Response to Request for Proposal

Development of Board of Regents 2016-2021 Strategic Plan

Board of Regents, State of Iowa

October 19, 2015

Building a better working world

Ernst & Young LLP
50 Rowes Wharf
Boston, MA 02110

Tel: +1 617 478 2550
Fax: +1 617 478 2555

Dr. Diana Gonzalez
Chief Academic Officer
Board of Regents, State of Iowa
11260 Aurora Avenue
Urbandale, IA 50322

October 19, 2015

Re: RFP issued by the Iowa Board of Regents for Development of 2016-2021 Strategic Plan

Dear Dr. Gonzalez:

On behalf of EY, thank you for the opportunity to provide our response to your RFP to support the Iowa Board of Regents in developing a strategic plan for the Regents' System for the fiscal years 2016-2021. Having worked with many institutions of higher education and also as a global professional services firm whose ultimate success is tied to the quality of its workforce and the pipeline of talent graduating from postsecondary institutions, we are enthusiastic about the opportunity to support you in this work, and we are committed to providing senior-level focus and attention to this engagement.

As a firm that believes strongly in "building a better working world" as part of our vision, we deeply value the role that Iowa's public institutions and centers play in educating the next generation of citizens and leaders, and in enhancing the quality of life in Iowa and beyond through education, research, and service. We already have strong links to the State of Iowa and to the greater Des Moines area. EY has approximately 200 graduates collectively from the University of Iowa, University of Northern Iowa, and Iowa State University working for the firm and contributing to the success of our clients. Through our local office in Des Moines, we serve the leading financial services and insurance companies in Iowa, and have close ties to local businesses and employers through our networks. We look forward to strengthening our linkages with the System and helping you design and execute a strategic planning process that fits your needs and the needs of your communities.

We believe our team is well qualified to support you in developing a strategic plan for the System for 2016-2021. We will bring to you the following capabilities that we cover in more detail in our proposal:

- Deep knowledge of higher education and the issues and opportunities facing public universities
- Proven ability to conduct strategic planning and to engage a broad range of stakeholders in a collaborative, participative planning process
- Access to a network of senior advisors and facilitators that we can match to the needs of the project
- Quality, independence, and objectivity, available to you in a cost-effective and efficient way

We appreciate the opportunity to continue this conversation with the Board of Regents and look forward to reviewing our proposal in more detail with you and the selection committee. Please feel free to contact Kasia at (617) 478-6328 or kasia.lundy@parthenon.ey.com if you would like additional information or have any questions.

Sincerely,

Kasia Lundy
Managing Director
Parthenon-EY

Dan Koestner
Partner
Des Moines, Iowa

Contents

1. Basic data on Bidder

a. Name, telephone number and address, including email of Bidder.

Name	Ernst & Young LLP
Address	5 Times Square, New York, NY 10036 (U.S. headquarters) Suite 300, 801 Grand Avenue, Des Moines 50309 (local office)
Telephone	(212) 773-3000 (U.S. headquarters); (515) 243-2727 (local office)
Website	www.ey.com

b. Name and title of individual authorized to bind the Bidder and submit the proposal.

Name	Kasia Lundy
Title	Managing Director

c. Name, e-mail address and telephone number of person the Board may contact during the proposal evaluation process.

Name	Kasia Lundy
Title	Managing Director
Email	kasia.lundy@parthenon.ey.com
Telephone	(617) 478-6328

d. Form of business – e.g., sole proprietorship, partnership, corporation, Not-for Profit organization. If a non-Iowa corporation, indicate state of incorporation.

Ernst & Young LLP (together with its affiliate, Ernst & Young U.S. LLP, "EY US or the firm") is a private limited liability partnership. EY US is owned by over 3,000 US partners and principals and is a member of Ernst & Young Global Ltd., an organization whose locally-owned member firms operate under the "EY" name in over 150 countries around the world. Ernst & Young LLP is incorporated in Delaware.

e. Whether the business is owned or controlled by a parent corporation. If yes, provide the name and address of the parent corporation, nearest offices and managing office where the project staff assigned to this project will be located.

Parent	Ernst & Young LLP: 5 Times Square, New York, NY 10036 (main office in the U.S.)
Nearest Office	EY office in Des Moines: Suite 300, 801 Grand Avenue, Des Moines 50309
Managing Office (Project Staff)	Parthenon-EY office: 50 Rowes Wharf, 6th Floor, Boston, MA 02110
Managing Office Info	Telephone: (617) 478-2550 Website: www.parthenon.ey.com

f. Whether the Bidder is a small business or certified targeted small business as defined in Iowa Code (2015) section 15.102.

EY is not small business as defined in Iowa Code.

2. Executive summary

a. Bidder's understanding of Regents' needs

The Board of Regents, State of Iowa, governs five public educational institutions in the State of Iowa through policymaking, coordinating, and oversight: three universities (University of Iowa, Iowa State University, and the University of Northern Iowa) and two special schools (Iowa School for the Deaf and Iowa Braille and Sight Saving School).

With enrollment of over 80,000 students[1] and with significant research activity that attracts close to $600M annually in sponsored research funding[2], the three state universities—University of Iowa, Iowa State University, and the University of Northern Iowa—play a critical role in enhancing the quality of life in Iowa (through education and outreach programs, research, and public services), in advancing research, and in supporting the economic development of the state. The universities' graduates are an important pipeline of talent both into research fields (outer space research; medical research; agricultural research, etc.) and into local and regional businesses. The two schools—Iowa School for the Deaf and Iowa Braille and Sight Saving School—also serve a critical role as they help transform lives of visually-impaired and hearing-impaired children through education and independent living skills.

The 2010-16 Strategic Plan developed by the Board of Regents (BOR) identified three core priorities: (1) Access, affordability, and student success; (2) Educational excellence and impact; and (3) Economic development and vitality. The BOR remains strongly committed to delivering a quality education at an affordable cost to students and their families. At the same time, the BOR recognizes that the higher education sector and the world outside of higher education do not stand still, but continue to evolve. In order to thrive, not just in the present, but also long-term in the future, institutions of higher education must be responsive to the needs of key constituents (students, parents, employers, policymakers) and must take into account trends affecting the sector (student demographic shifts, globalization of education, increasing role technology, innovations in teaching and learning, etc.). Institutions must also find ways to adapt to their unique contexts, and find ways to prosper in those contexts—regardless of potential fluctuations in student enrollment, state funding, or growth of the local economy.

The first overreaching responsibility of the BOR is "creating strategic plans for the BOR and approving mission statements and strategic plans for the institutions, as well as monitoring progress on those goals." In recognition of this critical responsibility, the BOR "seeks to develop a 2016-2021 strategic plan which will provide guidance and direction regarding priorities, goals and objectives," and the purpose of the Request for Proposals (RFP) is to identify a qualified consulting firm to support this effort. Based on our interpretation of the RFP, we believe the following guiding principles should drive the work of the selected consultant:

- **The strategic planning process that will be designed needs to be participatory in nature** and include input from critical stakeholders, both internal (e.g., institutional representatives such as academic leadership, administrative leadership, faculty, and students) and external (e.g., business and industry representatives, legislators). This will help generate ideas, but also help ensure that all

[1] Board of Regents, State of Iowa RFP; 2015 Fall headcounts

[2] Integrated Postsecondary Education Data System (IPEDS), 2013

stakeholders groups see themselves as having a voice in the development of the plan. While we do not believe that total unanimity can or must be achieved, we do believe that the planning process must include voices and opinions that represent all relevant stakeholders to ensure that the outcome has the support of those who must implement the strategies and actions detailed in the plan.

- **The discussion of mission, vision, values, and strategic objectives should be grounded in a robust fact base**—an analysis of the System that will culminate in a SWOT analysis of the System. Developing a SWOT assessment rooted in data will allow stakeholders to engage in objective conversations based on facts rather than anecdotes.
- **The strategic plan should benefit from external expertise and perspectives, but provide ample room for ideas to be generated internally—**Although we have extensive experience in higher education, our approach is to use that experience to provide a useful context for our facilitation but not to impose our ideas on the strategic plan.
- **The strategic plan must be accompanied by a recommended plan of implementation**—a strategic plan is only as good as its execution, and in order for the System and all its constituents to execute the plan well, there needs to be clarity around performance measures, roles (accountability), and mechanisms (feedback loops) to monitor and track progress.

b. Scope of services being proposed

The scope of work focuses on one clear goal: developing a strategic plan that is grounded in the broader higher education context, takes into account external factors that may affect the Regents institutions (such as demographic shifts, technology innovations, globalization), builds on the SWOT analysis conducted by the consultant, and provides all pertinent stakeholders with an opportunity to provide feedback.

While additional detail is provided in Section 5 and Section 6, we see our role as supporting the BOR in:

- Developing the full set of inputs and data to inform the strategic planning discussions, and
- Executing a strategic planning process that is participative and engenders the support of a broad-based community of internal and external stakeholders.

Our team, working in collaboration with the BOR and the BOR Office, will:

- Assist in designing a strategic planning process that is well suited to the institutional context and timeline needs. This will include identification of key stakeholder groups and a communication plan that details key messaging and engagement of constituents (who will be engaged when, for what purpose).
- Analyze pertinent trends affecting higher education and, in particular, the Regent institutions. This will include, but not necessarily be limited to, analyzing pertinent demographics.
- Conduct a SWOT analysis of the System, through interviews with and data collection from internal stakeholders (System and institutional representatives) and from external stakeholders.
- Manage and facilitate the strategic planning process in a way that ensures that the participants do their best thinking, bring the critical issues to the table for open discussion. This will include site visits to institutional campuses.
- Develop a recommended plan of implementation, including assistance with the communication plan.
- Provide regular activity reports/progress updates to the BOR and the BOR Office that are relevant to the agreed-upon scope of work.

c. Qualifications and experience in developing strategic plans

Dedicated Education Practice and deep higher education experience

In September 2014, EY merged with The Parthenon Group, a pre-eminent strategic advisory firm to the education sector. Together, we offer institutions of higher education superior end-to-end consulting services from market needs assessments to strategy development to organizational redesign and implementation planning to hands-on implementation of new, sustainable business processes and system improvements. In the last decade, we have completed more than 1,000 education projects in more than 80 countries, and in the last five years, we have worked with more than 50 institutions whose collective annual enrollments represent nearly two million students worldwide. The chart below shows our representative higher education clients. We provide brief case studies of projects that align in scope to this project in 2.d below.

Public universities and systems	Private nonprofit colleges and universities
• Arizona State University	• Dartmouth College
• Rutgers University	• Drexel University
• Florida Board of Governors (State University System of Florida)	• Harvard University
• University of California-Merced	• Johns Hopkins University
• University of Massachusetts-Amherst	• Middlebury College
• University of Maine	• Northeastern University
• University of North Carolina System	• University of Southern California
• University of Virginia	• Wellesley College
• Board of Regents of the University System of Georgia	• Yale University

Our Education practice is differentiated by our team members

The practice's leadership comprises former leading foundation and government officials, including the former Chief of Staff to US Secretary of Education Arne Duncan; administrators and academics from various education fields including the former Chief of Staff to three Harvard University presidents; experts with advanced degrees in education and experience in the industry across the globe; and members who serve on the Board of Directors of leading non-profit and for-profit education entities.

Yet it's not just the senior leadership of our teams that bring educational experience. Our team members—from the most junior analyst through to the project leaders—have experience working across higher education institutions, state education agencies, school districts, and leading foundations, and in the country's most important education reform issues. Because education is at the core of our firm's work, we invest time and money to ensure that we can bring the right people to the table for every engagement. Our clients in the education sector consistently remark that they appreciate that with Parthenon-EY they get the "A" team of individuals from the firm, whose talent and prior knowledge ensures they can add value from the start.

We provide access to a network of senior advisors and facilitators

In addition to our core team of consultants that will be selected from our Education practice, we have identified in our network two senior advisors with whom we have partnered in the past on strategic planning projects—Dr. Michael Diamond and Dr. Mark Robison, partners at Academic Leadership Associates. We intend to partner with them again on your engagement in order to leverage theirstrategic planning and academic credentials.

- Dr. Diamond brings extensive experience in university management and finance, budgeting processes, strategic planning, and international partnerships. During his lengthy career as a leader in academic institutions (e.g., at the University of Southern California), he has maintained an active consultancy focused on assisting over fifty leading higher education institutions with strategic planning and change management.
- Dr. Robison has deep experience not only in strategic planning, but also in program review, accreditation, and the development of international programs and partnerships. In particular, strategic planning methodologies are a key area of Robison's expertise, including scenario planning. Robison also brings expertise in engaging stakeholders in planning discussions and the development and implementation of communications strategies to facilitate change.
- Team and advisor bios are included in Section 4.b.

Our work with higher education institutions has focused on four broad areas

We have the benefit of working with both academic and administrative leadership at institutions of higher education on the following issues:

- **Optimization of assets to enable institutional transformation** (e.g., strategic planning at the system, university, or school level; financial planning and forecasting; infrastructure planning including capital planning and debt management; and real estate portfolio planning)
  - Insights and knowledge of national trends to inform internal planning
  - Assessment of current strategy and business model
  - Assistance with development of mission, vision and operating model(s) for the future
  - Stakeholder engagement
  - Prioritization frameworks to guide investment decisions
  - Sources of funding/resource reallocation analyses
  - Infrastructure planning related to campus renovation or expansion projects, including financial plan development, analysis of potential alternative financial and delivery options for the project including structuring of P3s, and procurement and negotiations with potential partners and stakeholders
- **Student outcomes**
  - Student recruitment practices and strategies benchmarking
  - Prospective student segmentation analysis (to create differentiated value proposition)
  - Analysis of student retention and achievement, using internal and external benchmarks
  - Student persistence practices (internal practices and external best practices)
  - Excellence in student services, to drive persistence and completion rates
  - Student return on investment by program
- **Performance improvement and operational efficiency**
  - Financial, operational and performance trend analyses
  - Current state analysis and target future state roadmap: Assessment of current capabilities (e.g., finance, HR, IT) along the dimensions of "people, process, and technology" to identify gaps and opportunities for increased value, performance, efficiencies and cost reductions
  - Business process re-engineering (e.g., system-wide financial transformation)
- **Revenue enhancement strategies**
  - New program development (identification of programs through market demand/supply analysis)

- Differential pricing and recommendations (testing consumer willingness/ability to pay differentially for programs)
- Development of online strategies (programs, buy/build decisions, governance)
- International expansion (international student recruitment or expansion of international footprint)
- Alternative revenue sources ranging from better utilization of space to new programs targeted at non-traditional student populations

Strategic planning experience

Together, our teams and our advisors have conducted hundreds of strategic planning engagements that can be broadly classified into the following two categories:

- **Comprehensive business planning and strategic planning engagements** that begin with definition of mission, vision and goals, culminate in the development of implementation plans and include all of the following components. We have conducted over 120 engagements of this kind for insitutions of higher education, state and local agencies, private foundations and foundation grantees, membership associations, etc.:
  - Definition of mission, vision, goals, and performance measures
  - External market analysis to inform the organization of broad trends in its sector and its competitive positioning
  - Identification and prioritization of strategies that the organization will pursue in order to achieve its mission
  - Internal "current state" analysis to determine the organization's current ability to execute the prioritized strategies and identify any gaps that need to be addressed (people, processes, or technology)
  - Articulation of future/desired organizational state, including the optimal organizational structure (number of people and types of capabilities)
  - Detailed financial analysis to determine up-front and ongoing investments required to address the gaps identified earlier
  - Development of implementation roadmaps, including identifying key owners and recommending mechanisms to ensure effective implementation (e.g., task forces or PMOs and feedback loops)
  - Deep stakeholder engagement across all phases of the work to generate ideas, gather feedback, and build support for the direction of the strategy
- **Strategic planning engagements that focus primarily on facilitation of the process** and rely on the organization and its staff to collect and analyze data, and to conduct assessments of current strengths and weaknesses, threats and opportunities.

We offer some specific examples of similar projects in the next section.

d. Brief list and description of similar projects completed

Below is a brief list of representative projects in higher education. We have intentionally selected institutions that vary widely in size to demonstrate that our approach and offering can be applied in and customized to very different institutional contexts. Descriptions of these projects begin on the next page

1. Case study 1: Strategic planning: Development of system-wide online strategy
2. Case study 2: Strategic planning: Responding to state and local needs
3. Case study 3: Strategic and business planning: Establishment of a new school
4. Case study 4: Business planning: Assessing Market Potential for New Degree Programs
5. Case study 5: Organizational assessment
6. Case study 6: Financial transformation
7. Case study 7: Infrastructure planning
8. Case study 8: Strategic HR design initiative

Case Study 1 – Strategic Planning: Development of System-wide Online Strategy

Client: BOARD OF GOVERNORS OF THE STATE UNIVERSITY SYSTEM OF FLORIDA (~ 340,000 students)

Scope:

- We engaged with the Board of Governors, state legislators, and university leaders to develop strategic options for the expansion of online learning opportunities including bachelor's degrees, with a focus on innovative online programs aligned to a range of high-need labor market areas.
  - Project efforts included an extensive stakeholder engagement process inclusive of (1) individual interviews with 100+ constituents from across a diverse and complex state-wide university system, state and local political representatives, employers, students, and other higher education stakeholders in Florida, (2) public community engagement forums, and (3) ongoing facilitated discussions with key stakeholders and constituent groups.
  - Stakeholder engagement activities focused on identifying the state's most critical education and employment needs and related priorities related to online learning opportunities.
- The work also included:
  - Segmenting the students served by the current system and identifying opportunities to increase access to under-served segments of the population.
  - Synthesizing findings from primary research and secondary benchmarking to highlight innovative models of online learning across the U.S., including public and private sector initiatives offering more flexible and lower-cost options to students.
  - Developing detailed cost models for potential strategic options, including benchmark-based upfront capital costs and ongoing run-rate cost projections.
  - Identifying political, regulatory and accreditation limitations associated with each strategic option, as well as potential mitigation strategies to be considered.

Outcomes:

- The study evaluated four options to drive the expansion of high quality new online program offerings:
  (1) Institution by Institution (develop online offerings on their own)
  (2) Institutional Collaboration (system-wide online degree programs developed under the direction of a coordinating body)
  (3) Lead Institution (an institution is selected to drive development of new online programs)
  (4) New Online Institution (to drive portfolio expansion of lower cost models)
- Ultimately, the state university system selected Option (3), a Lead Institution to drive development of new online program offerings. The University of Florida at Gainesville, as part of the State University System of Florida Online Comprehensive Business Plan for 2013-2019, labeled the state's first fully online four-year bachelor's degree programs in five majors in 2014. The success of the program led to the addition of two more online majors by the end of 2014. UF Online currently plans to grow the program to 35 majors by 2019.

Duration of project:

- 3 months

Client contact name:

- Nancy McKee, Associate Vice Chancellor

Relevance to the Iowa Board of Regents:

- Successfully completed a large scale strategic planning project for a large state system
- Demonstrated understanding of complex large public university systems and the ability to engage effectively with all the associated stakeholder groups
- Well-honed processes for navigating regulations and reporting requirements of state systems, agencies, and governments given that the work was executed under public disclosure rules and required legislative approval

Case Study 2 — Strategic Planning: Responding to State and Local Needs
Client – THE UNIVERSITY OF MAINE SYSTEM (~ 35,000 students)
Scope: ▸ Partnered with the university system to evaluate a proposal to combine two graduate business programs and graduate law program into a single professional and graduate center focused on meeting labor market needs across the state ▸ Included an assessment of program demand from both students and employers, an evaluation of the long-term economic impact on the state, and detailed cost modeling of the current and proposed options ▸ Required direct collaboration with key stakeholders across the system, including a faculty working committee drawn from participating institutions, to understand programmatic offerings and to develop a feasibility study for proposed programmatic integration
Outcomes: ▸ Successful engagement of the business and philanthropic community around a shared goal of economic development through careful partnerships between the system and the local state labor market ▸ Proposed plan to develop a centralized professional and graduate center currently being expanded into a strategic plan, to be evaluated on potential impact to the state economy, the contributing universities and the overall system
Duration of project: ▸ 4 months
Client contact name: ▸ James H. Page, Chancellor
Relevance to the Iowa Board of Regents: ▸ Experience in evaluating the business plans of individual schools in a state university system, including analyzing and advising on program mix, recruitment, retention, financial aid, and pricing strategies ▸ Proven track record of successfully negotiating complex campus relationships as well as town/gown relations and issues ▸ Validated ability to engage corporations and businesses to form partnerships linking education to employment

Case Study 3 – Strategic and Business Planning: Establishment of a New School
Client – FLORIDA POLYTECHNIC UNIVERSITY (New STEM-focused state institution)

Scope:
▸ In 2012, the Florida State Legislature created the school, the state's 12th public university, while dissolving the University of South Florida Polytechnic campus
▸ We were engaged to assist the University's leadership in developing a strategic plan and vision, defining the operational model and programmatic focus of a new STEM institution, and formulating a go-to-market strategy. As part of the engagement, we:
  ▸ Determined the level of demand for STEM graduates, nationally and in-state
  ▸ Analyzed employer needs in terms of STEM skills, programs and degrees
  ▸ Developed a go-to-market strategy for the new University including potential ways to structure university partnerships with employers
  ▸ Envisioned the future state of the start-up University (operational, organizational, and financial design)
▸ We worked with the Board of the new institution and the diverse array of university stakeholders to build consensus and achieve buy-in into the vision and plan

Outcomes: ▸ Florida Poly opened for classes on August 25, 2014 with an inaugural class of 554 students ▸ The university submitted its initial application for regional accreditation in December 2014 ▸ As of today, the university houses two colleges—the College of Innovation and Technology which offers a Master of Science in Innovation and technology and three baccalaureate programs, and the College of Engineering which offers a Master of Science in Engineering and three baccalaureate programs ▸ The University collaborates with than 80 high-tech corporate, government and non-government organizations that provide guidance on curriculum development, assist with research and offer internship opportunities that stress real-world experience. Industry partners include Microsoft, Lockheed Martin, Mosaic, Cisco and Harris Corporation ▸ The University anticipates full accreditation by December 2016
Duration of project: ▸ 2 months
Client contact name: ▸ Dr. Ghazi Darkazalli, Provost and Executive Vice President
Relevance to the Iowa Board of Regents: ▸ Ability to envision the future state of a university in the context of the broader higher education sector, competitive landscape, and local/regional demand and industry needs ▸ Proven track record of building consensus across a diverse group of stakeholders ▸ Focus on actionable/implementable recommendations

Case Study 4 – Business Planning: Assessing Market Potential for New Degree Programs
Client – HARVARD GRADUATE SCHOOL OF EDUCATION (HGSE) ~ 900 students

Scope:
▸ We partnered with HGSE to develop a robust strategic plan to support ongoing investment priorities and corresponding growth initiatives
  ▸ Developed a comprehensive situation assessment and fact-base, including an overview of the school's mission and an assessment of current degree and non-degree programs
  ▸ Assessed potential growth opportunities, including adjustments to current degree programs and potential new degree offerings
  ▸ Provided recommendations regarding strategic priorities, and corresponding investment and implementation requirements
▸ In order to arrive at the recommendations, conducted the following activities:
  ▸ Comprehensive interviews of the school's administration and faculty to help inform and develop consensus around the school's mission and programmatic priorities
  ▸ Analysis of market needs, gaps, and preferences via in-depth discussions with and surveys of potential employers (e.g., U.S. public school districts, education foundations), prospective students, and education leaders
  ▸ Full assessment of the school's current program portfolio, including an evaluation of Masters, Doctoral and Executive Education offerings within the context of recent market trends and broader financial planning requirements

Outcomes: ▸ Identified a tangible market need for more robust and effective training programs for education leaders, with a specific demand for programs with a blended focus on education, management, and policy. Validated HGSE's strong positioning to address this specific market need. Based upon the rigorous market analysis and comprehensive stakeholder engagement process, the school launched a first-of-its-kind practice-based education program that integrates the fields of education, business and public policy ▸ Prioritized opportunities for the school to optimize its current portfolio of program offerings through adjustments to its Masters programs and ongoing development of its Executive Education offerings
Duration of assessment: ▸ 4 months
Client contact name: ▸ Dr. Kathleen McCartney, Former HGSE Dean, Current President of Smith College
Relevance to the Iowa Board of Regents: ▸ Ability to identify areas of educational programming aligned to market needs and university's capabilities ▸ Ability to translate system assessments into specific system requirements—what is needed facilitate accurate monitoring/tracking and decision-making ▸ Ability to translate process assessments into specific process improvements, intended to increase the quality and consistency of services delivered to students, and student persistence/retention

Case Study 5 – Organizational Assessment
Client: UNIVERSITY OF MASSSACHUSETTS-AMHERST (~28,000 students)
Scope: ▸ Worked with the Chancellor of the flagship campus in a large state university system to clarify the specific functions and capabilities required within the office of the Chancellor to best support him, his internal and external constituents, as well as the System office ▸ Identified and benchmarked comparable universities and organizational structures ▸ Scheduled and held interviews with key internal stakeholders (e.g., direct reports to the Chancellor, staff in the Chancellor's office, leaders in the System office, and peer institutions within the System) ▸ Conducted "gap analysis" by comparing capabilities needed to existing capabilities within the Chancellor's Office

Outcomes:
▸ Developed a comprehensive plan which outlined the optimal roles and functions of the Chancellor's office complete with resource needs and a transition plan. Details included:
  ▸ Recommended organizational structure and staffing
  ▸ High-level description of qualifications and responsibilities for each position in the Chancellor's Office
  ▸ Budget needs
  ▸ Key transition activities, owners, overall timeline, and milestones
▸ Plan is currently being implemented

Duration of project: ▸ 2 months
Client contact name: ▸ Kumble R. Subbaswamy, Chancellor ▸ Robert Feldman, Deputy Chancellor
Relevance to the Iowa Board of Regents: ▸ Demonstrated understanding of the organizational structures of large, complex higher education institutions ▸ Demonstrated ability to facilitate conversations with senior leadership around a particular function within a university setting. Ability to synthesize disparate points of view into a cohesive direction ▸ Demonstrated ability to develop actionable recommendations re: effective organizational structures and processes to support the vision, mission and goals of specific functional areas in a university setting, and to build support for these recommendations ▸ Demonstrated ability to communicate with key stakeholders around very sensitive issues such as employment

Case Study 6 – Financial Transformation
Client: RUTGERS UNIVERSITY (~65,000 students)

Scope:
▸ Following a merger in 2013 with another higher education organization, the desire was to implement a common monthly close and reporting process governed by a consistent set of policies. Rutgers required proper due diligence to define standard policies, procedures and organization to manage and sustain the university accounting policy, including a governance model to oversee, drive and enforce these new standards.
▸ The overall objective of the project was to assess the effectiveness of current procedures, policy and organization across these university groups, identify performance gaps to leading practice including the design of a future state model to achieve standard processes, policies and organization model.
▸ EY was engaged to a) perform a current state assessment of the client's financial close policy and procedures, including roles and responsibilities, b) define the policy governance model C) design the organizational structure d) collect necessary change requirements through collaborative sessions.
▸ The work also included:
  ▸ Reviewed current policy system in place to identify improvement opportunities against leading practices
  ▸ Identified university accounting policy requirements to support a monthly close process
  ▸ Defined a comprehensive list of policy and procedure required
  ▸ Conducted collaborative workshop sessions with controllership team to review recommendations, agree on a future state governance model including roles and responsibilities and resource and skills requirement, and determine policy and organizational change requirements
  ▸ Developed the future state organizational structure based upon relevant other Big Ten Universities
  ▸ Defined new job descriptions of the new organization structure in charge of accounting policy and procedures management
  ▸ Established a governance model to drive accountability, compliance and discipline with new process and policy standards
  ▸ Created a roadmap to support implementation of identified change requirements

Outcomes: ▸ Identified key policy and organizational change requirements and created a detailed implementation timeline ▸ Developed governance model to manage and sustain university accounting policy ▸ Drafted/updated accounting policies and procedures to standardize monthly close procedures across the University ▸ Built a future-state organizational model including roles and responsibilities, job descriptions, and new policy training program for employees
Duration of project: ▸ 2 years
Client contact name: ▸ Stephen J. DiPaolo, University Controller
Relevance to the Iowa Board of Regents: ▸ Demonstrated ability to align policies, processes and people in institutions of higher education to enable transformation ▸ Deep understanding of institutions operating within state higher education systems ▸ First-hand knowledge of the organizations, systems and structures within universities, as well as model strategies and their development

Case Study 7 – Infrastructure Planning
Client – REGENTS OF THE UNIVERSITY OF CALIFORNIA, University of California Merced – 2020 Project (~ 6,000 students)
Scope: ► The 2020 Project is an ambitious $1.3bn plus development which will support a 50% increase in the student population by 2020. This project is unique in the United States as it is being procured as a performance-based design, build, finance, operate and maintain (DBFOM) partnership encompassing academic buildings, social and event space, student housing, dining and quality of life improvements. ► As a core part of its work EYIA is developing a campus model that will allow Merced to analyze and sensitize the key drivers of its budget including enrolment projections, faculty hires, operating costs, financing facilities and capital programs (including the 2020 Project). ► EYIA is also assisting in: 1) financial plan development; 2) analysis of potential alternative financial and delivery options; 3) procurement advice; and 4) negotiations with potential partners and stakeholders.
Outcomes: ► Statements of qualifications were received from six world class development teams encompassing some 84 design, construction and investment firms and a shortlist has been selected to progress to the RFP stage. ► The Campus wide financial model is in the final stages of completion.
Duration of project: ► 5 months
Client contact name: ► Veronica Mendez, Assistant Vice Chancellor, Division of Planning and Budget
Relevance to the Iowa Board of Regents: ► Development of an operating financial model for a substantial higher education client. ► Inclusion of key university drivers including enrollment projections, capital and debt modules and the full range of revenue and expenditure streams. ► Development of model in “real time” linking to existing university systems and major projects.

Case Study 8 – HR Strategic Design Initiative

Client: Public research university with more than 20,000 students
(Note: Client has requested confidentiality in the use of its name since the project is ongoing)

Scope:

In 2014, the pressure building on the Human Resources (HR) function and the way services were delivered across the university had reached critical mass. These pressures, listed below, became the foundation of a multi-year journey to transform the way HR serves the University.

- Mass retirement of talent
- A range of increasing financial pressures, incl. those related to state funding, tuitions and the health care market place
- The need to be more nimble and agile in the competition for talent
- Building a culture of engagement and high performance
- Improving our ability to drive continuous development of our talent and keep the talent we want to keep
- Responding to a clear message from the University's people that HR needs to be fixed

We were engaged to help the University's leadership to listen to stakeholders, evaluate the effectiveness of the HR function and to foster a shared vision for how HR services would be delivered in the future. As part of the engagement, we:

- Completed a quantitative and qualitative analysis of the HR function, including a high level analysis of the drivers of policy complexity
- Brought together independent HR functions from across the university and engaged them in working to define a shared vision of HR in the future
- Developed a guiding principles and a future-state HR delivery model
- Developed the business case
- Articulated a shared view of HR strategy and performance metrics
- Established the project structure and governance required to help the University manage a large, complex, multi-year project

Outcomes:

- Broad leadership support across the academic division and the health system to continue the project. The next phase will include a thorough review and assessment of HR policies and procedures, with the goal of recommending specific improvements
- Independent HR functions beginning to collaborate and share resources across the University
- A business case that points to significant cost savings (15-25%) while dramatically improving the baseline service delivered by HR professionals across the University

Relevance to the Iowa Board of Regents:

- Ability to envision the future state of a university departmental function in the context of the broader higher education sector, competitive landscape, and local/regional demand and competing user needs
- Proven track record of building consensus across a diverse group of stakeholders
- Focus on actionable/implementable recommendations

e. High-level project execution plan

Notes about Timing:

Given the holiday break in December, we propose extending the project schedule till March 31, 2015 and this is what we have reflected in our approach. Should the BOR have a different perspective on timing (since we are making assumptions about Regents institutions' context and stakeholder availability based on our experience with other systems), we would be happy to revisit the approach.

We would like to caution however, that compressing the timeline (to end by March 1, 2016) will make it more challenging to get to as many stakeholders as the BOR might desire, whether that is interviews with internal or external stakeholders. In addition, we are currently planning two rounds of visits to sites, but winter weather can easily throw off our proposed plans (visits in early January and then later in February). Compressing the timeline might reduce us to one set of site visits and then follow-up with stakeholder groups by phone or video conference, which is never as effective as in-person engagement.

Proposed phases:

We propose to execute this project in four phases, outlined briefly below. We provide more detail in Section 5 which focuses on Scope and Section 6 which focuses on Methodology:

- **Phase 1: Setting the Stage for Success** (First 2-3 weeks of the project, e.g., December 1-18, 2015):
    a. Finalize a project plan and project management and governance structure, including setting up a Strategic Planning Steering Committee (SPSC);
    b. Hold a kick-off meeting with the BOR/SPSC,
    c. Finalize the communications and outreach plan to stakeholder groups
    d. Secure introductions and begin outreach to key stakeholder groups to schedule calls/meetings
    e. Articulate and launch any data requests (e.g., to BOR Office or institutions)

- **Phase 2: SWOT Analysis** (5-6 weeks total, December 14, 2015 – January 29, 2016. We assume that the institutions will be closed between December 21, 2015 and January 4, 2016, and students, staff, and faculty will not be on campus). Key activities:
    a. Review any current strategic plan documentation shared by the BOR office or by institutions (e.g., progress again priorities identified in prior strategic plan);
    b. Conduct site visits (will involve interviews with a representative stakeholders on each campus);
    c. Conduct interviews with external stakeholders, e.g., business representatives, legislators;
    d. Analyze relevant data (e.g., enrollment trends by campus; broader demographic shifts in the region) and bring in external perspective on higher education trends;
    e. Synthesize findings into a SWOT analysis format and translating findings into implications (opportunities and potential new priorities) for discussion with the SPSC.

- **Phase 3: Strategic Planning Process Execution** (ongoing, December 2, 2015 – February 25, 2016). Develop a process that provides opportunities for pertinent stakeholders. Key milestones below:
    a. December 2, 2015: Initial meeting/call with the BOR.
    b. Week of December 7, 2015: Meeting of the broader SPSC to finalize scope, stakeholder engagement plan and communication plan.
    c. Week of December 14, 2015: Communication about strategic plan shared with the broader Regents community.

d. January 11-22, 2016: First round of site visits to gather preliminary input. We assume that the visits would be need to be conducted when the semester is in session (classes begin on January 11th at Iowa State University and the University of Northern Iowa, and on January 19th at the University of Iowa) so that we can be efficient and make the most out of each site visit—meet with not just leadership, but also with faculty and students on each campus.
    - To the extent that it is possible to organize the site visits earlier (e.g., December or early January), we are happy to adjust our schedule. We would see more guidance on this from the BOR.

e. Week of February 1, 2016: Second meeting of the SPSC to review SWOT analysis findings and to formulate first draft of mission, vision, goals, and strategies.

f. February 8-19: Second round of site visits to gather feedback on the initial draft and also to solicit input on potential performance measures.

g. February 24-25: Third meeting of the SPSC to review insights and implications from feedback sessions conducted during second round of on-site visits. Second meeting of the BOR to provide status update and share first draft of strategic plan (mission, vision, goals, strategies, and performance measures).

- **Phase 4: Strategic Plan Development** (3-4 weeks, March 1-31, 2016). Key activities:

a. Incorporate feedback from the Feb 24-25 sessions.

b. Iterate on draft with members of the Strategic Planning Steering Committee.

c. Hold final meeting with the SPSC the week of March 21 to review final draft

d. Make any last changes to the document and implementation plan, and share with the BOR and BOR office by March 31, 2016.

3. Company background

a. How long the company has been in business

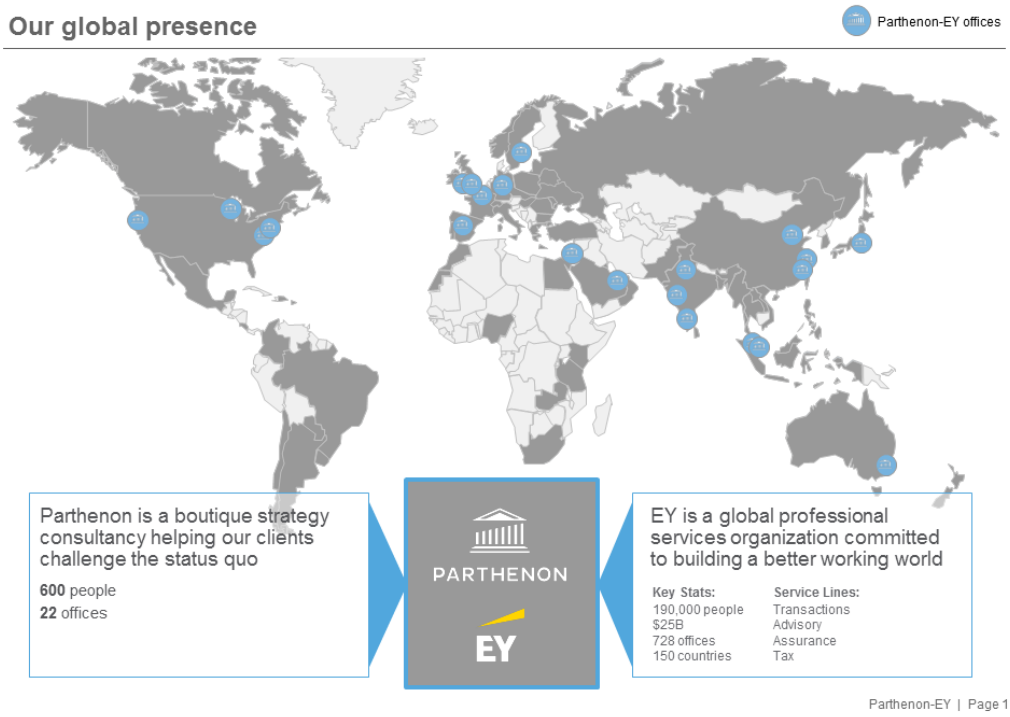
Ernst & Young LLP and its predecessors have been in business in the US for more than 100 years. The roots of our firm date back to the early 1900s and to the lasting legacies of two visionaries: A.C. Ernst and Arthur Young. In 1903, A.C. Ernst opened the first office of Ernst & Ernst in Cleveland, Ohio. On July 1, 1989, Ernst & Whinney merged with Arthur Young to create Ernst & Young. We have been providing organizational improvement and related services dating back to the start of our long history as a firm.

In September 2014, EY merged with The Parthenon Group, a pre-eminent strategic advisory to the education sector. Parthenon was founded in 1991 and was the first-to-market with a dedicated Education practice over 20 years ago.

b. Brief description of company size and organizational structure

Company Size

Today, Ernst & Young LLP is a global leader in professional services relating to audit, tax, transactions and advisory. Worldwide, EY has over 190,000 professionals based in 728 offices in more than 150 countries. In the U.S. alone, EY has over 36,000 professionals located in 82 offices.



EY established its Des Moines office over 30 years ago and boasts approximately 100 professionals providing assurance, tax, and advisory services. We serve the leading financial services and insurance companies in the Des Moines market as either an external auditor or advisor. This area represents a growing practice that EY continues to invest in, with expectations of doubling in size over the next 5 years.

Organizational Structure

EY is a private limited liability partnership. The firm is owned by approximately 3,200 US partners and principals and is a member of Ernst & Young Global Limited, an organization whose locally owned member firms operate under the EY name in approximately 150 countries around the world.

We are a $27.4 billion global organization committed to delivering on our promise: seamless, consistent, high-quality client service. We are one tightly knit organization comprising four geographic areas — Americas; Asia-Pacific; Europe, Middle East, India and Africa (EMEIA); and Japan — with 28 regions instead of hundreds of individual country practices, which is a quality distinctive to EY. Our professionals across the globe demonstrate the highest levels of integrity, quality and professionalism and provide clients with a broad array of services relating to audit, tax, transactions and advisory. We offer a truly borderless approach to quality service with consistent global methodologies and technology platform. We mirror the structures and market-facing activities of our clients, allowing us to seamlessly deliver the level of service you expect on a day-to-day basis. Given that we have been in business for over 100 years, we can unequivocally state that EY is the most globally integrated of all the world's professional services firms today.

The graphic below provides a high-level outline of how EY is organized across service lines and geographies. As illustrated in the exhibit, EY is a complex matrix organization that manages professionals across both service lines and geographies.

	Assurance Services	Advisory Services	Tax Services	Transaction Advisory Services
Service Lines	Financial Accounting	Strategy	Indirect Tax Svcs	Transaction Support
	Fraud Investigation and Dispute	Performance Improvement	Business Tax Svcs	Transaction Tax Svcs
	Climate Change and Sustainability	Technology	International Tax Svcs	Capital Transformation
	External Audit	Risk	Human Capital Svcs	M&A, Capital, Debt
Geographies	Four Geographic Areas and 28 Regions			
	Americas (10 Regions)			
	Asia-Pacific (5 regions)			
	Europe, Middle East, India, and Africa (12 regions)			
	Japan (1 region)			

In addition to the four main service lines shown in the diagram above, EY has 16 industry sectors ranging from Government and Public Sector (which includes Education as a sub-sector) to Technology to Real Estate to Power and Utilities, among others. This has allowed us to provide our clients with industry-specific expertise and insights.

c. How long the company has been working with relevant clients

Government and public sector clients

In keeping with EY's Vision 2020, we have a dedicated Government and Public Sector (GPS) practice with more than 19,000 professionals across more than 110 countries. Our global GPS sector is our sixth largest sector by revenue, and is among the key growth drivers of EY. We have been working with GPS clients for decades, but formalized the GPS practice a few years ago.

We work with leading clients in the GPS sector, including the education, infrastructure and public finance management sub sectors, servicing more than 17,000 government sector clients globally and 2,000 in the U.S. alone. We provide our public sector clients with a wide range of services, including strategic planning, performance improvement, financial advisory, business process and systems re-engineering, tax services, and audit services.

Dedicated Education practice

In September 2014, EY merged with The Parthenon Group, a pre-eminent strategic advisory to the education sector who was the first to market with a dedicated Education practice over 20 years ago. As illustrated in the graphic below, our clients in Education include direct providers of education, ranging from K-12 school districts to institutions of higher education to organizations providing corporate training, as well as with vendors to those organizations.

We advise leading education institutions…	…and work with the organizations that help meet their needs
• Federal, state, and local educational authorities • Charter schools, private K-12 schools, and other innovative education providers • Post-secondary institutions • Foundations on the forefront of education reform	• Educational publishing • Testing and assessments • Tutoring • Intervention • Special education • Technology providers • Consumer education products

Together, our combined organizations have unparalleled capabilities in education. We are now in a position to offer education organizations, including institutions of higher education, superior end-to-end consulting services from strategy development to organizational redesign and implementation planning to hands-on implementation of new, sustainable business processes and system improvements.

We offer an ideal balance of strengths — specialized knowledge with broad executional capabilities, intimate client relationships with larger networks of support, and proven processes along with a progressive spirit — to unlock the opportunity for our clients, amplify the impact of our strategies and make us the global partner of choice for education leaders.

We now are a hub for industry-focused knowledge, and we are able to anticipate market trends, identify the implications and develop points of view on relevant industry issues to help you succeed in a changing world. Because of our deep experience in higher education, we fully appreciate the financial, operational and decision-making complexities facing a university system. We will be able to hit the ground running and add value to your strategy, operations and processes from day one.

d. Financial capability and stability

Ernst & Young LLP (together with its affiliate, Ernst & Young U.S. LLP, “EY US” or “US Firm”) is a private limited liability partnership, and we do not distribute our financial statements to parties other than our partners, principals and lenders. However, the US firm’s size and strong track record of success provide compelling evidence of our having the financial resources needed to serve the Board of Regents, State of Iowa.

The US firm is owned by approximately 3,200 US partners and principals and is a member of Ernst & Young Global Ltd., an organization whose locally-owned member firms operate under the “EY” brand name in approximately 150 countries around the world.

The US firm is a substantial entity, with 42,000 people working in the US. The US firm’s fiscal year 2015 total revenues exceeded US$11.2 billion, which represents a growth of 12.5% – the US firm’s largest increase in 10 years.

4. Qualifications and experience

a. Additional information deemed pertinent

Experience working with entities overseen by Board of Regents, Iowa

In addition to our Government and Public Sector and Higher Education experience, we also have experience working directly with entities that are overseen by the Board of Regents, State of Iowa:

- **University of Iowa Hospitals and Clinics:** We provided Medicare Disproportionate Share Hospital (DSH)-related services to University of Iowa Hospitals and Clinics for a number of years (through 2013).
- **Iowa State University (ISU):** We are providing global tax advisory support for ISU's international programs and activities, assisting the university's finance and general counsel's office with compliance with laws and regulations in foreign countries. In the Office of University Counsel, we are working closely with Paul Tanaka, University Counsel who specializes in international collaborations. In the finance office, we are working closely with Nancy Brooks, the Interim Assistant Vice President of Business Services.

Strong network of business relationships in Iowa and Des Moines

Through our office in Des Moines, we have been able to build a strong network of clients and business relationships. We serve the leading financial services and insurance companies in the Iowa region. Some of our clients include:

- Financial services and insurance: Principal Financial Group, Nationwide, Wellmark, Athene USA Corporation, EMC Insurance Companies, FBL Financial Group, American Enterprise Mutual Holding, Grinnell Mutual Reinsurance Company
- Healthcare: Mercy Medical Center

While the BOR will have suggestions about which businesses and industry representatives to contact as part of this study and may provide initial contact information for these entities, we will be able to enhance this outreach through our strong business networks and relationships.

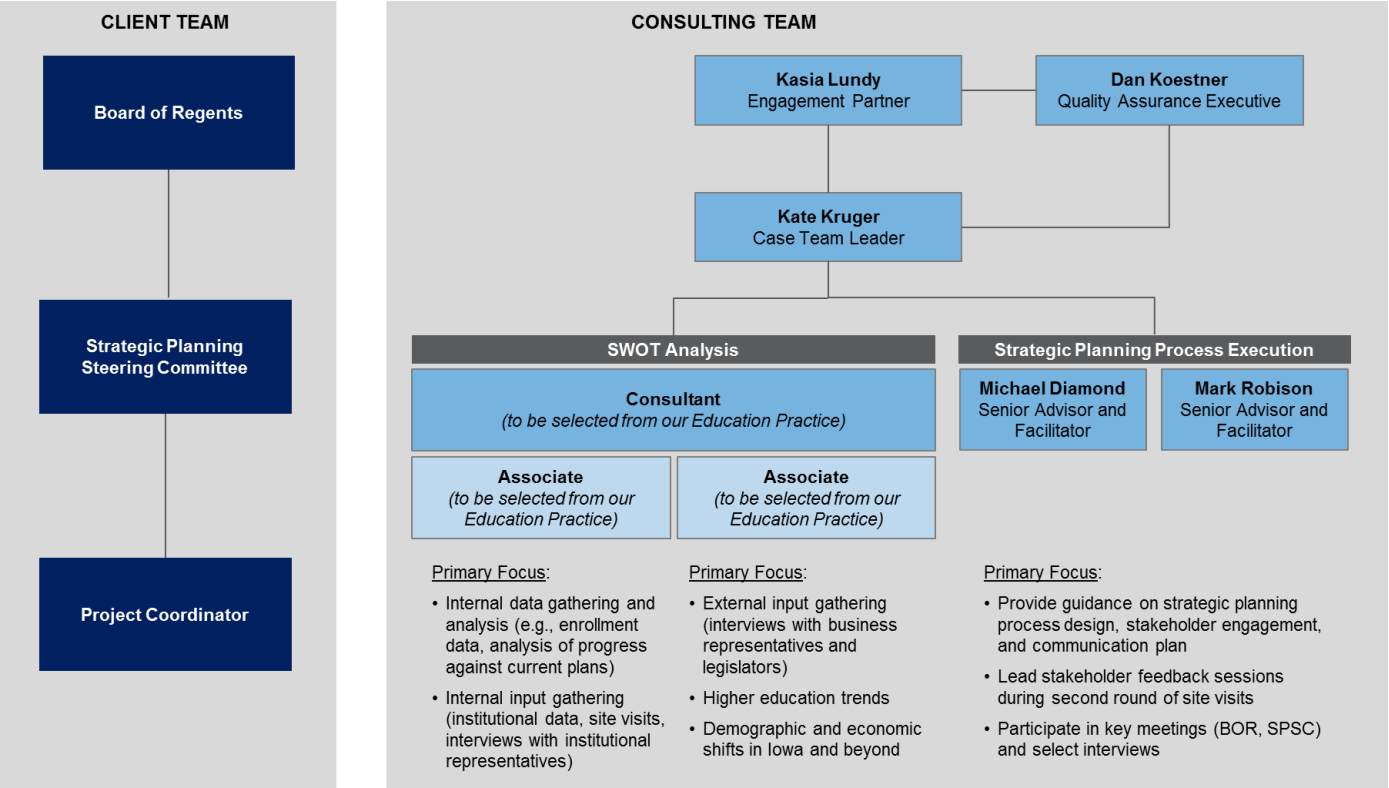
b. List of personnel and their functions in the project

Proposed staffing model

We believe that our people are our most valuable asset and most significant differentiator, and we are committed to providing the Iowa Board of Regents with a strong team with the right set of relevant skills and experience.

- The core project delivery team will work under the leadership of Kasia Lundy, Managing Director in our Education practice. Kasia will oversee the engagement for and be responsible for its ultimate delivery.
- Kate Kruger, Senior Consultant with significant experience consulting to higher education clients, will act as the case team leader and will manage day to day efforts of the team.
- The remainder of the team will consist of two Consultants (post-MBA) and two Associates (pre-MBA) from our Education practice, although the size of the team will fluctuate by phase (this is explained in more detail in Section 9 on Cost). These individuals are all full-time personnel with Parthenon-EY and will be committed to building and maintaining a relationship with the BOR.
- The core team will be augmented by two senior advisors in our network, Michael Diamond and Mark Robison, partners in Academic Leadership Associates LLC. They have significant experience managing strategic planning processes in higher education institutions and will play an important role on the project: they will help design the process, participate in key planning meetings with the SPSC and review meetings with the BOR, participate in select interviews (e.g., with institutional leadership), and facilitate key stakeholder feedback sessions.

The graphic below illustrates how we envision the project structure. We are open to alternative structures.



The table below details the team roles and responsibilities. Detailed biographies of each team member listed in the organizational chart with relevant experience are included after the table.

Role	Key responsibilities
Kasia Lundy *Engagement Partner*	► Oversee service delivery and coordination of resources on the engagement, including subject matter resources ► Develop resourcing plans to maintain continuity of team members ► Provide assistance and input, as appropriate, to the assessment procedures ► Provide executive overview of deliverables ► Drive our commitment to collaboration and providing value
Dan Koestner *Quality Assurance Executive*	► Serve as counterpart to engagement leadership and delivery team to confirm the team is connected, responsive and insightful, and meeting expectations set with Iowa BOR ► Provide a resource and point of contact for the BOR outside the project team to discuss service delivery expectations and experience ► Review engagement methods, approaches and standards and provide guidance to engagement team ► Provide feedback on final work products and adherence to the statement of work and Parthenon-EY quality standards
Kate Kruger *Case Team Leader*	► Oversee day-to-day execution of the project, including management of team resources and client engagement activities ► Develop and manage project workplan and provide guidance to project team ► Manage Parthenon-EY resources and coordinate project team's work ► Lead internal and external interviews with key stakeholders ► Review and provide feedback on work products to the team ► Provide status updates to the BOR on key project activities and deliverables
Michael Diamond *Senior Advisor and Facilitator* **Mark Robison** *Senior Advisor and Facilitator*	► Provide guidance on strategic planning process design, stakeholder engagement, and communication plan ► Facilitate stakeholder feedback sessions during second round of site visits, prepare materials to facilitate these sessions, and synthesize key themes from sessions ► Participate in key meetings (BOR, Strategic Planning Steering Committee) ► Participate in select interviews (e.g., interviews with senior institutional leadership, conducted as part of round one site visits) ► Assist in the creation of the strategic plan, including mission, vision, goals, strategies, and performance measures ► Bring their experience to bear in helping to develop implementation mechanisms (e.g., creation of task forces and charges; clear delineation of responsibilities; accountability and reporting mechanisms)
Consultant (to be selected from our Education practice)	► Oversee project work streams (e.g., stakeholder interviews, survey instrument development, external benchmarking) ► Liaise with core stakeholders across Iowa's schools to build understanding ► Provide guidance to Associates executing secondary research and synthesizing internally collected data ► Prepare status updates and materials for ongoing discussions
Associate (x2) (to be selected from our Education practice)	► Execute data collection and analysis across the institutions and external sources ► Catalog and organize collected data ► Draft syntheses of key themes from interviews and secondary research ► Prepare documentation and analysis for stakeholder meetings

Team biographies

Kasia Lundy
Title: Managing Director
Role on Project: Engagement Partner
Boston, MA
Office: +1 617 478 6328
kasia.lundy@parthenon.ey.com

Relevant experience

Kasia has 19 years of experience, 13 of which have been with Parthenon-EY. Since joining Parthenon-EY, she has gained extensive experience with corporate clients across multiple industries. She moved to Harvard University in 2003, where over the course of six years she held several senior administrative roles, including the position of Chief of Staff to three Harvard University presidents — Lawrence Summers, Derek Bok, and Drew Faust — and in her last year at Harvard, joint Chief of Staff to both the President and the Provost. In these roles, she oversaw the operations of seven units reporting to the president's office and was responsible for driving strategic initiatives university-wide on behalf of the President and Provost. She also helped manage executive searches at the university for senior administrative and academic positions.

Since rejoining Parthenon-EY in 2009, Kasia has focused on education sector engagements in both K-12 and higher education. Her higher education engagements have included development of online learning strategies and governance structures, development of business models for new universities, alternative revenue strategies, organizational redesign, and assessments of institutional capacity to deliver on outcomes specified in large grants.

Selected experience

- Alternative sources of revenue for a liberal arts college: Led the effort to identify new revenue-generating opportunities outside of the core four-year residential program that would ultimately produce $4 million in net revenue annually; conducted a broad market scan of the best ideas for revenue generating programs; facilitated a design process with the college to generate program concepts tailored to the college's capabilities; assessed revenue potential and viability of select programs to identify portfolio of alternative revenue programs that enable the college to reach its financial targets (2015, three months)
- Redesign of administrative organizational structure at flagship campus in a public university system: Worked with the Chancellor of the flagship campus in a large state university system to clarify the specific functions and capabilities required within the office to best support the Chancellor, internal and external constituents, and the system office; identified and benchmarked comparable universities and organizational structures; conducted gap analysis by comparing capabilities needed to existing capabilities within the chancellor's office; developed a comprehensive plan that outlined the optimal roles and functions of the chancellor's office, the resource needs and transition plan (2014, two months)
- Creation of new STEM university within large public state university system: Led the planning for the creation of an entirely new public university focused on STEM fields within a large, diversified state university system; conducted detailed market analysis (level of demand for STEM graduates), nationally and in state; analyzed employer needs in terms of STEM skills, programs and degrees; developed the operational, organizational and financial design of the start-up university (2013, two months)
- Review and enhancement of online strategy for large private university: Led the effort to help a large, private not-for-profit university maximize its digital assets; developed customized recommendations re: online program portfolio recommendations, process modifications to enhance the online student experience, and build vs. buy decisions; built a detailed financial model that incorporated key program offering recommendations and cost decisions (2013, eight months)

Education and affiliations

- MBA, Harvard Business School
- BA Economics, Harvard University

Dan Koestner
Title: Partner
Role on Project: Quality Assurance Executive
Des Moines, IA
Office: +1 (515) 362-7175
daniel.koestner@ey.com

Relevant experience

Dan is a Partner in Ernst & Young's Assurance Services practice in Des Moines, Iowa. Dan primarily serves clients in the life and property/casualty insurance industry. His past and current clients include AEGON USA, Aviva USA, FBL Financial Group, and Symetra Financial Corporation among others. Dan has significant experience in US GAAP, International Financial Reporting Standards (IFRS), statutory accounting principles and internal controls reporting under Section 404 of the Sarbanes Oxley Act of 2002. In addition to serving his personal client base, Dan acts as one of the Ernst & Young Midwest Area subject matter experts for IFRS.

In addition to his client responsibilities, Dan acts as the partner supporting the campus recruiting efforts for the Des Moines office. He is also responsible for overall monitoring and managing of resources in the Des Moines office.

From 2006 to 2012, Dan was an active representative on the Professional Accounting Council, the advisory board of the Department of Accounting within the Henry B. Tippie College of Business at the University of Iowa. Dan has also helped coordinate philanthropic contributions as well as volunteer services provided to the University of Iowa (including EY participation in a Habitat for Humanity home construction project sponsored annually by the College of Business).

Education

- Buena Vista College, Storm Lake, Iowa – BA (Accounting), 1991

Professional Certifications and Associations

- Certified Public Accountant, licensed in the state of Iowa
- Member, Iowa Society of Certified Public Accountants
- Member, ISCPA Insurance Industry Committee (2003 – 2005)
- Member, American Institute of Certified Public Accountants
- President, University of Iowa Professional Accounting Council (2010 – 2012)
- Treasurer, Meals from the Heartland (2011-present)

Dr. Michael Diamond

Title: Senior Partner, Academic Leadership Associates

Role on Project: Senior Advisor and Facilitator

Los Angeles, CA

Office: +1 (310) 474-5819

Mike@academicla.net

Relevant experience

Mike is the Senior Partner in Academic Leadership Associates, LLC (ALA) and a Senior Advisor to Parthenon-EY on this project. He has extensive experience in university management and finance, budgeting processes, strategic planning, and international partnerships. During his lengthy career as a leader in academic institutions, he has maintained an active consultancy focused on assisting over sixty different colleges and universities and their academic units with strategic planning and change management.

Prior to forming ALA, Mike served as Vice President and Executive Vice Provost of the University of Southern California until 2005, after being appointed Vice Provost for Planning and Budget in 1995. In his capacity as Vice President and Executive Vice Provost, working closely with the Provost, Mike was responsible for managing the academic enterprise at the University of Southern California and overseeing an academic budget approaching $1 billion. He had broad ranging responsibility for the academic enterprise including sole (and sometimes shared) oversight of the university's academic planning and budgeting process, strategic planning, institutional research, the selection of academic deans and their periodic evaluation, space planning, crisis management, student athlete academic advisement and responsibility for the university's then five international offices in Hong Kong, Jakarta, Mexico City, Taipei and Tokyo. He served as dean of the Leventhal School of Accounting and director of the school's SEC and Financial Reporting Institute from1987 through 1994. During that time period, the Leventhal School of Accounting was consistently ranked as one of the top five accounting programs in the country.

Selected experience

- Lead consultant for the top-tier strategic planning process at the University of Nevada, Las Vegas. Led the team of the consultants that managed an inclusive, stakeholder oriented process to develop a vision, mission goals and strategies to move UNLV to the top 100 American research universities, as designated by the Carnegie Foundation as a Research University/Very High (RU/VH) institution (2014-15, 9 months)
- Managed university-wide strategic planning project at Lamar University. Developed and facilitated a collaborative process with the President, his leadership team, a broad spectrum of faculty, staff, students and key external stakeholders to develop the university's five-year plan. The process included extensive consultations across the university to ensure wide-spread input and feedback. (2014-2015, 6 months)
- Developed and facilitated the strategic planning process for the Culverhouse College of Commerce at the University of Alabama. In addition to managing the process, Mike, working the College leadership team, held several follow-up workshops with the College's Board of Advisors and other key groups to generate support for the plan and monitor its ongoing process (2012-2014, 2-years including original planning sessions and on-going implementation support)

Education and affiliations

- Ph. D, MS, Management and Accounting , UCLA Anderson School of Management
- BA History, University of California, Berkeley
- American Accounting Association

Dr. Mark Robison

Title: Managing Partner, Academic Leadership Associates

Role on Project: Senior Advisor and Facilitator

Los Angeles, CA

Office: +1 (626) 354-8040

Mark@academicla.net

Relevant experience

Mark Power Robison is Managing Partner of Academic Leadership Associates, LLC, and a faculty member at the University of Southern California. He has deep experience in strategic planning, program review, accreditation, and the development of international programs and partnerships. In particular, strategic planning methodologies are a key area of Robison's expertise, including scenario planning. Mark also brings expertise in engaging stakeholders in planning discussions and the development and implementation of communications strategies to facilitate change.

Before forming ALA, Robison served as Academic Planning Officer at the University of Southern California, where he coordinated a two-year strategic planning process leading to the creation of USC's new strategic plan in 2004. That planning process involved a core group of faculty and deans and engaged hundreds of faculty and other stakeholders in the development of the plan. Dr. Robison coordinated the work of the core strategic planning committee, six sub-committees, and various senior leaders across the university between 2002 and 2004; and then Dr. Robison served as the principal author of the plan adopted by the Board of Trustees. In addition, while in the Provost's Office he co-directed the university's academic program review process, whereby every academic unit receives regular assessments of their academic programs and research activities. His responsibilities also included aspects of accreditation, communications, and international partnerships.

Mark retains faculty appointments at USC as a Professor of Clinical Education and History in the USC Rossier School of Education and the USC Dornsife College of Letter, Arts and Sciences Department of History. He is also Chair of USC's Global Executive Doctor of Education program. Prior to his work at USC, Robison served in the Provost's Office at Brandeis University from 1998 through 2002, where he also taught in the Department of American Studies. While at Brandeis, Dr. Robison worked closely with the Provost and the Dean of Arts & Sciences on the full spectrum of their responsibilities, including academic planning initiatives. At Harvey Mudd College, between 1993 and 1996, Robison served as an Admission Counselor and then Assistant to the President. While in the President's Office the focus of Dr. Robison's work was planning for the newest Claremont College: The Keck Graduate Institute of Applied Life Sciences.

Selected experience

- Mark was the lead consultant for the *Grand Research Challenge Project* initiated by the Vice President for Research at Washington State University. He led a team of key WSU faculty and academic leaders to develop research challenges to target critical national and global problems by working scholars around the world—as well as federal and state agencies, national laboratories, business and civic leaders, and philanthropists. Through this collaborative process WSU is now implementing these key research challenges. (2015, 9 months)
- Completing a collaborative process at the University of the Pacific (Stockton, CA) to develop and implement a strategic enrollment process for university. Working with the Provost and the Vice Provost for Enrollment Management and their team analyzed current enrollment trends compared it peer schools, analyzed potential areas for growth and reviewed financial aid policies to increase enrollment across selected areas of the university and to provide targeted revenue growth over the next five-year period (2015, 4 months)

Education and affiliations

- Ph.D. History, University of Colorado
- MA History, Claremont Graduate School
- BA Wesleyan University

Kate Kruger

Title: Senior Consultant

Role on Project: Case Team Leader

Boston, MA

Office: +1 617 478 4684

kate.kruger@parthenon.ey.com

Relevant experience

Kate is a Senior Consultant in Parthenon-EY's Boston office and a member of the Education practice. She has worked on public, nonprofit, and private sector education projects with clients that include education-focused foundations, post-secondary institutions, and private companies in the education sector. Her clients include the State University System of Florida, Drexel University, University of North Carolina-Chapel Hill, the Chicago Public Education Fund, and education technology companies.

Prior to joining Parthenon-EY, Kate worked for the Center for Effective Philanthropy, a nonprofit organization focused on performance assessment for philanthropic funders. Her work involved providing comparative data and insights to enable higher-performing foundation clients, including The Ford Foundation, the John S. and James L. Knight Foundation, and the United Way of Massachusetts Bay.

Selected experience

- Led strategy assessment and business/financial model development for one of the largest US post-secondary providers, whose model includes extensive onsite and online operations. The work included extensive analysis of changes to instructional model, student support model, geographic footprint, marketing strategy, and pricing strategy. Used the model as a decision making tool with university leadership.
- Led higher education student segmentation analysis, going beyond the typical traditional and non-traditional students segments. Partnered with Jeff Selingo to prepare a white paper publishing study findings.
- Participated in assessment for the Graduate Professional Center for the University of Maine system. The work included significant financial modeling of various opportunities and scenarios, as well as stakeholder engagement of various parties throughout the university system.
- Participated in the effort to improve quality of services to online students and to improve student retention through specification of service quality levels and development of interdepartmental service level agreements.
- Participated in the planning for the creation of an entirely new public university focused on STEM fields within a large, diversified state university system. Planning included detailed market analysis, national and international leading practices, and operational, organization, and financial design of the start-up university.

Education and affiliations

- MBA, MIT Sloan School of Management
- BA, Harvard University

Consultants – representative biographies

Veda Eswarappa
Consultant, Boston Office

Veda has worked in the firm's Education practice out of its Boston, Mumbai, and Singapore offices to develop experience in emerging markets and online education for the latter as a primary vehicle through which education can be scaled. Domestic examples of her work include a demand analysis for the creation of a public STEM-focused university, market assessment and enrollment forecasting for a group of higher education institutions, and the development of an innovation hub to connect promising ed tech companies and education partners.

Veda received her undergraduate degree in Biomedical Sciences and Engineering with honors from Harvard University.

Jill Greenberg
Consultant, Boston Office

Jill has worked on a variety of education projects since joining Parthenon-EY, ranging from K-12 and higher education, international and domestic, and public and private sector. Over her tenure with the firm, Jill has worked on a variety of strategic education initiatives focusing on online education, system innovation and education technology. Recent clients include the State University System of Florida, Drexel University, University of Chicago Booth School of Business, Chicago Public School District, and education technology companies.

Through these various education projects, Jill has gained experience in financial and student outcome modeling. She has developed enrollment and profitability models for for-profit universities and a detailed cost model for an entire university system. Model construction required developing a balanced combination of internal and external data, along with detailed discussion with clients and industry subject matter resources to finalize assumptions. Additionally, she has synthesized student outcome data through a comprehensive retention analysis.

Jill graduated magna cum laude from Williams College, where she earned a B.A. in Economics and Psychology.

Associates – representative biographies

Patrick Gould
Associate, Boston Office

Patrick works primarily in Parthenon-EY's Education practice. Over his tenure with the firm, he has worked with not-for-profit higher education institutions, for-profit education institutions, corporate training companies, as well as private equity clients.

In the higher education space, Patrick has developed a comprehensive financial model for institutions. The model contained a baseline projection of the institution's finances over the next several years, and also evaluated the financial impact of several potential strategic initiatives. The model required in-depth analysis of internal financial data as well as industry benchmarking, and was ultimately leveraged to prioritize strategic initiatives for the institution. Patrick has also designed, programmed, and analyzed surveys of prospective students, aimed at understanding students' decision-making processes, perceptions of different universities/schools, key influencers. In addition, Patrick has evaluated potential strategic investments for both for-profit and not-for-profit education clients.

Patrick graduated summa cum laude from Dartmouth College with a B.A. in mathematics and economics.

William Eger
Associate, Boston Office

Will is an Associate in the Boston office and a full-time member of the Education Practice with primary responsibility for Parthenon-EY's Education Practice Newsletter in addition to his education engagements. Will joined Parthenon-EY in 2014, where he brings more than seven years' experience working on issues of education policy.

Prior to joining Parthenon-EY, Will worked as a high school math teacher with TFA and as a City Year Corps Member in Boston. He has spent time working for the Superintendent of Boston Public Schools and the US Department of Education, as well as volunteering as an adviser for two Boston non-profits. Will has written on education for *The Atlantic, EdWeek*¸ and the *Huffington Post* as well as a full length book on the Tea Party movement.

Will earned his A.B. in Government from Harvard College and his M.S.Ed from the University of Pennsylvania.

c. Information concerning terminations, litigation and debarment

Please see below for answers to the questions included in the RFP:

I. **During the last five (5) years, has the Bidder had a contract for services terminated for any reason? If so, provide full details related to the termination.**

Ernst & Young LLP, as is true of all major accounting firms, is involved in litigation in the normal course of our professional activities, some of which may involve contractual disputes and allegations whether contracts were properly terminated. We also participate from time to time in SEC and other regulatory inquiries. We are not aware of any litigation or regulatory inquiry which is relevant to, or would have a material impact on, the ability of the firm to continue serving its clients.

Ernst & Young LLP maintains a comprehensive professional indemnity insurance program that is continually monitored and modified so as to provide the firm with coverage considered appropriate in the current operating environment. We believe our coverage is commensurate with that carried by the other Big 4 firms.

II. **During the last five (5) years, describe any order, judgment or decree of any Federal or State authority barring, suspending, or otherwise limiting the right of the Bidder to engage in any business, practice, or activity.**

On July 30, 2015, the California Board of Accountancy and EY entered into a Stipulated Settlement and Disciplinary Order (the "2015 Order") arising from the SEC Order in *In the Matter of Ernst & Young LLP* (Administrative Proceeding File No. 3-15970) and the PCAOB Order in *In the Matter of Ernst & Young LLP et al.* (PCAOB Release No. 105-2012-001). The 2015 Order provides, among other matters, that EY's California Certificate is suspended for a period of thirty days; however, the suspension is stayed.

III. **During the last five (5) years, list and summarize pending or threatened litigation, administrative or regulatory proceedings, or similar matters that could affect the ability of the Bidder to perform the required services. The Bidder must also state whether it or any owners, officers, or primary partners have ever been convicted of a felony. Failure to disclose these matters may result in rejection of the bid proposal or in termination of any subsequent contract. This is a continuing disclosure requirement. Any such matter commencing after submission of a bid proposal, and with respect to the successful Bidder after the execution of a contract, must be disclosed in a timely manner in a written statement to the Board.**

Please see response to I above. No current owner, officer or partner of Ernst & Young LLP has ever been convicted of a felony.

IV. **During the last five (5) years, have any irregularities been discovered in any of the accounts maintained by the Bidder on behalf of others? If so, describe the circumstances of irregularities.**

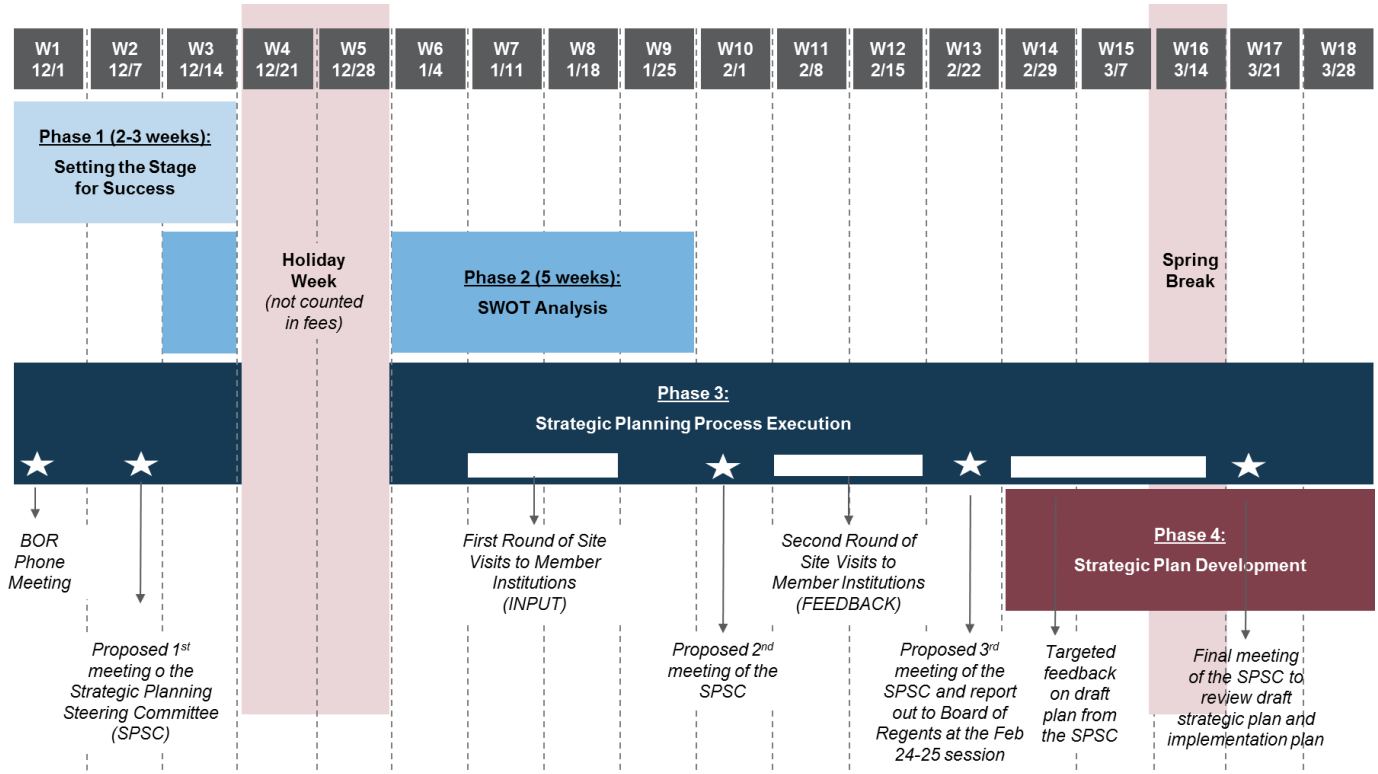
No.

5. Statement of scope

The ultimate objective of the project is to assist the BOR in developing a strategic plan that is created with appropriate input from pertinent stakeholders. By putting in place a participative process that includes voices and opinions of all relevant stakeholders, the BOR can help to ensure that the outcome has the support of those who must implement the strategies and actions detailed in the plans.

In order to deliver against this objective, and based on past engagements with similar goals and scope, we propose an approach with four discrete components or phases of work. The graphic below shows how we are thinking about the timing of each phase. Given the holiday break in December, we propose extending the project schedule till March 31, 2015 and this is what we have reflected in our approach. Should the BOR have a different perspective on timing (since we are making assumptions about the Regent institutions' context and stakeholder availability based on our experience with other systems), we would be happy to revisit the approach.

We would like to caution however, that compressing the timeline (to end by March 1, 2016) will make it more challenging to get to as many stakeholders as the BOR might desire, whether that is interviews with internal or external stakeholders. In addition, we are currently planning two rounds of visits to sites, but winter weather can easily throw off our proposed plans (visits in early January and then later in February). Compressing the timeline might reduce us to one set of site visits and then follow-up with stakeholder groups by phone or video conference, which is never as effective as in-person engagement.



In total, the RFP lists nine deliverables for the project. The scope of services we lay out below, phase by phase, will allow us to create these deliverables for you, in an effective and high-quality manner. The table below aligns the deliverables to each phase.

Phase	Deliverable
Phase 1: Setting the Stage	1. The Consultant must provide a communication plan detailing key messaging and engagement of constituencies. 2. The Consultant will assist in designing the strategic planning process. 3. The Consultant will work with the BOR and the BOR Office to establish a timeframe for regular activity reports relevant to the agreed upon scope of work.
Phase 2: SWOT Analysis	4. The Consultant will obtain a thorough understanding of both the internal and external environment and significant issues which will affect the System. 5. The Consultant will facilitate a SWOT analysis of the System. The Consultant will also conduct research and analysis of the pertinent demographics affecting higher education and, in particular, the Regent institutions.
Phase 3: Strategic Planning Process Execution	6. The Consultant will engage key stakeholders in the strategic planning process by facilitating input sessions regarding the planning, vision, mission, and goals. 7. The Consultant will develop a method to assess the progress the System is making in addressing the goals and objectives of the strategic plan. This method must include quantitative performance measures. 8. The Consultant will provide a recommended plan of implementation based upon constituent input, including assistance with the development of a communication plan.
Phase 4: Strategic Plan Development	9. The Consultant will provide a presentation to the Board regarding the proposed strategic plan, including priorities, goals, objectives, and metrics.

Phase 1: Setting the Stage for Success (12/1 – 12/18/2015)

We would use the three weeks prior to the holidays to kick-start the project, engage key stakeholders and gather existing data. We would do this with a small team, before the full team engages in January.

Objective:

- Finalize project plan, strategic planning process design and communication plan.

Key questions to address:

- Project governance:
  - Are there other stakeholders besides the BOR who should be part of the “client group” interfacing regularly with us (the consultant), reviewing findings, and providing guidance?
- Project management:
  - Who can act as Project Coordinator on the BOR’s behalf?
  - What is the best way to keep the BOR and the BOR Office apprised of our progress? What kind of status reports will be most helpful, and with what frequency?

- Stakeholder outreach plan:
  - Are there any other stakeholders besides the BOR who will be part of the "client group" interfacing regularly with us (the consultant), reviewing findings, and providing guidance along the way?
- Data request preparation:
  - How have institutions progressed to date, against the priorities identified in the prior strategic plan? Are there progress reports we can review?
  - What internal data will be helpful for us to collect (e.g., application/admit/enrollment trends; funding trends) and who are the point people across the System for this information?
  - What external data is the BOR interested in considering as part of the strategic planning process (e.g., demographic and economic data) and which state and local agencies may be able to provide us with this data?

Our perspective: While the BOR has ultimate oversight, and is responsible for creating strategic plans for the BOR and approving mission statements and strategic plans for the institutions, as well as monitoring progress on those goals, we believe it is important to involve a broader group of stakeholders in the planning process from the outset, to engender broader support for the plan and to create a group of "champions" within the system.

We propose creating a **Strategic Planning Steering Committee of 10-15 members** that might have the following representation:

- A few BOR members
- A few BOR Office leaders
- Select CEOs of institutions or their designees
- Faculty representation
- [A student representative is already on the BOR]

Another important touch point during the strategic planning process will be the **site visits.** We propose that the visits include the following groups at a minimum:

- Academic leadership (i.e., president, provost, selected deans)
- Administrative leadership (i.e., heads of key units such as enrollment management, research, finance and operations);
- Faculty representation
- Student representation

Key activities:

- Participate in Dec. 2nd telephonic meeting with the BOR (if there is room on the agenda for this) to finalize project governance and project management structure (including identifying Project Coordinator who will coordinate the project on behalf of the BOR and will be the primary point of contact for our team, both as a sounding board on content questions, but also someone who can help us navigate the institutional landscape).
- Facilitate a meeting of the broader Strategic Planning Steering Committee (SPSC) to coordinate and provide guidance to the overall strategic planning process, and to deliver recommendations to the BOR.
- In that meeting, finalize the communication plan and the stakeholder outreach plan.
- Agree on the format for the site visits (which groups should be included in the visit).
- Begin outreach to stakeholders to schedule interviews, both external interviews and site visits.
- Put in place weekly check-ins with Project Coordinator which will serve as a forum for sharing progress updates and raising any issues that may affect the momentum of the project.

- Working closely with the Project Coordinator, identify internal data to be collected, point people within BOR Office and institutions to provide this data, and launch data request.
- Collect and review any existing strategic documentation (priorities by institution and how they align to System strategic plan; progress against these priorities).
- Finalize site visit format and attendees (site visit to be conducted in January).
- Prepare materials for site visits (e.g., interview guides) and review these with the Project Coordinator,

Deliverables:

1. Communication plan detailing key messaging and engagement of constituencies.
2. Design recommendations for the strategic planning process.
3. Timeframe for regular activity reports relevant to the agreed upon scope of work (combination of meetings with BOR, SPSC, and Project Coordinator).

Important note on Phase 1:

- We assume that December 1st is feasible as a start date. Should that prove not to be the case and the start date is delayed, the entire project would need to be pushed out by another three to four weeks. We believe that these first few weeks on the project are absolutely critical to setting up the process design and stakeholder engagement in the right way. There is no good shortcut here.

Phase 2: SWOT Analysis (12/14/2015 – 1/29/2016)

We would lay the foundation for the SWOT analysis in December, but launch it in earnest in January.

Objective:

- Develop a robust SWOT analysis of the System that incorporates both internal and external perspectives, and grounds the strategic planning discussions in facts rather than anecdotes.

Key questions to address:

- Internal perspectives and data:
  - What do internal stakeholders see as the System's (and individual institutions') core strengths and weaknesses? Opportunities? Threats?
  - What is the data telling us? Where has the System/institutions made progress? What, if any, are the barriers to continued progress?
  - What do they believe the System and individual institutions should focus on over the next five years? How would they prioritize this? How might they measure success?
- External perspectives and data:
  - Similar questions asked of external stakeholders.
  - What role do they see the System/institutions playing in the state or Iowa? In the nation?
  - What do they think is going well? What are they concerned about?
  - What are the pertinent trends affecting higher education and, in particular, the Regent institutions that the System and its institutions should be prepared to respond to and reflect in their strategic plan?

Our perspective: We believe that the creation of a rigorous fact base is critical to **grounding the conversations in facts and reality,** and moving beyond opinions based on anecdotal or spotty "evidence. Development of a SWOT analysis ensures that senior leadership is "on the same page" regarding the current state and has a common understanding of the following issues:

- Key higher education sector trends
- Competitive landscape, including relevant benchmark data for peer institutions
- The System's positioning in the market
- The System's core capabilities
- Potential gaps/challenges that need to be addressed before the organization can move to the next level of performance

Key activities:

- Leverage our experience in higher education to highlight the trends that are likely to affect the System and its institutions (enrollment shifts toward "less traditional" students; "unbundling of degrees").
- Incorporate these trends into strategic planning discussions.
- Conduct 3-5 site visits (determine whether all five institutions require a site visit, or whether some of the discussions could be conducted by phone or other electronic means). During these site visits, engage pertinent stakeholders (academic leadership, administrative leadership, faculty, and students) in conversations re: progress to date, evolving priorities, opportunities, and potential barriers to success.
  - Note: Each site visit might last 1-1.5 days and include 6-10 meetings (either individual or group sessions).
- Conduct interviews with external stakeholders (e.g., business representatives, legislators) to get their perspective on the role of the institutions in Iowa, on key opportunities, and potential barriers standing in the way of taking advantage of these opportunities.
- Synthesize key themes from interviews and prepare summary materials for sharing with the BOR and SPSC.
- Facilitate a meeting with the SPSC in late January to review findings to date and reflect on how these findings current mission, vision, and goals, and how these may need to evolve to respond to the changing context.

Deliverables:

4. Thorough understanding of both the internal and external environment and significant issues which will affect the System.
5. SWOT analysis of the System and synthesized research and analysis of the pertinent demographics affecting higher education and, in particular, the Regent institutions.

Phase 3: Strategic Planning Process (12/1/2015 – 3/31/ 2016)

We would use the three weeks prior to the holidays to kick-start the project, engage key stakeholders and gather existing data. We would do this with a small team, before the full team engages in January.

Objective:

- Implement a participative strategic planning process that appropriately engages relevant stakeholders and helps ensure that the outcome has the support of those who must implement the strategies and actions detailed in the plans.

Key questions to address:

- What level of engagement is needed from various groups?
- What is the recommended meeting cadence?
- How do we ensure that stakeholders have an effective venue for sharing concerns or ideas?
- What are the different ways in which we can engage stakeholders, including those that are not as time and resource intensive as one-on-one in-person interviews?
- What are stakeholders' view not just on mission, vision, goals, and strategies, but also on what the performance measures could/should be?
- Give the particular System context, what kinds of mechanisms does it make sense to put in place to help execute the strategic plan?
  - E.g., are task forces an effective way to develop more detailed action plans?
  - How frequently should institutions report on progress against priorities?
  - Who will coordinate/monitor overall strategic plan implementation on behalf of the Regents?

Our perspective:

- **Participation and engagement:** We believe it is important to design a process that is participative and engaging. At the heart of our approach to strategic planning facilitation is the belief that if the plan is to prove successful, it must engage the broader community of internal and external stakeholders in a meaningful and genuine way. It must include voices and opinions that represent all relevant stakeholders to ensure that the outcome has the support of those who must implement the strategies and actions detailed in the plan. We feel this is consistent with the RFP, which notes, "Considerable attention must be spent in communication with stakeholders, including, but not limited to business and industry representatives, legislators, and institutional representatives."
- **On-going communication:** Throughout the process we focus on stakeholder communication and getting timely input and feedback from interested constituents. We have extensive experience in higher education, but our approach is to use that experience to provide a useful context for our facilitation rather than impose our ideas on the strategic plan.
- **Efficiency:** Leveraging the broad range of perspectives needed for engagement across the Iowa higher education system will require targeted efficiency in input collection. While site visits focusing on in-person interviews, focus groups, meeting with key internal and stakeholders provide rich information and will certainly be needed with many stakeholders, there are other data collection and collaboration tools we can deploy in order to gather input in a cost-effective manner. These tools include web-based surveys, webinars, and customized tools such as ThinkTank™. This tool is a powerful, online collaboration platform that allows key stakeholders to join virtually using a desktop, laptop or tablet to provide responses and feedback to predetermined questions. This critically acclaimed collaboration software enables participants, in the same room or in different locations, to rapidly brainstorm, share best thinking, vote on ideas and see session results in real time and anonymously.

Key activities:

- Beginning of December: Establish the Strategic Planning Steering Committee. We recommend that it consist of 10-15 key stakeholders (e.g., selected individuals from the BOR, the BOR Office, key campus leaders and faculty, and potentially representatives from business, industry and government as well) so that it can function as a bridge between the BOR and key internal and external stakeholders.

- By mid-December: In the initial meeting with the SPSC, agree on the Committee's charge, finalize the stakeholder engagement plan (who, when, for what purpose) and communication plan, and finalize the schedule of meetings with the SPSC.
- During January 11-22: Conduct first round site visits to institutions to gather inputs into the SWOT analysis, probe on context, recent developments, progress against current priorities, views on opportunities and on potential barriers.
- From January to early February, Develop initial strategic plan elements: Working with the SPSC, begin the process of drafting key planning elements such as vision, mission, core values, strategic plan priorities, and goals, accountability measures and targets.
- First week of February: Facilitate second meeting of the SPSC to review SWOT findings from the January site visits and to review any preliminary statements of vision, mission, core values, priorities, goals, and accountability measures.
- From early to mid-February: Conduct on-site visits and electronic communications. A key component of our planning process is the on-going consultation with Iowa institutions of higher education and key stakeholders in these institutions. Critical groups include institutional leaders, key faculty and Faculty Senate leaders, staff and students, alumni and institutional board members. Feedback and consultations will involve individual and group interviews, focus groups, open meetings, and other in-person interactions. In addition, where appropriate, other electronic forms of communications will be utilized to obtain the greatest range of input and feedback on the emerging strategic plan.
- Late February: Facilitate third meeting with the SPSC. The purpose of this session is to process the feedback and input obtained from second-round on-site visits and other outreach efforts and revise the initial draft plan based, as appropriate. Also meet with the BOR (February 24-25) to update them on recommendations to date.
- First few weeks of March: Gather additional feedback on the draft strategic plan from the SPSC.
- Week of March 21: Facilitate a fourth and final session with the SPSC to review the semi-final draft. Make recommendations about how to implement plan and how to monitor progress against goals.

Deliverables:

6. Engagement of key stakeholders in the strategic planning process by facilitating input sessions regarding the planning, vision, mission, and goals.
7. Method to assess the progress the System is making in addressing the goals and objectives of the strategic plan. This method must include quantitative performance measures.
8. Recommended plan of implementation based upon constituent input, including assistance with the development of a communication plan.

Phase 4: Strategic Plan Development (3/1 – 3/31/2016)

Objective:

- Develop final presentation to the BOR that includes the proposed strategic plan, complete with priorities, goals, and performance metrics.

Key questions to address:

- What resonates with key stakeholders in the draft plan? What does not?
- How can the draft plan be improved upon or made more clear?
- Is the roadmap to achieving goals clear?
- What else is needed to make sure the strategic plan is "actionable"?

Our perspective:

The strategic plan document needs to be:

- **Respectful:** Rooted in the context of the organization (in this case, the System).
- **Relevant:** Reflects themes surfaced during strategic planning input and feedback discussions and is not perceived as ignoring critical areas. Is based on your present and desired future capabilities and distinctions. Is broad enough for your various constituents, but focused enough to establish clear priorities.
- **Real:** Clear and concise, and presented in a way that can be easily understood, embraced, and repeated/ shared by key audiences.

A strategic plan has power to the extent that the stakeholders in Regents institutions can describe:

- The plan and its strategies in their own words
- The relevance of the plan and strategies to their work
- Their roles in making the plan successful
- Their gain in making the plan successful

Finally, to be truly effective, the strategic plan requires much more than a statement of priorities and measures. It needs to be accompanied by a practical, actionable implementation plan:

- **Clarity:** Clear roles and ownership and accountability
- **Accountability and supports:** Mechanisms to track and monitor progress, and to make course corrections, as needed

Key activities:

- Develop a draft of the strategic plan with priorities, goals, and metrics based on feedback from institutions, and sessions with the BOR and broader SPSC.
- Review draft in targeted feedback sessions with stakeholders (academic and administrative).
- Incorporate feedback and review semi-final draft in SPSC session in March.
- Finalize draft and share with the BOR for approval (this last step to be done by the chair of the SPSC).
- Assist the BOR Office in setting up implementation and monitoring mechanisms, to drive implementation of the strategic plan.

Deliverables:

9. Presentation to the BOR regarding the proposed strategic plan, including priorities, goals, objectives, and metrics.

6. Methodology

a. Design/solution development and implementation plans

Below are the types of supports we have provided to clients that have sought to develop a system strategic plan and develop performance metrics:

(1) We bring our higher education sector knowledge to bear and bolster that with targeted secondary research specific to our client's context:

- We synthesize our knowledge into key trends that are relevant for the BOR to consider.
- We research and summarize key local/regional trends affecting Regent institutions (e.g., demographic shifts, economic shifts).
- We bring in competitive landscape data (e.g., relevant benchmarks from peer institution set) to stimulate a dialog around opportunities, innovation, and what's possible.

(2) We assess the "current state" of the organization—its perceived strengths and weaknesses, and perspectives on key threats and opportunities—through direct engagement with relevant stakeholders:

- This can take the form of one-on-one interviews, surveys, or both.
- We then synthesize the input into themes (not attributed to any individual, but can be attributed to a group/category of stakeholders); this is helpful information for the System to have as it reflects on its future direction.

(3) We bring proven templates and approaches to facilitation that we can customize to the context of our client, e.g.:

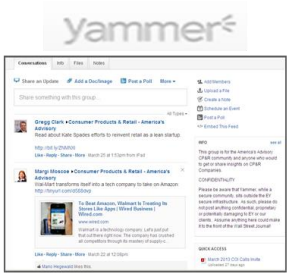
- "Homework assignments" (questions distributed in advance to spur thinking and to make sessions more productive)
- Worksheets to use during sessions to facilitate conversations
- Techniques to promote idea generation
- Prioritization techniques
- Polling techniques (including instant polling)

(4) We offer a host of collaboration tools:

- For example, ThinkTank™ is a powerful, online collaboration platform that we have used to allow key stakeholders to join virtually using a desktop, laptop or tablet to provide responses and feedback to predetermined questions. This critically acclaimed collaboration software enables participants, in the same room or in different locations, to rapidly brainstorm, share best thinking, vote on ideas and see session results in real time and anonymously.
- These kinds of tools can be very effective in:
  a. Generating ideas
  b. Voting on ideas/prioritizing ideas
  c. Discussion of what performance measures might be appropriate to assess progress against a given goal
- The graphic on the next page provides a sampling of collaboration tools that we offer to our clients. The benefit of these tools, in addition to ease of access and use, is also cost effectiveness relative to more costly alternatives such as in-person sessions. This is NOT a substitute for all in-person

engagement, but we believe it can be a cost-effective supplement, a way to engage significantly larger communities across the institutions at a fraction of the cost it would take to conduct all interactions in person.

- Think Tank is a tool that enables massive virtual collaboration allowing participants to build on one another's ideas, and categorize and prioritize the most pressing initiatives real-time
- The environment enables this to be done rapidly, simultaneously and in an engaging away



- Online, professional networking communities to bring organizations together
- Creates communities of common interests and enables discussions which encourage knowledge sharing and implementation "after the initial assessment and planning work is complete"

- Poll Everywhere is a simple application that enables live audiences using mobile devices to text comments to a presentation, questions to a presenter, web voting, and SMS interactivity
- The environment enables capture of a real time "pulse" from targeted audience on a topic, poll or question

(5) We want the process to feel genuine and for stakeholders to own ideas, but we are happy to put pen to paper and articulate first drafts:

- We remain objective, but we understand that everyone's time is valuable, that people have day jobs, and that you hired us to move a complicated process forward. We will often create draft documents for our clients that reflect a series of input/feedback sessions, so that the planning teams have something concrete to react to and modify. We have found this to be a big support for our clients on similar projects.

b. Implementation/consultation phase

Our experience to date with these types of projects has taught us that the following are key success factors to effective implementation:

- **A successful planning process:** A process that does not engender buy-in makes implementation very difficult, especially in academic institutions.
- **Practical/operational orientation:** The overall mission and vision are important, but it is equally critical to translate these statements of purpose into more operational measures at the strategy/action level.
- **Champion:** A plan champion who has the responsibility and authority to oversee the implementation plan.
- **Well-articulated implementation mechanism:** Some organizations transition the strategic planning committee to being a implementation committee; other organizations establish a brand new implementation committee. Some organizations create a single implementation committee; others create task forces or working groups focused on the key priorities. Each task force receives a charge and is responsible for the development and implementation of an action plan specific to their priority area.

- **Accountability mechanism:** Having clear action steps with accountabilities (who does what) and timelines (when is the strategy or action started and completed) helps implementation stay on track.
- **Clear communication plan:** Will keep stakeholders abreast of implementation progress and progress against goals. Often important from a transparency perspective.
- **Quick wins**: Ability to show the doubters that the plan is actually being implemented, to keep the momentum going (e.g., by celebrating accomplishments to date or raising the sense of urgency around issues that may not be progressing as hoped).
- **Systematic update and revision process:** A review of the plan at least once a year with key stakeholders helps to identify potential roadblocks and to make course corrections along the way. While the mission and vision will not change from year to year, it is not atypical to see changes at the strategy and action level, as more information becomes available to the institutions about the effectiveness of early actions.

We help our clients be effective in implement strategic plans and initiatives by providing the following kinds of supports:

- **Design phase:** In the strategic planning process design and execution phase, we make sure that the lessons shared above are incorporated into the work, so that we end up with a successful planning process, concrete performance measures, clear accountability mechanisms, a communication plan that lays out the type and frequency of communication, and recommends implementation structures.
- **Implementation phase:** Sometimes, at the request of the client, we play a more involved role during the implementation phase. Much of this depends on the client's capacity at the time to drive the implementation process. This capacity shortage is for the most part temporary, and we end up playing a "filler" or transitional role. Our assistance can take different forms, e.g.:
  - Serving as an external Project Management Office (PMO) until an internal PMO is established. This may also include providing training to future PMO members on jobs and responsibilities.
  - Recommending a task force structure (where each task force owns a specific content area for which it develops action plans and oversees implementation) and supporting these task forces in how they coordinate among one another and how they actually operationalize their respective plans.
  - Assisting implementation task forces in creating detailed implementation plans, progress metrics, and ongoing reporting systems.
  - Delivering training to key personnel on project management best practices, how to establish the right reporting systems, etc.
  - Helping clients create the right set of feedback loops between the task forces and senior leadership.
  - Coordinating implementation monitoring sessions (e.g., holding bi-weekly or monthly sessions with the Steering Committee responsible for overseeing task forces and overall implementation plan).

7. References

Client reference	Contact information	Project description and duration
For Parthenon-EY **State University System of Florida – Board of Governors**	**Dr. Nancy C. McKee** Associate Vice Chancellor +1 (850) 245-9676 Nancy.McKee@flbog.edu	We partnered with the State University System Board of Governors, state legislators and university leaders to develop strategic options for the expansion of online learning opportunities, with a focus on innovative online programs aligned to a range of high-need labor market areas. Duration: 3 months
For Parthenon-EY **University of Maine System**	**James H. Page** Chancellor +1 (207) 973 3205 jpage@maine.edu **Pat Shaw** Executive Assistant patshaw@maine.edu	We worked with the University of Maine System to evaluate a proposal to combine two graduate business programs and graduate law program into a single professional and graduate center focused on meeting labor market needs across the state. We assessed program demand from both students and employers, evaluated the long-term economic impact on the state, and analyzed detailed cost modeling of the current and proposed options. Duration: 4 months
For Academic Leadership Associates **University of Nevada, Las Vegas**	**Nancy Rapoport** Acting Executive Vice President and Provost + 1 (702) 895-5831 nancy.rapoport@unlv.edu	We worked with the University of Nevada, Las Vegas to develop and begin implementation of the Top Tier Strategic Plan. We worked collaboratively with the University leadership, faculty, staff, students and key external stakeholders to develop a detailed plan focused on moving UNLV to the tier of top 100 universities and achieve the Carnegie Classification as a Research University/Very High. In addition we continue to facilitate ongoing strategic planning process with several academic units ensuring their consistency with the UNLV Top Tier Plan. Duration: 9 months, ongoing.

8. Sample documents

We are including the following as sample documents to give you a better sense for the kind of work we do:

Strategic planning framework and approach: This should you give you a good sense of how we might approach the strategic planning process and building of the foundational fact base that would help anchor discussions around facts. Our objective is to provide our clients with practical and actionable strategic plans for their organizations—which extends beyond the articulation of vision and mission, and gets into translation of that vision into programmatic goals for units, development of organizational and financial requirements to achieve these goals on a sustainable basis, and creation of an implementation plan that identifies owners and provides clear timelines and milestones.

- Sample Document 1: *"Strategic Planning Framework and Methodology"*
- Sample Document 2: *"Application of Strategic Planning Framework – Case Study"*

SWOT analysis: The fact base we develop as part of the strategic planning process may take many different forms, depending on the needs and requests of our clients. It almost always includes both an external lens (so that the organization is continually aware of the context in which it operates and can respond to trends) and an internal lends (input from internal stakeholder groups). Sometimes, if the client is interested, we summarize this information in the form of a SWOT analysis. We provide one (disguised) example here from a strategic planning engagement with a non-profit client who specifically requested a SWOT assessment as part of the broader analysis

- Sample Document 3: *"SWOT Analysis Example"*

Strategic planning process execution: We are also including examples of documents that were utilized at various points of the strategic planning process to facilitate conversations. These examples are pulled from a recent engagement with the University of Nevada, Las Vegas. The documents can be located on their website https://www.unlv.edu/toptier/documents, but we are including the materials her as well for ease of reference.

- Sample Document 4: *"Strategic Planning Process Meeting Flow"*
- Sample Document 5: *"Sample Agendas"*
- Sample Document 6: *"Strategic Planning Logic Model"*
- Sample Document 7: *"UNLV Planning Process Summary"*
- Sample Document 8: *"UNLV vision, mission, strategies and measurements"*
- Sample Document 9: *"UNLV implementation process"*

In order to view the sample documents, please refer to Section 10. Appendix.

9. Cost of services

a. Comprehensive price proposal

We do not charge our clients or staff our engagements based on the number of hours worked overall or by phase. Instead, we allocate team members to projects on a percentage FTE basis. While this technically translates into some number of hours per week, our team members put in the hours needed to make sure that clients' needs are met and to ensure that the deliverables meet our high standards for quality and excellence.

We inquired about the feasibility of adopting this pricing approach when we submitted a separate response to an RFP recently issued by the Iowa Board of Regents regarding a Higher Education Needs Assessment project, and received a positive response to the question that we submitted as part of the RFP process.

We decided to submit a response for the Strategic Planning RFP after the deadline for submitting questions had passed. We hope that, given the response we received to our earlier inquiry to the Iowa Board of Regents (on the other RFP), you will accept our method of pricing—which is an aggregate cost figure and a ceiling for our expenses. The aggregate professional fees for the scope of services described earlier would be $480,000 for the 16-week period (excludes two weeks in December). Travel and research-related expenses typically run 15% of professional fees, but on this project we would cap them at $60,000.

We do, however, at your request, break out the aggregate cost by phase. Since some of the phases overlap, the pricing is by weeks of engagement (which roughly align to phases). Please see the table on the next page for this detail.

Note on Scoping and Pricing:

Our total professional fees are influenced by two factors—the length of the engagement and the intensity of support (number of resources assigned to the project at any point in time). We have translated the complexity of the project, as we understood it, into the staffing assumptions listed in the table on the next page.

We welcome the opportunity to discuss our approach and fees with you further—we want to make sure we are interpreting your needs correctly and that we are providing services to you in the most cost-effective way possible, without negatively affecting the quality of the analysis and the strategic planning process design and execution.

b. Milestone/deliverable schedule

The table below provides a proposed milestone schedule. We are open to discussing an alternative schedule.

	Milestone 1	Milestone 2	Milestone 3	Milestone 4
	After Wk 2	**After Wk 6**	**After Wk 10**	**After final deliverable received**
Deliverable	Project plan finalized and stakeholder outreach completed	Findings from first "batch" of stakeholder interviews synthesized	All findings from primary and secondary research synthesized	Draft final report
% Professional Fees Billed	30%	30%	30%	10%

Breakout of costs by phase

	30-Nov	7-Dec	14-Dec	21-Dec	28-Dec	4-Jan	11-Jan	18-Jan	25-Jan	1-Feb	8-Feb	15-Feb	22-Feb	29-Feb	7-Mar	14-Mar	21-Mar	28-Mar
	W1	W2	W3	W4	W5	W6	W7	W8	W9	W10	W11	W12	W13	W14	W15	W16	W17	W18
PHASES	**Phase 1**																	
			Phase 2															
	Phase 3																	
														Phase 4				
STAFFING	- Engagement Partner - Senior Consultant - Associate - 1 Senior Advisor participating in BOR/SPSC meetings and designing planning process			ASSUME INSTITUTIONS CLOSED FOR THE HOLIDAYS. NO WORKK/FEES.		- Engagement Partner - Senior Consultant - Consultant - 2 Associates - 2 Senior Advisors facilitating strategic planning process				- Engagement Partner - Senior Consultant - Consultant - Associate - 2 Senior Advisors facilitating strategic planning process				- Engagement Partner - Consultant - 1 Senior Advisor assisting with strategic plan iteration and implementation plan				
PROFESSIONAL FEES	**$48,000**			**$0**		**$184,000**				**$189,000**				**$59,000**				
AGGREGATE FEES	**$480,000**																	
EXPENSES *	**up to $60,000**																	

***** Actual project-related expenses will be billed in addition to professional fees. These expenses are primarily related to research (e.g., purchase of reports), travel, and material production/graphics support. Expenses typically run at 15% of total fees, but we are capping them here below the 15% threshold. We would seek approval for any unusual or extraordinary expense in advance.

ASSURANCES, REPRESENTATIONS, AND AUTHORIZATION TO RELEASE INFORMATION

The Bidder hereby assures and represents with respect to this proposal that:

1. It possesses legal authority to submit this proposal; that a resolution, motion or similar action has been duly adopted or passed as an official act of the Bidder's governing entity authorizing the submittal of this proposal, including all assurances, representations contained herein, and directing and authorizing the person signing below to act in connection with the application and to provide additional information as may be required.
2. It will comply with all applicable federal and state equal opportunity and affirmative action requirements.
3. All statements and information made or furnished to the Board are true and correct in all material respects. Bidder has not knowingly made any false statements in its proposal. Bidder acknowledges that supplying any information determined to be false, misleading or deceptive will be grounds for disqualification from consideration.
4. Bidder hereby authorizes the Board to obtain information regarding its performance on other contracts, agreements or other business arrangements, its business reputation, and any other matter pertinent to evaluation and the selection of a successful Bidder in response to this Request for Proposal. It authorizes the Board to research the company's history, make credit checks, contact the company's financial institution, contact former and current clients of the company, and perform other related activities necessary for reasonable evaluation of this proposal.
   - The Bidder acknowledges that it may not agree with the information and opinions given by such person or entity in response to a reference request. The Bidder acknowledges that the information and opinions given by such person or entity may hurt its chances to receive contract awards from the Board or may otherwise hurt its reputation or operations. The Bidder is willing to take that risk.
   - The Bidder hereby releases, acquits, and forever discharges the State of Iowa, Board of Regents, their officers, directors, employees and agents from any and all liability whatsoever, including all claims, demands and causes of action of every nature and kind affecting the undersigned that it may have or ever claim to have relating to information, data, opinions, and references obtained by the Board in the evaluation and selection of a successful Bidder in response to this Request for Proposal.
   - The Bidder authorizes representatives of the Board to contact any and all of the persons, entities, and references which are, directly or indirectly, listed, submitted, or referenced in the undersigned's proposal submitted in response to this Request for Proposal.

- The Bidder further authorizes any and all persons or entities to provide information, data, and opinions with regard to the undersigned's performance under any contract agreement, or other business arrangement, the undersigned's ability to perform, the undersigned's business reputation, and any other matter pertinent to the evaluation of the undersigned. The undersigned hereby releases, acquits and forever discharges any such person or entity and their officers, directors, employees and agents from any and all liability whatsoever, including all claims, demands and causes of action of every nature and kind affecting the undersigned that it may have or ever claim to have relating to information, data, opinions, and references supplied to the Board in the evaluation and selection of a successful Bidder in response to this Request for Proposal.
- A photocopy or facsimile of this signed Authorization is as valid as an original.

Kasia Lundy

Signature

KASIA LUNDY, MANAGING DIRECTOR

Type or Print Name, Title

Oct 16, 2015

Date

This form must be signed by an authorized representative of the Bidder and submitted to the Board along with Bidder's proposal.

RFP:	BOARD OF REGENTS, STATE OF IOWA, 2016- 2021 STRATEGIC PLAN
ENTITY:	Board of Regents, State of Iowa
RFP RELEASE DATE:	September 18, 2015

10. Appendix

PARTHENON

Sample Document 1

Strategic planning framework and methodology

EY

Strategic Planning Framework

Approach to Strategic Planning

Strategic Planning
Critical Stages of Work

1 Set the Stage

Establish vision, problem statement and guiding principles for the process

Establish Project Governance structure to refine vision and develop implementation plan (e.g., steering committee, working group, content experts, key stakeholder groups for gathering input and providing feedback)

2A Develop Factbase

The Steering Committee and Working Groups develop a shared point of view on the current state and issues to be addressed

2B Solicit Input

Formal mechanisms (e.g. surveys) as well as frequent collaboration with stakeholder representatives

3 Strategic Plan Development

Refine mission of organizations and goals for impact

Identify key strategic priorities and strategies to address these priorities

Articulate governance and organizational requirements to implement the plan

Develop a financial mode, including any investment needs to support growth and sustainability

4 Strategic Plan Implementation

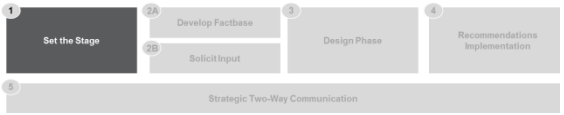
Develop a detailed implementation plan to deliver against the strategic plan and goals

Build on the consensus and teamwork from earlier phases for successful implementation

5 Strategic Two-Way Communication

Create regular communications customized to stages of the process, e.g.

- Phase 1: A broader communication to inform key constituents about intended direction and project governance
- Phases 2A and 2B: Input gathered through surveys, focus groups, 1:1 meetings, hotlines, etc.
- Phase 3: Recommendations vetted in a variety of forums and potentially modified as a result of the feedback
- Phases 3 and 4: Regular “pulse checks” to assess attitudes toward intended changes, perspectives on capacity, etc.



Strategic Planning Framework

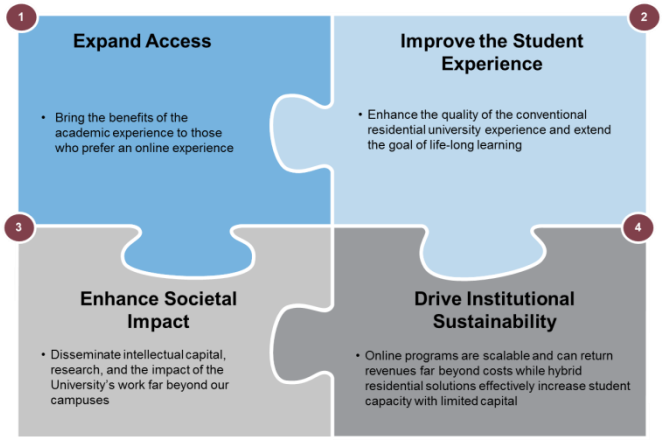
Phase 1: Set The Stage (Vision and Guiding Principles)

Set The Stage: Description

- A critical first step in the process is for the leadership team to set the stage with a **clear articulation of the challenge being addressed**, the **objectives** of the work, and **defined guiding principles** that will govern any solution
- This focus creates the "guiderails" within which the task forces can work. Where leadership will permit, it is **often useful to bring some of the key stakeholders into the process for input into the guiding principles** to increase buy-in, though ultimate decisions remain with the leadership team
- In this phase of work , leadership will also **define governance structures** and objectives for each group (steering committee and task force membership, and "charters" for each group)

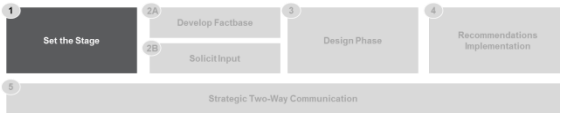
Sample Work

Investing in high quality digital offerings is imperative to embrace and fulfill the University's mission



A set of guiding principles will inform how University seeks to advance these objectives

1) A high quality digital offering will be created to advance the academic mission of the university
2) The schools and divisions will retain control over the quality of academic courses and programs
3) Technology will enhance the immersive campus experience for certain students and offer an alternative to that experience for others, but it will not displace that experience as an integral component of the university
4) The university will focus on offering premier and sustainable post-baccalaureate online degree offerings while also using technology to augment in-classroom education across the university
5) The university will maintain its high admissions selectivity across online programs
6) The university will invest in technology, expertise and operating platforms in a manner commensurate with a high quality offering
7) The university will harness the best available research and evidence on learning in implementing its digital offering



Strategic Planning Framework

Phase 1: Set The Stage (Governance Structure)

Typical Governance Structure for Phases 1-3

Overall Approval

University Board of Trustees
or
University President

Project Governance

Steering Committee
(e.g., Provost and other senior University leadership, selected deans, influential members of the University community who may play a role in implementation, project/issue champions, etc.)

Project Management

Working Group
(e.g., operational/"management" counterparts of Steering Committee members, will be involved with implementation)

Advisory/Input Groups (examples)

Internal
- **Deans**
- **Faculty**
- **Staff in Affected Areas**
- **Students**

External
- **Business/Employers**

Governance Structure will Often Be Different In Phase 4 (Implementation)

Overall Approval

University President or designee (e.g., Provost or SVP)

Project Governance

Transition Committee
(membership likely different than the Steering Committee; shifts toward those who will be more directly involved in implementation of recommendations)

*Implementation Management **

(Function or Issue Specific)

- **Academic Subcommittee**
- **Technology Subcommittee**
- **Human Resources Subcommittee**
- **Legal Issues Subcommittee**
- **Communications Subcommittee**

* This example represents a task force structure developed for the purposes of integrating an external entity into the University

Strategic Planning Framework

Phase 2A: Develop the Factbase

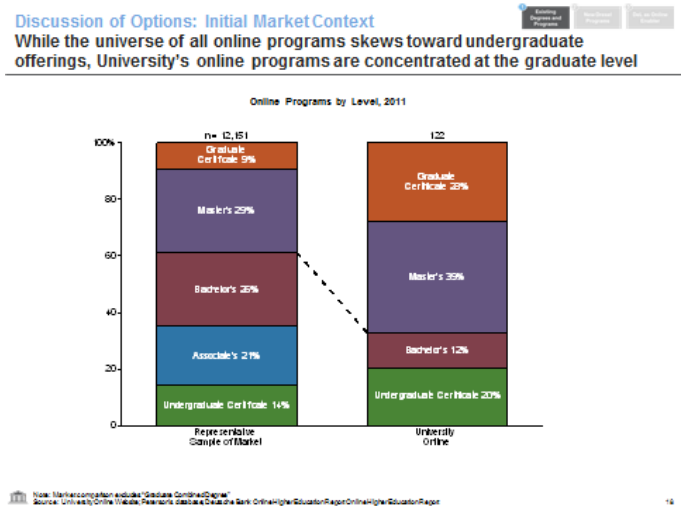
Develop the Factbase: Description

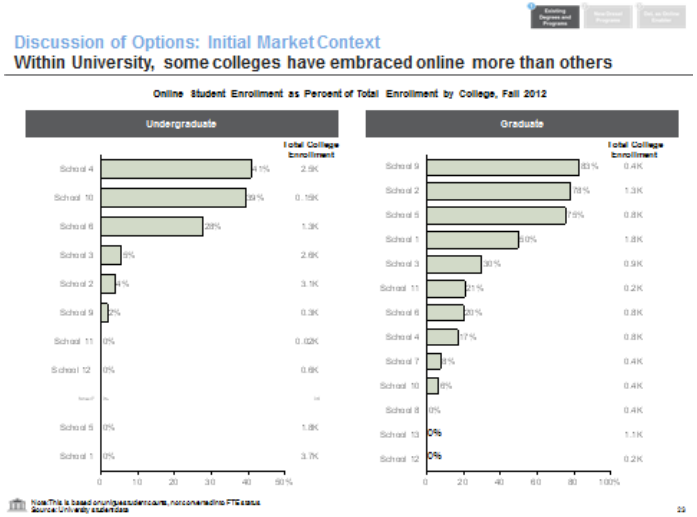
- A hallmark of Parthenon-EY's approach to change management, the creation of a rigorous factbase allows us to **ground the conversations in facts and reality,** and move beyond opinions based on anecdotal or spotty "evidence"

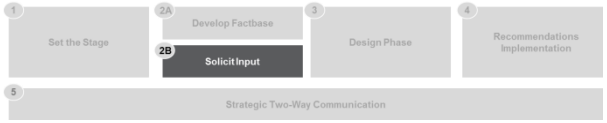
- This focus ensures that **senior leadership (e.g., steering committee) is "on the same page" regarding the current state and has a common understanding of the following issues:**
  - Key market trends
  - Competitive landscape
  - The organization's positioning in the market
  - The organization's core capabilities
  - Potential gaps/challenges that need to be addressed before the organization can move to the next level of performance

- In this phase of work , we are able to create the foundation for **meaningful stakeholder engagement.** The factbase is in part built based on input provided by various stakeholder groups (see Phase 2B). It also provides additional opportunities for engagement, to **discuss implications of factbase findings**

Sample Work







Strategic Planning Framework t

Phase 2B: Solicit Input

Solicit Input: Description

- It is important to have **an intentional approach to soliciting stakeholder input.** Having an "intentional" approach includes the following:
  - Segmenting stakeholders into relevant groups
  - Developing an initial baseline understanding of these groups' perspectives to adequately prepare for meetings
  - Determining which input formats are appropriate for which audiences
- **There is a broad range of formats,** ranging from **one-on-one meetings** (e.g., with senior leadership, key influencers, potential "detractors") to **focus groups/working sessions** to **surveys** that target entire stakeholder populations (e.g., deans, faculty, staff, students)
- **"We have not only listened, we heard you" approach:** Creating opportunities for feedback is not sufficient, there needs to be some evidence that input is being incorporated and is helping refine recommendations. Also needed is a "close the loop" process to communicate this back to those who provided input (and to the community more broadly)

Sample Work

Rationale for moving online appears primarily driven by demand, access and sustainability, and impact

1 Demand

Our students expect and demand online options to be available too them

- *"Students were just so happy with the convenience factor"*
- *"We offered online and our part-time students switched. Have you ever sat in 4pm traffic on the beltway?"*
- *"Over 50% of our online courses are taken by onsite students who want more flexibility"*
- *"Competition is increasing with University X because they have more flexible and cheaper offerings"*
- *"We are going to get left behind unless we do something. Students are asking for online"*

2 Access

Access to a greater pool of high quality applicants will help us to further enhance our mission globally

- *"Our core market is changing; online programs give us a way to meet demand and address the needs of current students"*
- *Online enables us to reach students around the world – in Africa, the Middle East, South East Asia – that we would otherwise not be able to reach*

3 Sustainability

We face capacity and funding constraints that could be eased by the addition of online students

- *"The primary interest is in growing the number of enrollments through online; revenue generation is a goal. We believe online can help us showcase our school"*
- *"Online courses can allow us to grow our total enrolments by reducing the class time per student"*
- *"We are at capacity. Online can increase our capacity"*

4 Impact

The ability to share our work with a wider online audience increases impact

- *"Our mission is to educate people globally about issue X, and online helps us do that"*

What we did not hear very often: the belief that online can improve the student experience

Concerns exist as to how to move forward

1 Faculty Resistance

Our faculty are hesitant about changes that effect their course delivery and workload

- *"Challenges…getting faculty who want to do new things"*
- *"Our faculty don't know how to utilize online"*
- *"We also have faculty who tend to be resistant to online"*

2 Brand Dilution

Our brand is one of our most valuable assets and could be threatened by the move to online

- *"We would like to be at the forefront of online education while retaining our selectivity"*
- *"[Can you maintain] consistency with admissions standards"*

3 Lack of Supports

We currently lack the marketing, funding, and competency necessary to move online in a systematic way

- *"Marketing. We are so small – we can't market our programs. We believe we are losing out"*
- *"There's a lack the funding; we don't have the ability to market."*

4 Unmet Technical Needs

We currently do not have the infrastructure and support services to develop the online programs we could be offering

- *" We just don't have the infrastructure in place to be able to move at the pace we would like to"*
- *"We are a small school; it's tough for us to build the capabilities needed for course design on our own"*

Strategic Planning Framework

Phase 3: Strategic Plan Development

Plan Development: Description

- **Our work in this area focuses on three key areas:**
- **Refinement of mission and goals for impact:** In facilitated sessions with Working Team and Steering Committee members, we utilize the fact base developed in Phase 2A to drive toward agreement on mission for the organization (or unit), role in the broader field, point of differentiation, areas of strength and potential challenges that would need to be overcome
- **Development of key priorities and prioritization of initiatives mapped against these priorities.** We facilitate discussions to get to broad agreement about key priorities and then help the organization evaluate current programmatic activities against strategic goals as well as identify new programmatic activities in support of the goals.
- **Articulation of organizational and financial requirements:** We work closely with key stakeholders, decision-makers and "middle management" to outline specific organizational and governance requirements to support prioritized programmatic efforts, quantify investments required to support growth, and develop a financial model to support growth and sustainability

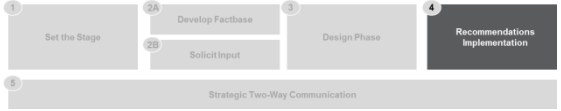
Sample Work

The School aims to provide a higher quality offering to more students; three broad strategy levers can translate the vision into action

Vision	The SCHOOL is a distinctive and nationally recognized program whose graduates are well prepared for citizenship, careers, and life in a rapidly changing global economy
Mission	*As a learning community, we use the power of communication and digital media to make a difference*
Strategic Levers	1 Drive Curricular Reform that Enables Distinctive Interdisciplinary Programs 2 Make Real-World Learning an Integral Part of the Harrington School 3 Increase the Flexibility of the Program to Expand the Addressable Market of Students
Programmatic Initiatives	From 50+ to 12 initiatives over 5 years
	• Distinctive interdisciplinary programs • Location-specific immersion programs • Expanded faculty hiring and graduate investment • Faculty job shadowing • Spaces for research collaboration
	• Digital boot camp – "The Hub" • Experiential learning programs for faculty & students • Los Angeles internship program • Advising and career network (incl. dedicated career services and internship program support)
	• Accelerated degree program: 3-year bachelor degree • High School Pathway and summer programs • Online and blended programs, incl. 2+2 and 4+1 programs

The University aims to increase the retention of online students by improving the quality of its online offering; three governance structures are under consideration to execute this vision

Goals	Create a cohesive University-wide approach to e-learning that builds on the University's existing assets in order to (1) continue to grow online student enrollment, and (2) improve the retention of online students		
Guiding Principles	• Look both internally and externally for best practices that can be adopted at scale • Pursue competitive pricing but not at the expense of quality (protect University brand) • Student services are just as critical as academic quality to student retention and graduation. Online students will be provided with high-quality services of a different type than onsite students, to meet their unique needs and challenges		
Governance Structures	1 A separate and independent "Online College" outside the University that has full academic and administrative responsibilities	2 A separate Online College within the University that has full academic and administrative responsibilities, but also provides online services to other Colleges	3 An administrative unit within central administration that provides online services University-wide, while instruction is delivered in existing Colleges
Pros	• Full control over the entire student experience, from first contact to post graduation • Protects University from any negative perceptions / potential negative impact on brand	• Full control over entire student experience • Centralizes key functions related to online learning, creates economies of scale, and is able to attract higher caliber talent	• Centralizes key administrative functions related to online learning, creates economies of scale, and is able to attract higher caliber talent • Perceived as more neutral than an Online College who would compete with other Colleges for online students
Cons	• Further bifurcation of students by learning modality • Does not allow rest of University to leverage world-class services created within independent College	• Potential conflict of interest – perceived lack of objectivity vis-à-vis other Colleges also servicing online students	• Does not have full control over all aspects of student experience; relies on other departments/units to deliver high quality of services and improve student retention



Strategic Planning Framework

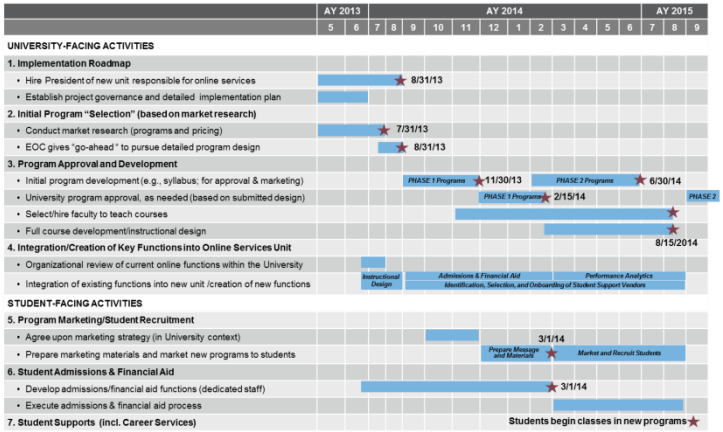
Phase 4: Recommendations and Implementation

Strategic Plan Implementation: Description

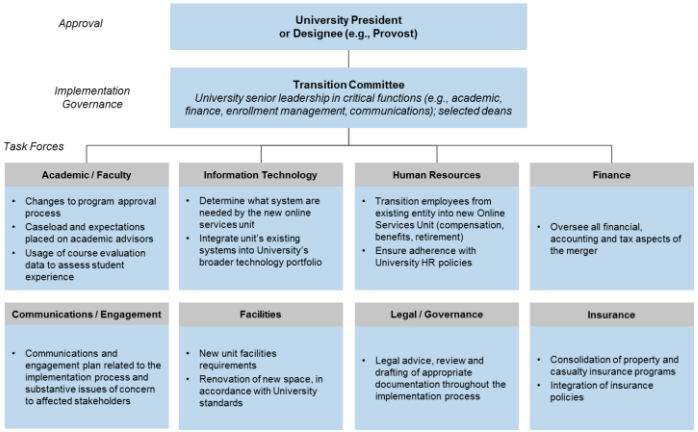
- The first step typically involves **additional refinements to recommendations and development of implementation plans.** One way to accomplish this is through individual interviews or group sessions with prospective program/activity owners. Another way—which we use especially when charged with building capacity of the organization—is a **task force structure,** where each task force has a separate "charter" and is responsible for fully fleshing out the implementation plan for a particular programmatic initiative or a functional area within the organization
- The **implementation plans** need to articulate clear timelines and milestones to measure implementation progress, and identify leading risks and contingency needs
- **Task forces should be diverse enough that they represent the relevant points of view** (e.g., members represent the areas that will be most affected within the organization), but not so large that facilitation of meetings and decision-making will be difficult. Task forces should not exceed 10-12 members
- **There should continue to be an oversight structure in the form of a Steering Committee,** which meets on a regular and frequent basis to ensure ongoing progress and accountability
- **This phase provides rich opportunities for stakeholder engagement.** Task forces can draw upon the broader expertise of staff within their departments, pursue opportunities to communicate progress organization-wide, develop and document new processes, train staff on new procedures and processes, etc.

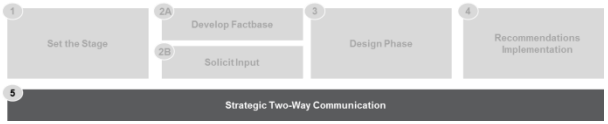
Sample Work

University Online Strategy Improvements:
Roadmap for Implementing Key Recommendations



Implementation Governance and Management Structure





Strategic Planning Framework

Ongoing Communications

1 Set the Stage

2A Develop Factbase

2B Solicit Input

3 Concept or Plan Design

4 Recommendation Implementation

5 **Strategic Two-Way Communication: Examples from Prior Work**

- **Broad announcement to organization** re: initiative being undertaken:
  - Briefly summarizes initiative and its objectives
  - Lays out project governance structure, identifying steering committee members and chair
  - Signals that there will be future opportunities for input
- **Interviews** with senior leadership/management/content experts to understand current state and individual perspectives
- **Focus groups** with targeted groups (to get a deeper qualitative perspective on issues, understand concerns, etc.), leveraging standing meetings or scheduling special meetings
  - E.g., Dean's Council or faculty within a certain department or school
- **Large group/"town hall" type meetings** (work better for information sharing than for soliciting input)
  - E.g., Faculty Senate or University Executive Council (senior and middle management across key academic and administrative areas)
- **Working sessions with Steering Committee/Working Group**
- **Task forces** established to refine recommendations and develop detailed implementation plans
- **Continuation of interviews/ working sessions** as needed to refine/modify plans (e.g., content experts, staff in affected areas)
- **Training** of key constituents on new policies, procedures
- **Creation and active use of reporting and monitoring processes** to jointly address any implementation challenges
- **Continuation of working sessions with the Steering Committee** during year one

Other Types of Communications (mostly one-way)

- References to initiative's progress in standing communications from President to broader community
- Additional regular communications (email letters) from the President to the broader community
- Surveys of specific populations (e.g., faculty, administrators, students)
- Website or Intranet provides access to objectives, status, FAQ's, training materials
- Hotlines (e.g., submission of questions/suggestions by email)
- Annual Progress Reports

Strategic Planning Framework
Results

A practical and actionable strategic plan for the organization, which includes:

- A clear vision and mission for the organization going forward
- Specific organizational and programmatic goals
- Detailed organizational and financial requirements to achieve goals on a sustainable basis
- A comprehensive implementation plan that addresses organizational, governance, and financial needs, and provides clear timelines and milestones against which to evaluate progress
- A strategic plan “document” that is user-friendly for both presentation and “leave-behind” purposes

PARTHENON

Sample Document 2

Application of strategic planning framework and methodology: case study

EY

Strategic planning framework
Approach to strategic planning

Strategic Planning
Critical Stages of Work

1 Set the Stage

Establish vision, problem statement and guiding principles for the process

Establish Project Governance structure to refine vision and develop implementation plan (e.g., steering committee, working group, content experts, key stakeholder groups for gathering input and providing feedback)

2A Develop Factbase

The Steering Committee and Working Groups develop a shared point of view on the current state and issues to be addressed

2B Solicit Input

Formal mechanisms (e.g. surveys) as well as frequent collaboration with stakeholder representatives

3 Strategic Plan Development

Refine mission of organizations and goals for impact

Identify key strategic priorities and strategies to address these priorities

Articulate governance and organizational requirements to implement the plan

Develop a financial mode, including any investment needs to support growth and sustainability

4 Strategic Plan Implementation

Develop a detailed implementation plan to deliver against the strategic plan and goals

Build on the consensus and teamwork from earlier phases for successful implementation

5 Strategic Two-Way Communication

Create regular communications customized to stages of the process, e.g.

- Phase 1: A broader communication to inform key constituents about intended direction and project governance
- Phases 2A and 2B: Input gathered through surveys, focus groups, 1:1 meetings, hotlines, etc.
- Phase 3: Recommendations vetted in a variety of forums and potentially modified as a result of the feedback
- Phases 3 and 4: Regular “pulse checks” to assess attitudes toward intended changes, perspectives on capacity, etc.

Case study
Phase 1: Setting the stage

Goals

Create a cohesive University-wide approach to e-learning that builds on the University's existing assets in order to (1) continue to grow online student enrollment, and (2) improve the retention of online students

Guiding Principles

- Look both internally and externally for best practices that can be adopted at scale
- Pursue competitive pricing but not at the expense of quality (protect University brand)
- Student services are just as critical as academic quality to student retention and graduation. Online students will be provided with high-quality services of a different type than onsite students, to meet their unique needs and challenges

Project Governance

Final Approval — **Board of Trustees**

Preliminary Approval — **President of the University**

Oversight — **Steering Committee** *(selected University Trustees, Provost, selected Senior Vice Presidents)*

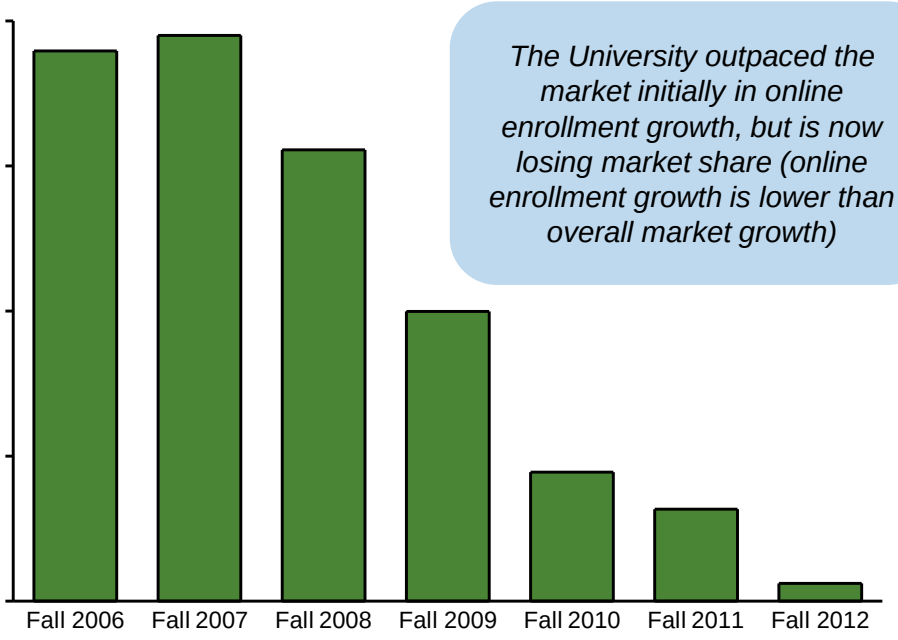
Management — **University Project Owner** *Member of the Steering Committee*

Areas of Focus

Internal University Analysis (Programs, Students, Retention, Costs, etc.)	External Analysis (Market and Competitive Landscape)	Identification of Governance Options	Option Evaluation and Selection
Parthenon-EY works with University content experts identified by Steering Committee members	Parthenon-EY and Steering Committee jointly agree on subset of institutions to analyze in detail. Parthenon-EY conducts the interviews	Identified through analysis of external benchmarks	Achieved through working sessions with the Steering Committee, taking into account broader input from stakeholders

Phase 2A: Developing the factbase

Online Enrollment Growth, as measured by Fall Enrollments (Fall 2006 to Fall 2012)

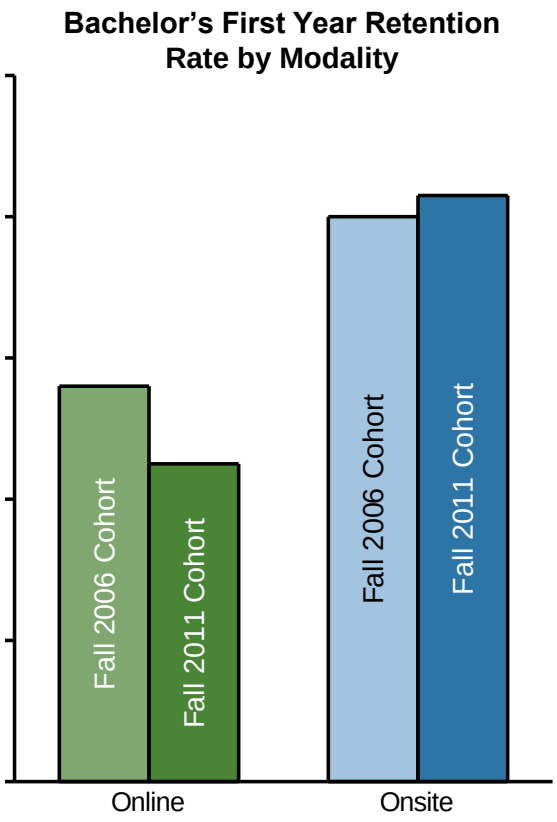


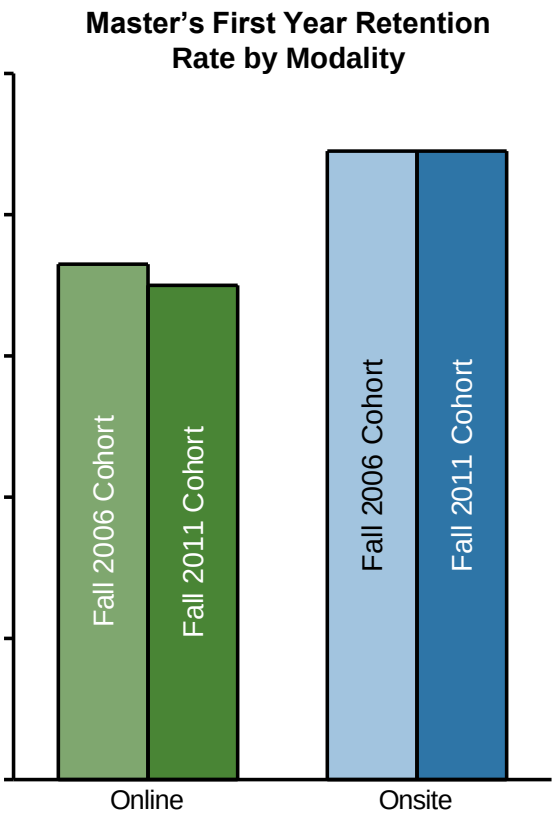
The University outpaced the market initially in online enrollment growth, but is now losing market share (online enrollment growth is lower than overall market growth)

Online Enrollments by Level, 2011

- **Increased Competition Driving Down Prices:** The University's online enrollment has slowed relative to historic levels, perhaps indicating that the University is beginning to saturate demand for higher price point offerings
- **Potential Opportunity to Adjust Program Mix:** While the universe of all online programs skews toward undergraduate offerings, the University's online programs are concentrated at the graduate level

Case study
Phase 2A: Developing the factbase





- **At the bachelor's level,** first to second year retention of online students is significantly lower than that of onsite students, suggesting perhaps that these students need a different array of services to persist at the University
- **At the master's level,** first to second year retention rate is significantly higher than that of online bachelor students, and while it still lags onsite master's students, it is much closer to that level – suggesting that the needs of master's students may be similar, regardless of modality

Case study

Phase 2B: Soliciting input on governance options

INPUT SOLICITED THROUGH:
Working Sessions with Steering Committee; Working Sessions with Key Stakeholder Groups (Dean's Council, University Executive Council, Faculty Senate)

	1	2	3
Governance Options	**A separate and independent "Online College" outside the University that has full academic and administrative responsibilities**	**A separate Online College within the University that has full academic and administrative responsibilities, but also provides online services to other Colleges**	**An administrative unit within central administration that provides online services University-wide, while instruction is delivered in existing Colleges**
Pros	• Full control over the entire student experience, from first contact to post graduation • Protects University from any negative perceptions/potential negative impact on brand	• Full control over entire student experience • Centralizes key functions related to online learning, creates economies of scale, and is able to attract higher caliber talent	• Centralizes key administrative functions related to online learning, creates economies of scale, and is able to attract higher caliber talent • Perceived as more neutral than an Online College who would compete with other Colleges for online students
Cons	• Further bifurcation of students by learning modality • Does not allow rest of University to leverage world-class services created within independent College	• Potential conflict of interest – perceived lack of objectivity vis-à-vis other Colleges also servicing online students	• Does not have full control over all aspects of student experience; relies on other departments/units to deliver high quality of services and improve student retention

Case study

Phase 3: Strategic plan development and system design (organizational structures, processes, job roles)

Value chain of online services

Market research	Course material creation	Marketing	Enrollment	Student success	Technology platforms and support	Data & analytics
Program proposal	Program conception	Direct to consumer	Enrollment coaching	Instruction	Support for online staff (e.g., on Salesforce)	Marketing spend/ effectiveness
Program pricing and projections	Course design	Corporate/ channel partnerships	Unofficial transcript evaluation	Academic advising	Support for faculty (e.g., Blackboard)	Enrollment analytics
	Faculty training		Admissions	Success coaching	Support for students (e.g., Blackboard)	Coaching analytics
			Financial aid	Career services		Retention analytics
			Official transcript evaluation			Quality of instruction
						Quality of instructional design

- **Agreement on key functions** reached through in-depth discussions with the Steering Committee and validated through 1:1 interviews with University stakeholders
- **Details of each function** (who is responsible for the function – new unit, other administrative units, or colleges; what the detailed responsibilities are; etc.) were developed through working sessions with relevant stakeholders across the University
- Working sessions also informed the development of **service level agreements** between the new unit and other administrative units at the University

Case study

Phase 3: Soliciting input during the design phase
"Collaborative design of optimal system"

To design the system, Parthenon-EY conducted over 40 interviews and working sessions over 2 months

Program design/ course material creation

- President
- Provost
- Vice Provost of Academic Affairs
- Chair, Faculty Senate
- Senate Committee on Faculty Affairs
- Head of Instructional Design
- Instructional designers at colleges

Enrollment & financial aid

- SVP, Enrollment Management
- Enrollment counselors
- Admissions officers
- VP for Financial Planning and Student Financial Services
- Financial aid officers

Technology platforms and support

- Senior Vice Provost for Budget, Planning, & Administration
- CIO
- AVP, Instructional Technology Support
- Director, Software Services

Market research

- Content Expert, Labor Markets and Policy
- SVP, Marketing
- Deans of Colleges

Marketing & recruitment

- SVP, Marketing
- Director of Marketing
- Director of Corporate Partnerships

Student success

- Deans
- Selected faculty teaching online
- Academic advisors serving online students
- Director, Student Life
- Senior Associate Vice Provost for Career Education

Data & analytics *(feedback loops to schools)*

- Deans
- Director, Academic Information & Systems
- Head of Institutional Research (IR) and IR staff

Creation of New Administrative Unit and Centralization of Functions within that Unit

Legal
- Associate General Counsel

Finance
- SVP Finance and CFO
- Controller

HR
- VP HR
- Director of Benefits

Space/Facilities
- Student Life and Administrative Services

Case study

Phase 4: Implementation of recommendations

Approval

University President or Designee (e.g., Provost)

Implementation governance

Transition Committee

University senior leadership in critical functions (e.g., academic, finance, enrollment management, communications); selected deans

Task forces

Distinct charges related to overall recommendations

Academic/Faculty

- Changes to program approval process
- Caseload and expectations placed on academic advisors
- Usage of course evaluation data to assess student experience

Information Technology

- Determine what system are needed by the new online services unit
- Integrate unit's existing systems into University's broader technology portfolio

Human Resources

- Transition employees from existing entity into new Online Services Unit (compensation, benefits, retirement)
- Ensure adherence with University HR policies

Finance

- Oversee all financial, accounting and tax aspects of the merger

Communications/Engagement

- Communications and engagement plan related to the implementation process and substantive issues of concern to affected stakeholders

Facilities

- New unit facilities requirements
- Renovation of new space, in accordance with University standards

Legal/Governance

- Legal advice, review and drafting of appropriate documentation throughout the implementation process

Insurance

- Consolidation of property and casualty insurance programs
- Integration of insurance policies

PARTHENON

Sample Document 3

SWOT Analysis Example

EY

Perspectives from the Field: SWOT Framework

Mission: *X is committed to transforming public education through powerful ideas and passionate entrepreneurs so that all children — especially those in underserved communities — have the opportunity to succeed*

	HELPFUL to achieving the organization's objective	HARMFUL to achieving the organization's objective
INTERNAL Factors	**Strengths**: How do you use your strengths to minimize the impact of threats?	**Weaknesses:** How do you ensure your weaknesses will not stop you from taking advantage of the opportunities?
EXTERNAL Factors	**Opportunities:** How do you leverage your strengths to benefit from the opportunities in the field?	**Threats:** How will you fix weaknesses that could allow external threats to have a real (negative) impact on your organization?

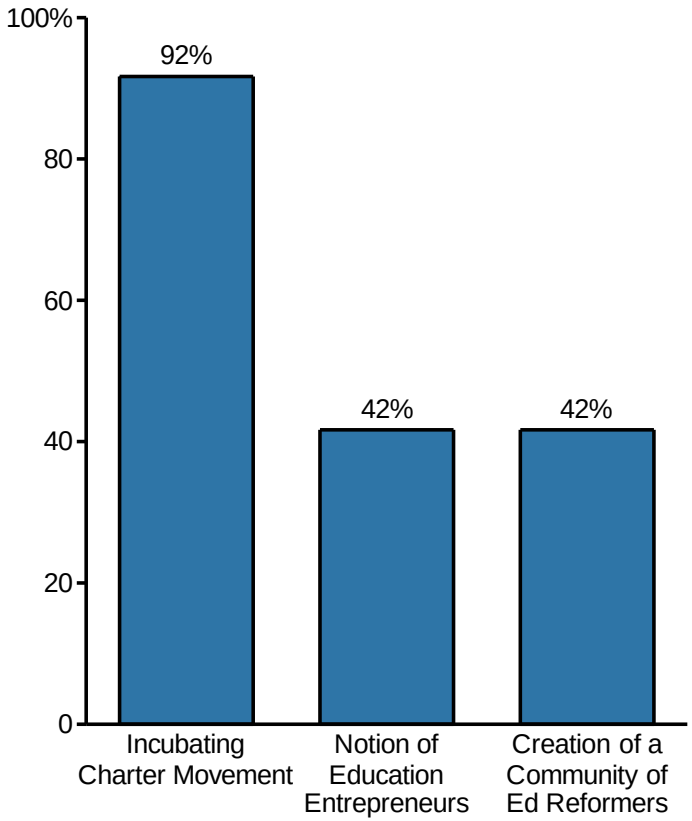
Perspectives from the Field: SWOT Framework Application (non-profit organization)

	What We Heard	
	HELPFUL to achieving the organization's mission and objectives	**HARMFUL to achieving the organization's mission and objectives**
INTERNAL Factors	**Strengths** • Strong historical impact • Powerful brand that translates into strong convening power • National footprint and reach • Signal of quality and credibility in the market	**Weaknesses** • Perceived as lacking focus • Perceived as being siloed • Perceived as becoming more risk averse • Perceived as losing its edge for supporting ventures in the start-up phase
EXTERNAL Factors	**Opportunities** • Next generation of funders with higher risk profile • Assistance with smaller "check size" grant-making is appealing to institutional funders • Personalized learning school models are still nascent and "messy" • Connections between demand (schools) and supply (products & services) are weak	**Threats** • "Disintermediation" in the more mature markets • Intermediaries with sharper or niche focus emerging in the space

Perspectives from the Field: Strengths

X is credited with seeding the charter movement, introducing the notion of an education "entrepreneur," and creating one of the strongest networks of education reformers

Perceptions X's Significant Achievements
(*Percent Mentions*)



Commentary

X played a critical role in catalyzing the charter movement

- *"They were the critical incubator around CMOs with an emphasis on both quality and scale"* – Funder
- *"The greatest impact was in their early years building the charter sector we now have. Incubating that and helping find talented leaders to launch high quality schools"* – Funder
- *"They were pivotal as the catalyst around charters. At the time, it was a sector with failed attempts at commercial funding…they stepped in as a capital source"* – Thought Leader

X created the notion of an education entrepreneur

- *"X defined education entrepreneurship; that was not something I knew existed when working as a teacher"* – Grantee
- *"X was pretty groundbreaking when they launched. There was no sense of venture philanthropy in education"* – Thought Leader
- *"X introduced that there is a role for entrepreneurs to engage in the education sector"* – Funder

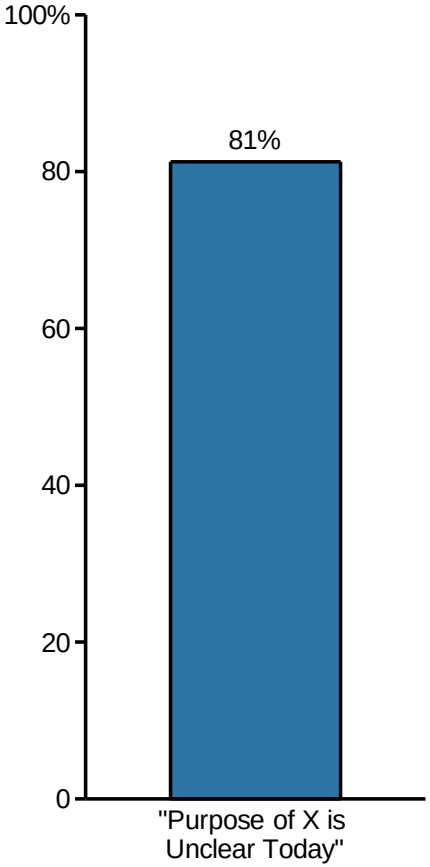
X convenes education entrepreneurs and leaders to create a strong network and community of practice

- *"They nurtured the ed reform space through Summit by pulling people together, recognizing new organizations and entrepreneurs, and introducing them to a network of like-minded people to move the work forward"* – Funder
- *"X has built a strong community from the leader side…They keep those folks connected on a yearly basis or more. Their conference is one of the most well attended and useful meetings that happens each year"* – Funder
- *"They helped us create a community of practice"* – Grantee

Perspectives from the Field: Weaknesses

Interviewees identified a potential loss of focus that could get in the way of X reclaiming its place in the broader ecosystem, but voiced optimism that this issue can be addressed

What is X's role in the market today?
(% Respondents)



Lacks Focus

- *"The **market is confused** about what X does"* – Thought Leader
- *"**They became more diverse and less focused.** They kind of **lost their central purpose** and didn't replace it with a new single central purpose"* – Funder
- *"I just think they are **doing too many things slightly better than adequate right now**" – Funder*

Siloed

- *"**Nothing ties together the different funds well**, at least to the outside observer. If there is a good elevator pitch around that, I have not heard it"* – Funder
- *"Seems like **it's gotten much more siloed as each partner became his/her own island,** leading to less rigor, more relationship-based investment, more divergence from early model to more places of where could we take board seats"* – Thought Leader

Risk Averse

- ***"**They were the first to take a risk and helped signal for less connected or knowledgeable funders where to go. Today, it seems like they back CMOs that are already really strong. **They do not necessarily bring anything new to the table**"* – Funder
- *" X **used to take bigger risks** and be more innovative"* – Funder

Losing its edge for supporting ventures in the start-up phase

- *"At least from the outside, there **seems to be a mismatch between the skillset of the team and the needs of the entrepreneurs**"* – Thought Leader
- *"Focus can help you get the right skill sets. If you know what you are trying to achieve, you are hiring a certain kind or people that fit the required skillset. **I don't understand how the people at X fit together as a collection**"* – Funder

Sample Document 4

Example of Strategic Process Execution

Sample Document 4: Example of Strategic Process Execution

University of Nevada, Las Vegas

Tier One Process: Phase 2

Proposal Timing	Proposal Details	Revised Timing	Revised Details
Late September	Engage the campus and external community in a feedback loop that tests the assumptions in the White Paper and gathers their vision for the goals and objectives, and their preliminary input on suitable metrics of success. The precise number, type, and timing of events would be determined by UNLV with input from ALA. Possible formats might include open meetings, focus groups, or short retreats for specific constancies such as faculty, staff, students, community leaders, etc.	October 1-2	Half-day meeting of the Initiative Committee: • Overview of Tier One and the white paper • Visioning exercise: attributes of UNLV as Tier One university • Examine charge questions and make preliminary determinations about how the subcommittee will answer them • If time, begin drafting goal/metrics Subcommittee deliverables by (October 30) • Draft the Tier One goal for their area • Draft 2-5 success metrics for their area Plus, other meetings as scheduled with key constituencies. ALA will facilitate discussions built around the visioning exercise (see above).
		October	Any additional meetings of the subcommittees they deem necessary and/or any outreach the subcommittees may elect to pursue
Early October	Use the information obtained from the feedback loop to develop a draft document outlining UNLV's Tier One goals and metrics of success.	End of October/ Beginning of November	ALA will collect and format the subcommittee-related goals and metrics, and draft an over-arching goal for the Tier One process to be vetted by the Executive Committee. ALA will also draft discussion questions (likely based on the subcommittee charge questions) for use in the second round of outreach in mid-November.

Proposal Timing	Proposal Details	Revised Timing	Revised Details
Mid-October	Facilitate a second half-day meeting of the Tier One Steering Committee. The purpose of the meeting is two-fold: for the Committee to react to and revise the draft metrics and goals, and to vet drafts of key discussion points and questions for use in the next round of campus engagement.	November 5	Facilitate a second meeting of the Tier One Executive Committee, lasting roughly 3 hours. (see original description for details).
Early November 2014	Engage the campus and external community in discussions of the core strategies and action plans necessary to achieve Tier One status. The precise number, type, and timing of events would be determined by UNLV with input from ALA. Possible formats might include open meetings, focus groups, or short retreats for specific constancies such as faculty, staff, students, community leaders, etc.	Mid-November (ca.11/17-21)	Various outreach activities, including one event built around the work of each subcommittee (facilitated by ALA).
Late November 2014	Use the information obtained from the feedback loop to produce a draft Tier One plan with goals, strategies, actions and basic metrics.	Late November	See original description for details
Mid-December 2014	Facilitate a third half-day meeting of the Tier One Steering Committee. The purpose of the meeting is to solicit input on the draft Tier One plan and revise accordingly.	Early December (We discussed 12/2-3, but can we push this a week or two later?)	This meeting of the Executive Committee will likely need to last 4 hours. We may also want to consider a second (and final) joint meeting of the entire Initiative Committee (perhaps scheduled for the day after the Executive Committee meeting).

Proposal Timing	Proposal Details	Revised Timing	Revised Details
January 2015	Engage the campus and external community in discussions of the draft Tier One plan. The precise number, type, and timing of events would be determined by UNLV with input from ALA. Possible formats might include open meetings, focus groups, or short retreats for specific constancies such as faculty, staff, students, community leaders, etc. Possible revisions generated by the feedback loop will be vetted by the Tier One Steering Committee (presumably by electronic means, but this could occur in person) before the plan is finalized.		See original description for details. Here too, we may want to include one event built around the work of each subcommittee (facilitated by ALA). Note the second paragraph in the original text. As indicated, this may be accomplished electronically, or it could necessitate a final meeting of the Executive Committee in late January or early February.

Sample Document 5

Sample Agendas

Tier One Initiative Executive Committee
Draft Annotated Agenda

February 23, 2015

11:00am	Welcome, Meeting Purpose, Overview and Update	Nancy Rapoport
11:15am	Site visit Discussion/Lessons Learned	Nancy Rapoport Mike Diamond
11:45am	Process Reconfiguration and Timelines	Nancy Rapoport Mark Robison

(This session could be part of the first overview introduction section)

12:00pm	Working lunch: Discussion of Tier One Vision, Mission, Goals and Strategies Draft Document	Participants

(One way to do this is start with the infrastructure discussion as you noted in your Feb 7th email)

1:30pm	February 24th session with workgroups	Mark Robison Mike Diamond
1:50pm	Next Steps and Wrap Up	Nancy Rapoport

Tier One Initiative Committee
Agenda
October 1, 2014

11:00am	Welcome, Charge to the Committee and overview of the Timeline	Nancy Rapoport
11:10am	Introduction by facilitators	Mike Diamond Mark Robison
11:15am	Tier One Overview and Discussion	Mark Robison Mike Diamond
11:45am	Visioning exercise: attributes of UNLV as a Tier One university	Participants
12:45pm	Brief reports from subcommittees	
12:30pm	Break	
12:45pm	Working lunch: Examine charge questions and make preliminary determinations about how your subcommittee will address them	Participants
1:30pm	Brief reports from subcommittees	
1:45pm	Begin drafting goals and metrics	Participants
2:30pm	Brief reports from subcommittees	
2:45pm	Next Steps and Wrap Up	Nancy Rapoport
3:00pm	Adjourn	

Sample Document 6

Strategic Planning Logic Flow


Path to Tier One
Vision/ Mission Statement
Situational Assessment
Success Metrics/ Goals & Objectives
Core Strategies/ Action Plans
Organizational Structure
People
Support Structures & Resources
Report Card

Sample Document 7

UNLV Planning Process Summary

Top Tier Planning Process

Hundreds of people at UNLV and in the communities that we serve contributed to the creation of the Top Tier plan. President Donald Snyder appointed a small Executive Committee of 12 faculty and community leaders to oversee the planning process. He also appointed a larger Initiative Committee of over 100 faculty, staff, students, alumni, and community leaders, who worked in eight subcommittees to develop the content of the Top Tier plan. In December 2014, our newest President, Dr. Len Jessup, became actively engaged in the process. Throughout the process, the Executive Committee and Initiative Committee received input from a much broader spectrum of faculty, staff, students, alumni, and community leaders through large meetings, focus groups, and input received online. The timeline below chronicles the key steps that occurred between September 2014 and May 2015, as the plan developed:

September 2014
- President Donald Snyder launched the Top Tier process at his State of the University address.
- A detailed white paper by our consultants, Academic Leadership Associates, articulated the benefits of a Top Tier university for the community, the challenges that UNLV faces in accomplishing this goal, and the questions to consider in developing the plan.
- The Executive Committee began the planning process in earnest.

October 2014
- The Initiative Committee met, and its eight subcommittees began the development of key content in the plan and hosted community outreach events in order to gather input from stakeholders.

November 2014
- The Executive Committee drafted a university-wide vision, mission, metrics, and goals for Top Tier status.
- The subcommittees drafted initial goals and metrics for specific aspects of the university's activities.
- The campus hosted a wide range of community outreach events to obtain broad input from hundreds of on- and off-campus stakeholders on the draft planning ideas.

December 2014 through February 2015
- Subcommittees further developed critical planning documents.
- Key UNLV leaders visited benchmark universities to examine the process by which they achieved Top Tier status.
- All of these inputs served as the key components for the first draft of the Top Tier plan.

March 2015
- The Executive Committee and Initiative Committee refined the Top Tier plan.
- Community engagement events gathered hundreds of people from across the campus and the broader community to comment on the draft planning materials.

April 2015
- A revised Top Tier plan reflected input from the meetings in March and was finalized on the basis of input from numerous internal and external stakeholders.
- President Len Jessup and other key UNLV leaders adopted the Top Tier plan.

May 2015
- The Top Tier planning documents have become available to everyone at https://www.unlv.edu/toptier.

Sample Document 8

UNLV Vision, Mission, Strategies and Measurements

University of Nevada Las Vegas
Top Tier Initiative

Vision

UNLV will become one of the top public universities in the country in research, teaching, and community impact.

Mission

UNLV's diverse faculty, students, staff, and alumni promote community well-being and individual achievement through education, research, scholarship, creative activities, and clinical health services. We stimulate economic development and diversification, foster a climate of innovation, promote health, and enrich the cultural vitality of our community.

Key Measures

Our success as a leading research university will be measured by achievement of the Carnegie Research University / Very High classification and by our progress on these key measures:

- Impact of our research, scholarship, and creative activities;
- Student learning outcomes and graduate placement;
- Student, faculty, and staff diversity including MSI status;
- Intellectual activity, patents and entrepreneurial activity fostered by UNLV;
- Quality and impact of our clinical services; and
- A deeper engagement of UNLV with Las Vegas and our region to ensure ongoing alignment with our diverse community's needs and interests; and
- Carnegie Classification criteria (research expenditures; doctoral degrees granted per year; number of non-faculty research staff, such as postdocs; Carnegie Engagement status).

As a measure of overall university effectiveness and progress, UNLV will prepare, implement, and distribute a Progress Card.

DRAFT: March 16, 2015

Vision

UNLV will become one of the top public universities in the country in research, teaching, and community impact.

Mission

UNLV's diverse faculty, students, staff, and alumni promote community well-being and individual achievement through education, research, scholarship, creative activities, and clinical health services. We stimulate economic development and diversification, foster a climate of innovation, promote health, and enrich the cultural vitality of our community

Key Measures

- Impact of our research, scholarship, and creative activities;
- Student learning outcomes and graduate placement;
- Student, faculty, and staff diversity including MSI status;
- Intellectual activity, patents and entrepreneurial activity;
- Quality and impact of our clinical services;
- A deeper engagement of UNLV with Las Vegas and our region to ensure ongoing alignment with our diverse community's needs and interests;
- Carnegie Classification criteria (research expenditures; doctoral degrees granted per year; number of non-faculty research staff, such as postdocs; Carnegie Engagement status).

Tier One Goals

Research

UNLV's faculty and students will produce high quality, widely disseminated, and influential research, scholarship, and creative activities.

Student Achievement

UNLV will be a national leader in education and will promote excellence in teaching its undergraduate, graduate, and professional school students. We will recruit, retain, and graduate diverse, motivated students through the strength of our innovative learning experiences, access to mentoring and research opportunities, and our vibrant campus community. On the graduate level, our highly-qualified masters, doctoral, and professional students will distinguish themselves and UNLV through their contributions to research, the professions, and the arts.

Health

UNLV's school of medicine and public academic health center will foster cutting-edge research, use a creative curriculum, and provide top-notch clinical programs.

Partnerships

UNLV will stimulate economic development and diversification, foster a climate of innovation, and enrich the cultural vitality of our community by deepening and expanding reciprocal connections with our community and leveraging our unique strengths to collaborate locally, nationally, and internationally.

Infrastructure

To accomplish the other four goals, UNLV will continually develop and leverage the conditions necessary for our success, which include an effective organizational structure, state-of-the-art infrastructure, a service oriented culture, meaningful faculty engagement in shared governance, and the capacity for informed decision-making and informed risk-taking.

Strategies

Research

- Promote a productive, vibrant, diverse, and collaborative faculty and a robust administrative support system to incentivize the productivity of our research, scholarship, and creative activity across university and academic units
- Enhance the quality of scholarly publications and creative activity
- Develop strengths in selected areas
- Recruit, hire, and retain diverse, excellent faculty members, staff members, and students who reflect our larger community, consistent with our MSI mission
- Revamp and restructure research infrastructure and support

Student Achievement

- Become a national leader in undergraduate education, with an emphasis by all academic units on effective teaching and achieving measurable learning outcomes, as well as undergraduate engagement in research, creative activities, and with the community, as measured by accepted benchmarks
- Increase the quality and quantity of UNLV graduates
- Ensure that all student-related offices provide superior responsiveness to the needs of individual students
- Enhance the campus environment through a range of social and cultural opportunities on campus to promote an active 12-month/year, 7-day/week campus community, in part by increasing on-campus student housing and related facilities
- Implement a consistent set of tools to evaluate teaching effectiveness, such as assessments of the quality of teaching infrastructure and support, student surveys of teaching performance, pass/retention rates by course, and alumni surveys five years after graduation, and by specifying how teaching excellence counts toward promotion and tenure.

Health

- Establish a fully accredited School of Medicine recognized for its innovative curriculum
- Develop strong interdisciplinary research groups in five key areas: mental health and addiction, neuroscience, oncology, cardiovascular, and orthopedics
- Recruit excellent and diverse students
- Develop new Ph.D. programs in biomedical sciences
- Lead the region in the quality of, and access to, superior health care and clinical services for Southern Nevada's diverse population

Partnerships

- Establish a Community Engagement Center at UNLV to serve as a one-stop entry point to the university for Individuals and organizations seeking to partner with UNLV
- Create and sustain an environment both on and off campus where community members and UNLV faculty, staff, and students work together to improve the economic environment and quality of life in Nevada through entrepreneurship, innovation, and an enhanced workforce
- Communicate UNLV's strengths to promote the link between progress toward Tier One and the benefit to the community, the region, the state, the legislature, and other groups
- Deepen transparency and accountability by providing a *community dashboard*
- Establish three to five key partnerships in a manner similar to what other benchmark institutions have done
- Develop a plan for economic diversification and globalization relevant to the communities we serve

Infrastructure

- Foster a university environment that is inclusive, welcoming, and supportive for all
- Increase the quantity and quality of faculty participation in shared governance to secure the faculty's role as a meaningful partner in leading the campus community
- Instill a culture of customer service throughout the University
- Provide high quality, service-oriented internal functioning and infrastructure that fosters, stimulates, and nurtures academic excellence, discovery, creative activities, entrepreneurship, job creation, and economic vitality throughout the region
- Establish effective data collection, data governance, and data reporting throughout the university to support informed decision-making
- Assess and change business processes at the University as measured by process improvement methodologies
- Review the IT master plan and make revisions as necessary to support the Top Tier vision and mission.

Detailed Measurements

Research

- At least $150MM/year of research expenditures by 2025
- Annual number of doctoral degrees granted of at least 200-225 by 2025
- Non-faculty researchers with Ph.Ds.
- Carnegie rankings
- Impact of scholarship
- Breadth of graduate & undergraduate student participation in research
- Breadth of economic and cultural impact
- Support structures for diverse faculty

Student Achievement

- Nationally recognized student experience
- UNLV is the university of choice
- Freshman-sophomore retention of 80% by 2015
- Improvement in graduate rate outcomes:
  - Increase the 6-year graduation rate to 50% by 2025
  - Align student progress with funding formula incentives
  - Surpass national averages for graduation rates of all students
- Increase in the % of students, faculty & staff engaged in "high impact" practices
- Decrease in student-faculty ratios
- Satisfactory APR metrics for student-athletes
- Employer satisfaction with graduates
- Student satisfaction with their experience, campus environment and safety

Health

- Progress toward full accreditation
- Graduate 60 students in initial class; 120-180/year by 2030
- $48 million in external research by 2025
- Recruit 120 faculty physicians and scientists by 2030
- Generate 5,300 jobs and $800m/year in economic impact by 2025
- Generate $4 of non-state for every $1 of state funds
- Secure $350 in philanthropic support by 2025
- Appropriate student metrics
- Number of Ph.D. programs developed

Partnerships

- Community Engagement Center launched
- Effective partnerships, collaborations and pipeline programs with partner institutions
- Community engagement satisfaction
- Workforce development and diversification resulting from our graduates
- Innovations, creations, inventions and the development of intellectual property at UNLV
- UNLV alumni mentoring network
- Improvement in the economic environment and quality of life in Southern Nevada
- UNLV contributions to economic development and diversification

Infrastructure

- Effective data collection, governance and delivery to appropriate constituencies
- A climate typified by diversity and inclusion
- Stakeholder satisfaction surveys regarding university facilities and processes
- UNLV is considered on of the best places to work
- Sterling customer services
- Faculty and staff training for leadership development
- Depth and diversity of participation in shared governance
- An effective UNLV leadership structure
- Measurable improves in university business processes

Sample Document 9

UNLV Implementation Process

Sample Document 9: UNLV Implementation Process

From UNLV Website: https://www.unlv.edu/toptier/documents

1. Establishment of Committees (one for each of the five core priorities of the plan)

Leadership

UNLV has long been on a trajectory for achieving Top Tier status. During fall 2014, the president's office appointed two campus committees to assess what it needs to do over the next several years.

2015-2016 Leadership

The Top Tier Initiative leadership team is led by President Len Jessup and includes Nancy Rapoport, Jim Thomson, and Kyle Kaalberg. During the summer, the president appointed chairs for each goal area, and these chairs worked with the leadership team to form committees.

Charge for Each Committee

- Determine how to tackle the tasks and issues present within their goal area, based on the Tier One vision, goals, key measures of success, and strategies.
- Define precisely what we can accomplish over the next year.
- Determine what our strategies will be over the long term.

Committees and Chairs

- Research, Scholarship, and Creative Activity
- Student Achievement
- Academic Health Center
- Community Partnerships
- Infrastructure and Shared Governance

2. Role of Committees (development of action plans, soliciting and responding to feedback)

TOP TIER

UNLV Home » Top Tier Home » Our Plan

Our Plan

Action Plans

- Community Partnerships
- Infrastructure and Shared Governance
- Research, Scholarship, and Creative Activity
- Student Achievement

Feedback

We want to hear from you. Please tell us what makes you excited about UNLV's Top Tier initiative and share your insights and concerns. We'd love to hear your ideas and feedback to the draft plan.

Submit Feedback »