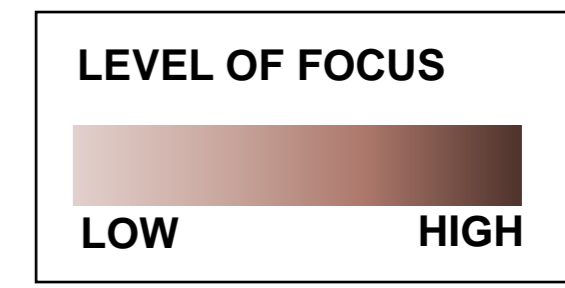
The most foundational capacities and solutions are highlighted below based on prevalence and level of focus across the ten case study institutions

### CAPACITY

### LEVEL OF FOCUS

Leadership & Culture	High
Communications & Engagement	High
Talent	High
Strategic Partnerships	High
Institutional Research / Data	High
Student-Focused Operating Model	High
Strategic Finance	Medium-High
Information Technology	Medium
Policy	Low-Medium

- Across the institutions, Leadership and Culture, Communications and Engagement, Talent, Strategic Partnerships, Institutional Research / Data, and a Student-Focused Operating Model were seen to be the **most established capacities**, and many institutions **chose to start their transformation** by building these out
- As institutions continue along their transformation journey, they have **shifted more attention to improving** their finances, IT, and engagement in policy initiatives



### SOLUTION

### LEVEL OF FOCUS

Credentialing Pathways	High
Student Support	High
Career Support	Medium-High
Financial Aid	Medium-High
Advising	Medium
Digital Learning & Pedagogy	Medium
Developmental Education	Low-Medium

- Institutions have **invested significantly in student support** (across academic, human, and at-risk student services)
- Many institutions also focused on providing career supports, financial aid, and pathway programming upfront
- Advising, digital learning and pedagogy, and developmental education continue to be a **work-in-progress** for some of the institutions, though several do **already have strong models in place** based on their **specific institution's needs** (e.g., two-year schools have more robust developmental education initiatives)

## Assessing and Making Choices: Stories from the Field



### DCCC

- DCCC's external partners **evaluated the institution's capabilities and identified gaps**
- Based on ATD's recommendation, **DCCC refined its student data collection and analysis** processes
- Participation in CBD enabled DCCC to better **frame the student success journey and introduce key solutions** for each part of the journey



### NWTC

- Between 2007 and 2009, the College began to acknowledge its low graduation rates. President Rafn appointed **a cross-functional committee of faculty and staff to investigate** reasons for the decline **and propose solutions**
- Utilizing frameworks from ATD, the College further **assessed its needs and developed a prioritization of solutions**



### UNC Greensboro

- UNC Greensboro faced a combination of challenges: significant budget cuts, decreased enrollment numbers, and increasing external enrollment pressures
- The institution chose to focus on **increasing enrollment**, growing tuition revenue, and **creating a cabinet-level Vice Chancellor of Enrollment Management (EM)** position



### SHSU

- Sitting in the Office of Institutional Effectiveness, the Administrative Program Review program is in place to help non-academic departments **identify operational improvement opportunities**
- The program supports the assessment process and assists in **refining improvement recommendations and developing action plans and monitoring progress toward goals**

## Assessing and Making Choices: Student Lifecycle

Mapping the services across the student lifecycle at the ten case study institutions reveals a high degree of resourcefulness, cross-divisional collaboration, and community engagement



**SH** **Immersive Campus Visit:** Perspective students may participate in day-long exploration of a specific academic area including visits with faculty and students in an academic program

**SJ** **Shared Educational Planners:** Eight SJCD staff are embedded at over a dozen local high schools throughout the school year to offer assistance with applications, hold financial aid workshops, lead campus tours, and provide general postsecondary advising support

**SJ** **SmartStart:** Semester-long student success programs for new students are organized by Career Pathway and integrate “points of contact” with advising and other student services; connects student success curriculum with career interests and supports early Pathways alignment

**S** **First Year Recipe Cards:** First year students are guided to complete these five actions, all shown to positively impact persistence, within their first year: (1) Choose a major, (2) Get a course map, (3) Finish college-level English and Math, (4) Complete nine credit hours in main area of interest, and (5) Complete 30 total credits

**IRSC** **Student Feedback:** IRSC regularly administers both the Community College survey of Student Engagement and the Student Satisfaction Inventory to measure and collect student feedback

**S** **Coordinated Services Network:** Coordinates delivery of student services across departments and offices, allowing faculty and staff to track interactions with specific students

**S** **Career Communities:** Students choose from one of six communities led by faculty, staff, and local business leaders. Advisors, assigned to only one community, serve as both career and academic advisors to the community

**S** **Community-Based Learning:** PSU offers more than 400 community-based learning (CBL) courses across all academic disciplines, engaging over 400 community organizations. CBL is also integrated into research, senior capstones, federal work study, and internship programs



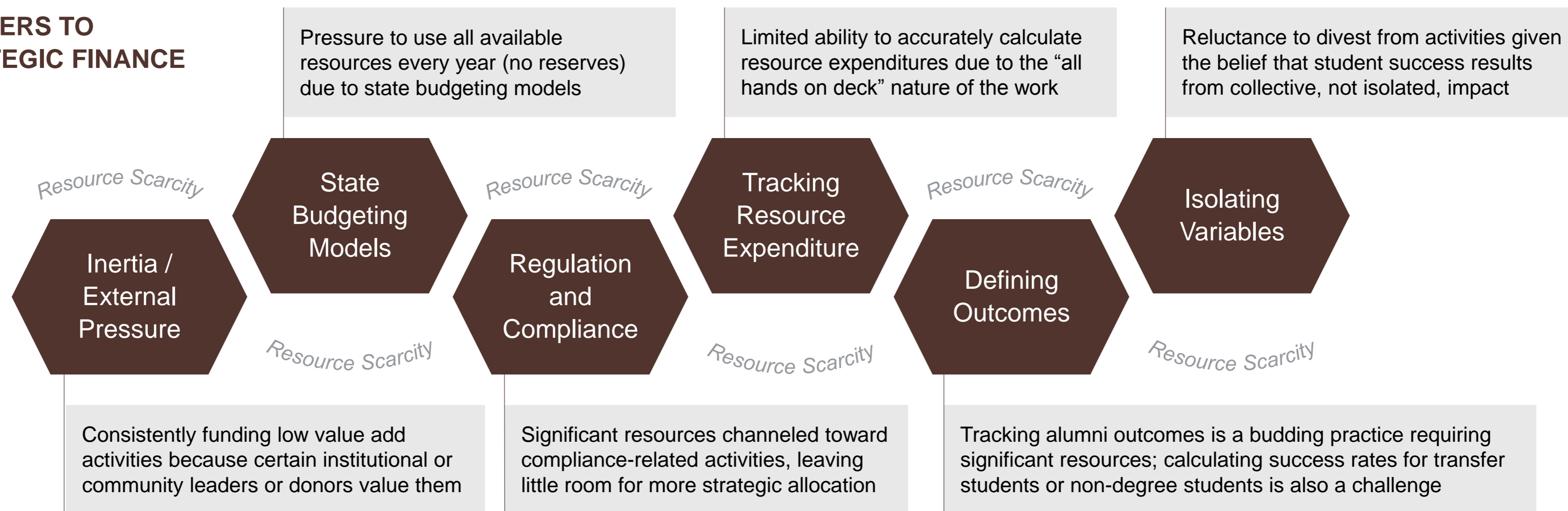
## Assessing and Making Choices: Strategic Finance (1/2)

Strategic finance in Lean Transformations is inextricably connected with student success, but building a mature strategic finance capacity is complicated by external and internal factors

### STRATEGIC FINANCE IN LEAN TRANSFORMATIONS

The practice of strategic finance in Lean Transformations, and, more broadly, higher education, isn't merely a financial exercise—institutions and their stakeholders define “value” in terms of student outcomes. ROI can be defined as cost per completion or any number of student success-related outcomes (course success, retention, graduate employment rates) that are often difficult to measure and vary across institutional types.

### BARRIERS TO STRATEGIC FINANCE

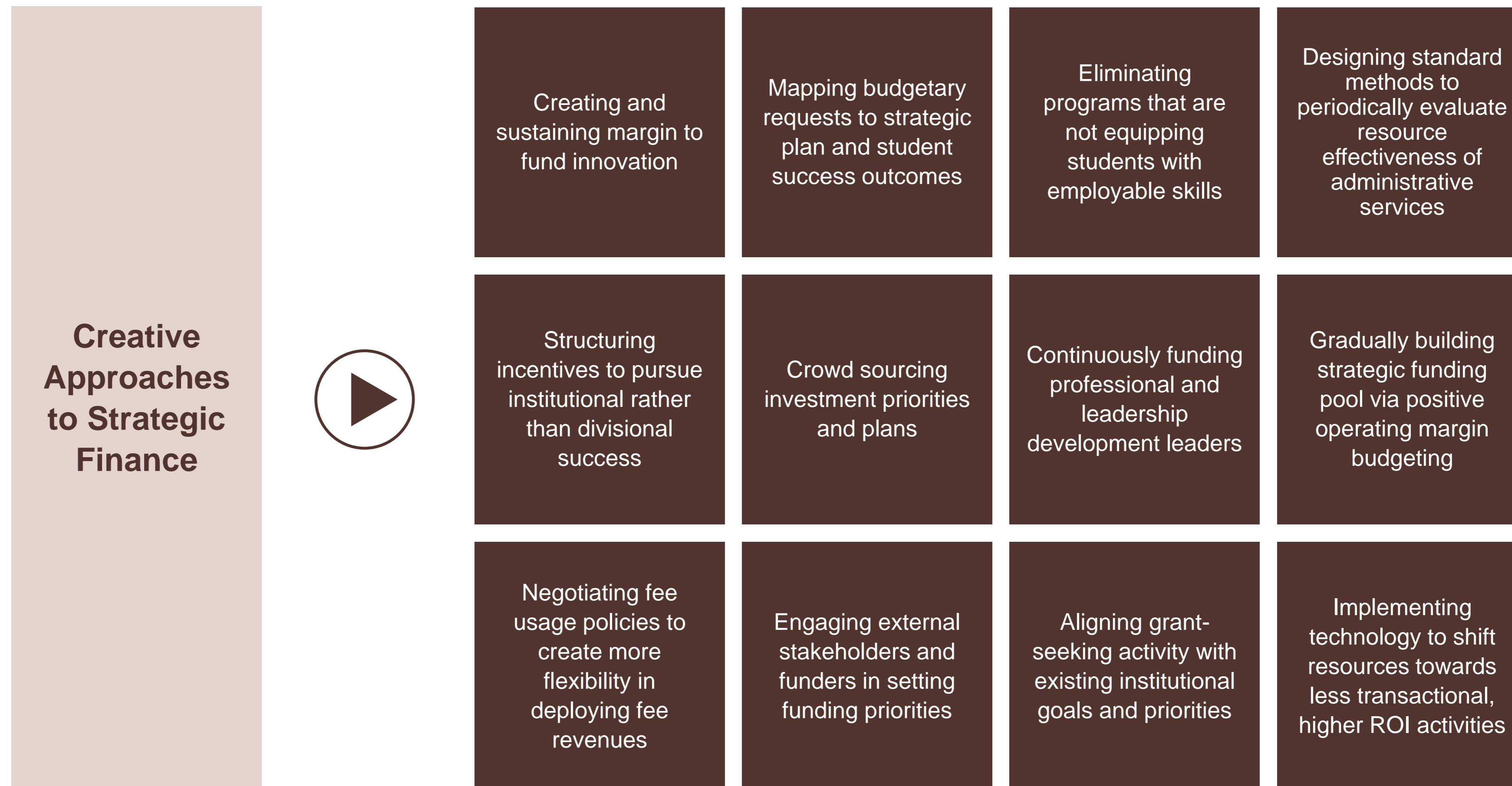


### THE FUTURE OF STRATEGIC FINANCE

As resource constraints grow ever tighter, institutions are realizing the paramount importance of identifying high impact activities. However, until institutions have the resources and capacity to mature in their strategic finance activities, strategic finance will remain more art than science.

## Assessing and Making Choices: Strategic Finance (2/2)

Despite these challenges, each of the ten case study institutions employed creative approaches to reduce or control costs while increasing revenue, aimed at accelerating student success outcomes



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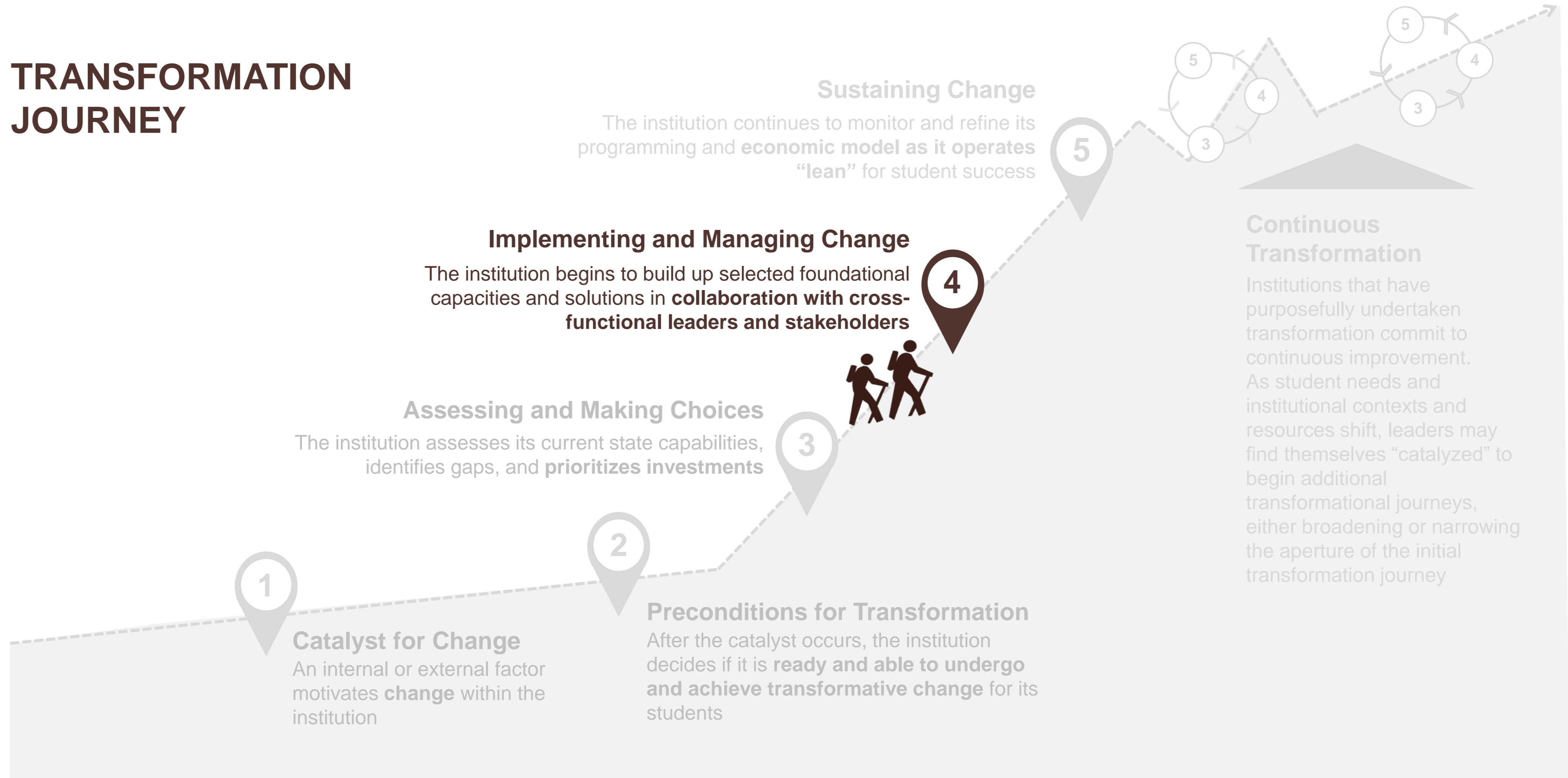
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## Implementing and Managing Change

### TRANSFORMATION JOURNEY



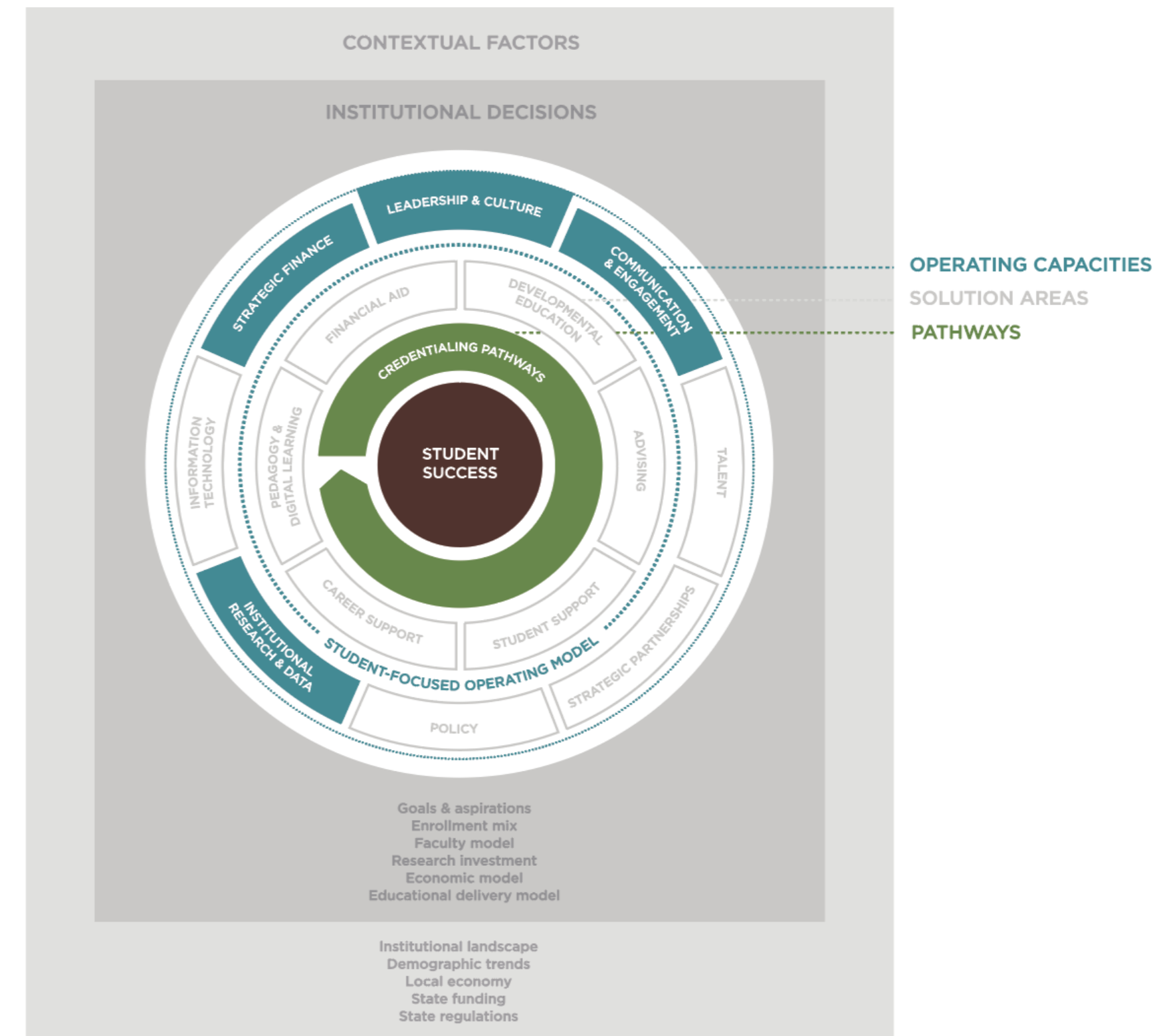
## Implementing and Managing Change: Overview

The institution begins to build up selected foundational capacities and solutions in collaboration with cross-functional leaders and stakeholders

### Takeaways

- Investing in **foundational elements of change** is critical to the transformation process
- Foundational elements include **leadership alignment, stakeholder engagement and communications, and shifts in institutional culture**
- Institutions can address potential barriers to change by forming **cross-divisional working groups** organized around initiative design and stakeholder engagement, strategic communications, implementation, and evaluation
- After foundational elements are in place, **institutions can then make decisions on** the scope and scale of initiatives, identification of specific leaders and participants to engage and empower, and the ideation of creative solutions
- “Quick wins,”** or low-resource opportunities with high “ROI” may help to generate momentum and commitment to change

The most relevant aspects of the Lean Transformation Framework at this stage of the journey are highlighted:



# Implementing and Managing Change: Foundational Elements

Certain elements should be in place to foster adoption of prioritized transformational capacities and solutions

## LEADERSHIP ALIGNMENT

- Institutional leaders (e.g., Board, President or Chancellor, Cabinet, Academic leadership) should be committed to the change process before new initiatives are launched
- Transformation leaders should identify student success advocates throughout the institution to also act as change leadership
- Leadership turnover may result as the institution embraces a new direction or culture

## STAKEHOLDER ENGAGEMENT AND COMMUNICATIONS

- Engage stakeholders from the start, recruit key individuals as communications champions, and enable them to disseminate information
- Consider hiring or repurposing an existing resource to function as an internal marketing and communications lead
- Communicate the same message multiple times
- Hold town halls or panels to understand specific concerns or address rumors about change
- Empower faculty and staff to lead program evaluation and propose revenue reallocation strategies

## SHIFTS IN INSTITUTIONAL CULTURE

- Leaders of transformational initiatives should visibly reinforce the culture and model desired behaviors
- Cultural shifts may also be reflected in structural and policy changes
- Leadership invests in cultural change as the main enabler of broader institutional transformation, developing cultures founded in talent development and support

## Implementing and Managing Change: Stories from the Field

Each institution leveraged unique change management approaches based on their institutional culture. A selection of effective approaches are highlighted below:

**BUILD UNIFIED VISION**

PSU




- The President and Provost are widely credited for their support of disruptive change to advance student success and broader transformation
- [Vice Provost] Jhaj has been credited for being positioned “in the right place with power to get stuff done” in service of academic innovation and student success

“ [Vice Provost] Jhaj has shifted the climate. He does amazingly well in translating existing capacities in other sectors for higher education.

**GAIN BUY-IN**

IRSC



- As it embarked on the path toward culture change, College leadership conducted a climate survey and held town halls addressing rumors and questions
- Multiple administrative leaders shared that knowing the audience (e.g., faculty) is important in this process—even in designing new buildings, members who will use the buildings help shape the plans

“ We want everyone to be in on what’s going on because they help us vet ideas.

**PROVIDE TRAINING**

SJCD




- SJCD provided mandatory weekly trainings across student services to support the change management process after a major student services restructuring
- SJCD also updated the Departmental Chair role to focus on faculty evaluation and leadership development, eliminating some teaching load

“ When we went through a reorganization, we had training every Friday where every campus, every department went through all the services provided.

**ENGAGE THE COMMUNITY**

UNC Greensboro



- UNC Greensboro relies on interviews and presentations to bring staff onboard for new ideas. The Chancellor and executive team make an effort to bring faculty and staff to the table for important conversations and enable them to hear and share other perspectives

“ [The chancellor] actively seeks opinions, [acknowledges them], and synthesizes.

## Implementing and Managing Change: Maintaining Academic Rigor

### Transformational leadership proactively communicates that improving student success rates does not imply jeopardizing academic integrity or lowering rigor



#### SCC

When SCC transitioned to 100% performance based funding, faculty were worried that it meant compromising the quality of learning for the sake of improving course success rates. The Board communicated directly to faculty, directing them to maintain academic quality while improving student success. In addition to the Board’s communications, student success initiative leaders held many small and large meetings with faculty to address concerns and misinformation.



#### SJCD

SJCD restructured the Department Chair role into a primarily evaluation and strategic planning role through substantially decreasing teaching loads. Department Chairs are expected to spend a significant amount of time observing and coaching faculty members in the classroom to improve teaching methods and ensure academic integrity. Department Chairs have been instrumental in helping faculty members improve course success rates without altering academic standards.



#### NAU

Through the faculty-driven First Year Learning Initiative (reaching 90% of first year students) course revitalization and certification process, faculty members work with FYLI coordinators to design, align, and certify courses with research based pedagogical methods. The certification process also aims to align academic standards across all sections of a course. Faculty-led course design and alignment empower faculty to reduce DFW rates without lowering rigor.



#### DSU

DSU began a Program Prioritization Initiative (PPI) to evaluate academic and administrative programs. Each academic department was responsible for evaluating its own programs. Cost savings were reallocated back into the academic programs across various disciplines targeted for growth and investment. A DSU administrator noted, “One of the things I said during PPI was that whatever savings we get can stay with [the department]. So it was in their best interest and was the big selling point.”

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# Implementing and Managing Change: Quick Wins

Low cost, high impact investments that drive positive cultural change and student success outcomes abound in lean transformations

Lay the foundations of cultural change by building infrastructure to identify transformation priorities and collaborate across divisional or departmental boundaries

Evaluate barriers to retention or completion, particularly those inadvertently created by internal policies or procedures, at key milestones in the student experience



## IRSC: CLIMATE SURVEYS

Conduct a climate survey through holding focus groups and individual interviews with faculty and staff members to evaluate cultural strengths and weaknesses



## SJCD: CROSS DIVISIONAL MEETINGS AND TRAINING

Create regular informal and formal opportunities for student support staff across divisions, colleges, campuses, etc to interact and discuss challenges and successes. Hold cross-divisional trainings when possible



## SCC: ONE STUDENT SUCCESS LEADER

Appoint one cabinet-level leader, possibly a former faculty member or academic leader, to oversee all student success initiatives



## NWTC: STUDENT INTAKE SURVEYS

Develop a student intake survey to identify needs for each student. Use those responses to refer students to the appropriate resources.



## SHSU: ACADEMIC PROBATION & SUSPENSION LETTERS

Rewrite academic probation and suspension to promote a growth-mindset and usage of academic and other student support services



## SJCD: FINANCIAL AID

Request that faculty report on no-show students prior to making initial financial aid disbursements to students to minimize debt obligations for students who drop out. Call students with unpaid balances a week or two before payment deadline



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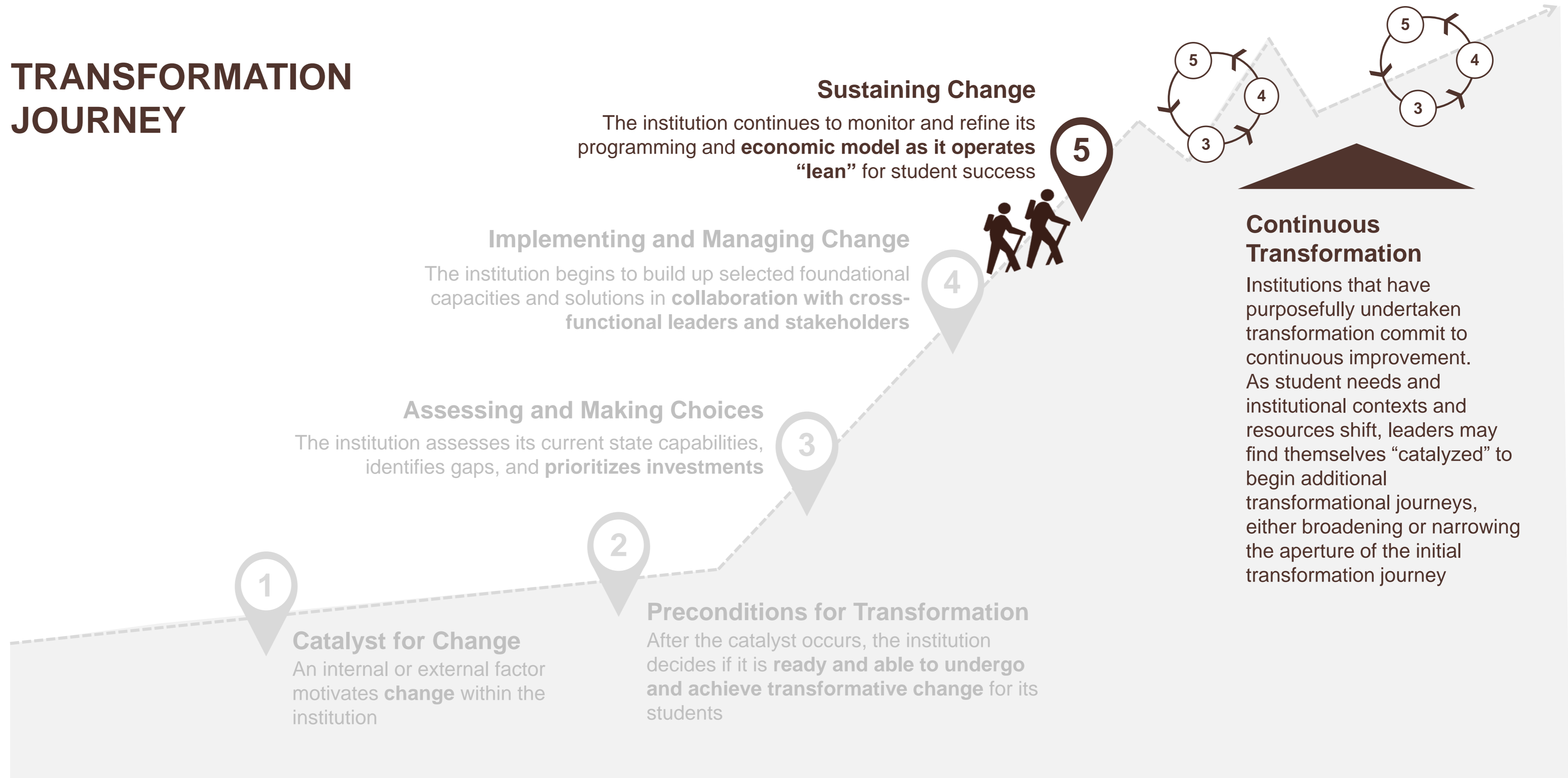
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## Sustaining Change

### TRANSFORMATION JOURNEY



#### Sustaining Change

The institution continues to monitor and refine its programming and **economic model as it operates** “lean” for student success

#### Implementing and Managing Change

The institution begins to build up selected foundational capacities and solutions in **collaboration with cross-functional leaders and stakeholders**

#### Assessing and Making Choices

The institution assesses its current state capabilities, identifies gaps, and **prioritizes investments**

#### Catalyst for Change

An internal or external factor motivates **change** within the institution

#### Preconditions for Transformation

After the catalyst occurs, the institution decides if it is **ready and able to undergo and achieve transformative change** for its students


#### Continuous Transformation

Institutions that have purposefully undertaken transformation commit to continuous improvement. As student needs and institutional contexts and resources shift, leaders may find themselves “catalyzed” to begin additional transformational journeys, either broadening or narrowing the aperture of the initial transformation journey

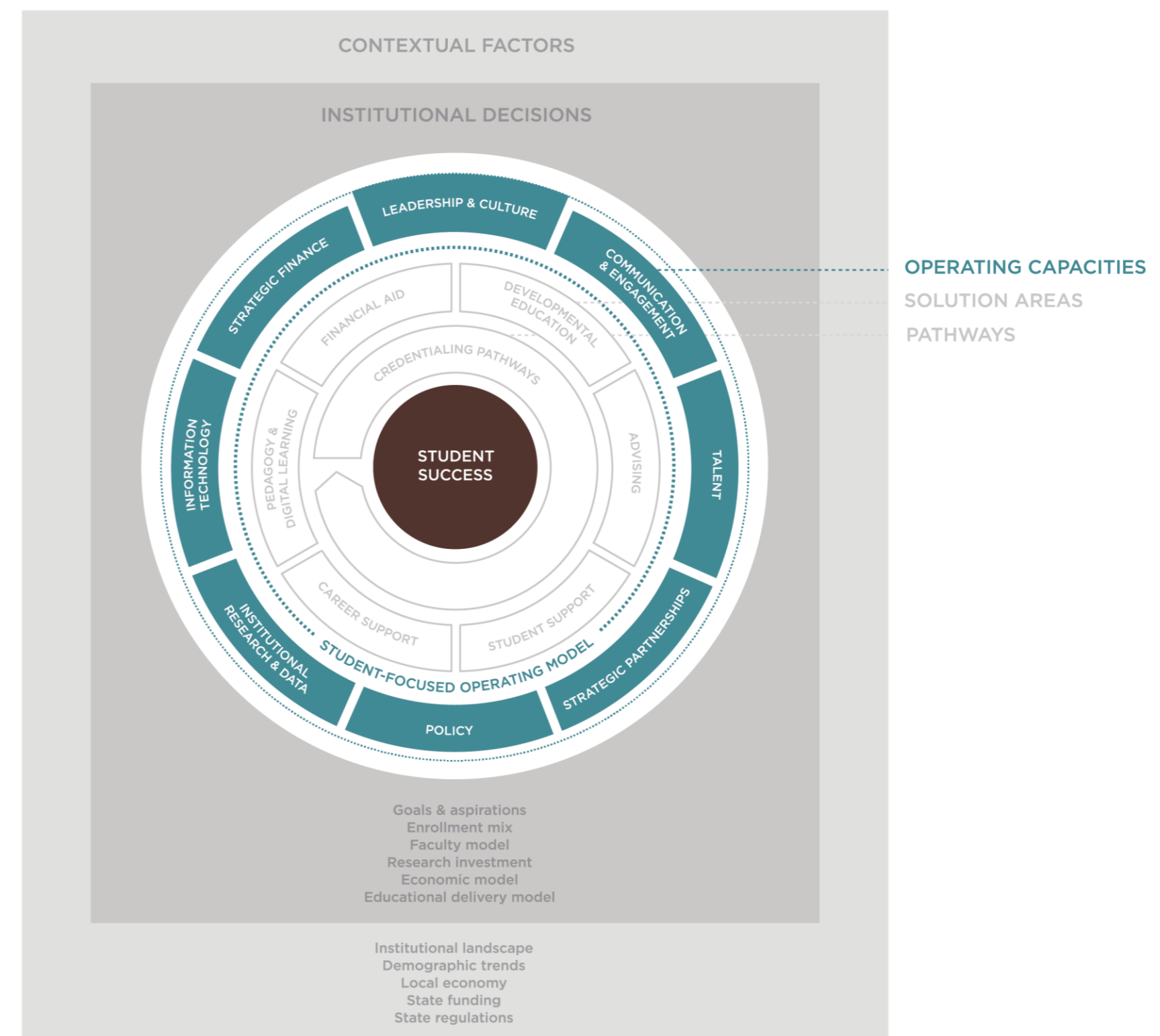
## Sustaining Transformation: Overview


The institution continues to monitor and refine its programming and economic model as it operates “lean” for long term student success, perhaps returning back to earlier stages in the transformation journey

### Takeaways

- Once an institution has implemented a transformational initiative, sustaining and institutionalizing the change **beyond the “roll out” phase** is critical
- **Shifting from one-time investments** and / or special projects to adoption of the new processes, financial decisions, etc. is a key component of sustainability 
- **Monitor pre-determined metrics frequently and consistently** to ensure the institution is progressing in the right direction. Additionally, **review completed initiatives periodically** to monitor effectiveness
- Develop and socialize an **intentional narrative and brand** based on the institution’s journey
- **Understand and respond to external factors** (e.g., funding, policies) and **engage with external partners** to sustain changes (e.g., regional workforce partnerships)
- **Returning** back to “Implementing and Managing Change” and progressing through the following steps again may be appropriate

The most relevant aspects of the Lean Transformation Framework at this stage of the journey are highlighted:



 Signifies practices related to Strategic Finance

# Sustaining Transformation: Guidance

## MONITOR PROGRESS

- Institutions monitor metrics frequently and consistently to ensure the institution is progressing in the right direction
- Metrics should be defined early on in the initiative planning process and made available across the institution

## DEVELOP AN INTENTIONAL NARRATIVE / BRAND

- Regular reflection and progress monitoring will generate a transformation narrative
- Socializing this narrative, building upon the institution's existing brand, can link together multiple initiatives and unite the institution behind a common student success vision going forward

## RESPOND TO EXTERNAL FACTORS

- Various external factors impact an institution's choices, such as sources of funding, national / state / local policies, system changes (if applicable), etc.
- Institutions can be agile and creative in its response

## FOCUS ON CONTINUOUS IMPROVEMENT

- Institutions can review completed initiatives and programs to ensure that they remain impactful and effective. If the initiatives and programs do not meet anticipated goals / needs, the institution should be prepared to take action

## ENGAGE EXTERNAL PARTNERS

- Engagement with external communities (e.g., regional workforce partnerships, K-12 schools) is central to sustaining the student success mission
- These communities participate and collaborate in initiatives and may even provide financial support



## ENHANCE BUDGETING PROCESS

- Once new grant funding has decreased, the institution may choose to assess and refine the existing budget process to support more strategic resource allocation



## Sustaining Transformation: Stories from the Field



### SJCD

- Department Chairs were relieved of fall and spring teaching loads, enabling them to focus on **leadership and faculty development** and **departmental leadership and strategy**
- To monitor progress, Department Chairs have **access to multiple data points**, including historical performance data and **customized reports from IR**, as well as an End of Course Survey repurposed to act as a performance improvement tool



### DSU



- The DSU Program Prioritization Initiative (PPI) evaluated academic and administrative programs
- Faculty and staff placed each program into one of four quadrants: **deactivate, retain, modify, and invest** based on weighted criteria such as enrollment, program cost, regional uniqueness, etc.
- In January 2016, the Board voted to **deactivate 23 low-enrollment academic programs**, which will result in **\$900K of cost savings** by 2020



### UNC Greensboro

- UNC Greensboro's transformation **journey is evolving**: its identity has changed from a women's college to a commuter school to a residential campus over the last seven decades
- The Chancellor has been intentional and vocal about sharing UNC Greensboro's history as a **"tale of three universities"**



### NWTC

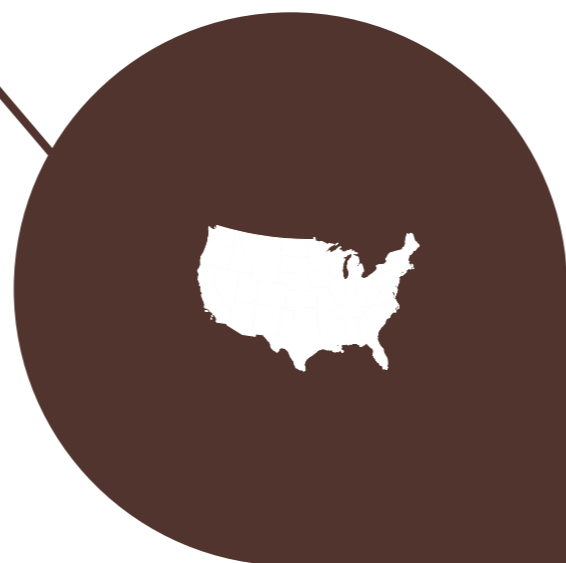
- In light of an ongoing trend of **population declines** in the region and employers' needs for **more highly skilled workers**, NWTC has launched Ramp Up Now, an ambitious effort to address local workforce and economic development needs, ensure student success and degree completion, and boost financial sustainability

## Sustaining Transformation: Stories from the Field (SHSU)

SHSU has been able to successfully and sustainably embed student success into the institution’s culture through a multi-faceted approach

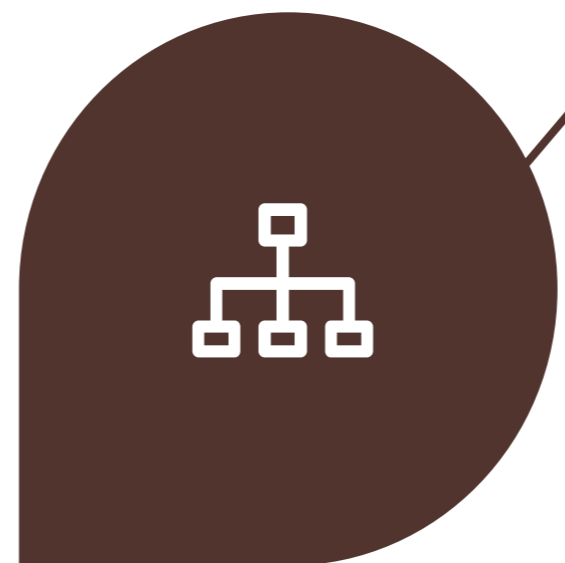
### NATIONAL PARTNERSHIPS

SHSU has joined a number of national collaboratives with the intention of enhancing the student experience and student success. SHSU has joined AASCU’s Reimagining the First Year, Education Advisory Board’s Student Success Collaborative Campus (predictive analytics and early alerts), and the Frontier Set



### ORGANIZATIONAL STRUCTURE

There have been a number of reorganizations to centralize leadership of student services. For example, Enrollment Management was created to move eleven units under one VP: Financial Aid, Veterans Center, Registrar, Career Services, Institutional Effectiveness, Admissions, Visitor Services, Enrollment Communication, Orientation, and Program Marketing



### HIRING PRACTICES

The University has won numerous awards for the culture it has created for employees, and hiring is a crucial factor to maintaining this culture. SHSU has leveraged competency-based interviews and strongly weighs teaching excellence in hiring faculty. “Getting the right people on the bus and the right people in the right seats” (from Jim Collins’ *Good to Great*) is a commonly-used framework at SHSU



### WORK GROUPS

SHSU encourages staff and faculty to form cross-disciplinary and cross-divisional committees to solve institutional challenges. The teams work to both design and implement initiatives, garnering support from stakeholder groups. Current work groups include the Academic Success Centers, Strategic Enrollment Management, Reimagining the First Year, the Frontier Set, and the NSF-funded STEM Center



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**Pathways** refers to the institution's ability to help students see a clear route to a meaningful credential (and a career) and then support students to keep them on that path to success.



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# PATHWAYS

# CREDENTIALING PATHWAYS

## This section outlines:

Approaches to simplifying transfers, creating useful major maps, and helping students see and stay on a path toward a useful credential.



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## Overview

With faculty and staff support, institutions provide credentialing pathways options and partnerships to help students track and progress to successful outcomes

### DEFINITION...

Credentialing pathways that sequence learning objectives and assessments, strategically deploy high-impact instructional practices, and integrate student supports

### GUIDANCE...

Pathways start as early as orientation and student success courses for new students, in which the curriculum for those courses is aligned with their career pathways to promote engagement. Pathways are reinforced within smaller communities (e.g., career, learning communities)

Institutions have developed partnerships and specific pathway curricula that guide students from two-year to the four-year institutions and through graduation. Transfer pathways are often based on articulation agreements, which are integral in facilitating pathways for transfer students

Community and business leaders have been involved in advisory capacity with developing career-aligned pathways, which have helped institutions react quickly to industry needs

Technology helps students better understand institutional pathways and track their progress (e.g., My Academic Plan); this digital initiative is often affiliated with advising



## Credentialing Pathways Practices

### Practices

### Examples

**Alleviate transfer credit equivalency challenges** through improved alignment of curriculum with partner two or four-year institutions and established transfer advising practices or centers



**Create major maps** to clearly articulate the courses students need to meet graduation graduate requirements for each major



**Guide first year students in navigating breadth of major options** to start earning credits early towards graduation



**Help students understand career opportunities to inform selection of a major, and organize programming around academic or career pathways** (including orientation, student success courses, development-al education, supplemental instruction, and / or student services)



**Assess how institutional policies strengthen or inhibit credentialing pathways** and enhance effectiveness of solutions



**Include both faculty and local industry leaders in advisory committees** to provide strategic guidance and curriculum feedback for academic and career pathways



**Implement data-enabled alerts** mapped to major maps that inform advisors in real time when students go off-track



**Implement data-enabled alerts** mapped to major maps that inform advisors in real time when students go off-track



**Orient towards helping students successfully learn** required material and away from unintentionally 'weeding' out students



Use performance in early classes to **steer students into best fit majors** and reduce excess credit hours



**Use observations from advisors** to remove policy barriers that constrain student progression

N/A (Mega Model Only)  
Note: Not exhaustive

## Credentialing Pathways: Spotlight

SJCD Leadership is fully dedicated to the collaborative design and phased roll out of Academic and Career Pathways, which will transform every area of the College

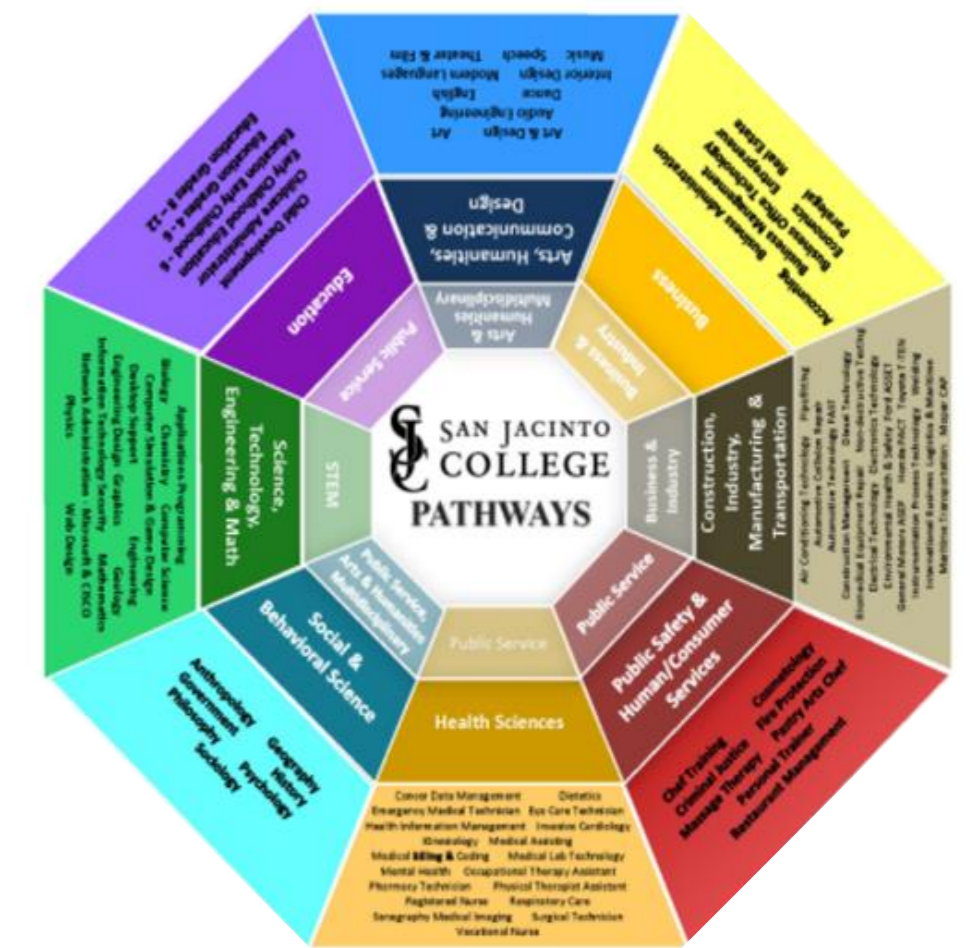


### OVERVIEW

- San Jacinto College’s vision for Pathways is “together to create a student-ready college that promotes completion of student educational goals through well-defined pathways and customer service focused support.”
- San Jacinto Pathways involves the transformation of not only curriculum, but also pedagogy, student services, business operations, technology, marketing, and facilities
- Multiple leadership and design teams have been established, directly involving over 100 faculty and staff members representing every academic department and administrative division of the College
- To align program outcomes to industry standards, the College has assembled industry advisory committees meeting annually to review curriculum, facilities and equipment, and achievement data
- San Jacinto participates in both the AACC and Texas Pathways Initiatives

### ENABLING FACTORS

- **Mission Alignment:** The Pathways vision extends to the institutional goal of removing barriers to student success
- **Sufficient Staffing:** 1 FTE assigned to be the Pathways Program Leader, supported by a Pathways Manager
- **Consistent Message:** In addition to Strategic Leadership Team presentations, Pathways communications are distributed through large and small group presentations conducted by the Program Leader and Instructional Deans
- **Shared Urgency:** College leadership brought in the author of “Guided Pathways Demystified” for a day to speak to the entire faculty as well as hold small discussion groups on each campus
- **Continuous Training:** The Center for Excellence in Teaching and Learning’s focus for the coming years will be on Pathways



Inner: High School Endorsements  
Middle: SJCD Career Pathways  
Outer: Academic Pathways

## Credentialing Pathways: Spotlight

NWTC recently focused on developing more focused pathways for students to help them gain the necessary academic or career credentials to be successful post-college



### OVERVIEW

- In the fall of 2013, NWTC began to focus attention on developing academic and career pathways by considering how to redesign and align college operations, process, policies and systems to help students more easily take courses and attain credentials on their path to degrees, certificates, and ultimately, new jobs
- In 2015, NWTC joined the American Association of Community College's Pathways Project
- NWTC has followed a structured framework in designing pathways: (1) map pathways to student end goals, (2) help students enter the pathway, (3) keep students on the pathway, and (4) ensure students are learning
- The College has hired a Career Pathways Coordinator to help implement and scale the pathways initiative utilizing best practices and commonly used frameworks
- NWTC is not only implementing pathways for current college students, but also coordinating with local high schools so students can gain high school and college credit simultaneously

### INITIATIVE HIGHLIGHTS

- In 2016-17, NWTC offered:
  - 43 designed pathways (in 92 programs)
  - 27 embedded pathways (in 69 programs with 7 credentials that can be completed in high school)
  - 5 ELL/Basic Ed career pathway bridges
  - 2 program-to-program bridge pathways
- NWTC is a founding partner of Turbocharge, a partnership between Green Bay Area Public Schools, NWTC, and the University of Wisconsin—Green Bay. Every graduate of the program earns at least 15 credits and will enroll in college equipped with a financial plan through graduation

### KEY ENABLERS

Tools and efforts that have helped and/or will support NWTC's implementation of Pathways include:

- Program Mapping
- University Partnerships and Articulation Agreements (Crossing the Bridge)
- Academic Planning Tool
- Multiple Measures for Placement
- Credit for Prior Learning
- General Studies Redesign
- Assessment of Learning

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## Credentialing Pathways: Spotlight

Sinclair launched a series of solutions, most notably curriculum redesign, focused on increasing the number of total degrees and credentials

### OVERVIEW

Seeking to help students become more successful during their time at Sinclair, the institution endeavored to make obtaining credentials and degrees more efficient, without compromising its commitment to academic rigor. Faculty and advisors developed the sequencing and design of appropriate courses to fulfill credential and degree requirements. Additionally, they streamlined 15-month associate degree options for students. To supplement these efforts, the Pathways initiative led to the introduction of My Academic Plan (MAP), a software tool that enables students to use technology in order to develop plans for their academic journey at Sinclair. MAP alerts students to what courses they should take and in what sequence.

### IMPLICATIONS FOR STUDENT SUCCESS

- Students experienced less confusion regarding which courses will count towards their credential or degree
- A redesigned curriculum includes stackable credentials
- With 15-month degree opportunities, students are able to obtain degrees more quickly and enter/return to the workforce
- MAPs enabled students to use technology in order to quickly understand what courses are needed to satisfy their major



“

*When we developed pathways, faculty and advisors worked together. Faculty shadowed advisors as a part of this—super impactful in realizing how confusing their curriculum or pathways were.”*

“

*[MAPs are] helpful for people with little direction and don't know what they want to do. It's a good way for people to learn about the different kind of degrees you can get.”*

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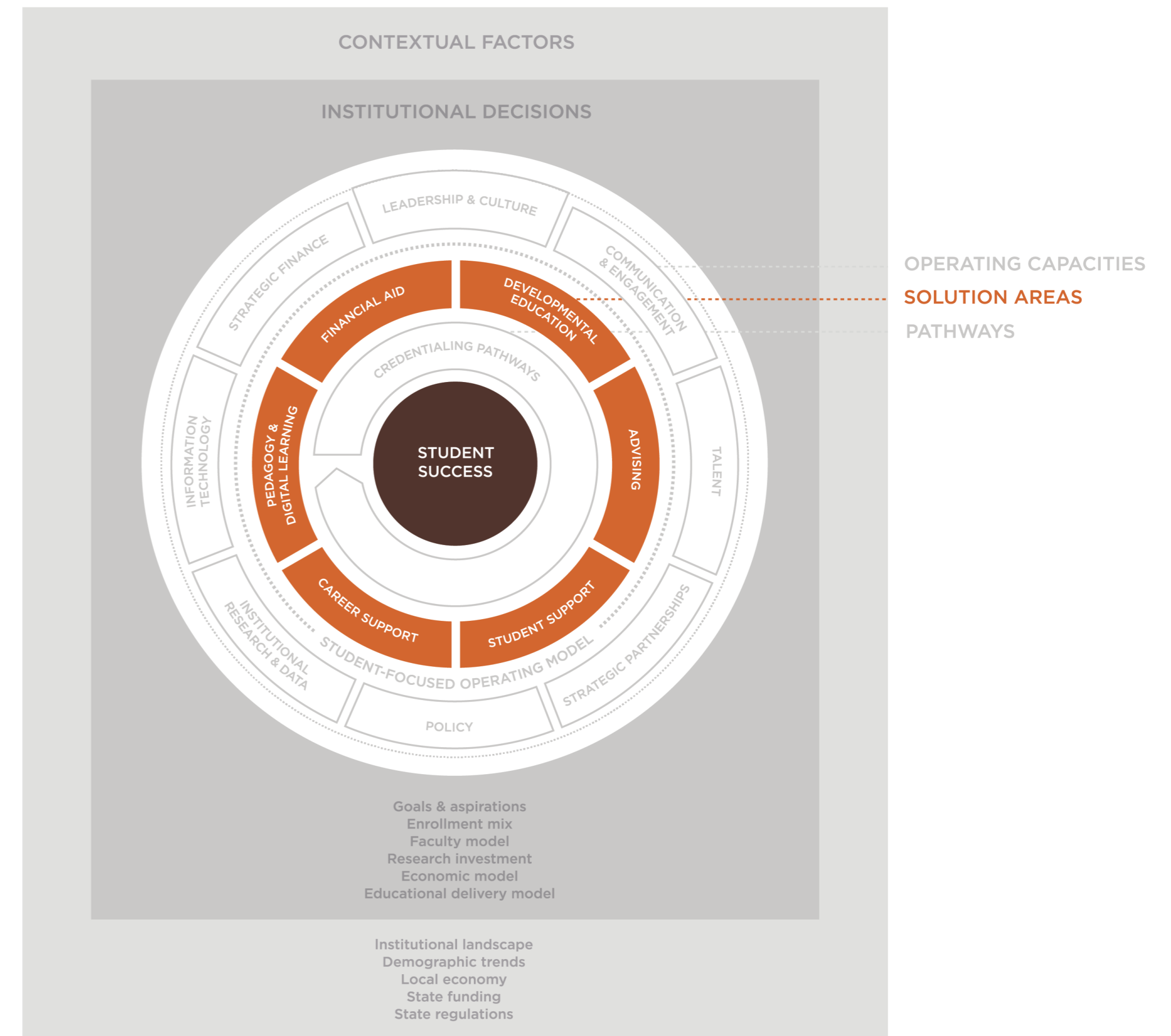
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**Solution Areas** address both loss points and areas where there is potential to increase students' momentum toward a credential. Solution Areas work best when supported by robust capacities.

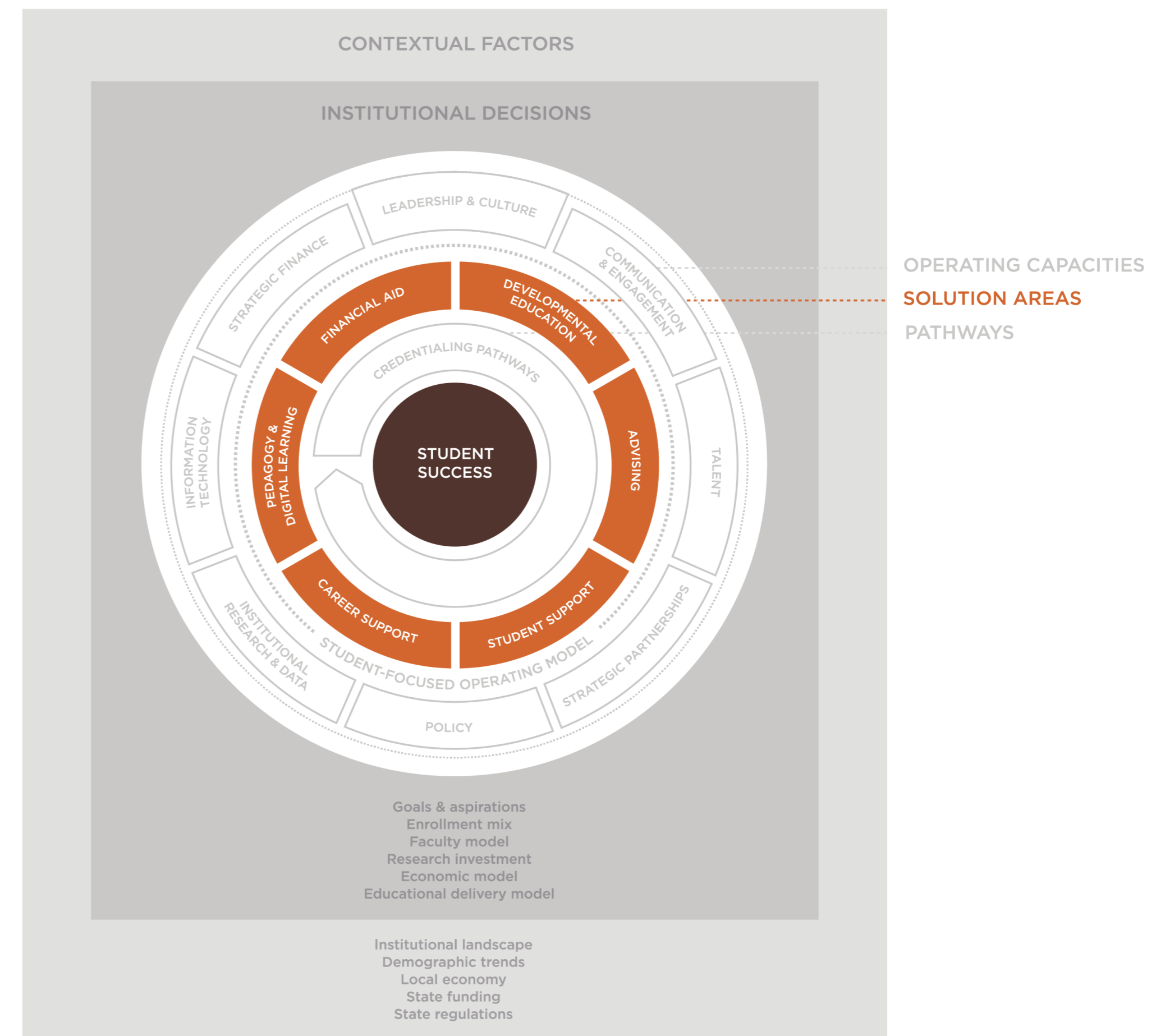


# SOLUTION AREAS

## Summary of Findings

In order to initiate a successful transformation, institutions must develop foundational capacities that enable them to more effectively serve their student base

- With faculty and staff support, institutions provide **credentialing pathways** options and partnerships to help students track and progress to successful outcomes
- Institutions can experiment to discern an effective **Developmental Education** model that combines pedagogy with services and support designed to meet students where they are
- Institutions use faculty advising, professional **advising**, and hybrid models to support students on the frontlines, serving as a critical integration point to deliver other student services
- Institutions provide broad overarching **student support** to comprehensively address academic, transitional, and human services needs that can impact student success
- Institutions integrate **career support** throughout the entire student lifecycle, incorporating career support services and building workforce recruitment partnerships
- Institutions maximize opportunities for students through **digital pedagogy** that promotes access and **personalized learning**, as well as new mediums for instructors to use in teaching
- Both the availability and structure of **financial aid** can contribute to transformative student success practices



# Operating Capacity & Solution Area Interdependencies

**Few operating capacities and solution areas** are wholly reliant on others, but network effects will occur as the number and maturity of institutional capacity and solutions grow



Student-focused Operating Models and Credentialing Pathways are critical elements of the transformational journey across all capacities and solutions

## OPERATING CAPACITY-TO-OPERATING CAPACITY

- Leadership & Culture is the “first among equals” capacity demonstrated by the case study institutions: all other capacities are insufficient if strong institutional leadership is lacking
- Strategic Finance – to identify resources and evaluate impact – and Communications & Engagement – to manage change – are the other two hallmark capacities on which all other efforts appear to rely
- Institutional Research / Data exist at all institutions, though in greatly varying forms
- IT, Talent, Strategic Partnerships, and Policy exist at all institutions but at various degrees of investment, focus, and impact

## OPERATING CAPACITY-TO-SOLUTION AREA

- Leadership & Culture is critical to the identification, creation, implementation, and continued success of any solutions (or any other major institutional initiatives)
- Strategic Finance is always critical for identifying and maintaining resources as well as creating accountability for continued results
- Institutional Research / Data is almost always needed for setting measurable objectives and tracking outcomes and progress
- The need for or impact of other capacities is often driven by the design of specific solutions: IT will enable technology-focused efforts, Strategic Partnerships are critical if relevant partners exist, etc.

## SOLUTION AREA-TO-SOLUTION AREA

- Each solution is, by definition, a standalone initiative or program which can create positive student outcomes in isolation: no solution inherently depends on another
- However, understanding that most students face several challenges and require support in more than one area, a robust set of solutions will build on each other and likely have greater total impact: solutions are a greater than the sum of their parts
- Dependency among solutions is therefore driven by the needs of particular students: for example, robust Advising is only effective if there is sufficient Financial Aid support for students to enroll

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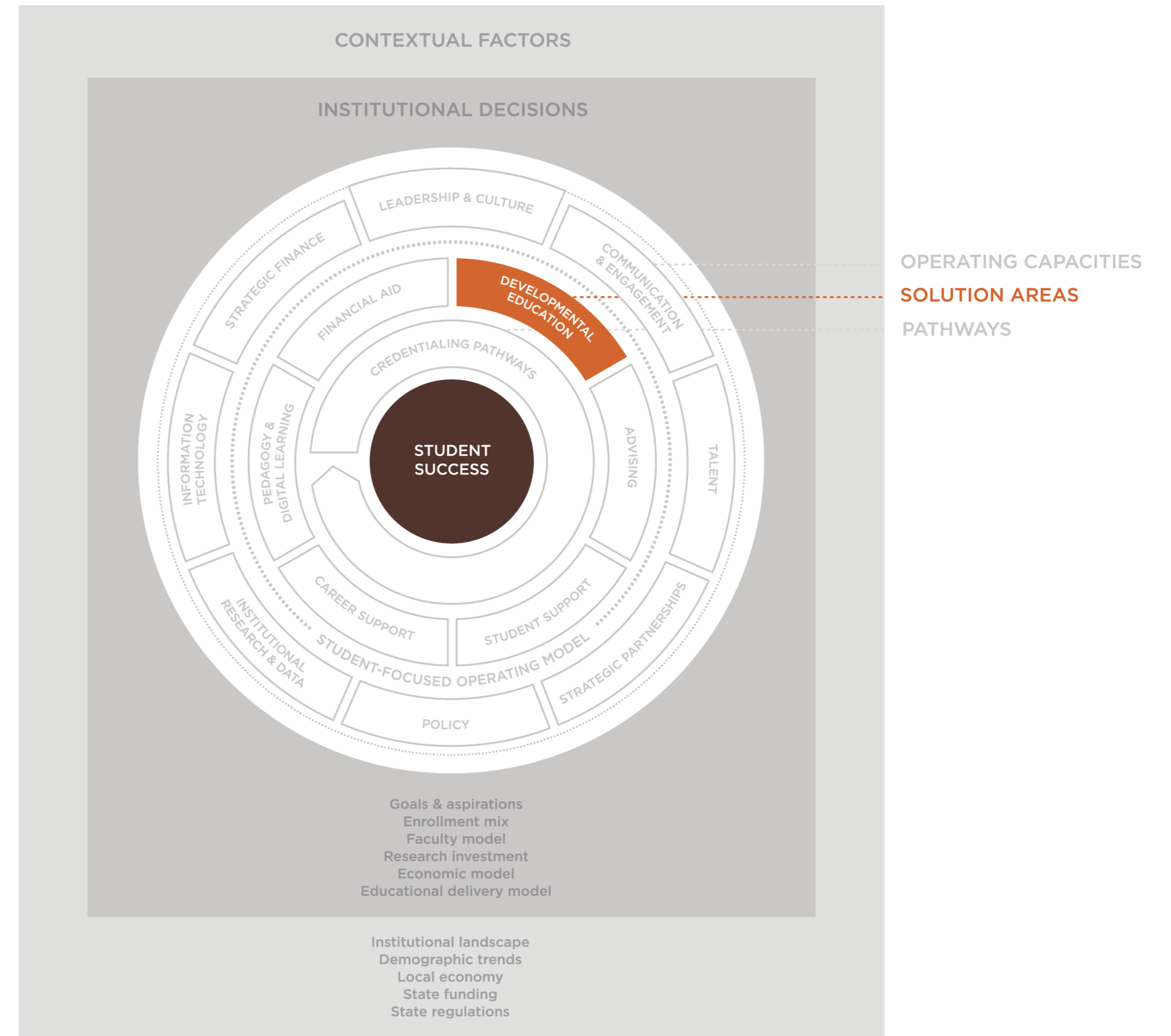
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# DEVELOPMENTAL EDUCATION

## This section outlines:

Supplemental instruction tactics that aim to better prepare students for their freshman year, including summer sessions and special courses.





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## Overview

An effective Developmental Education model combines pedagogy with services and support designed to meet students in their learning needs.

### DEFINITION...

The structure and delivery of developmental education, as well as the related goals, outcomes, and resources (including human resources)

### GUIDANCE...

Institutions have implemented several types of developmental education models—accelerated models, co-requisite models, prerequisite models, etc.—based on individual student needs, yielding positive success outcomes

Some institutions have hired former high school instructors to teach their developmental education courses

Many institutions have moved to a multiple measures placement for developmental education—GPAs, test scores, time out of school, etc. (often based on state legislation)

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# DEVELOPMENTAL EDUCATION

## Practices

### Incidence (X of 10 institutions)

**Test different models and determine which is most effective** for specific institutional needs (e.g., accelerated, co-requisite, or pre-requisite models)



**Consider hiring former high school teachers** to serve as developmental education instructors



**Offer different options for placement**, such as multiple measures and empower advisors to help make placement decisions for students at the margin (*note: placement may be governed by state legislation*)



**Provide incentives** for students to get through developmental education courses (e.g., summer rebates, no or low cost summer programs)



**Invite students to participate** in developmental education programming; use **positive messaging and motivational space design**; provide additional supports for students in these courses (e.g., tutoring, supplemental instruction)



If no designated student success course exists, **integrate academic success skills into developmental courses**



**Explore strategic partnerships with software / curriculum vendors** (e.g., consider co-creating developmental course content)



If possible, **offer personalized developmental education pathways** for students



## Spotlight

DCCC's College Transition Center has shown impressive student outcomes in just two years and is rapidly becoming recognized as a model for other institutions.



### OVERVIEW

- After participating in several developmental education redesign conferences in 2015, DCCC launched the College Transition Center (CTC) to deliver developmental education at no cost to students
- DCCC's Director launched the CTC in just two months after being hired, selectively recruiting former high school teachers who were skilled in student instruction as faculty
- CTC also utilizes a proven, interactive computer software (Hawkes) to accompany the curriculum
- The center is physically designed to encourage collaboration, and students are invited to participate in the program with universally positive messaging

### IMPLICATIONS FOR STUDENT SUCCESS

- Now Successful completions for developmental education courses have increased from 2014-15 to 2015-16:
  - From **75% to ~90%** in DMA 010 course (math)
  - From **~50% to 87%** in DMA 020 course (math)
  - From **57% to 71%** in DRE 096 course (reading)
- Subsequent performance in curriculum level gateway courses has improved as well: **7 out of 7** who completed in CTC **passed their gateway courses**
- Students in the course have been able to enhance their sense of **leadership and confidence** by helping each other with course content

“

*[Dev Ed is] the best program ever. Every program needs to have this. I've never seen any teachers love math.”*

– DCCC Student

“

*When I took the class, I actually got it. The teacher was so helpful – if you got stuck on the details, she made it easy.”*

– DCCC Student

## Spotlight

DSU's Project Success supports students' transition from high school to college while allowing students to earn credits and address remedial education needs.



### OVERVIEW

- Project Success (PS) is an **intensive academic program for provisionally admitted students**. Provisionally admitted students place slightly below the University's admission standards. Through Project Success, students spend six weeks during the summer term "**sharpening their academic skillset**" through the required curriculum which includes English, Math, and learning strategies. Throughout the first year, students also participate in a comprehensive academic development learning community
- Traditional student services, such as academic advising, tutoring, peer mentoring, etc, are included throughout the program; the program also has its own **New Student Orientation specifically for PS students**
- Some students in prior summer programs did not buy books because of the short term duration and would start the term at a disadvantage. DSU recently **increased the program fee to include the cost of books**
- PS participation rates have decreased significantly since 2011 (with 106 students enrolled); as of 2014, 20 students were enrolled in the program

### IMPLICATIONS FOR STUDENT SUCCESS

- The majority of the program is **covered by Financial Aid**, which covers classes, housing, meals, activities, books, etc.
- Parents are required to attend the program's New Student Orientation, which **increases communication and visibility** into student progress
- This program is a promising practice: PS students have **increased retention** by 13% points from 2011 to 2014. Note: data not available after 2014



*Three days after graduating high school, I came here [for Project Success]. I took classes and had study sessions from 8 AM to 8 PM, and it was hard but it helped me adapt to the college lifestyle...at the end of the day, it helped me a lot...I don't regret doing it. And if you have to take it, I recommend that you take it seriously."*

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## Spotlight

Using data to raise awareness among faculty and staff, Sinclair has enhanced the readiness and performance of potential and current students requiring college prep support.

### OVERVIEW

With the support of a Bill and Melinda Gates Foundation grant, Sinclair aimed to address the Developmental Education needs of its students in two ways: (1) by working with resource centers in high schools and (2) by implementing several on-campus initiatives. At high schools, Sinclair implemented Student Success Plan (SSP) software, which identifies barriers to student success and corresponding proactive solutions. On campus, the College funded Boot Camps, a Math Academy and Accelerated English courses. Boot Camps provide week-long refresher courses on key math and English concepts. The Math Academy utilizes a computerized classroom, with support from faculty and tutors, in which students can move to the next math course once concepts are mastered. Finally, the Accelerated English program places certain students in college-level English despite testing slightly below the requirements, and supplements the course with additional instructional time. Since the launch of these initiatives, the College has implemented several other developmental education initiatives.

### IMPLICATIONS FOR STUDENT SUCCESS

- Students enter Sinclair more prepared for college
- Math Module courses saw an 8% success point increase over traditional lecture classes
- 85% of boot camp participants eliminated at least one level of Development Education
- Underprepared students who were placed in Accelerated English passed at comparable rates to those who tested directly into college level English



“

*Instead of saying we think we need to redesign developmental education, we want to use our data to see what we need to do.”*

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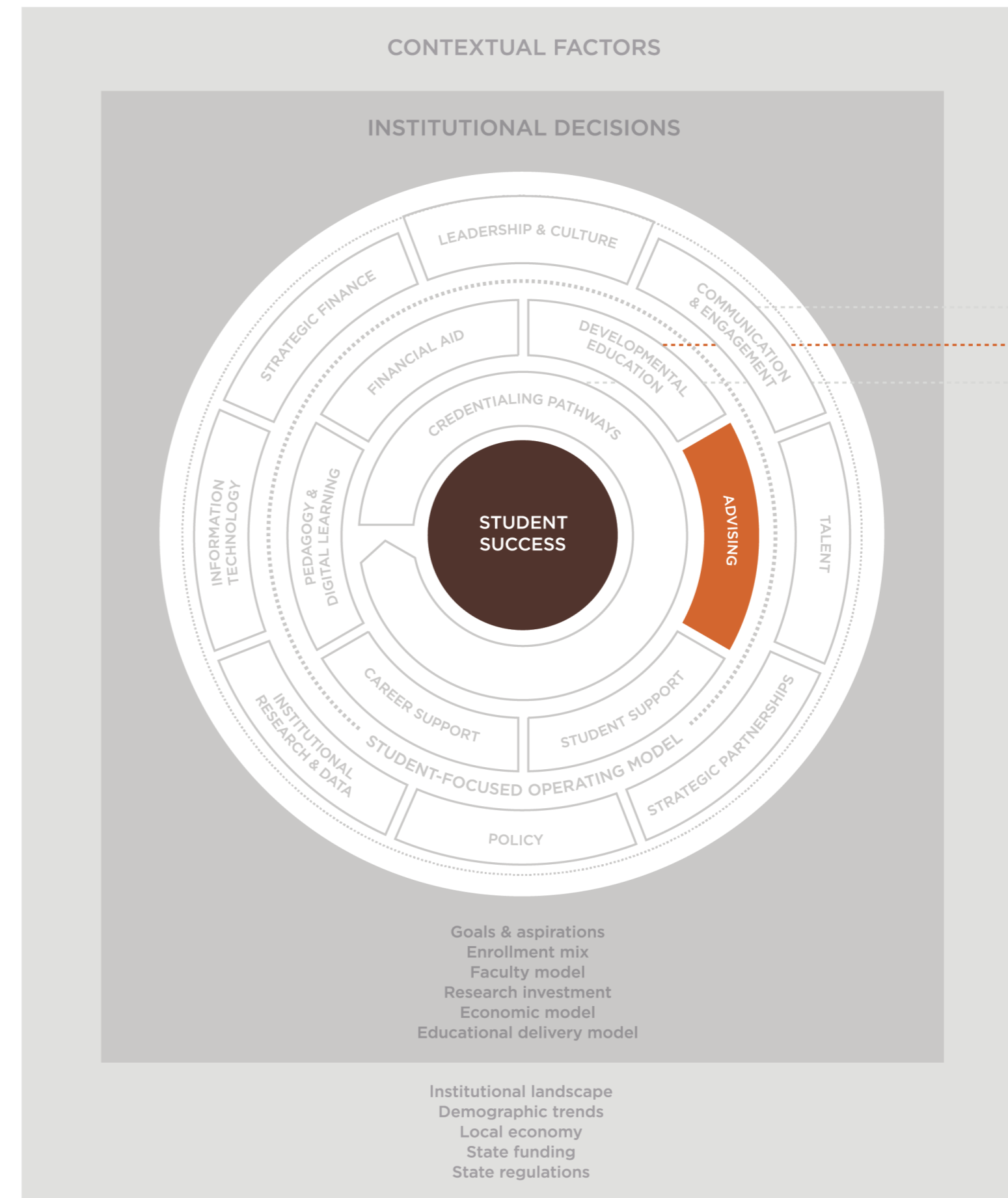
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# SOLUTION AREAS ADVISING

## This section outlines:

Updated advising tactics that incorporate new technology, lower student:advisor ratios, and management tactics for increasing student success.



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## Overview

Institutions use faculty advising, professional advising, and other models to support students on the frontlines and serves as a critical integration point to deliver other student services.

### DEFINITION...

Academic advising services, policies, structure, and supporting technology that guide and monitor students through credentialing pathways

### GUIDANCE...

Institutions use various advising models— faculty advising, professional advising, first year specific advising, etc. —based on student needs and institutional resources. Regardless of model, advising serves as a critical integration point by which other student services are delivered to students

Institutions creatively use technology to enable cohesive advising, which allows various student support service teams to access the same student information (e.g., notes from prior sessions, course schedule, financial aid)

Some institutions with primarily professional advising have added in strategic engagement opportunities with faculty: discipline-specific advising governance committees comprised of faculty members, opt-in faculty advising, etc.

While advising models and use of case management varied across campuses, many institutions leveraged early alerts, CRM platforms, and mandatory advising at certain thresholds in the student lifecycle (e.g., when students have earned 30 / 60 / 90 credit hours)

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# SOLUTION AREAS ADVISING

## Practices

### Incidence *(X of 10 institutions)*

Use **technology to track students** through their academic journey, and incorporate **predictive analytics** to alert advisors early if students are at-risk of becoming off-track



Use **primarily professional advisors** to conduct student academic advising alongside select faculty member support



**Centrally manage advising** in order to provide consistent, high quality advising regardless of major / college, and to more easily implement changes across the function



**Cross-train advisors** (of all types) **and other student support functions** to promote collaboration



**Continuously clarify advising roles and responsibilities** (e.g., career, academic, other student support) for advising staff, faculty, and students



**Mandate advising at credit accumulation thresholds** and / or move advising deadline to 2-3 weeks into the semester to **reduce demand at peak times**



**Establish and maintain low student-to-advisor ratios and caseloads**



**Create formal feedback loops for advisors** to share challenges and barriers students are facing, in order to continuously improve credentialing pathways



Organize **discipline-specific advising governance committees** comprised of faculty members responsible for providing feedback on and guidance to advisors





## Spotlight

SJCD's advising model combines professional advisors with major-specific faculty support to deliver a streamlined, yet customized advising experience to students



### OVERVIEW

- **Structure:** Centrally located (by campus) and managed professional advisors are organized into two groups around the student lifecycle (Admissions Advisors for new students, Ed Planning, Counseling, and Completion Advisors for continuing students) and Ed Planners are organized around academic or technical program
- **Availability:** Majority of advising is walk-in; pre-start advising available for new students
- **Academic and Student Services Integration:** Advising office is in the same building as financial aid and other student services, and advisors attend weekly Friday training with other student services functions
- **Mandatory Advising:** Advising is required for all academic students at 0, 27, and 60 credit hours
- **Demand Management:** Despite high student-to-advisor ratios (970:1), SJCD manages demand by placing holds on accounts for students requiring advising at non-peak times (not in first two weeks of academic period) instead of during the first two weeks when voluntary advising demand is higher
- **Faculty Role:** Discipline-specific advising governance committees comprised of faculty monitor advising quality and encourage collaboration between advisors and faculty members
- **Cross-Campus Alignment:** All advisors participate in annual planning and regular training together; emphasis on making advising experience must be the same on all campuses through collaboration
- **Early Alerts:** Currently only used for developmental students

### IMPLICATIONS FOR STUDENT SUCCESS

- Students can see an advisor on any campus and receive the same quality of advising
- Students experience limited, smooth “handoffs” from office-to-office due to cross-office collaboration, central location, and structure around student lifecycle
- Faculty trust quality of advising and students received the same messaging from both groups



*I enjoy Friday meetings with the [Academic] Program Directors. It helps us advise better and also helps admissions at the front end because they know pre-reqs and program info. Students used to get different information from different advisors and offices. These Friday meetings align our messaging about programs and what students need to take.”*

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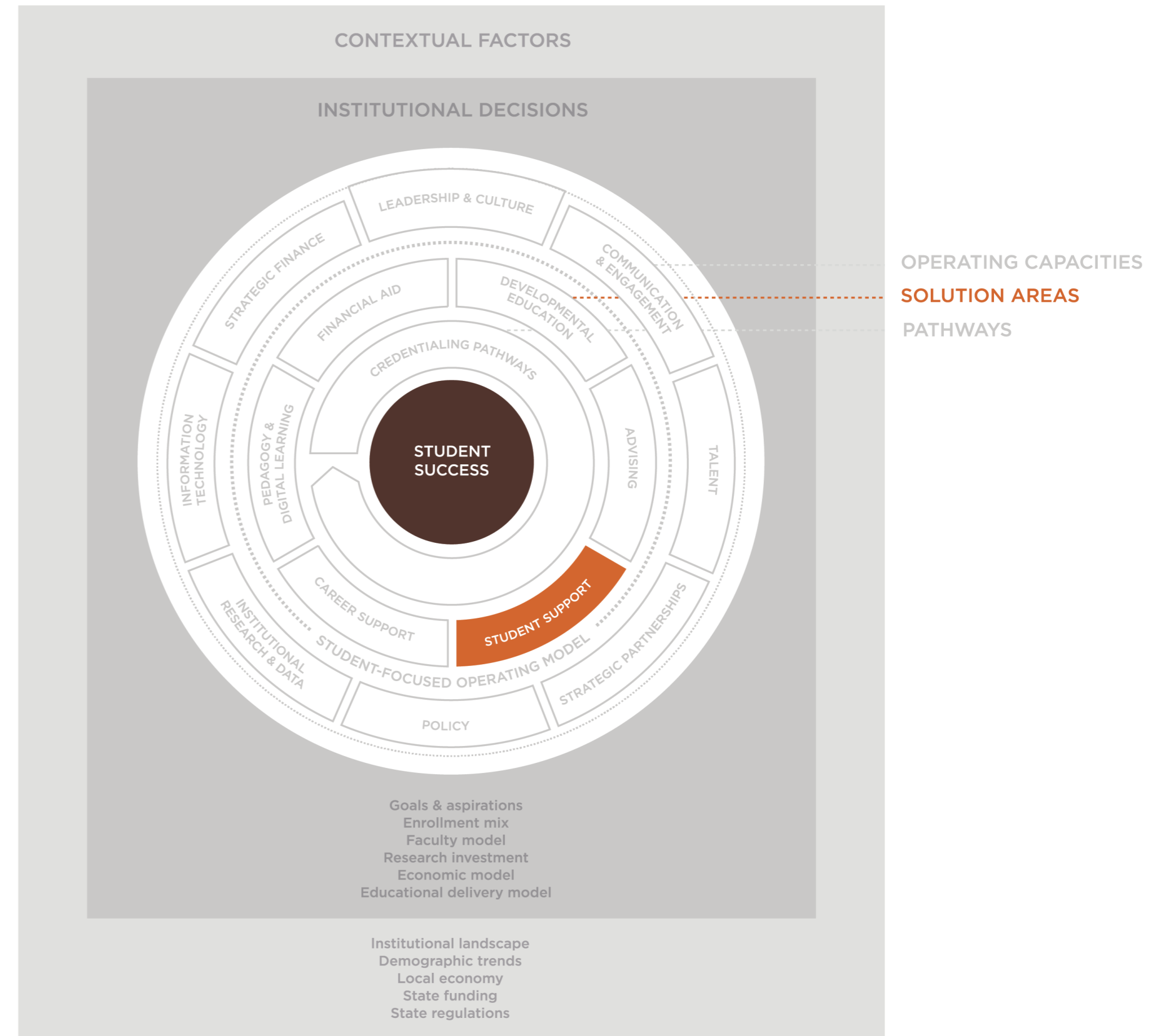
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## This section outlines:

A wide array of services that take into account the full student experience and students' diverse needs, from orientation programs to student housing.



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## Overview

Institutions provide broad overarching student support to comprehensively address academic, transitional, and human services needs that can impact student success.

### DEFINITION...

Student-focused human services (e.g., healthcare and childcare), academic supports (e.g., tutoring and supplemental instruction), and services tailored to diverse students

### GUIDANCE...

Successful academic supports (e.g., supplemental instruction, tutoring) incorporate communications and expectation setting with faculty alongside instructional support and staff to best support students

A significant emphasis is put on student transitions for both first year and transfer students through the first year experience, which sometimes includes a first year college (e.g., University College)

Institutions have federally- and institutionally-funded programs in place for first-generation or underrepresented minority students. These student supports include learning communities, counseling, resources, events, etc.

A range of human services such as food pantries, food stamp support, tax support, legal services, etc. provide assistance to students in accessing government and community resources; these services can additionally be incorporated into a single stop hub of support

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## Practices (1/2)

### Incidence *(X of 10 institutions)*

**Connect new students by similar academic interests** or academic pathways to form learning communities



**Provide supplemental instruction and tutoring opportunities** integrated into the classroom, particularly for high DFW courses or courses with high enrollment



**Establish small group programs for entering students** identified as 'at risk'



**Offer human service supports** that help with social needs such as hunger or housing



**Implement an orientation program** for new and transfer students that allows for a more individualized student experience



**Invest in professional coaches** for rigorous courses with high enrollment and high DFW rates



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## Practices (2/2)

### Incidence *(X of 10 institutions)*

**Invest in student housing** to encourage students to live on-campus with support services and create community that embodies “the full college experience”



**Facilitate relationship building and collaboration across student services** through regular cross-training, physical location, and / or centralized reporting structure



**Use mobile apps or texting to connect students to the community** and use data to inform subgroup engagement programs



**Offer supplementary programming as outreach to potential students**, building a more prepared pipeline (e.g., summer bridge programs for students who have been out of school for an extended period of time)



Bring together HR, student services, and academic services to **map out all services and identify gaps and improvement opportunities**



**Organize student services around the student lifecycle**, one group of services for incoming and new students, and another for continuing students, to minimize handoffs (particularly if case management is not an option)



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## Spotlight

SHSU's Reimagining the First Year is a three-year commitment to comprehensive change focused on institutional intentionality, curriculum redesign, changes in faculty and staff roles, and changes in student roles.



### OVERVIEW

As a member of the national Reimagining the First Year (RFY) initiative, SHSU has recently implemented a number of programs to dramatically improve the quality of learning and the quality of the first year student experience, increase retention rates, and improve student success. Not only does RFY intend to impact the first year student experience, but also cross-divisional engagement with the initiative aims to benefit other areas of student success. In fact, many staff and faculty see the RFY initiative as one of the first opportunities the University has created for meaningful cross-divisional collaboration.

### MAJOR RFY INITIATIVES

- **Orientation:** Redesign Welcome Week and student orientation
- **New Student Checklist:** Create a list of all major items a new first year student needs to complete before the first day
- **Spring Admits:** Hold a spring orientation for spring First Time Freshmen (FTF) admits
- **Meaningful First Day:** Encourage faculty to create an engaging plan for first day; eliminate late registration to increase participation in first day
- **Advising:** Move from a hybrid of faculty and professional advisors to a total professional advisor model
- **Cross-Functional Leadership:** Form an inter-divisional leadership team to review quarterly the student experience throughout student lifecycle
- **Policy:** Revise policies and procedures that interfere with students' forward momentum
- **Curriculum:** Strengthen the Developmental Math curriculum; re-calibrate UNIV 1301 Student Success Course to increase student interest and enrollment
- **Pedagogy:** Incentivize faculty instructional improvement by implementing Teaching Innovation Grants

### RFY GOALS FOR STUDENT SUCCESS

- Annual improvement in semester-to-semester and one-year **retention rates**
- Long term improvement in both 4-year and 6-year **graduation rates**
- Annual increases in the total number of students engaging in **high impact practices**
- Increase in students' participation in **Welcome Week**
- Annual increases in the total number of students using the **co-curricular transcript**
- For **FTF entering the Spring semester**, increased retention
- Increased student participation in **learning communities**

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## Spotlight

The Academic Transition Programs (ATP) help first year students learn to use resources, cultivate resilience, manage time, build relationships, and set goals.



### OVERVIEW

- ATP are college preparation courses designed for at-risk students
- The Rethink Possible course series explores the “big questions” of college (e.g., major selection, strengths finder, career paths)
- NAU has two college prep classes, NAU 100 and NAU 120A, designed for at-risk students to learn to use resources, cultivate resilience, manage time, build relationships, and set goals
- For students with a high school GPA of 2.75 or less, NAU 120A is offered through the College Success Program in collaboration with Coconino Community College

### IMPLICATIONS FOR STUDENT SUCCESS

Propensity score analysis indicates a positive effect on first semester GPAs and first year retention, particularly amongst men of color

### RESOURCE IMPACT

The course has been shown to boost retention and offers a community college partnership

“

*If you're a male student of color, NAU 100 can increase your fall-to-fall retention by 55%+. Community and normalization is my best guess at what's driving that.”*

“

*“What I appreciate about this program is it gives folks a chance to be successful. Over 60% [of enrolled students] are first generation and highly underserved. We might be the first point of contact [for them] ... They get to fulfill their own aspirations.”*

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## Spotlight

SHSU is nationally recognized for graduating minority and first-generation students and has established multiple support networks and resource centers for these students

### OVERVIEW

SHSU has invested in a number of initiatives targeting improved retention and completion for low income, first generation, and students of color including:

- The Academic Success Center provides tutoring, supplemental instruction, and summer bridge programs and is clear about its focus on improving success amongst low income, first generation, and students of color
- The FORWARD Program was developed to empower former foster youth, orphans, wards of the court, and homeless students by providing the support system necessary to pursue higher education and transition smoothly through college
- TRIO Student Support Services (SSS) serves first generation students that have financial and academic needs who are seeking Bachelor's degrees
- The First Generation Learning Community provides an opportunity for diverse first generation students to explore the unique experience of being the first in their families to attend college
- The ELITE (Establishing Leadership In and Through Education) program was designed to increase retention and graduation rates for minority males through providing academic support, peer mentoring, community service and outreach
- Through an IUSE (Improving Undergraduate STEM Education) grant funded by the NSF, a STEM Center will be established over the next 5 years targeted at improving success of minority and first generation students in STEM programs



“

*Something about our culture, campus, programming, and services resonates with minority and first generation students. They come here, they succeed, and then they go back to their communities which creates more demand and more desire for the next set of students to come to SHSU.*  
-SHSU Staff Member



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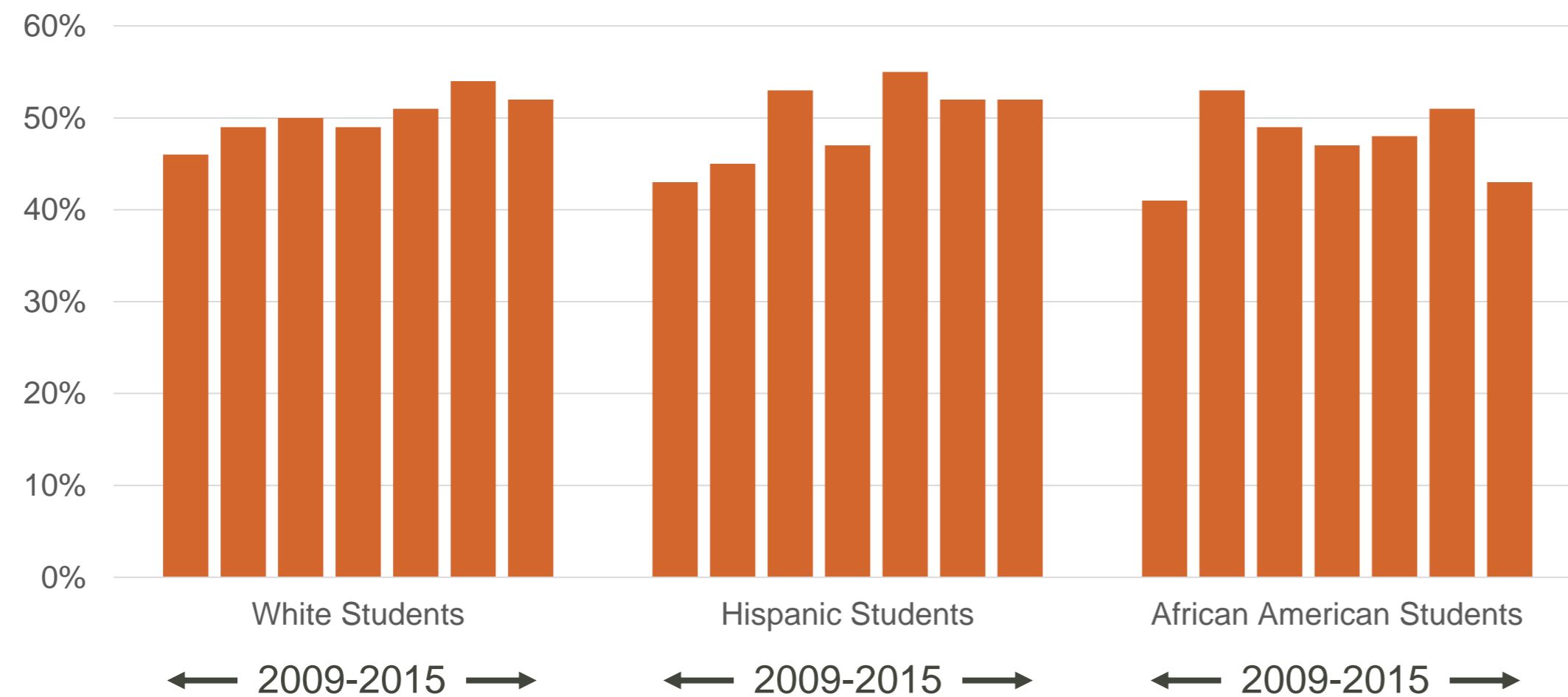
## Spotlight

SHSU is nationally recognized for graduating minority and first-generation students and has established multiple support networks and resource centers for these students



### 6-YEAR GRADUATION RATES

Rising 6-year graduation rates since 2009<sup>1</sup>, particularly for Hispanic students, suggest that SHSU's portfolio of student support initiatives may represent promising practices.



Source: IPEDS, 2009 - 2015

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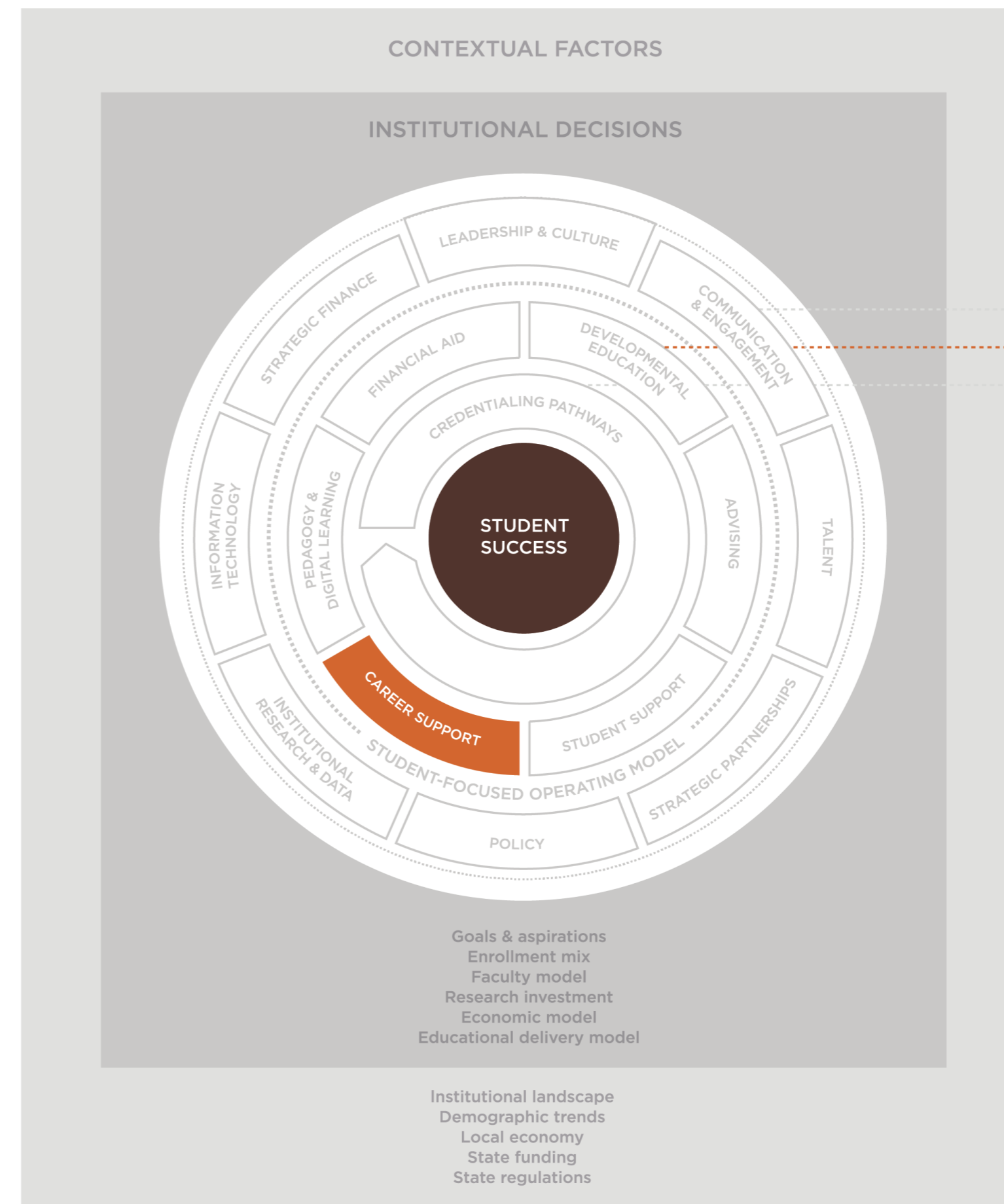
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# CAREER SUPPORT

## This section outlines:

Increasing employment opportunities and post-accreditation success for students by encouraging career exploration and utilizing data-driven, tailored career advising.



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## Overview

Institutions consider career support as part of the arc of student success transformation, incorporating career support services and building workforce recruitment partnerships.

### DEFINITION...

Services and resources dedicated to supporting students in identifying, preparing for, and obtaining internships and employment opportunities, as well as services supporting the exploration of career options and career fit

### GUIDANCE...

Career exploration is encouraged at the beginning of students' academic journey, which helps students decide on areas of academic study

Institutions form close partnerships with local and regional companies and professionals to incorporate regional workforce needs into career services programming. This collaboration benefits regional employers who often recruit directly from campus

Career services partner with other student and academic services to promote offerings and make connections between majors and careers

While the organizational structure of career services varies across campuses, all offer consistent basic services like mock interviews, resume reviews, etc. Some career services house transfer services, while some models have academic advising jointly with career services, etc.

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# CAREER SUPPORT

## Practices

### Incidence *(X of 10 institutions)*

**Develop online resources** to make career planning tools readily available to students



**Leverage partnerships and build relationships with potential employers** to create experiential learning opportunities and to ensure institutional quality maintained through high employment rate for graduates and regional demand met



**Encourage career exploration early on** through advising, career assessments, and career communities



**Invest in high quality infrastructure** to allow students to easily connect with employers



**Use market data**, in addition to student data, to provide individualized career advising



**Train academic advisors to deliver career advising** and eliminate some career advisor roles



**Create career communities with faculty and employer leadership** and deliver advising services through those communities; Assign all students to a career community



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## Spotlight

Sinclair reorganized academic and support services around “career communities” to help students understand, access, and pursue pathways leading to high potential career opportunities in the community and beyond



### OVERVIEW

In 2014, Sinclair launched Career Communities to provide students with targeted support based on their program of study. Six communities now consist of (1) Business & IT, (2) Creative Arts, (3) Health Sciences, (4) Liberal Arts & Social Sciences (LASS), (5) Law & Public Safety, and (6) Science, Technology, Engineering & Math (STEM). The success of Career Communities is a result of a collaborative effort driven by each community’s steering committee comprised of faculty, advisors, librarians, and student support personnel working collectively to address the needs of students. During the launch of Career Communities, the student advisory structure was also reorganized, so that advisors are assigned to individual communities as specialists and serve as both career and academic advisors. Additionally, business leaders sit on advisory boards for the Career Communities.

### IMPLICATIONS FOR STUDENT SUCCESS

- Students select career pathways based on their interests and post-college aspirations, in order to be better prepared for the workforce
- The communities have contributed to greater interaction and collaboration amongst faculty in different areas
- Since Sinclair lacks a residential experience, the communities have helped establish stronger connections among students

“

*A Career Community Cup is given each year ... we have fun with this at the College because we have to interact with each other.”*

“

*[Due to Career Communities], faculty know the advisers and advising managers a lot more intimately.”*

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# PEDAGOGY & DIGITAL LEARNING

## This section outlines:

Utilizing the potential of digital learning by standardizing and optimizing curriculum and increasing buy-in from faculty with incentives, data, and support.



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## Overview

Institutions maximize opportunities for students through digital pedagogy that promotes access and personalized learning, as well as new mediums for instructors to use in teaching.

### DEFINITION...

Design and deployment of digital courseware supporting the delivery of an entire course that promotes faculty engagement and understanding and enables successful attainment of learning outcomes for students with variable learning needs

### GUIDANCE...

Universities and external organizations creatively incentivize institutions and their faculty in being innovative around digital education (e.g., online fees support academic departments)

Partnerships between faculty and Instructional Design team are important to develop online courses. For courses with multiple instructors, a master course is designed to standardize curriculum across sections of same class

“Ready-to-Teach” (for instructors) and “Ready to Learn” (for students) assessments and trainings have been rolled out to ensure that those teaching and taking the class can be successful

Institutions offer professional development opportunities to enhance digital and in-person teaching. Instructors may take learnings from digital pedagogy and apply them to improve in-person instruction

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# PEDAGOGY & DIGITAL LEARNING

## Practices

### Incidence (X of 10 institutions)

**Offer professional development** to faculty members on innovative teaching methods and developing digital courses in order to ensure quality; structure incentives to promote engagement with professional development



**Centralize the digital support team** (e.g., instructional designers, media support) in order to provide consistent, high quality support to faculty at scale



**Design and build online operations** with strong front end (instructional design) and back end (evaluation) units to ensure quality



**Create hybrid courses** that mix face-to-face and online instruction in order to increase access, improve student outcomes, reduce per student costs



**Standardize and optimize curriculum** across sections of the same class (i.e., master course) through collaboration between faculty and an instructional design team



**Redesign high DFW courses** using adaptive learning and / or other methods



**Accelerate faculty adoption** by using outcomes data from pilots to increase faculty buy-in and by incentivizing faculty through grants and instructional design support (e.g., offer ready-to-teach courses)



**Build partnerships** to accelerate implementation of online courseware



**Implement a consistent assessment** across digital and non-digital courses to measure effectiveness of implementing digital courseware



Note: Dollar sign icon signifies practices related to Strategic Finance



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## Spotlight

NAU's innovative first year experience engages faculty in building academic success early on in students' careers through pedagogically driven course programs

### OVERVIEW

- FYLI is a set of first and second year courses that use research-based pedagogy with faculty input and are customized to different student segments
- FYLI is a first year initiative that certifies courses that are designed to meet first year student needs such as academic learning and academic socialization practices (with faculty input)
- To participate, faculty must get their first year course "certified" by the FYLI office through 3-5 course redesign sessions in which FYLI facilitators and faculty members discuss how to update courses to address academic socialization, course design, and section alignment

### IMPLICATIONS FOR STUDENT SUCCESS

- Many freshman courses are FYLI certified, enabling curriculum **consistency and quality**, despite changes in lecturers and / or faculty
- Different FYLI courses exist for **different student segments** to meet student learning needs
- If faculty certifies a course, the FYLI program will **subsidize a teacher's assistant** (TA) for the course
- **Over 90% of first year students are enrolled** in at least one FYLI course



“

*FLYI was so popular with the faculty that we have quite a few sophomore-level programs. This is one of our signatures because it was driven by faculty.”*

“

*When we did not have FYLI, one semester there was rigor and then it would just disappear. FYLI became our philosophy – we have to keep it up.”*

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## Spotlight

SHSU recruited top talent to lead its online education division and has leveraged revenue sharing and stipends to incent faculty to take their courses online



### OVERVIEW

- SHSU's president hired a state expert on online education to lead its digital learning capacity, first as a consultant, then as the full-time director
- With a staff of 70 online education professionals assisting 40 online programs, SHSU Online supports the generation of over 20% of the institution's credit hours every year, with 90% of online students being residents of Texas
- Pursuing the goal of 5,000 online students by the 2018 academic year, the university has been offering \$1,000 scholarships for completely online students
- Courseware designers, a 24/7 help desk, and online proctoring technology create a smooth online experience for both students and faculty members

### IMPLICATIONS FOR STUDENT SUCCESS

- SHSU commits that there is no difference between degrees earned through online course delivery and degrees earned through traditional classroom courses
- Academic departments receive 50% of the fees from online courses—**academic departments have used these funds to invest in new initiatives or hire more adjunct faculty aligned with online programs**

“

*[SHSU online] supports teachers well. [When I taught an online course], I was assigned a designer. We built the course from the ground up, following best practices in online teaching.”*

“

*On our campus, 50% of students are taking some online course. 97% of all graduating students have taken at least one online course.”*

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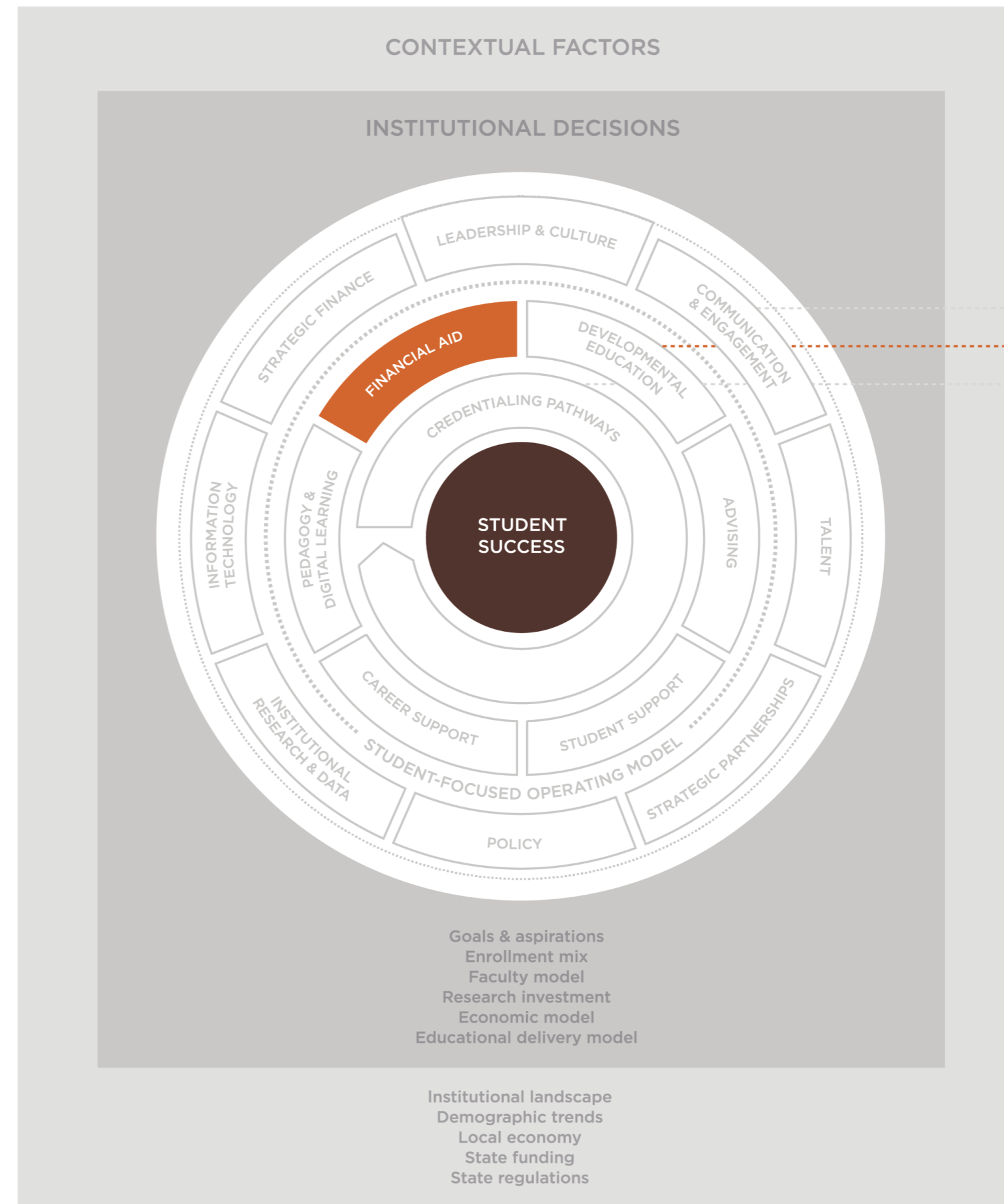
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## This section outlines:

Creative updates to financial aid that aim to serve more students more effectively, including teaching financial literacy.



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## Overview

Both availability of financial aid support and how it is structured as a support service can contribute to transformative student success practices

### DEFINITION...

The structure, policies, and delivery of financial aid (including scholarships, grants, loans, emergency aid) to students, as well as work-study opportunities and financial literacy support

### GUIDANCE...

Institutions have increased focus on completion and / or retention scholarships in not only retaining students, but also helping students graduate

Emergency Aid is available for students with unplanned financial emergencies. Last-mile programs are scholarships and grants for students who have dropped out but only need a few credit hours to earn a credential; institutions have leveraged phone campaigns to re-enroll those students

Institutions are creative in financial support and disbursement methods. Some institutions use a tuition pledge in place to hold tuition rates in place; others provides quarterly payments or non-lump sum payments to teach fiscal responsibility and to mitigate financial risk

Some institutions have a dedicated foundation to supplement and grow student aid and scholarships. In addition to student aid and scholarships, foundations also support instructional programs, technology grants, improved facilities, etc.

## Practices

### Incidence *(X of 10 institutions)*

- \$
**Allocate budget for emergency financial aid** to help students during financial difficulties; includes students at-risk of dropping out or having recently dropped out with only a few credentials left (last-mile programs)

---

- \$
**Create tuition pledge** freezing tuition at entering rates for students who continuously enroll and complete in 100 or 150% of normal time

---

- Deliver proactive debt-reduction advising** and financial literacy training through financial aid counselors to both incoming and continuing students

---

- Offer targeted institutional aid to help expand access** to socioeconomically diverse students

---

- \$
**Differentially raise tuition and fees to a subset of students** in order to provide institutional aid to socioeconomically diverse students

---

- Design aid programs to incentivize students** to receive academic support and advising

---

- \$
**Explore creative funding mechanisms** to fund financial aid

---

- Restructure financial aid distribution** to promote responsible spending throughout the term (e.g., “Aid Like a Paycheck”)

---

- Conduct small financial aid pilots and evaluate impact before scaling**, in order to maximize impact of each financial aid dollar

Note: Dollar sign icon signifies practices related to Strategic Finance

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## Spotlight

NAU offers a variety of financial supports (including a four-year tuition pledge) to its students in order to help them afford the cost of attendance

### OVERVIEW

- In 2008, NAU developed the Four-Year Tuition Pledge, which locks in one standard tuition rate for incoming students for up to four years from the time they start, incentivizing on-time completion; moreover, the Lumberjack Scholar Award covers up to 100% of tuition for eligible high-performing Arizona students
- To proactively carry out financial aid processes, financial aid packages are delivered nine months before the first semester starts so that students can determine their ability to afford NAU in advance; a few months prior to the semester start, NAU conducts a financial fit campaign, calling students at-risk for non-payment and counseling first year students on strategies to afford NAU (or to consider other options such as starting at a community college)
- The Financial Aid office offers financial literacy courses (online through Inceptia); students who complete the full program are eligible for a \$500 scholarship
- President Cheng and her team have recently reviewed fees and assessed where some could be eliminated entirely

### IMPLICATIONS FOR STUDENT SUCCESS

- Students expressed appreciation for these supports in focus group interviews (see quote)
- NAU strongly emphasizes “social, academic, and financial fit” to ensure that incoming students can afford and be successful at NAU. To this end, the Financial Aid office works closely with incoming students to counsel them even before they start



“

*We're the only school that has the full tuition waiver and the pledge. That's something that's really good [...] there are no unexpected changes. Being financially independent and having tuition paid for is a relief.*  
-NAU Student

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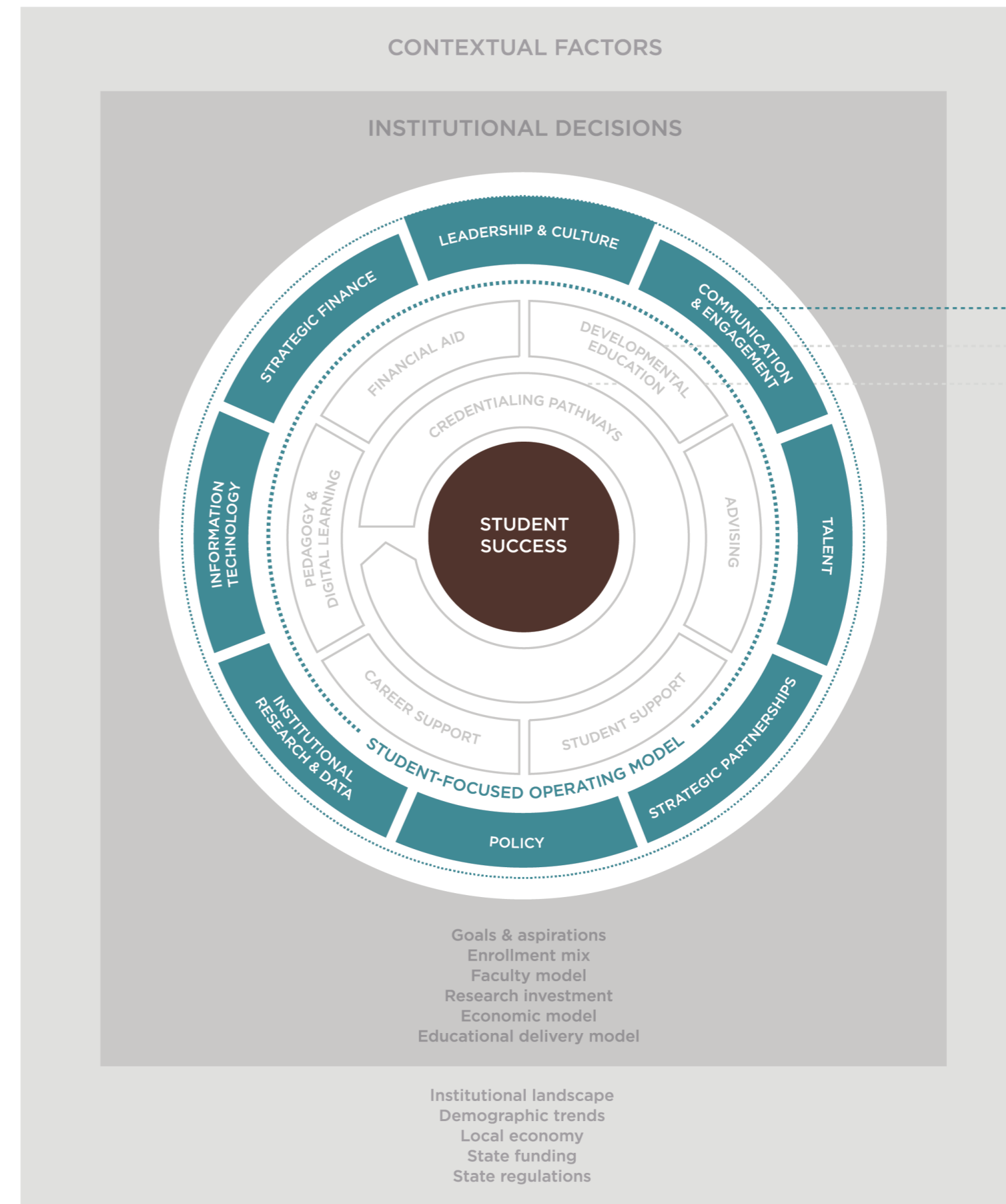
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**Operating Capacities** reflect critical functions that enable the institution to effectively implement and deliver student-centered solutions. They broadly enable the institution to mobilize and more effectively serve a larger, more diverse student base.

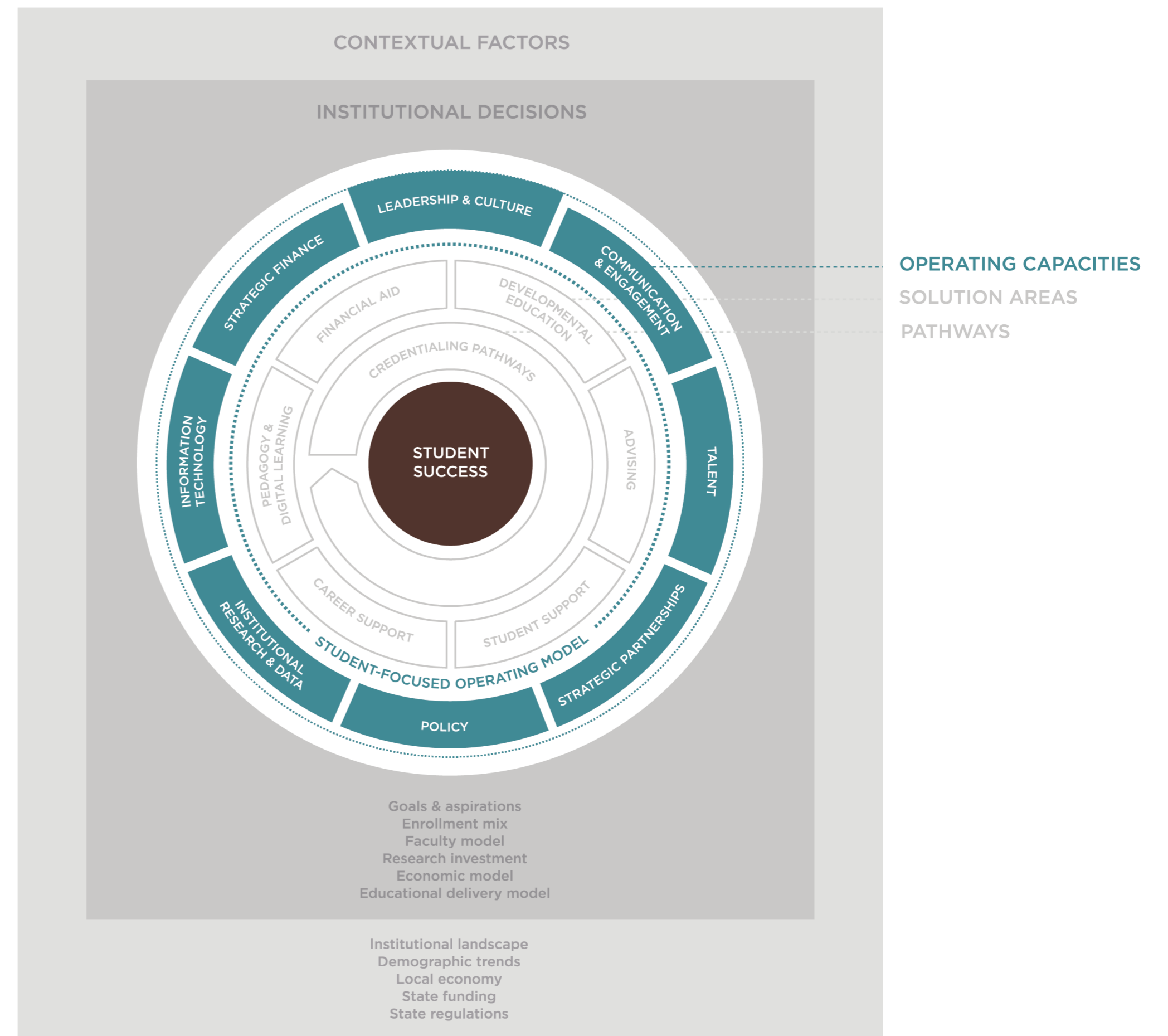


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## Summary of Findings

In order to initiate a successful transformation, institutions must develop foundational capacities that enable them to more effectively serve their student base

- **Leadership** stability aligned with a **culture** of empowerment across all levels significantly contributes to an institution's ability to support and sustain student success
- Institutions customize an **operating model** that allows their teams the right structure to best deliver the most effective and efficient support and services **for students**
- Implementing a student success vision requires clear, strategic, and multi-stage **communications** and change management planning to meaningfully **engage** all stakeholders
- Institutions recognize the link between developing, managing, and promoting their **talent** as foundational to transforming student success
- Institutions navigate “doing more with less” by seeking **partnerships** with K-12 schools, social service agencies, and other workforce developers
- Engaging with local, state, and national **policy** makers and serving as educational influencers and advisers provides institutions with another channel to support transformation
- As a strategic partner to transformation, **Institutional Research** provides quantitative support for decision making
- **IT** enables support for transformation functions such as early alerts, pathways, and data analysis, as well as integrating systems to promote collaboration (e.g., academic and student services)
- Institutions adjust their **economic model** by enhancing their options through budgeting and revenue generation

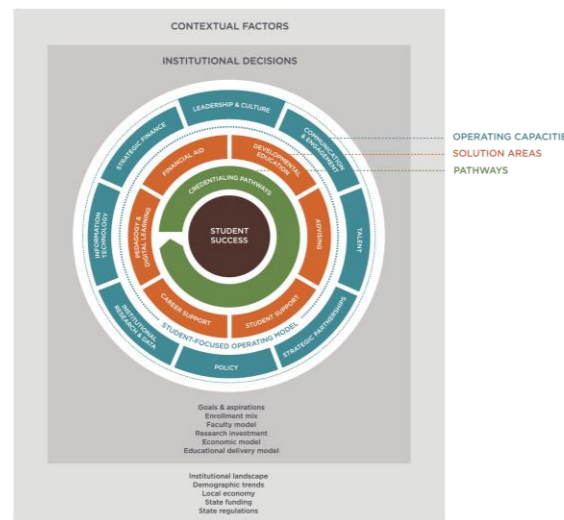




# OPERATING CAPACITIES

## Operating Capacity & Solution Area Interdependencies

**Few operating capacities and solution areas** are wholly reliant on others, but network effects will occur as the number and maturity of institutional capacity and solutions grow



Student-focused Operating Models and Credentialing Pathways are critical elements of the transformational journey across all capacities and solutions

### OPERATING CAPACITY-TO-OPERATING CAPACITY

- Leadership & Culture is the “first among equals” capacity demonstrated by the case study institutions: all other capacities are insufficient if strong institutional leadership is lacking
- Strategic Finance – to identify resources and evaluate impact – and Communications & Engagement – to manage change – are the other two hallmark capacities on which all other efforts appear to rely
- Institutional Research / Data exist at all institutions, though in greatly varying forms
- IT, Talent, Strategic Partnerships, and Policy exist at all institutions but at various degrees of investment, focus, and impact

### OPERATING CAPACITY-TO-SOLUTION AREA

- Leadership & Culture is critical to the identification, creation, implementation, and continued success of any solutions (or any other major institutional initiatives)
- Strategic Finance is always critical for identifying and maintaining resources as well as creating accountability for continued results
- Institutional Research / Data is almost always needed for setting measurable objectives and tracking outcomes and progress
- The need for or impact of other capacities is often driven by the design of specific solutions: IT will enable technology-focused efforts, Strategic Partnerships are critical if relevant partners exist, etc.

### SOLUTION AREA-TO-SOLUTION AREA

- Each solution is, by definition, a standalone initiative or program which can create positive student outcomes in isolation: no solution inherently depends on another
- However, understanding that most students face several challenges and require support in more than one area, a robust set of solutions will build on each other and likely have greater total impact: solutions are a greater than the sum of their parts
- Dependency among solutions is therefore driven by the needs of particular students: for example, robust Advising is only effective if there is sufficient Financial Aid support for students to enroll

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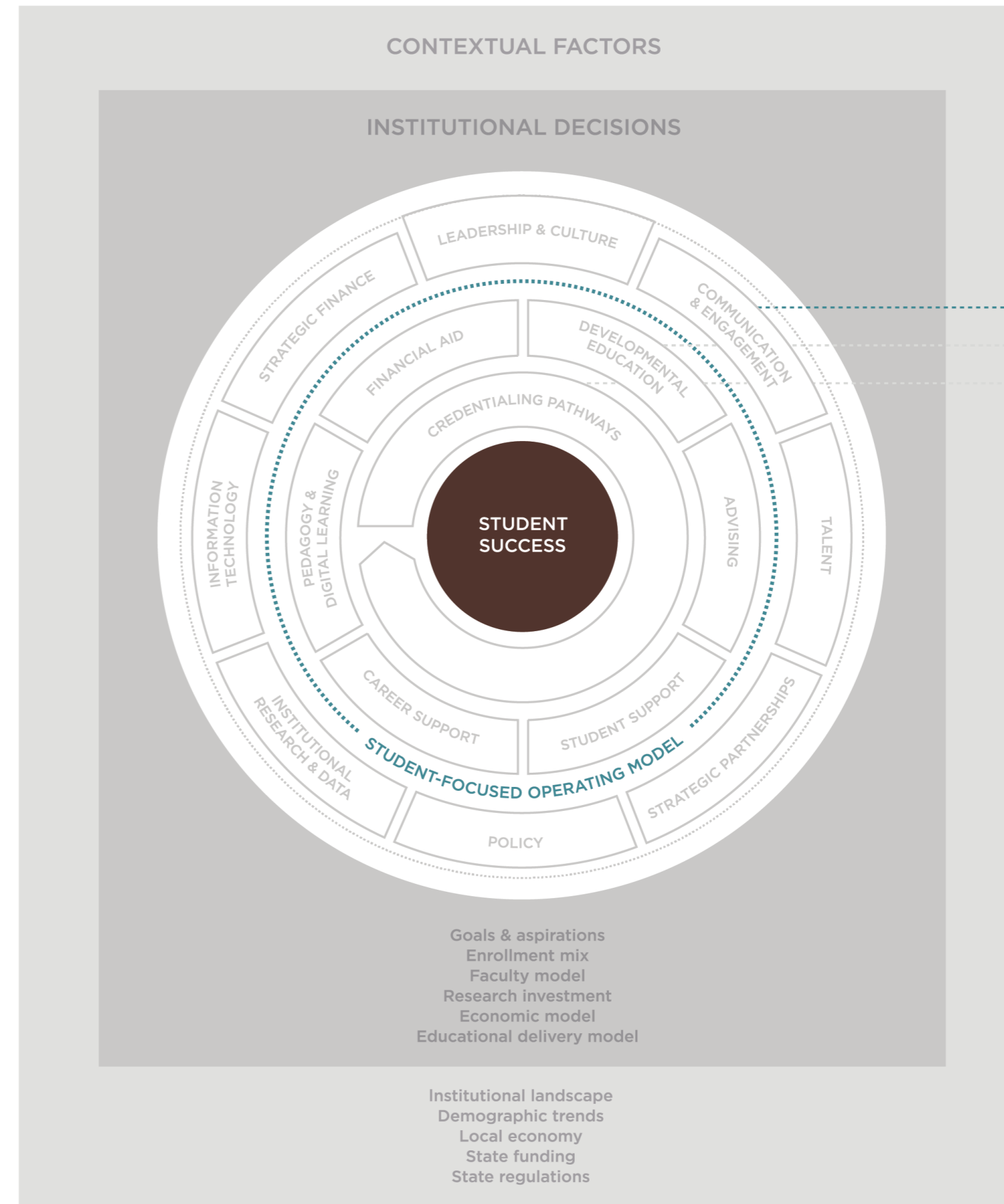
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OPERATING CAPACITIES

# STUDENT-FOCUSED OPERATING MODEL

## This section outlines:

Tactics to improve organizational efficiency and remove operational barriers to student success, including aligning the operating model to the student lifecycle.



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## Overview

Institutions adjust their operating models to deliver effective and efficient support and services for students

### DEFINITION...

The structure by which student-facing services (both academic and support services) and other functional areas impacting student success outcomes are delivered to promote organizational efficiency and to remove operational barriers to student success

### GUIDANCE...

Institutions may develop a senior administrative role with a portfolio of duties overseeing the implementation of various student success initiatives; when this specific role does not exist, there is another clearly identified student success champion

Institutions design systematic, regular reporting and collaboration opportunities between academic affairs and student services

Institutions or units within the organization have undergone reorganizations—multiple reorganizations in some cases—to minimize role duplication, realize efficiencies, and align student-facing functions

For institutions with multiple campuses, intentional efforts are in place to provide consistent services and instruction across all campuses as “one college”

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OPERATING CAPACITIES

# STUDENT-FOCUSED OPERATING MODEL

## Practices

### Incidence *(X of 10 institutions)*

**Centralize student success functions** under one leader to provide a clear point of accountability and responsibility for improving student outcomes; **reorganize functions as needed** to minimize duplication of services and maximize efficiencies



**Professionalize and centralize research support staff**, both to help grow research enterprise and allow faculty to be more efficient

N/A  
(Mega model only)

**Elevate positions of importance** to the transformation to the cabinet or top leadership team



**Align operating model to student lifecycle** (e.g., admissions and new student services, continuing student services, alumni affairs and workforce development), moving away from traditional organizational units and reporting lines



Convene faculty and staff from multiple divisions to **map student services** processes, policies, and technology



For institutions with multiple campuses, **promote a “one college” model** such that students may access the same types and quality of services on any campus



Evaluation and redesign of student services functions is based on **enhancing a set of specific milestones** in the student lifecycle (e.g., financial planning, career conversations, academic course mapping)



## Spotlight

### SHSU's administrative restructuring to create the Division of Enrollment Management has led to a coherent delivery of services and supports across the student lifecycle



#### OVERVIEW

- The Division of Enrollment Management was created in 2004 to align enrollment planning with program and service delivery; non academic services representing all points of the student lifecycle were moved under Vice President Heather Thieleman, who was hired to lead the new division
- The division manages ten offices under three Associate/Assistant VPs: Admissions, Financial Aid, Orientation, Registrar, Veterans Resources Center, Institutional Effectiveness (including Institutional Research, Administrative Program Review, and Legislative Relations), Visitor Services, Enrollment Communication, Program Marketing, and Career Services
- The Strategic Enrollment Committee serves as the cross-divisional advising committee for the division. Leadership of the division is dedicated to strategic, intentional development of an empowering culture for staff
- Current priorities of the division include meeting student enrollment, graduation, and employment goals in response to national, state, and regional demand; serving as a centralized source for the analysis and dissemination of institutional data; enhancing the University's competitive advantage by optimizing delivery of communications and services; and promoting, implementing, and maintaining technology to the fullest capacity

#### IMPLICATIONS FOR STUDENT SUCCESS

- The division's operating model promotes a unified vision for student success and alignment between recruitment and retention initiatives—particularly critical to the success of SHSU given rapid enrollment growth
- From the beginning, the division has provided cross-divisional leadership opportunities that have both improved the design and implementation of new initiatives and garnered stakeholder support
- The division's structure signals SHSU's integration of culture, planning, budgeting, and student support
- Investments in community outreach and targeted marketing offers early exposure to SHSU and fosters accessibility, while combined undergraduate and graduate admissions creates a single point of entry into the institution



*When Dr. Thieleman came about 14 years ago they reorganized to create the EM [enrollment management] office and put everything under one roof. Having all student entry points under one VP is critical.*

*-SHSU Staff Member*

## Spotlight

SJCD Department Chairs were permanently appointed, relieved of fall and spring teaching loads, and extended to 12-month contracts, enabling them to focus on faculty development and departmental leadership and strategy



### OVERVIEW

Faculty members used to rotate through the Department Chair role with only partial relief of teaching loads. This structure failed to create the accountability and directional continuity leadership desired from faculty leadership. The Department Chair role was redesigned to be a permanent position with no teaching load during the Fall or Spring semesters. The role's primary responsibilities now include classroom observation, teaching evaluation, professional development, participation in major initiatives, and strategic departmental planning. Compensation for the role was increased to reflect the enhanced expectations of the role.

### IMPLICATIONS FOR STUDENT SUCCESS

- All faculty members are regularly evaluated and receive targeted feedback about teaching strategies and student performance
- Department Chairs are no longer forced to choose between their students and their department chair responsibilities
- Success rates, down to the course level, are constantly monitored
- Faculty are supported to identify specific points in the curriculum driving high DWF activity
- Leadership continuity leads to sustained investments in teaching and accountability for those investments

### ENABLING FACTORS

- Financial commitment from the Board
- Accessibility to multiple data points, including historical performance data and customized reports from IR, as well as an End of Course Survey re-purposed to act as a performance improvement tool
- Investment in leadership development
- Institution-wide Student Learning Outcomes promote standard KPIs by which to evaluate faculty
- HR conducts leadership development for Dept. Chairs
- Annual Department Chair & Dean Academy in which all faculty leadership collectively reflects on the previous year and plans for the coming year



*I'm not telling you that you have to have a 70% success rate, but we do need to see continuous improvement over time. I need to see incremental change. We expect to be aware of how our students are performing in order to make targeted and continuous changes.*

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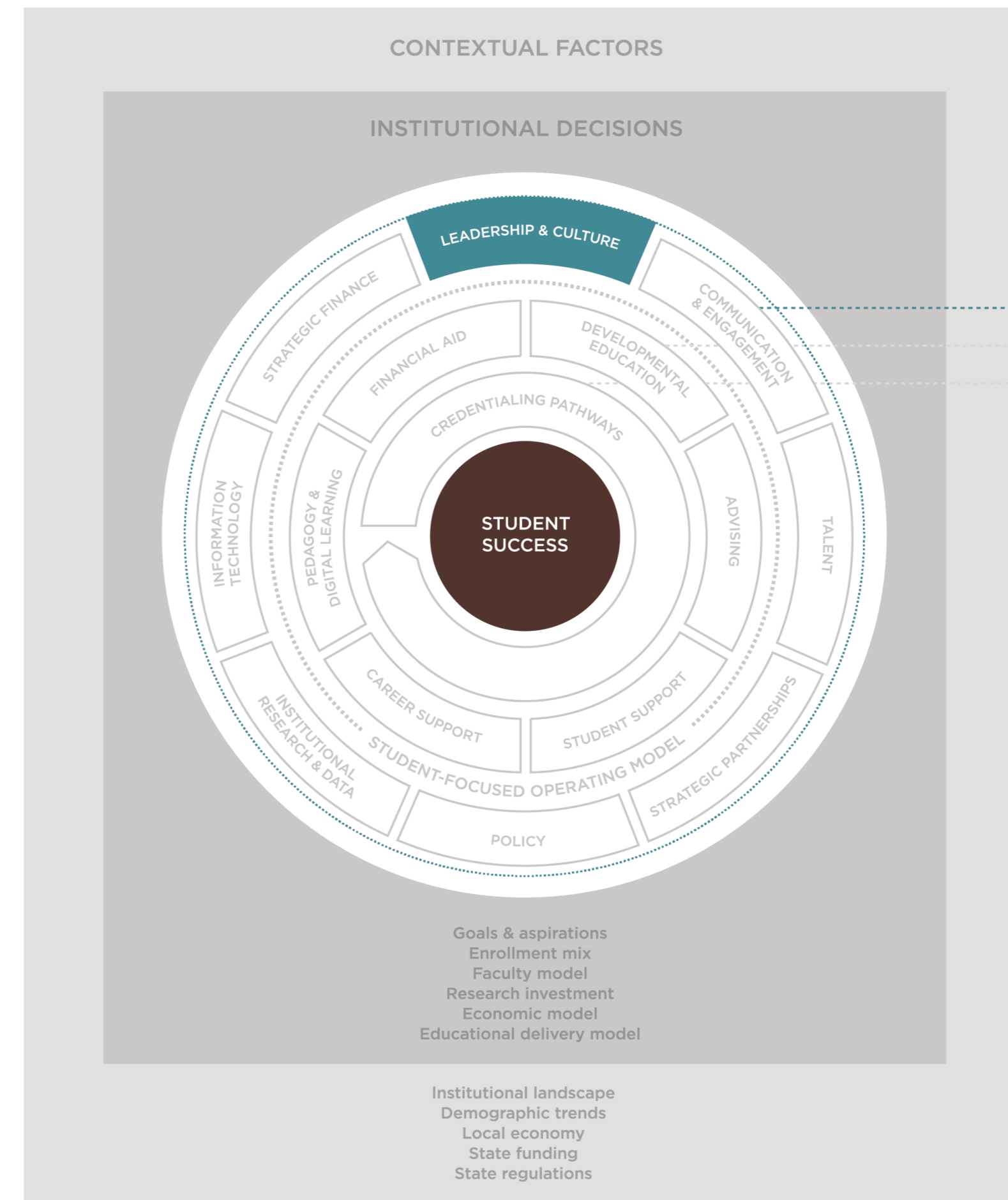
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## This section outlines:

Establishing both a leadership team and a broad culture that both prioritize student success by fostering collaboration, building connections, and implementing new processes.



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## Overview

Leadership stability aligned with a culture of empowerment across all levels is foundational to an institution's ability to improve student success through institutional transformation

### DEFINITION...

Governance structure as well as leadership decisions on resource allocation, institutional mission and values, and strategic plans, and the manner by which they make those decisions. Additionally, the impacts of leadership, mission, and values on attitudes, norms, priorities, and other elements of culture

### GUIDANCE...

Demonstration of support for student success efforts from the institution's senior leadership and board of trustees is critical to advancing the overall student success vision and illuminating the agenda's importance across the institution

Presidents and Board leaders that have prioritized student success have highlighted this goal as a focal point of the institutions' strategic plan and refuse to deviate from that commitment

Senior leaders have helped build a culture that prioritizes student success across all levels of the organization (including faculty and staff); senior leaders enable and empower faculty and staff to pilot and incubate innovative initiatives that can advance student success efforts

Institutions aim to have stability amongst senior leadership teams while also promoting diversity of thought, backgrounds, and perspectives



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# LEADERSHIP & CULTURE

## Practices

### Incidence *(X of 10 institutions)*

**Establish and maintain a steadfast leadership focus** on access and student success, wherein top leadership has clear narrative of institution’s success journey



**Build a culture that sustains success** by fostering collaboration (especially between Academic and Student Affairs), providing incentives, encouraging experimentation / calculated risks, valuing data and evaluation, and celebrating success



**Designate a student success leader** and promote the role to the executive team to oversee and improve coordination amongst student-focused functions



**Build social capital by cultivating strong relationships** among leadership, executive team, and other stakeholders across the institution



**Implement a rigorous strategic planning process** to align around a set of core priorities and measurable goals, with student success at the center



**Enlist the Board as an ally** to achieve strategic priorities and encourage training and development for Board members



**Adjust executive compensation** to incentivize performance against goals



## The Role of the President

The presidents or chancellors of both two- and four-year institutions focus on financial sustainability while appointing and supporting strong leaders to champion student success initiatives



### President Johnson

#### Transformational actions

- Enhancing profile of institution in the community and with foundations to increase institutional support
- Focusing on financial responsibility and sustainability
- Appointing leaders to champion the student success agenda
- Building relationships with other educational institutions

#### EXAMPLES

- Oversaw process to inform Board and community leaders about institution's poor student success track record
- Built leadership team which was committed to student success; created new positions when necessary to increase focus on student success
- Communicated high-priority initiatives to faculty and staff to support Cabinet leaders and increase buy-in
- Focused on high school partnerships and support to minimize need for developmental education
- Led meaningful engagement with community to bolster support for county levies
- Instilled fiscal responsibility to allocate 3-5% of annual revenues to reserves to increase spending flexibility for future strategic initiatives
- Led development of fiscal culture to retire all debt
- Oversaw overall student success strategy and prioritized initiatives



### President Williams

#### Transformational actions

- Enhancing profile of institution amongst state legislatures, local corporations, and foundations to increase institutional support and future sustainability
- Appointing leaders to champion the student success agenda
- Building relationships with other educational institutions

#### EXAMPLES

- Committed to improving brand of DSU within the state
- Built relationship with Governor of Delaware which resulted in the creation of the ~\$7M Inspire Scholarship and continued Governor's Cabinet support of DSU
- Fully leveraged relationship with Delaware Technical College building relationship with its president, also the legislative Speaker of the House
- Hired a VP of Finance (later COO) and "strong right-hand" for student success
- Raised profile of DSU with major foundations
- Built relationships with major corporations
- Completed school's \$20M five-year "Greater Than One Campaign for Students"
- Helped school build educational relationships locally—setting up an Early College High School with STEM focus—and internationally with higher ed institutions in China, South Africa, Vietnam, and others

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## The Role of the Board

The Boards of the five four-year universities appeared to play a supporting role in institutional transformation while the five two-year colleges appeared to more often actively participate in and champion student success initiatives



### Sinclair Board of Trustees

Transformational actions

- Participating in national student success collaboratives
- Acknowledging and taking ownership of student outcomes
- Committing to both student learning and academic quality
- Supporting policies promoting student success and organizational efficiency
- Hiring strong leaders

### STUDENT SUCCESS RELATED DECISIONS & ACTIVITIES

- Attended League for Innovation headquarters for conference that emphasized community college's focus on student learning
- Acknowledged poor student success rates and committed to driving improvements
- Passed resolution to encourage faculty to maintain academic quality while improving student success
- Supported performance based funding model
- Appointed Dr. Steve Johnson as President based on strong vision for student success



### Del State Board of Trustees

Transformational actions

- Unwaveringly committing to the mission of HBCUs
- Tracking student outcomes
- Supporting policies promoting student success and organizational efficiency
- Hiring strong leaders

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## Spotlight

UNC Greensboro's culture has evolved with its identity, but its commitment to students, their families, and the surrounding community has not wavered



### CULTURE OF CARE

- “ I'd get at least two handwritten note cards from [the chancellor] ... that represents an authentic culture of care.”
- “ We have faculty ... who use grants to help fund internships for students.”
- “ One of the things I think makes us successful is that we have faculty who truly care about the students.”

### STUDENTS FIRST

- “ It's about building relationships, and we've built a lot to beget support. We're strong as an individual campus with good governmental relationships.”
- “ Bringing the outside in was key - and this was because [we] had a lot of relationships to count on.”
- “ Here everyone has a one-on-one connection: peers, [administrative] staff, faculty, and support staff.”

### COMMUNITY ORIENTED

- “ We have a lot of UNC Greensboro alums in Greensboro area. A lot are doing critical things that we need as a community to continue to grow and thrive.”
- “ I signed up to make a change in this community - it's what needs to happen.”
- “ There is a notion that we can bring everything we need to the community – it is an important part of what we're doing.”
- “ We are a service to the community whether it's AA [degrees] or continuing education.”

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## Spotlight

NWTC leadership is focused on building a culture of student success, but has also created a culture that focuses on developing and empowering its faculty and staff



### LEADERSHIP DEVELOPMENT

- “ All supervisors have to go through the six to nine month Inspirational Leadership Academy at least once.”
- “ Leaders here are always thinking about up-skilling. We invest in our resources to move toward success.”
- “ We do not leave faculty development to chance.”

### RECOGNIZE MISTAKES

- “ If you don't make your numbers, you aren't fired. What you aren't allowed to do is not make change. We want you to make your progress and mark progress.”

### INNOVATION AND RISK TAKING

- “ We have a lot of UNC Greensboro alums in Greensboro area. A lot are doing critical things that we need as a community to continue to grow and thrive.”
- “ I've taken for granted the transparency and risk taking and independence they allow us to have here.”
- “ We have a pool of money for innovation so we can fund people with interesting ideas.”

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## Spotlight

PSU's Provost's Challenge aimed to improve student success by crowdsourcing ideas to accelerate online learning and the use of innovative technology in educational delivery



### OVERVIEW

- In 2012, PSU leadership earmarked \$3 million for the Provost's Challenge
- 162 project proposals were generated from over 1,000 faculty, staff, and students
- 24 projects were chosen for one-time grants
- All Challenge projects were completed on-time by 2015 and the portfolio of projects was completed under budget

### IMPLICATIONS FOR STUDENT SUCCESS

- "Acceleration Challenge" projects aimed to **implement strategic, high impact clusters of online classes** that would enhance student success and time to degree
- "Reframing Challenge" projects aimed to leverage innovation in technology to make major changes in the **delivery of high quality, affordable education** in a short amount of time
- "Inspiration Challenge" projects aimed **to develop technology-based solutions** that could improve student success at modest cost
- The Challenge launched reTHINK PSU, a broader campus initiative which continues to focus on leveraging innovation and design thinking to serve more students with better outcomes while containing costs. reTHINK PSU projects are focused on promoting **pathways to success, degree completion, and flexible degrees**

### EXAMPLES

#### Acceleration Challenge

University Studies Online General Education Pathways  
Social Entrepreneurship Certificate

#### Reframing Challenge

ePortfolio Initiative to Transform Learning and Assessment at PSU  
Reframing Chemistry and Biology Education at PSU for the 21st Century

#### Inspiration Challenge

The Last Five Miles: Coaching Students to Degree Completion  
PDX Open: Reducing Student Textbook Costs

Note: Dollar sign icon signifies practices related to Strategic Finance

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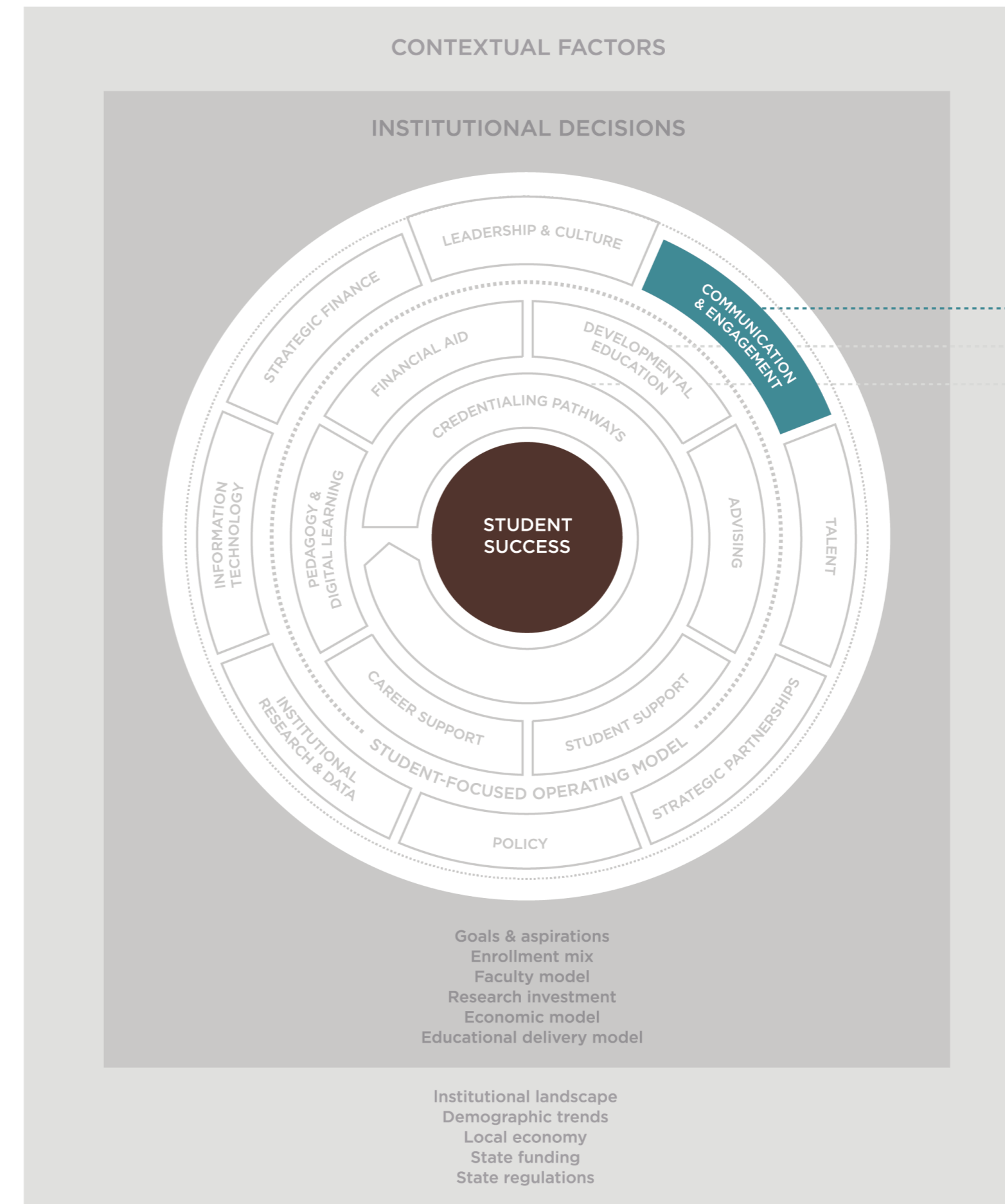
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OPERATING CAPACITIES

# COMMUNICATIONS & ENGAGEMENT

## This section outlines:

Approaches to disseminating both key messages and encouraging cross-functional collaboration and communication.



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## Overview

Implementing a student success vision requires clear, strategic, and multi-stage communications and change management planning to meaningfully engage all stakeholders

### DEFINITION...

The messaging of student success efforts and initiatives throughout the organization and the corresponding interactions with stakeholders to achieve institutional goals

### GUIDANCE...

While institutional leadership establishes the vision for student success, clearly communicating that vision campus-wide and supporting change management efforts at each planning stage to gain buy-in across stakeholder groups is also critical

Institutions generally believe in “over-communicating”: delivering the same message in different places and utilizing different channels to frame student success priorities and initiatives

Institutions utilize cross-functional engagement methods such as working groups, committees, and town halls to brainstorm and deliver on student success initiatives. Additionally, this engagement allows for both public and anonymous feedback

In some cases, institutions may promote non-executive leaders/administrators as the face of change for student success efforts



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OPERATING CAPACITIES

# COMMUNICATIONS & ENGAGEMENT

## Practices

### Incidence *(X of 10 institutions)*

**Create mechanisms to revise policies** that are not in the interest of student progression; remove barriers to success



**Confirm that key messages are disseminated across all levels** of the organization; information about change is delivered top-down, rather than contained at just the executive level, and it is adjusted as necessary at various planning stages



**Create opportunities to send and receive feedback** across the institution (e.g., climate surveys), and then take actionable steps to address this feedback



**Encourage cross-functional collaboration** through inclusive working groups or task forces; institutional stakeholders are empowered to form groups to solve for specific problems and have access to leadership to share findings. Cross-functional stakeholders serve as change agents



**Include faculty and staff as active partners** in the transformation journey. Make sure faculty have ownership of and flexibility in areas related to academic content and instruction



**Communicate clearly and often** when introducing changes, and use multiple channels (e.g., town halls, emails) to make information accessible to all stakeholders



## Spotlight

IRSC has a strong foundation in change management approaches; these robust practices date back to its cultural transformation and allow for empowered shared governance



### PROVIDE DIRECT COMMUNICATION

The President addresses concerns or uncertainty directly, instead of letting rumors drive the conversation

“ All supervisors have to go through the six to nine month Inspirational Leadership Academy at least once.”

### GAIN BUY-IN

Various administrative leaders shared that faculty engagement is important to building understanding and gaining trust; for example, faculty are even involved in designing new facilities

“ We had budget cuts and [the President] came around and said, ‘we’ll figure this out so it won’t impact you.’

### DELIVER TRAINING

Training and cross-training have been engrained into the IRSC culture from the beginning of the cultural transformation (e.g., communication coalition, train-the-trainer model)

“ When setting up the comprehensive [student services] model, people from other departments were brought in for cross-training.”

### SHARE RESULTS

Progress, results, and solutions are shared with IRSC community members through various channels (e.g., State of the College, individual meetings, departmental meetings)

“ The best idea wins – all levels of employees engage in solution-focused discussion recommending improvements especially through workgroups. Ideas are supported through directed resources.”

### COLLECTIVE SUCCESSES

When IRSC was named an Aspen Prize Finalist with Distinction, the President took the trophy around the College to take pictures with staff to reinforce the collective mindset in owning and celebrating success

“ It was...showing that as a leader, you show people that you appreciate what they do and their impact.”

### LEAD BY EXAMPLE

In initiating the Cultural Enhancement Initiative, it was important that faculty and staff observed leadership also committed to continuous improvement with EDP offerings provided for administrators, faculty and staff.

“ You have to look at the culture of your organization. If faculty is one side and admin is on another...it’s hard to pull off...don’t underestimate the culture.”

## Spotlight

PSU's transformation journey has been enabled by a commitment to inclusivity and transparency, visionary leadership, new insights from data, and implementation capacity



### INCLUSIVITY

- PSU's strategic planning process deeply engaged hundreds of campus stakeholders in an effort to align on core principles and establish buy-in for change
- Similarly, the recent advising redesign progress has been characterized as "exhaustive" and leveraged many feedback sessions, surveys, and town halls

“ You have to let a lot of people be involved in idea generation. Don't come in with a fixed plan but with a process that allows for change.”

### TRANSPARENCY

- The Provost's blog offers candid reflections on ongoing activities and communicates successes and challenges
- Progress toward implementation of all student success initiatives is tracked and posted online
- The new performance-based budgeting process has increased transparency around resource allocation

“ The blog helped foster stronger communication and trust between faculty and administration during collective bargaining negotiations and the rollout of performance-based budgeting.”

### VISION

- The President and Provost are widely credited for their support of disruptive change to advance student success and broader transformation
- [Vice Provost] Jhaj has been credited for being positioned "in the right place with power to get stuff done" in service of academic innovation and student success

“ [Vice Provost] Jhaj has shifted the climate. He does amazingly well in translating existing capacities in other sectors for higher education.”

### DATA

- The use of data to identify gaps has helped inform the prioritization of student success projects
- The introduction and discussion of outside ideas – both from other campuses and other sectors – has helped "expand our vision of how can we improve things here"

“ We wanted to learn why students were failing. We added unique identifiers to freshmen to better understand segments and what national truths about student success are just not true here at PSU.”

### CAPACITY

- Effective deployment of project management resources and processes have enabled the effective implementation of reTHINK PSU and other student success initiatives
- The use of "design thinking" approaches that embody student-centeredness has required teams "with enough capacity to actually listen to students"

“ We required every project to have a project manager. Faculty didn't want one at first, but now they love it. They can discuss their ideas, but they don't have the time and training to figure out logistics.”

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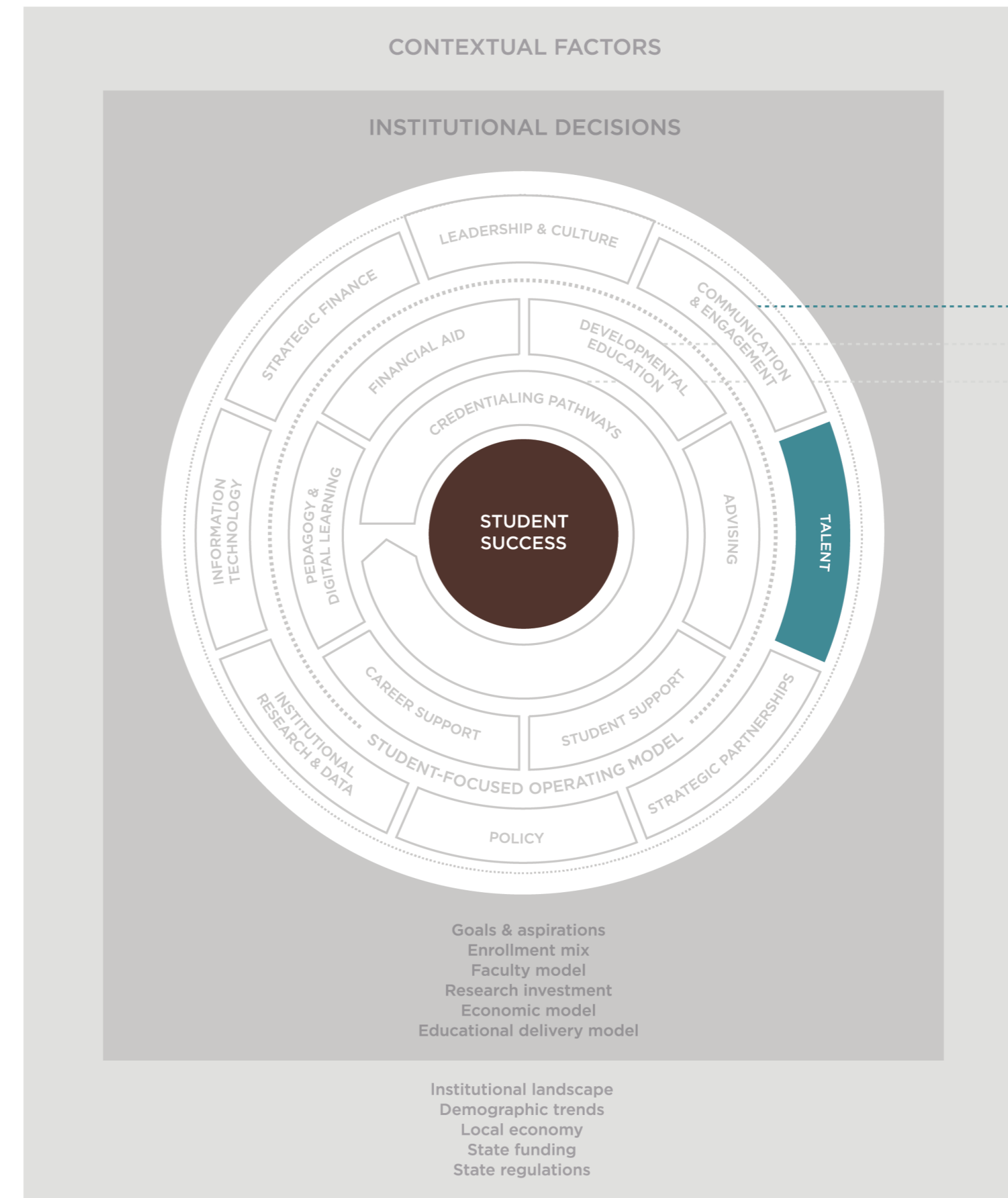
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# OPERATING CAPACITIES TALENT

## This section outlines:

Ideas for developing and managing talent, from investing in leadership development programs to adjusting hiring and review processes.



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## Overview

Institutions recognize the link between developing, managing, and promoting their talent as foundational to transforming student success

### DEFINITION...

The development of the institution's people, their skillsets and their competencies, as well as the structures to influence, recognize, and reward certain behaviors

### GUIDANCE...

Institutions have often aligned student success initiatives and outcomes to various organizational and/or personal incentives (e.g., compensation, bonus, etc.)

Regular professional development has not only been encouraged but also instilled into institutional culture and supported with funding

Schools are working to integrate a student success mindset across the entire talent lifecycle, from recruiting, onboarding, and training to performance management, pay, and succession planning

When necessary, strategic planning is developed and/or infrastructure is augmented to allow for policies, processes, and systems to support performance management, training, promotion, and other talent lifecycle needs that underpin student success efforts

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OPERATING CAPACITIES

# TALENT

## Practices

### Incidence *(X of 10 institutions)*

In addition to hiring externally, **leverage existing talent for new leadership opportunities** (which requires leadership development programs)



**Invest in well-designed professional training and development opportunities** for staff / faculty both internally (e.g., in-house trainings) and externally (e.g., sponsor conference attendance)



**Consider recruiting talent for key positions from outside the academy**, bringing in leaders with different skillsets (e.g., finance, human resources) to drive strategic priorities



**Adjust performance reviews to consider student success** and tie student success-related activities to rewards / incentives (e.g., merit-based pay). Faculty progression structures are such that faculty must meet certain student success related competencies before promotion



**Align hiring processes** (e.g., recruiting, interviewing) to test candidates for experience and commitment to student success



**Integrate succession planning** into the performance evaluation process for institutional leaders



## Spotlight

The institution-wide performance management and differential pay system supports SJCD's goals, includes consensus-driven validation, and incents involvement in student services



### OVERVIEW

Seeking to replace the practice of cost of living raises, the Board hired two HR consultants to lead the SLT (strategic leadership team) through the design, development and implementation of an accountability based performance management system. The consultants were eventually hired to lead and transform the HR department. Working for two years with a cross-divisional, faculty-led team to design the evaluation system, the HR leaders developed a performance management and differential pay system. Performance evaluation is closely tied to the College's five strategic goals. For faculty, evaluation is based 70% on teaching, 15% on service, and 15% on professional development. Every rating for faculty, staff, and administrators is validated through a cross-campus, consensus-driven decision process.

### IMPLICATIONS FOR STUDENT SUCCESS

- Factors considered in performance evaluation and merit pay decisions are directly linked to serving students
- Cross-campus validation promotes continuity in education and service delivery
- Professional and leadership development improve effectiveness of student-facing teams and programs
- Individual goal-setting requires alignment with the College's annual priorities—all faculty and staff connect to the institution's vision for student success and work toward the same goal

### TRANSPARENCY

- Leadership Development Program
- Department Chair and Instructional Dean Academy
- Center for Excellence in Teaching & Learning
- New Faculty Academy
  - SJC Onboarding
  - Team Assessments & Retreats
  - RECONNECT Program
  - Competency-Based Leadership
  - Mentorship & Career Coaching

### ENABLING FACTORS

- Board support
- HR considered a strategic partner
- Cross-campus and faculty-led design
- Early and proactive engagement of opponents to change in design process
- HR subject matter experts hired
- HR service levels raised
- Investments in leadership development

“Higher education is generally developing leaders that can manage current structures. Right now, we are working on developing leaders for an uncertain future.”

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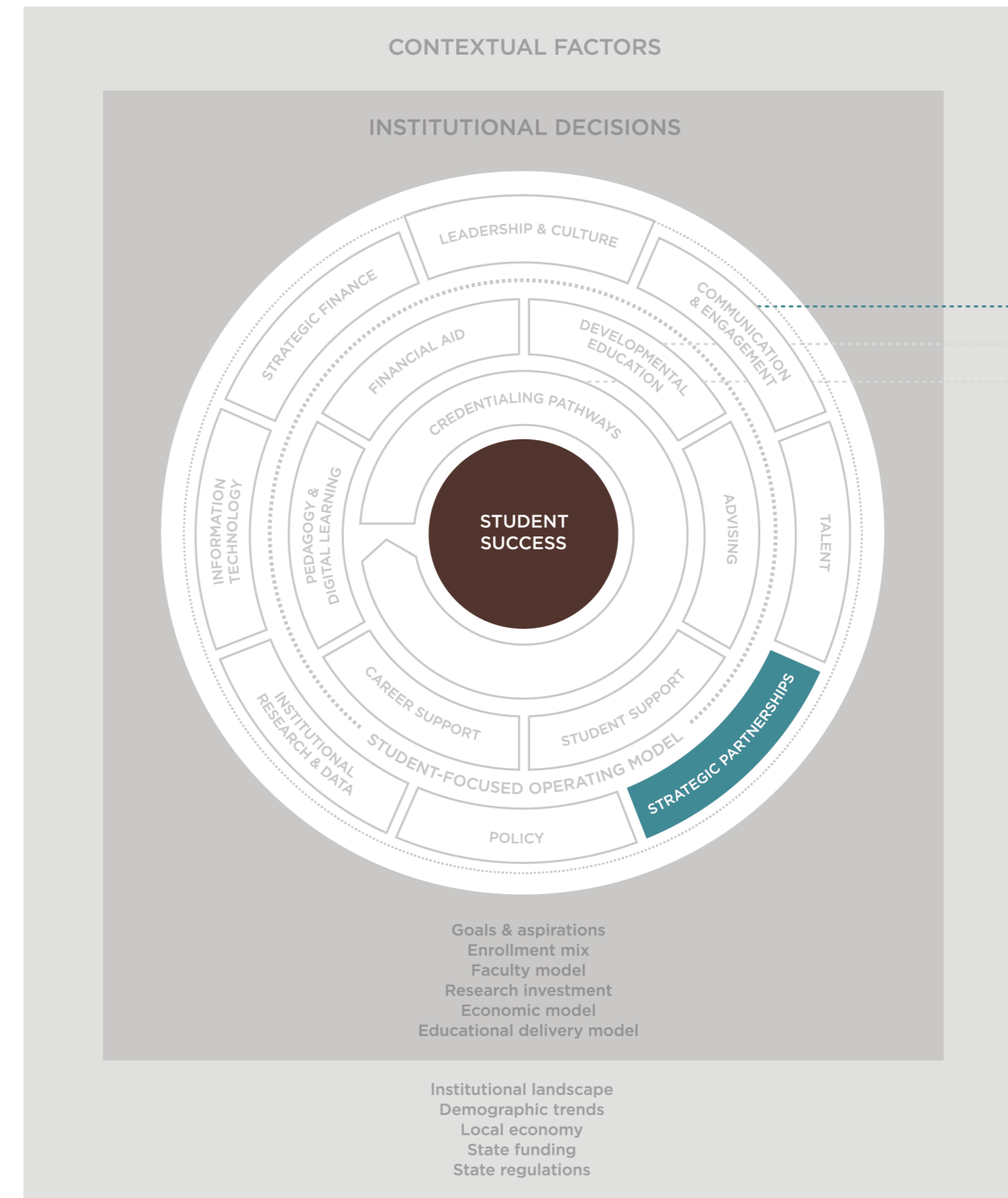
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# OPERATING CAPACITIES

# STRATEGIC PARTNERSHIPS

## This section outlines:

Approaches to forging partnerships with other institutions (including high schools), organizations, and companies to innovate and increase student success.



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## Overview

Institutions navigate “doing more with less” by seeking partnerships with K-12 schools, social service agencies, and other workforce developers

### DEFINITION...

The collaboration and integration between the institution, other educational entities (K-12 or other colleges / universities), and workforce partners. Additionally, the access to and participation in broader movements related to improving student success

### GUIDANCE...

Connecting with and using the guidance, frameworks, and overall support of national collaboratives (e.g., Achieving the Dream, Completion by Design, Aspen Institute, Frontier Set) can advance student success efforts

Institutions are deliberate in developing partnerships with local industry and workforce leaders to further student success, particularly in helping shape curriculum that will be most useful and relevant to careers for students once finished with their degrees, certificates, or credentials

K-12 and local school district partnerships have become an area of increased focus; through these partnerships, institutions aim to increase the enrollment pipeline and improve college readiness

Beyond requirements such as those designed by the legislature, city, regional, and state government agencies can offer partnership support, especially through long term relationship building

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## Practices

### Incidence *(X of 10 institutions)*



**Establish strategic partnerships to boost capabilities** (e.g., technology), or obtain strategic guidance (e.g., through national collaboratives) to accelerate time to impact and contain costs related to continuous innovation



**Make sure appropriate stakeholders are involved with partnership decisions.** For some institutions, this may mean including just a few leaders, for others it can include stakeholders from every function affected by the partnership



**Pursue partnerships** with K-12 institutions (and community colleges, for four-year colleges) **to increase access and grow enrollment** (e.g., dual credit / early college programs for high school students, alliances with specific culture groups)



**Find ways to build rapport and support with the surrounding community and government agencies** while establishing the institution's unique role (e.g., enrollment bus to reach more parts of the community, or building alliance with state governor)



Routinely revisit partnerships and, where possible, **consider bringing more products and services in-house over time** (e.g., strategic consulting services)



**Seek partnerships with local employers and chambers of commerce;** consider forming industry-based advising committees to help inform curriculum and programming aligned with workforce needs



**For ideas at the vanguard of higher education, explore co-developing with a technology partner,** which can allow for having more input into the technology (e.g., Blackboard Analytics, Hobsons)



Note: Dollar sign icon signifies practices related to Strategic Finance

## Spotlight

The Maritime Technology and Training Center represents SJCD's strong connections with local employers and industries as well as its commitment to workforce development in critical areas



### OVERVIEW

With over half of the maritime industry's workforce over 50 years of age and multiple sources projecting rapid growth for the industry, San Jacinto College partnered with the Port of Houston to develop the first maritime technology associate's degree and certification program in the Texas Gulf. With funding from a local bond referendum, the Texas Workforce Commission, and the federal government, the full associate degree program opened in Fall 2012 with a new training center housing state of the art simulators and other technology opening in 2016. The College has not only been engaging current students and incumbent workers in the program but has also been partnering with local high schools to educate students about maritime dual credit programs and career opportunities.



### IMPLICATIONS FOR STUDENT SUCCESS

- Industry partnership promotes recognition of SJCD's value in the community, which will help to **sustain future funding**
- Becoming the "Educator of Choice" for the Maritime industry **bolsters employment opportunities** for SJCD's current students and alumni
- Collaborative design of curriculum ensures students are gaining **relevant skills** that will be demanded by both current and future employers

### ENABLING FACTORS

- Meets a critical workforce need
- Industry-initiated, jointly funded, and collaboratively designed
- Serves as a training facility for incumbent workers
- Articulation agreements with 4-year institutions
- Flexible credentialing



Note: Dollar sign icon signifies practices related to Strategic Finance

## Spotlight

In addition to discounted Dual Credit programs, SJCD supports the K-12 system through sustained investments in four Early College High Schools and shared educational planners



### EARLY COLLEGE HIGH SCHOOLS (ECHS)

- Early College High Schools are a partnership between SJCD and local school districts
- This program allows students to earn **both a high school diploma and an Associate's Degree**
- Full-time students begin **freshman year** and complete **advanced high school course work** in addition to **college-level courses**
- 7 of the 8 ECHS are **located on SJCD campuses**
- The rigorous program offers **discounted SJCD tuition** for students and is a significant investment for the college

### HISTORY OF EARLY COLLEGE HIGH SCHOOLS

**2007:** Clear Horizons ECHS opens on the South Campus

**2011:** Pasadena ECHS opens on the Central Campus

**2012:** Sheldon ECHS opens

**2015:** Galena Park Career and Technical Education ECHS opens on the North Campus



### SHARED EDUCATIONAL PLANNERS (SEPS)

- **Eight SJCD advisors** are embedded in **several high schools** during the school year
- SEPs help high school seniors enroll in college, select courses, apply for financial aid, take placement tests, and interpret test scores
- The goal is to both **educate students about their options** after graduation and help them make **sound financial decisions** about postsecondary options
- Originally a joint venture between local high schools and the College, **San Jacinto now completely funds the program**

### SNAPSHOT OF CLEAR HORIZONS ECHS

- In 2012, U.S. News & World Report ranked CHECHS the **34<sup>th</sup> Best High School in the state of Texas** and 48<sup>th</sup> in the nation among charter schools
- In 2014, CHECHS was named **one of Houston's best public high schools**

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## This section outlines:

Tactics for engaging allies to advocate for policy that impacts students and institutions positively.



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## Overview

Engaging with local, state, and national policy makers and serving as educational influencers and advisers provides institutions with another channel to support transformation

### DEFINITION...

Ability to mobilize the support required to influence / change laws, regulations, rules, protocols, and funding priorities governing operations, regardless of whether or not the policies fall within the institution's formal authority

### GUIDANCE...

Institutions dedicate significant resources and time to cultivating relationships with local, state, and national policy makers to advance policy, ideas, and needs

Institutions position themselves to advise and influence legislation, policies, and educational organizations as active, engaged experts in the field

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# OPERATING CAPACITIES POLICY

## Practices

**Delegate internal leadership and staff members to oversee legislative / policy affairs**, manage relationships with policy allies, and brief institutional leadership on legislative affairs

### Incidence *(X of 10 institutions)*



**Build operating capacity to engage the state legislature and state-elected board** (if applicable) as policy allies in the transformation



**Advocate for critical and relevant student success issues** at the local / state / national level in order to help shape and influence policy; this may include leading pilots for reform movements



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## Spotlight

### DCCC has continuously played a pioneering role in the statewide reform of developmental education in North Carolina



#### OVERVIEW

- In 2013, DCCC became the first community college in NC to implement the “Multiple Measures for Placement” policy, which enables colleges to use students’ high school GPAs and scores on college entrance exams (in addition to traditional placement tests) to place students out of developmental education. Based on preliminary success during this pilot phase, NC has made “Multiple Measures” mandatory for all state community colleges starting in 2015
- In 2015, new statewide legislation mandated that high schools should produce more college and career ready graduates, putting the onus of developmental education onto high schools. Specifically, high schools would be required to provide the instructor and technology for developmental courses, but community colleges would choose the curriculum
- The director of DCCC’s College Transition Center for developmental education played a critical leadership role in shaping the statewide curriculum. In collaboration with seven other community colleges, she selected an English and math program from the NROC Project (National Repository of Online Courses) and found the program to yield positive outcomes in a pilot with local high school students, leading to NROC becoming the statewide developmental education curriculum provider

#### IMPLICATIONS FOR STUDENT SUCCESS

- DCCC’s leadership in advocating for developmental education and piloting changes has led to **increasing developmental education success and completion rates**
- With Multiple Measures, students placed into courses based on high school transcripts **successfully completed their gateway courses at a higher rate** than students placed in those courses based on other measures, according to the American Association of Community Colleges
- For local high school students, the pilot of NROC saw a **1:1 correlation between program completion and success** on placement tests
- DCCC’s developmental education advocacy has also **garnered national attention** from Complete College America, AACC, and other higher education organizations



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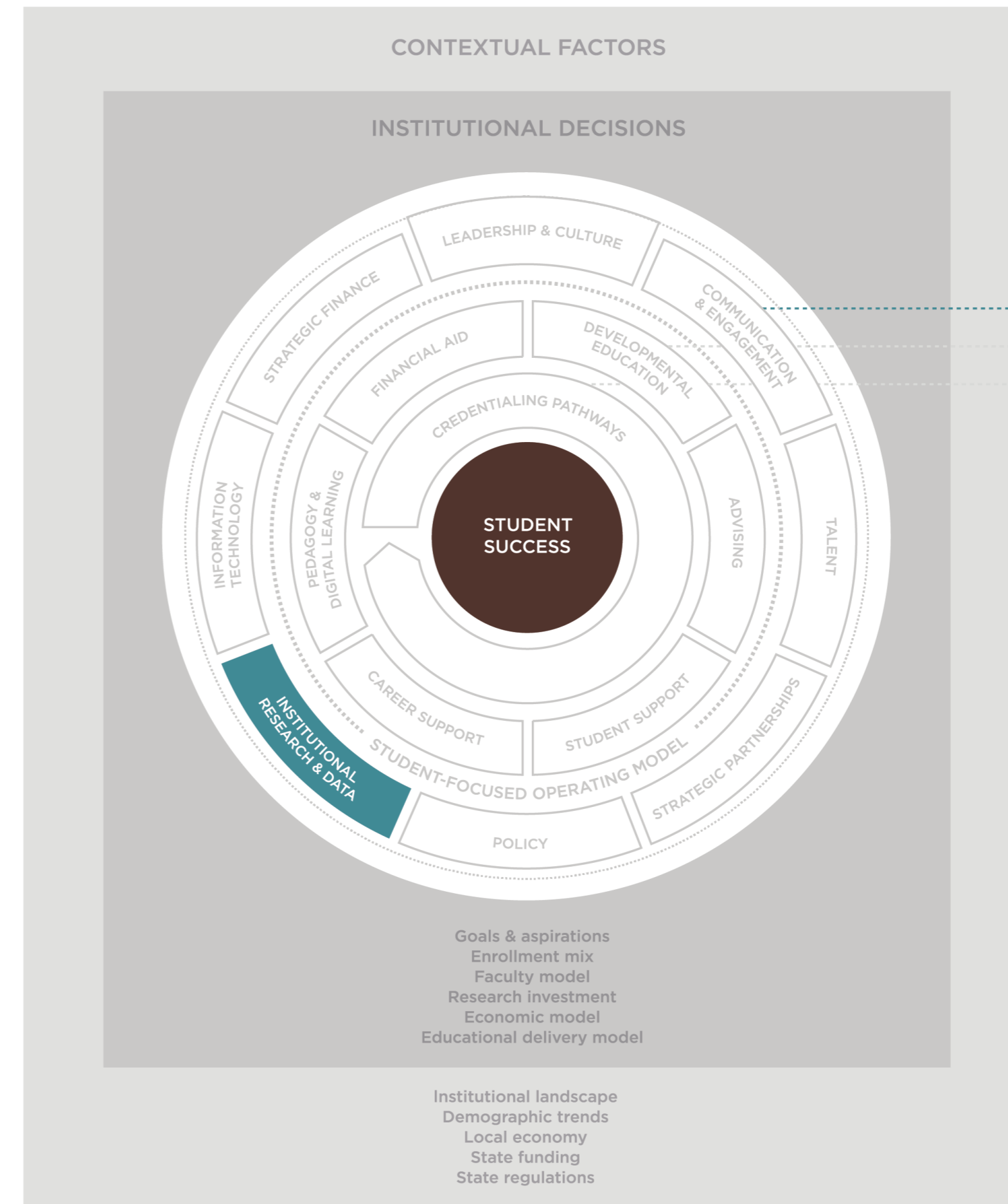
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# INSTITUTIONAL RESEARCH & DATA

## This section outlines:

Gathering data and setting policies for using it effectively, including adopting a culture of data-informed decision making and sharing key metrics publicly.



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## Overview

As a strategic partner to transformation, IR leads and supports data analysis providing quantitative evidence for robust decision making

### DEFINITION...

Supports access to and use of high quality institutional data by administrators, faculty, staff, and other stakeholders. The role of inquiry, action research, data, and analytics to inform operational, tactical, and strategic accomplishment of the institutional mission

### GUIDANCE...

Rather than focusing on report generation only as a support function, Institutional Research divisions have been elevated to a strategic partner focusing on analytics and student success enablement

Data can be centralized and accessible by providing relevant training to all data stakeholders

Institutions have found that to best leverage data, key performance indicators (KPIs) are set before beginning the student success initiative with the data monitored frequently, not only at the end of each semester

Institutions endeavor to use data, specifically predictive analytics, to better target and provide services for students with the greatest need

## Practices

**Adopt a culture of data-informed decision making and experimentation.** This enables institutions to roll out targeted pilots to test and scale what works, creates opportunity for data-informed discussions with faculty, and can contribute to creating leadership accountability based on measurable results

**Establish a set of high quality institutional data** that stakeholders can trust to inform decision making

**Share key metrics publically or within the institution** (e.g., retention rates, and degrees conferred by college) to create transparency and motivation across the institution

**Elevate IR responsibilities beyond just reporting;** explore opportunities to **invest in predictive analytics** for student success, alumni outcome tracking, etc.

**Establish data governance** processes to ensure proper data definitions, stewardship, and cleansing

**Ensure key decision-makers work closely with the IR team;** data access and accountability are shared by stakeholders (incl. faculty) beyond IR, and users receive appropriate training on how to use data

For measurement of solution effectiveness, **IR sets KPIs in advance** to generate baselines and **monitors progress regularly**

## Incidence *(X of 10 institutions)*



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## Spotlight

DSU's Data Transformation Project partnered IR with faculty and academic leadership to inform operational and strategic efforts for student success



### OVERVIEW

- Before the data transformation project, data was contained within IR, a department that was primarily focused on external reporting and compliance. At the beginning of the project, Pres. Williams intentionally brought a cross-functional team together to provide different perspectives
- The team started by leveraging existing skills in data mining, statistics, etc. They also developed a framework to utilize specifically for data: I5O - what is the issue, information, insights, solution, implementation, and then outcome
- Data is leveraged to solve critical questions around student academic performance, enrollment, retention, housing, tuition waivers, scholarships, and more
- The data analysis feeds into a series of dashboards that campus leaders use to gauge performance and progress, and to develop action plans to “move the needle” on student success

### IMPLICATIONS FOR STUDENT SUCCESS

- Now Enrollment Management and IR analyzes pre-registration data and shares progress through a dashboard, which is reviewed by the President, Deans, etc. This tracking process is promising; in the last three years, the **pre-registration rate has increased by 13%**
- DSU can predict the students that reenroll with about **88% accuracy and 97% accuracy** if the students will stay at DSU

“ My team was a faculty member, a dean, a data scientist, institutional research (IR), and someone from the Provost's Office...I wouldn't do it any other way, because when we went to the faculty meetings...they would speak up. They were the front face, and I needed them...”

## Spotlight

UNC Greensboro has invested in a robust predictive analytics system for student success, enabling it to maximize support for the highest need students



### OVERVIEW

- UNC Greensboro’s predictive analytics model was developed by Vice Chancellor of Enrollment Management using Rapid Insight
- The model determines the likelihood of student attrition / success based upon various academic, economic, and social factors. Key success indicators for a new first time, first-degree cohort include, but are not limited to: high school performance, hours and types of credits enrolled, declared major, times between key dates, family involvement as well as parent/guardian academic experience, geographic location, and affordability
- The model places students into deciles 1-10, and staff uses this information to reach out to “at-risk” students (deciles 1-4) with specialized support services

“ I advise 175 students, but I have 45 who are [most at risk]. [Knowing which students likely need more support] has made my life as an advisor much easier.”

– UNC Greensboro Advisor

“ We’re looking at [the at-risk] students – we know they’re enrolled in high DFW courses but they’re not signed up for tutoring, so we reach out and encourage them to sign up.”

– UNC Greensboro Administrator

### IMPLICATIONS FOR STUDENT SUCCESS

- The “deciles” serve as a **targeting tool**, and play a **key role in decision-making**
- For example, **advisors often use deciles to auto-enroll incoming students** in certain courses (e.g., student success course)
- Deciles are also used to target students for **TRIO Student Support Services**
- **The Frontier Set Summer Bridge program** has selected the **at-risk/high-need decile students** for remedial education in its pilot year

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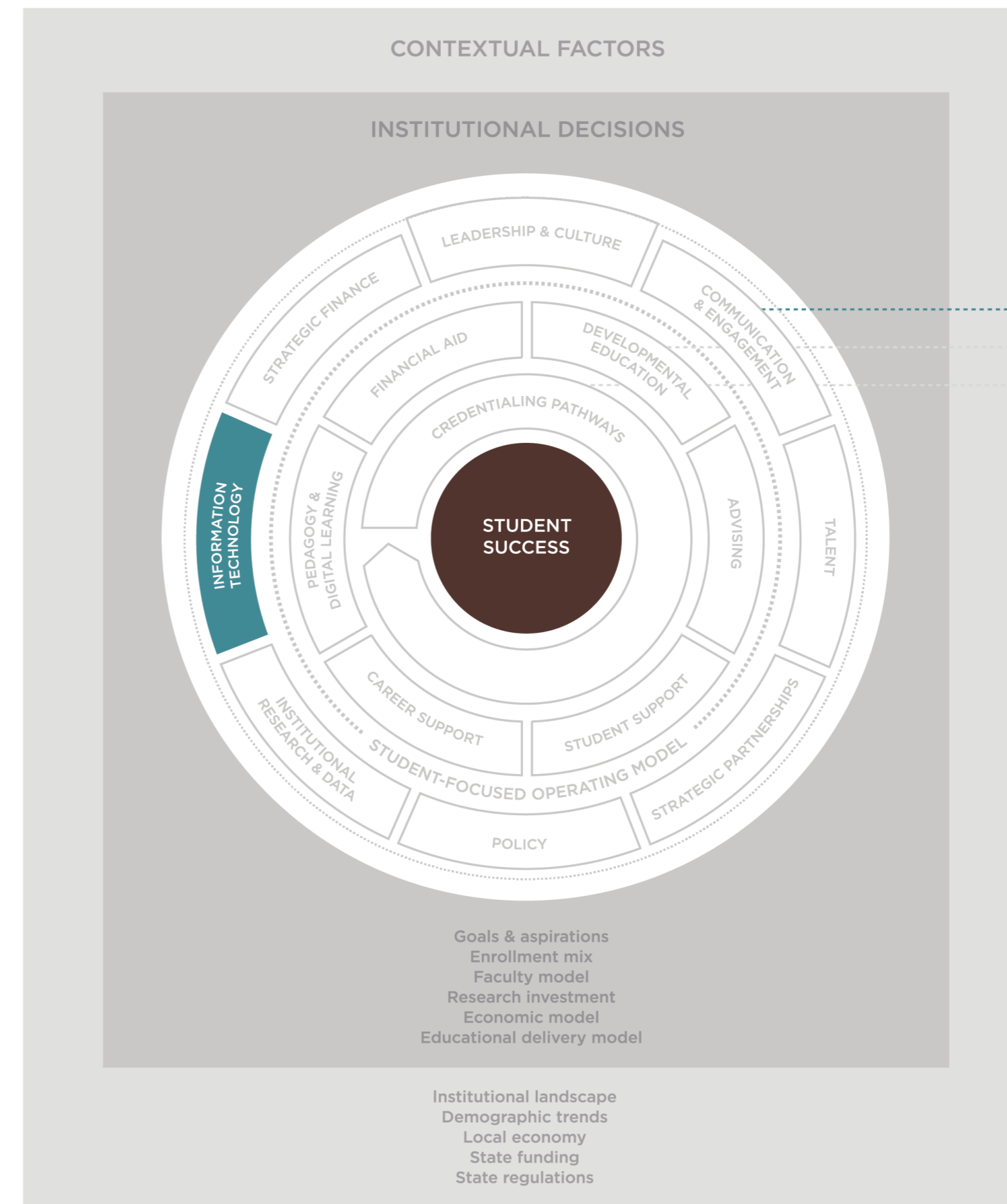
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## This section outlines:

Potential investments in IT, including both software and hardware, than can increase student success.



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## Overview

IT enables support for transformation functions such as early alerts, pathways, and data analysis, as well as collaboration, including between academic and student services

### DEFINITION...

Ability of information technology systems and personnel to connect and support programs and pathways aligned with student success outcomes

### GUIDANCE...

Information Technology divisions and CIO roles are seen as institutional strategic partners necessary to propel the academic and student services mission, rather than a shared auxiliary function

Technology-enabled student support—such as Starfish for early alerts or scheduling and pathways software—can significantly advance student success transformation efforts

With increased focus on digital learning and data analysis, institutions have invested more resources in building Information Technology capacity

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## Practices

### Incidence *(X of 10 institutions)*

**Leverage technology to support student success:** early alerts (e.g., Starfish), course scheduling / pathways software (e.g., My Academic Planner, Jack’s Planner), learning management system (e.g., Blackboard, Moodle), and grading system (e.g., GPS)



**Recognize CIO** as a strategic leader, academic partner, and enabler of digital learning, pushing forward the broader institutional agenda



**Automate back end IT activities** to the extent possible and **move additional staff toward front end, student facing activities**



**Determine when to invest in homegrown programs vs. outsource programs** based on associated ROI



Actively **analyze technology data usage** across campus and **make hardware / infrastructure changes accordingly**



Note: Dollar sign icon signifies practices related to Strategic Finance



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## Spotlight

### NWTC has been a leader in integrating technology with student success initiatives to improve student outcomes



### OVERVIEW

- The Starfish Early Alert System, rolled out to the entire campus in 2014, aids faculty in connecting students with the resources they need to be academically successful
- This technology, which was made possible by an IPASS grant from the Gates Foundation, also serves as a student communication platform that provides critical information about funding, registration, etc.
- In 2016, NWTC received another round of IPASS funding which is being used to further advance technology-mediated advising efforts. Currently in the early stages of implementation, the initiative utilizes both an intake survey as well as predictive analytics to offer faculty and staff even more student data and information and help NWTC address potential student success barriers before they arise
- NWTC is continuing to push the marriage of technology and student success with the forthcoming academic planning tool, which should provide students personalized information about their pathway and progress
- Meanwhile, to supplement efforts to implement new technology, the IT leadership at NWTC is changing perceptions of IT on campus by participating in and leading groups that drive student success initiatives

### IMPLICATIONS FOR STUDENT SUCCESS

- A key feature of Starfish is the ability not only to send flags (e.g. notices of concern), but also kudos messages (i.e. positive messages)
  - **75% of students say kudos help motivate them**
- With bettered coordinated communication with faculty/staff, students are empowered to make more informed decisions
  - **50% of students changed class behaviors because of Starfish**
- With alerts being sent early in the semester, students are more quickly able to access the resources they need
  - **58% of students connected with the services they needed through the new tools**

“ Starfish has been really important for communication, more than anything. It allows us to share information with faculty and staff about students. It has helped light-years.”

“ The student success effort is ingrained in the culture, even in IT. Student Success IS the goal.”

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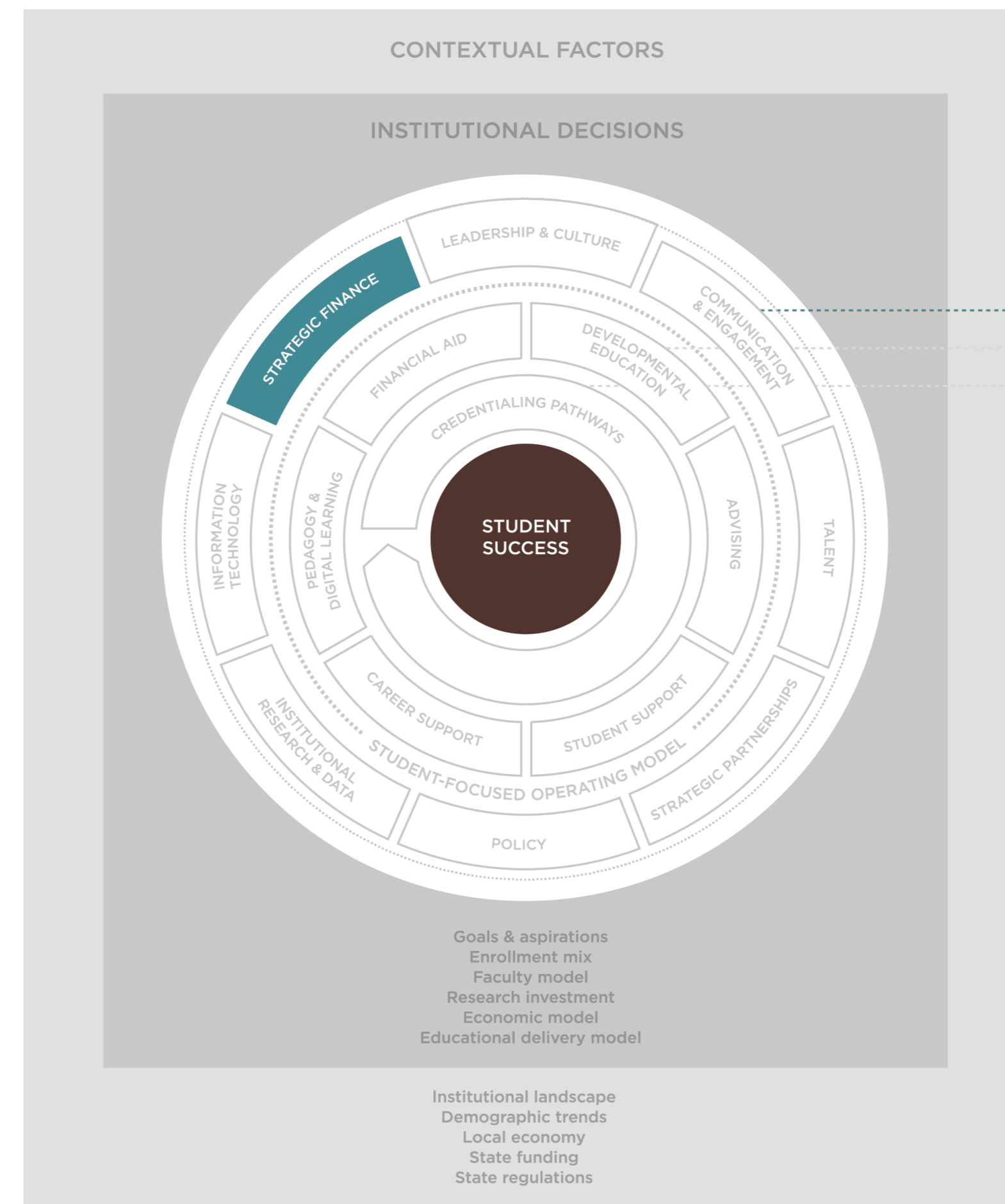
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## This section outlines:

Creating a smart financial plan that takes into account the complexities of budget creation, revenue, and enrollment, all while simultaneously streamlining and prioritizing student success.



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## Overview

Institutions maximize their economic model by enhancing their financial decision making options through budgeting and revenue generation



### DEFINITION...

Allocating scarce resources to effectively and efficiently attain desired outcomes aligned with the organization's mission and strategic plan, encompassing every resource allocation decision (financial, human, technological, facilities, etc.) throughout the organization including academics, student success, and operational sustainability

### GUIDANCE...

Institutions have implemented new budgeting processes that move away from incremental budgeting and align student success priorities with budget priorities; the budget process incentivizes and rewards units and departments that drive student success outcomes

Given institutional resource scarcity, institutions have developed ways to maintain operational stability through reserves, endowments, or fees generated through other on-campus services

Institutions have made a concerted effort to develop and enhance revenue streams that will be used to strengthen the economic model and fund academic and student success priorities (e.g. research grants, business ventures, student success grants, etc.)

Note: Dollar sign icon signifies practices related to Strategic Finance

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## Practices

### Incidence *(X of 10 institutions)*



Constantly evaluate programs for opportunities to streamline and reduce costs



Pursue creative sources of revenue to fund priorities (e.g., business ventures, auxiliary fees, private grants). May include starting a foundation associated with the institution



Relentlessly focus investments toward core priorities



Establish reserves or safety margins to enable strategic allocation of resources and serve as “emergency” funding for risk management. Such funding may also be held in endowments



Consider innovative budgeting models (beyond incremental budgeting) and align budgeting process to student outcomes (e.g., performance based budgeting)



Publicly communicate economic impact of institution with local partners to promote acceptance of local / state levies



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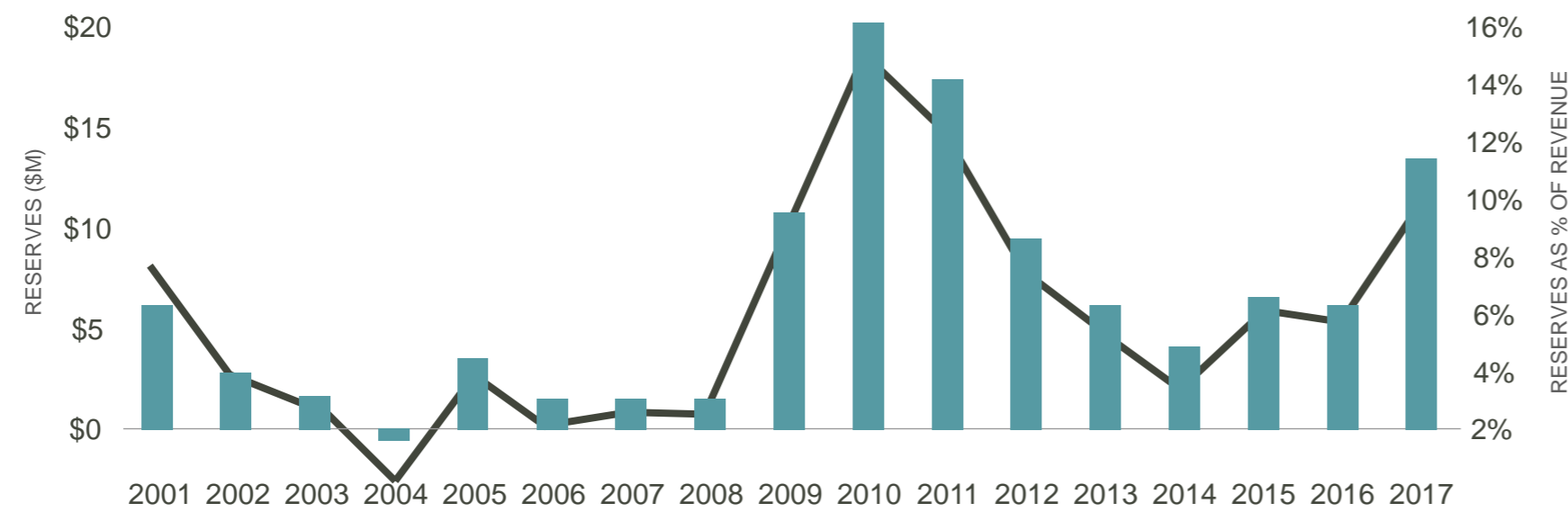
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## Spotlight

Increasing operations flexibility, leadership reserves 3-5% of revenue during budget process. This, along with increased clarity and transparency of the budget across departments, allows SCC to be more strategic in its resource allocation and financial operations



### SCC RESERVES OVER TIME



- President Johnson prioritizes reserving 3 - 5% of revenues to increase cash flexibility in subsequent years
- Reserve balance is directed towards strategic priorities, often related to student success

“My advice to other Presidents would be to incorporate reserves into the budgeting process. We don't have to live “paycheck to paycheck” because it gives us flexibility.”

– Dr. Johnson

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## Spotlight

Increasing operations flexibility, leadership reserves 3-5% of revenue during budget process. This, along with increased clarity and transparency of the budget across departments, allows SCC to be more strategic in its resource allocation and financial operations



Sinclair’s high Financial Responsibility Composite Score, a 4.8 of 5.0 according to the Federal Department of Education, is driven by its responsible debt ratio, safe reserves and lack of debt. SCC employs a series of best practices, using the incremental budget model, to drive student success:

<p><b>Decentralized Process</b></p> <p>Leadership facilitates decision-making at the lowest level in order to finalize the budget.</p>	<p><b>Top-down Guidance</b></p> <p>Allocating dollars to expense categories provides guidance around tradeoffs.</p>	<p><b>Transparency Across Institution</b></p> <p>Allowing budget managers to see the full budget enhances decision-making for student success.</p>	<p><b>Leadership Collaboration</b></p> <p>Bringing Department Chairs together to discuss resource allocation leads to smarter budget decisions.</p>
<p><b>Strategic Budgeting Decisions</b></p> <p>Leadership has turned focus from budget approvals to helping managers make strategic decisions, such as reallocating resources to increase efficiency.</p>	<p><b>Enhanced Data-Driven Decision Making</b></p> <p>Investing in data warehousing creates the capability to access data, and the ability to use data to drive decisions.</p>	<p><b>Exploration of Budget Model Options</b></p> <p>SCC explores whether alternative models would further enhance student success goals like performance-based budgeting.</p>	<p>■ Denotes Future Opportunities</p>

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## Spotlight

PSU has implemented a more strategic approach to finance and budgeting to improve allocation of staff and resources as well as reward units that are efficient, effective, and drive student outcomes



Integrated Planning of Enrollment and Budget (IPEB) brought together the University's initiatives around **strategic enrollment management** and **performance based budgeting**. This effort allows PSU to maximize its economic model by forecasting enrollments and budgets and allocating resources in a logical, transparent, and efficient manner.

### STRATEGIC ENROLLMENT MANAGEMENT

- Completed at the school/college-level
- Anticipates the volatility in trends of demographics, enrollment, and demand
- Articulates the strategies units will use to improve success of current students; lays out recruitment efforts for new students
- Identifies potential new programs
- Projects revenue generated by tuition, which along with the state appropriation and fees, establishes the University's Education and General (E&G) Fund to support the teaching, research, and services provided by the University

### PERFORMANCE BASED BUDGETING

- Rewards achievement of specific strategic initiatives
- Aims to replace central management of resources by flowing resources to units based on various performance metrics (e.g., generation of student credit hours, the number of students with declared majors in the unit, or degrees granted)
- Encourages changes that will result in greater efficiencies for underperforming units
- Uses Revenue and Cost Attribution Tool (RCAT) to give insight into the where revenue is generated and where costs are incurred
- Does not allocate restricted funding

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## Important Considerations

Before institutions embark on transformation, it is important to consider that:



The transformation journey for each institution will vary, but the overarching goal focuses on keeping students in the center to improve the student experience and close gaps in student outcomes



A transformation model must be dynamic and adaptive, and will need continuous measurement and review to evaluate implementation of initiatives, practices in the field, advances in technology, policy and legislative changes, insight from institution team member transition, etc.



Although the transformation model was developed using observations from select case study institutions, the guidance is applicable to a broad range of institutions with resource constraints and access missions



The specific capacities and solutions allow context for institutions to prioritize attention and investment based on needs, resources, culture, and setting



Transformation work in higher education, as within all institutions, comes to fruition through the efforts of a dedicated team. People matter tremendously in this work.



## Thank you

### To the ten institutions...

Thank you once more for your time and insights. We enjoyed learning from your teams, visiting your campuses, and felt very welcome throughout the engagement. Best of luck on your continued student success journey!



Davidson County Community College



Indian River State College



Northeast Wisconsin Technical College



San Jacinto College District



Sinclair Community College



Delaware State University



Portland State University



Northern Arizona University



Sam Houston State University



University of North Carolina Greensboro

### To our partners...

Thank you for the continued collaboration and support. We appreciated your insights and guidance as we embarked on the Transformation Model project.



**Kathy Thompson**  
(HBCU Liaison)

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## Glossary

A selection of terms used in the Transformation Model

TERM	DEFINITION
<b>ATD</b>	Achieving the Dream
<b>Capacity</b>	Functions or characteristics that enable the institution to mobilize to effectively serve a diverse student base
<b>Case study institutions</b>	Ten institutions participating in the research that generated the Transformation Model: Davidson County Community College, Delaware State University, Indian River State College, Northern Arizona University, Northeast Wisconsin Technical College, Portland State University, San Jacinto Community College, Sam Houston State University, Sinclair Community College, and University of North Carolina - Greensboro
<b>CBD</b>	Completion by Design
<b>First generation student</b>	A student whose parents did not attend a college or university
<b>Solution</b>	Student-facing programs and services in which the institution attempts to improve student outcomes
<b>Mega model</b>	A model for large-scale transformation, designed for large institutions seeking to improve access and outcomes at scale
<b>Transformation Framework</b>	Visualization of contextual factors and decisions influencing institutional transformation

## Relevant Literature: Advising

[“What we know about technology-mediated advising reform”](#) Community College Research Forum. February 2017.

This paper covers the components of transformative advising technology implementations, detailing the structural, process, and attitudinal shifts that must occur to enable true change. The authors highlight a number of studies on the impacts of individual solutions (early alerts, course planning, and technology-mediated coaching) but note the scarcity of rigorous research on the impact of comprehensive student support systems.

[“Creating the conditions for advising redesign”](#) Community College Research Center. February 2017.

In CCRC’s major study of the implementation of advising redesigns at six colleges, only half the colleges were able to use the introduction of advising technologies to facilitate a significant reform in their advising systems. This short paper identifies several distinguishing factors of colleges in which advising reform took hold successfully, with particular emphasis places on multi-tiered, aligned leadership.

[“Leadership for transformative change: Lessons from technology-mediated reform in broad-access colleges”](#) CCRC. August 2015.

Drawing on qualitative case studies of six colleges, this study explores the influence of different types of leadership approaches on the implementation of a technology-mediated advising reform, and assesses which types of leadership are associated with transformative organizational change. Expanding on Heifetz’s theory of adaptive change and Karp and Fletcher’s Readiness for Technology Adoption framework, we find that transformative change requires multi-tiered leadership with a unified commitment to a shared vision for the reform and its goals.

[Integrated planning and advising for student success \(iPASS\): State of the literature](#) CCRC. October 2016.

This paper examines the current state of the literature on Integrated Planning and Advising for Student Success (iPASS). The review concludes that iPASS is a relatively recent approach, and few studies are available that rigorously evaluate its effects. Nonetheless, early findings suggest that iPASS interventions may have a positive impact on student outcomes, including persistence and credit accrual. However, current research does not examine iPASS as a holistic approach to student success but rather focuses on individual iPASS-oriented interventions. Additional studies using robust methods are needed to investigate whether iPASS improves student outcomes, especially for at-risk populations—including students from under-represented minorities and students of low socioeconomic status, who may have the most to gain from the reform.

[How CUNY community colleges make intensive student support work](#) Chronicle of Higher Education. March 5, 2017.

This article covers the City University of New York’s [Accelerated Study in Associate Programs](#) (ASAP), which, according to the author, “is considered one of the nation’s most successful examples of intensive support, much of it nonacademic, for underprepared students.” The program, although quite expensive, has doubled the three year graduation rate for CUNY students who started out in remedial classes. Students opt-in to the program, which provides them free public transportation, textbook vouchers, specially trained ASAP advisors, and enhances course registration and academic support services. ASAP students must be enrolled full time and maintain good academic standing, in addition to a few other requirements, to remain in the program.

# Relevant Literature: Equity & Inclusivity

[“Committing to Equity and Inclusive Excellence: A Campus Guide for Self-Study and Planning”](#) AACU LEAP. 2015.

This report serves as a framework for universities and colleges to evaluate the current state of equity and student success pathways for underserved populations at their institutions. The framework is divided into two parts, each containing a series of questions: Committing to Equity and Expansion of Opportunity (Part I) and Committing to Inclusive Excellence (Part II). Key questions in Part I include:

1. How is your institution defining student success?
2. Who is enrolling and succeeding at your institution, and who is not? What benchmarks are you using to determine success?
3. How are your faculty and staff developing cultural competence so that they are prepared to teach all of today’s diverse students?
4. How are you ensuring that current equity and opportunity programs on your campus are integrated and working toward shared goals?
5. How are you aligning your institution’s equity goals with its financial goals?
6. Key questions in Part II include:
7. Do students have multiple opportunities to engage in cross-disciplinary inquiry?
8. Does your institution have an infrastructure for supporting student transfer?
9. How do your developmental and gatekeeper courses empower students to succeed in college?
10. How are you using data analytics to support students as they pursue learning goals, including the achievement of essential learning outcomes?
11. Are your students participating equitably in HIPs (high-impact practices: service learning, research internships, etc)?
12. How does your institution recognize student learning achieved outside of credit-bearing courses?
13. Does your institution regularly assess student achievement and report findings to stakeholders in a way that recognizes multiple aspects of student growth?
14. How are you involving community stakeholders in this work?

# Relevant Literature: Pathways from Community Colleges to Four-Year Institutions

[“Transfer Playbook: Essential practices for two- and four-year colleges.”](#) CCRC. May 2016.

This playbook is a practical guide to designing and implementing a key set of practices that will help community colleges and their four-year college partners improve transfer outcomes. The playbook is based on the practices of six sets of community colleges and universities that together serve transfer students well. These institutions have higher than expected rates of bachelor’s degree attainment for degree-seeking students who start at community college and transfer to a four-year institution—after accounting for their student demographics and institutional characteristics.

The playbook is organized around three broad strategies observed in these partnerships:

- Make transfer student success a priority.
- Create clear programmatic pathways with aligned high-quality instruction.
- Provide tailored transfer student advising.
- Included in the playbook are essential practices underlying each of these three strategies, a discussion of the next frontiers of practice, and a list of activities for community colleges and four-year colleges to undertake in order to implement the strategies.

[“In Texas, a collaborative approach to the two-year to four-year transition.”](#) AACU Leap. September 2016.

The North Texas Community College Consortium (NTCCC) collaborated with the University of North Texas to create a common guided pathways template for community college students transferring to four-year institutions. Part of the [GEMs Pathways project](#), the common guided pathway template will be used by all community colleges in the consortium. The template is “the defining of a very specific pathway for students to follow for their completion of an associate’s degree and bachelor’s.” The template, to be used by students and advisors at the beginning of their undergraduate careers, tracks two years at a community college and two years at a four-year college or university; it is divided into semesters, with slots that the student and advisor can fill out to indicate which courses will be taken when, and what requirements those courses will fulfill.

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# Relevant Literature: High School to Community College Transition

[“How colleges are teaming up with high schools to streamline students’ paths.”](#) Chronicle of Higher Education. April 2, 2017.

The article discusses some innovative ways community colleges are collaborating with high schools to produce mutually-beneficial results. Innovative solutions include recruiting average-performing high school students, rather than high performing students, for dual enrollment programs and bolstering shrinking secondary education budgets and academic resources with community college resources, particularly in rural areas.

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# Relevant Literature: Developmental Education

[“When college students start behind”](#) The Century Foundation. June 2016.

The bulk of the evidence suggests that the \$4 billion annual investment in services to help underprepared students is having little positive impact on the success of those students in community colleges. This report for The Century Foundation's College Completion Series reviews that research, describes findings from studies on four types of reforms underway at various colleges, and concludes with the argument that a wholesale redesign of the student experience at community colleges is needed to make a real difference in the outcomes of underprepared students. The paper suggests several reasons behind the failure of the traditional system of developmental or remedial education: inaccurate placement into these courses, traditionally narrow focuses/topics, and outdated instructional practices.

[“Building remedial Ed’s support structure.”](#) Chronicle of Higher Education. March 5, 2017.

According to the Community College Resource Center, nearly two-thirds of new community college students place into one remedial class in math or English, but only one in five of those students goes on to pass that course. This article suggests that extracurricular interventions like peer mentoring, financial literacy classes, and tangible aid/subsidies “serve as scaffolding to the fragile structures that students and their advisers are trying to build.” The article highlights examples of successful programs giving students access to emergency aid, time management simulations, learning communities, and dual remedial and credit bearing courses.

[“Using multiple measures to improve placement accuracy in community colleges.”](#) Conference presentation. CCRC. November 2016.

The Center for the Analysis of Postsecondary Readiness has partnered with seven community colleges in New York state to test a placement system that incorporates multiple measures of students' academic readiness and compares it to systems that rely solely on placement test scores. This presentation began with a brief review of prior studies of the use of multiple measures for placement into college-level or developmental coursework. The session then turned to a discussion of CAPR's current study, outlining the process for creating campus-specific placement algorithms. It also looked at some initial data from the study's first semester of enrollment. Finally, this session highlighted emerging themes from interviews and focus groups conducted at each of the partnering colleges, capturing participants' reflections on both the challenges of implementing a multiple measures framework, as well as the opportunities that have resulted.

# Relevant Literature: Data & Analytics

[“Early momentum metrics: Why they matter for college improvement.”](#) CCRC. February 2016.

In this brief, the authors propose three measures of “early momentum” that colleges can use to gauge whether institutional reforms are improving student outcomes:

1. **Credit momentum**—defined as attempting at least 15 semester credits in the first term or at least 30 semester credits in the first academic year.
2. **Gateway momentum**—defined as taking and passing pathway-appropriate college-level math and college-level English in the first academic year.
3. **Program momentum**—defined as taking and passing at least nine semester credits in the student’s field of study in the first academic year.
4. **Research** is beginning to show that these near-term metrics predict long-term success. In addition, these metrics focus attention on initial conditions at colleges that are particularly important for solidifying the foundation for student success. The authors discuss in detail the evidence supporting these metrics and how using early momentum metrics can help colleges reframe and focus reform efforts in positive ways.

[“Student Data in the Digital Era.”](#) Ithaka S+R. September 6, 2016.

This report outlines the major categories of activity in research, application (Data-Driven Enrollment Management, Early-Alert Systems for Advisors, Instructors, and Students, Adaptive Courseware), and representation using new forms of student data, with illustrative examples from schools like Georgia State University and Arizona State University. The authors discuss the practical challenges faced by individuals and institutions in those fields, as well as emerging efforts to address those challenges, focusing in particular on those related to technical infrastructure, capacity building, and coordination.



## Institutional Profiles: Two-Year Colleges (1/3)

### Davidson County Community College Thomasville, NC



#### GENERAL INFORMATION

Student FTE (K)	<b>3.3</b>
Net Cost of Attendance (K)	<b>\$6.83</b>
FY16 Operating Expenditures (K)	<b>\$36.6</b>

#### STUDENT BODY

Pell Recipient	<b>57%</b>
Over age 25	<b>44%</b>
Full-Time	<b>42%</b>
Of Color	<b>29%</b>

#### Unique External Factors

- Very slow regional recovery from economic recession
- Decreasing proportion of low income students
- Significant declines in college readiness
- Remedial education shifted to high schools
- Limited college-going culture in the region
- NC was one of eight states that has cut per student funding by 10% or more since the recession

#### Distinguishing Institutional Decisions

- Raised tuition and increased private fundraising
- Increased enrollment of students of color despite homogenous service area
- Participated in national partnerships including Achieving the Dream, Completion by Design, Aspen Roadmap to Excellence, and Frontier Set
- Invested in marketing and recruiting across the region
- Removed operational barriers to student success
- Invested heavily in K-12 partnerships, advising, developmental education, student success initiatives, and instructional support staff

### Indian River State College Fort Pierce, FL



#### GENERAL INFORMATION

Student FTE (K)	<b>12.5</b>
Net Cost of Attendance (K)	<b>\$1.55</b>
FY16 Operating Expenditures (K)	<b>\$124</b>

#### STUDENT BODY

Pell Recipient	<b>41%</b>
Over age 25	<b>34%</b>
Full-Time	<b>32%</b>
Of Color	<b>44%</b>

#### Unique External Factors

- Member of large community college system
- Mandatory developmental education eliminated
- Significant decline in math readiness and stagnant English readiness in pre-college population
- Performance based funding introduced at state level

#### Distinguishing Institutional Decisions

- Pursued cultural change as the foundation of institutional transformation
- Grew enrollment and enrolled more students of color and low income students
- Built K-12 pathways and expansion of relationships with university partners
- Drove economic and workforce development in the region
- Built network of industry partners to fund new academic and vocational programs
- Established baccalaureate degree programs
- Addressed compliance, financial, and operational issues before working on student success

Note: All statistics from IPEDS 2015 report, with exception of enrollment and expenditures per FTE (2016)

## Institutional Profiles: Two-Year Colleges (2/3)

### Northeast Wisconsin Technical College Green Bay, WI



#### GENERAL INFORMATION

Student FTE (K)	<b>6.4</b>
Net Cost of Attendance (K)	<b>\$9.28</b>
FY16 Operating Expenditures (K)	<b>\$126</b>

#### STUDENT BODY

Pell Recipient	<b>33%</b>
Over age 25	<b>40%</b>
Full-Time	<b>30%</b>
Of Color	<b>17%</b>

#### Unique External Factors

- Very low population growth in Green Bay in the last decade
- Reduced state funding per student FTE for public higher education almost every year for two decades
- Property tax levy freeze

#### Distinguishing Institutional Decisions

- Recognized and took ownership of student success rates
- Focused on driving economic development in region
- Committed to foundational cultural change as the precondition for accelerating student success
- Adopted mission of meeting the expectations of the “customers” and “community”
- Centralized and formalized student success initiative management, idea incubation, and piloting
- Joined national collaboratives to drive new solutions and capacities (ATD, Starfish, Pathways)
- Invested in data and analytics capacity as a core driver of cultural and operational change
- Created new revenue streams through industry consulting and training and product development

### Sinclair Community College Dayton, OH



#### GENERAL INFORMATION

Student FTE (K)	<b>12.1</b>
Net Cost of Attendance (K)	<b>\$5.39</b>
FY16 Operating Expenditures (K)	<b>\$36.6</b>

#### STUDENT BODY

Pell Recipient	<b>41%</b>
Over age 25	<b>42%</b>
Full-Time	<b>34%</b>
Of Color	<b>41%</b>

#### Unique External Factors

- Over a decade of population decline and little to no employment growth in the region
- Increased state focus on college affordability, pathways, and degree completion in recent years
- Rising drug addiction in the region

#### Distinguishing Institutional Decisions

- Increased focus on increasing graduation rates amongst students of color, particularly African American males
- Focused on preparing graduates for five high-growth industries in the region
- Built reserves to mitigate future risks of enrollment declines
- Maintained low tuition and fees
- Provided multiple educational delivery models, both online and in-person, in multiple venues
- Joined national collaboratives (League for Innovation, CBD, ATD)
- Redesigned academic pathways and restructure student and academic services to remove barriers to success
- Invested in data and analytics capacity as a core driver of cultural and operational change

Note: All statistics from IPEDS 2015 report, with exception of enrollment and expenditures per FTE (2016)

# Institutional Profiles: Two-Year Colleges (3/3)

## San Jacinto State College

Houston, TX



### GENERAL INFORMATION

Student FTE (K)	<b>21.0</b>
Net Cost of Attendance (K)	<b>\$7.68</b>
FY16 Operating Expenditures (K)	<b>\$214</b>

### STUDENT BODY

Pell Recipient	<b>28%</b>
Over age 25	<b>27%</b>
Full-Time	<b>42%</b>
Of Color	<b>73%</b>

### Unique External Factors

- Rapid population growth in Houston largely driven by growth in the Hispanic and immigrant populations
- Recent declines in Houston employment due to rise in oil prices
- Decline in pre-college math and reading proficiency
- Increasing community college enrollment in region

### Distinguishing Institutional Decisions

- Increased overall enrollment and portion of students of color and low income students
- Committed to culture change as the precondition for accelerating student success
- Restructured academic affairs and student services to enable strategic alignment, talent development, and resource sharing
- Restructured department chair role, eliminating teaching load and appointing long term chairs to enable strategic planning and faculty evaluation and development
- Invested in data and analytics capacity as a core driver of cultural and operational change
- Invested in new HR leadership and additional resources as a core driver of institutional transformation

Note: All statistics from IPEDS 2015 report, with exception of enrollment and expenditures per FTE (2016)

## Institutional Profiles: Four-Year Universities (1/3)

### Delaware State University Dover, DE



#### GENERAL INFORMATION

Student FTE (K)	<b>4.6</b>
Net Cost of Attendance (K)	<b>\$13.0</b>
FY16 Operating Expenditures (K)	<b>\$102</b>

#### STUDENT BODY

Pell Recipient	<b>47%</b>
Over age 25	<b>5%</b>
Full-Time	<b>84%</b>
Of Color	<b>90%</b>

#### Unique External Factors

- Unionization of faculty
- Increasing state funding for scholarships
- Limited higher education reform
- Industry support of and collaboration with higher education
- Strong support from the state legislature, which provides supplemental funding to keep the net price of attendance low
- HBCU (Historically Black Colleges & Universities)

#### Distinguishing Institutional Decisions

- Discontinued programs that were not achieving intended outcomes (Program Prioritization Initiative)
- Increased admissions standards, tuition, and enrollment
- Leveraged community college pipeline with Del Tech, started an early high school, and gained state support to fund in-state scholarships to increase enrollment
- Invested in data and analytics capacity as a core driver of cultural and operational change
- Maintained moderate tuition increases through state support and external fundraising
- Recruited business talent for key leadership positions
- Adopted mission of meeting customer service expectations
- Created a University College for first year students

Note: All statistics from IPEDS 2015 report, with exception of enrollment and expenditures per FTE (2016), undergraduate statistics only

### Northern Arizona University Flagstaff, AZ



#### GENERAL INFORMATION

Student FTE (K)	<b>21.0</b>
Net Cost of Attendance (K)	<b>\$14.6</b>
FY16 Operating Expenditures (K)	<b>\$214</b>

#### STUDENT BODY

Pell Recipient	<b>28%</b>
Over age 25	<b>27%</b>
Full-Time	<b>42%</b>
Of Color	<b>73%</b>

#### Unique External Factors

- Adoption of Arizona Board of Regents 2025 Metrics (for enrollment, retention, completion, research, diversity, etc.)
- Adoption of Statewide college attainment goals
- Public defunding of higher education
- Low college readiness

#### Distinguishing Institutional Decisions

- Increased enrollment, tuition, and additional revenue streams to offset declining state funding
- Expanded diversity of student body
- Grew revenue through fundraising and international student enrollment
- Created four-year tuition pledge to freeze tuition rate for current students
- Invested in teaching, graduate education, and distance learning excellence
- Expanded research capacity
- Centralized campus services

# Institutional Profiles: Four-Year Universities (2/3)

## Portland State University

Portland, OR



### GENERAL INFORMATION

Student FTE (K)	<b>12.5</b>
Net Cost of Attendance (K)	<b>\$13.5</b>
FY16 Operating Expenditures (K)	<b>\$373</b>

### STUDENT BODY

Pell Recipient	<b>41%</b>
Over age 25	<b>40%</b>
Full-Time	<b>66%</b>
Of Color	<b>42%</b>

### Unique External Factors

- Significant growth in communities of color in local region
- Volatile employment levels
- Low high school graduation rates compared to national levels and large gaps in graduation for students of color
- Dissolution of Oregon University System in favor of independent governing boards for four-year universities

### Distinguishing Institutional Decisions

- Increased percentage of students of color and low income students
- Created four-year tuition pledge to freeze tuition rate for current students
- Increased externally funded research and private giving
- Centralized and formalized student success initiative management, idea incubation, and piloting
- Launched ReTHINK PSU to create more online and flexible degrees and structured degree pathways
- Established strategic partnerships with key local government agencies, businesses, and academic institutions

## Sam Houston State University

Huntsville, TX



### GENERAL INFORMATION

Student FTE (K)	<b>16.1</b>
Net Cost of Attendance (K)	<b>\$11.9</b>
FY16 Operating Expenditures (K)	<b>\$266</b>

### STUDENT BODY

Pell Recipient	<b>43%</b>
Over age 25	<b>16%</b>
Full-Time	<b>81%</b>
Of Color	<b>47%</b>

### Unique External Factors

- Rapid population growth in Houston largely driven by growth in the Hispanic and immigrant populations
- Recent declines in Houston employment due to declining oil prices
- Decline in pre-college math and reading proficiency

### Distinguishing Institutional Decisions

- Maximized enrollment growth and increase tuition and fees
- Maintained high enrollment of low income, first-generation, and under represented minority students
- Invested in academic support services and create the Division of Enrollment Management to support increasing enrollments
- Increased per student investment in academic support and student support
- Continued to prioritize undergraduate teaching excellence in hiring and promotion decisions
- Created administrative improvement program to drive operational excellence

Note: All statistics from IPEDS 2015 report, with exception of enrollment and expenditures per FTE (2016), undergraduate statistics only

# Institutional Profiles: Four-Year Universities (3/3)

## University of North Carolina - Greensboro Greensboro, NC



### GENERAL INFORMATION

Student FTE (K)	<b>13.9</b>
Net Cost of Attendance (K)	<b>\$9.88</b>
FY16 Operating Expenditures (K)	<b>\$286</b>

### STUDENT BODY

Pell Recipient	<b>43%</b>
Over age 25	<b>18%</b>
Full-Time	<b>84%</b>
Of Color	<b>48%</b>

### Unique External Factors

- Slow economic recovery from the recession
- Adoption of legislative priorities such as remediation, credit portability, and workforce development
- NC was one of eight states that has cut per student funding by 10% or more since the recession, but funding for public education has increased

### Distinguishing Institutional Decisions

- Grew overall enrollment and establish an Enrollment Management Office
- Maintained accessibility to low income students by limiting tuition increases
- Expanded diversity of student body
- Increased visibility and research profile of the institution nationally under new leadership
- Froze administrative cost increases
- Invested in data and analytics capacity as a core driver of cultural and operational change
- Expanded articulation agreements / credit portability with community and technical colleges
- Invested in additional HR resources as a core driver of institutional transformation

Note: All statistics from IPEDS 2015 report, with exception of enrollment and expenditures per FTE (2016), undergraduate statistics only