

December 19, 2014

Mark Braun  
Transformation Project Manager  
Board of Regents, State of Iowa  
11260 Aurora Avenue  
Urbandale, IA 50322

Dear Mr. Braun:



The Pappas Consulting Group Inc. is pleased to respond to the Board of Regents, State of Iowa's (Board) request for proposal to provide consulting services to perform a comprehensive, system-wide operational and programmatic review of two key academic functions of its public universities: Distance Education and Time to Graduation/Enrollment Management. We understand that the review is expected to help in the continued development of the strategic plans necessary to carry out the mission of each institution and the Board.

Today our universities and their Boards face a highly constrained resource environment that has become politically charged. As academic and administrative line officers ourselves, we know an external perspective is often critical for: identifying savings; redesigning programs; reengineering processes; realigning the organizational structure; generating alternative revenue streams; and improving the manner in which the University/Board makes decisions and communicates them.

The Pappas Consulting Group has a deep understanding of the Board of Regents, State of Iowa and its institutions due to extensive organizational and operations audits members of our Consultant Team conducted in 1989 and again in 1995-1996. We further served as staff to Governor Branstad's Commission on Educational Excellence for the 21<sup>st</sup> Century focusing on the future of K-12 education in 1997. Information concerning similar work we have conducted can be found in this proposal's Executive Summary (Description of Similar Projects Completed) on page 4.

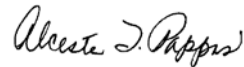
We are committed to creating new opportunities for achieving effectiveness, efficiency and flexibility in support of the Regents' overall mission. We are further committed to ensuring that the resultant recommendations "do no harm" to the academic core of the Universities.

Mark Braun  
Transformation Project Manager  
Board of Regents, State of Iowa  
Page 2

Attached is our proposal in response to your RFP. The estimated fee to complete the work steps shown is a first order approximation that is provided under separate cover. Please know that we are prepared to reduce the scope and number of hours proposed through a negotiation process that more accurately meets your needs if that should be the case.

Please do not hesitate to contact me by telephone at (561) 624-5653 or (917) 678-9985 or through e-mail at Alcestep@aol.com.

Sincerely yours,

A handwritten signature in black ink, appearing to read "Alceste T. Pappas".

Alceste T. Pappas, Ph.D.  
President and CEO  
Pappas Consulting Group Inc.

**BOARD OF REGENTS, STATE OF IOWA  
Efficiency and Transformation Review for Academics  
Proposal**

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**ASSURANCES, REPRESENTATIONS AND AUTHORIZATION TO RELEASE INFORMATION**

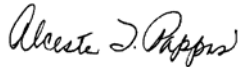
The Bidder hereby assures and represents with respect to this proposal that:

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

**Pappas Consulting Group Inc.**

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.



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Signature

Alceste T. Pappas, Ph.D., President/CEO

Type or Print Name, Title

December 19, 2014

Date

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

RFP:	Efficiency and Transformational Services for the Board of Regents
ENTITY:	Board of Regents, State of Iowa
RFP RELEASE DATE:	November 21, 2014

**BOARD OF REGENTS, STATE OF IOWA**  
**Efficiency and Transformation Review for Academics**  
**Proposal**

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**1. Basic Data on Bidder:**

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

Pappas Consulting Group Inc.  
117 Island Cove Way  
Palm Beach Gardens, FL 33418  
(561) 624-5653  
[Pappas01@aol.com](mailto:Pappas01@aol.com)  
[Alcestep@aol.com](mailto:Alcestep@aol.com)

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

Dr. Alceste T. Pappas, President/CEO is the sole and duly authorized person to represent the Pappas Consulting Group Inc. with regard to this proposal.

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

Alceste T. Pappas, Ph.D.  
[Alcestep@aol.com](mailto:Alcestep@aol.com)  
(561) 624-5653  
(917) 678-9985 (cell)

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

The Pappas Consulting Group Inc. is a SubChapter S Corporation registered in the state of Florida and is certified as a Minority, Woman & Florida Veteran Business in the State of Florida.

- 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.

The Pappas Consulting Group Inc. is not owned or controlled by a parent corporation.

- f. Whether the Bidder is a small business or certified targeted small business as defined in Iowa Code (2011) section 15.102.

The Pappas Consulting Group Inc. is not classified as a small business or certified targeted small business as defined in Iowa Code (2011) section 15.102. However, as indicated previously, we are certified as a Minority, Woman & Florida Veteran Business, as well as a small business in the state of Florida.

- 2. Executive Summary.** This part of the response to the RFP should be limited to a brief narrative highlighting the bidder's proposal. The summary should contain as little technical jargon as possible and should be oriented toward non-technical personnel. The summary should describe the following:

- a. Bidder's understanding of University's needs.

The Pappas Consulting Group Inc. understands that the Board of Regents, State of Iowa (Board) is requesting proposals to quantify the academic/business case for efficiency and transformational projects for: Distance Education and Time to Graduation/Enrollment Management.

The Board seeks to analyze the System's academic alignment with the overall Board of Regents' mission and strategy to achieve fund reductions and reallocation. We understand the academic/business cases identified represent the opportunities that the Board believes will yield the greatest benefit to the Board's overall goal of streamlining operations and increasing cost effectiveness.

- b. Scope of services being proposed.

The Pappas Consulting Group Inc. has read the two academic/business cases in the Iowa Board of Regents' Catalogue and Prioritized List of Opportunities. We will take the two academic/business cases and:

- Work with the Board of Regents, Transformation Project Manager and the three universities to determine the degree to which data previously generated for this project are relevant/complete;
- Come to a collective understanding and agreement concerning the definition and scope of work to be encompassed in Distance Education and Time to Graduation/Enrollment Management;
- Build a business case for cost savings, revenue enhancement or efficiencies through an assessment of structure, core processes, staffing levels, performance levels and cost structure;
- Develop detailed recommendations, both short-term and long-term, based on findings;
- Identify opportunities for cost reduction and explain how savings can be realized through changes in the delivery model, business processes, policies, and/or through implementation of enabling technologies (i.e., online course delivery, classroom scheduling and utilization);

- Develop recommendations including strategies to create a more efficient environment, as well as address any impact to faculty, staff, and student workload; and
- Utilize experience in past projects and knowledge of cross-industry best practices to develop an implementation roadmap to achieve the desired results.

Our recommendations will address positive and negative impacts to faculty, staff, and students. We will work in partnership with the Board, the Transformation Project Manager and the three universities to understand the mission, culture and operating culture of each institution. We will make several on-site visits to be coordinated through the Board Office and spend considerable time working with faculty, administrators, the Regents, and students throughout the engagement.

- c. Qualifications and Experience in administrative services transformation and/or strategic sourcing in higher education, public sector, and commercial clients (in that order).

The Pappas Consulting Group Inc. is noted nationally and internationally for its work with: higher education institutions and their systems; federal and state agencies and legislatures; Boards of Trustees/Regents; Presidents/Chancellors; Vice Presidents; and the faculty and staff who are positioned to institute change and effect innovation.

The Pappas Consulting Group Inc. was among the first higher education consulting firms to conduct administrative/business process redesign for non-profit and higher education institutions. We have performed a number of engagements focused on: strategic planning, organizational assessment and redesign; academic master planning and academic program review; implementing and managing change; positioning and branding; optimizing Board and shared governance; utilizing technology to enable simplified administrative processing and generate transparent, accurate and timely management reporting; undertaking administrative, financial, student services process redesign; identifying ways in which to generate alternative revenue streams; creating opportunities for multi-university partnerships; and creating new ways in which centralized and distributed service centers can reduce operating costs while improving service delivery.

Members of the Pappas Consulting Group have a deep understanding of the University of Iowa, Iowa State University, and the University of Northern Iowa as well as the Board of Regents, State of Iowa as the result of an extensive organizational and operations audit conducted in 1989 (through KPMG Peat Marwick) and again in 1995-1996 (through the Pappas Consulting Group).



We further served as staff to Governor Branstad's Commission on Educational Excellence for the 21<sup>st</sup> Century focusing on the future of K-12 education in 1997.

In order to understand the breadth and depth of our services to the higher education and non-profit sectors, as well as the consultants affiliated with us, we invite you to visit our website at <http://www.pappas-consulting.com> for our qualifications to serve.

- d. Brief List and Description of Similar Projects Completed (client, scope and duration of assessment, outcome, and client contact name).

The Pappas Consulting Group has completed numerous organizational administrative/academic reviews and analyses of higher education institutions of similar size and complexity. A selected listing of similar projects is next presented. Detailed information as requested is included as Appendix A.

### **IOWA BOARD OF REGENTS**

As we have indicated earlier, we have a deep understanding of the Board of Regents and its five institutions. We have served the Iowa Board of Regents on two separate occasions and the following work was conducted on the Board's behalf as follows:

#### Organizational Audit

The first study was an organizational audit of every major function of the five institutions that comprise the System with particular emphasis on the University of Iowa, Iowa State University and the University of Northern Iowa.

#### Audit of the Prior Organizational Audit

We worked closely with the Executive Director of the Iowa Board of Regents and the Chair of the Board in this subsequent study where the Pappas Consulting Group was asked to assess, after a five year hiatus, the progress made in redesigning strategic planning, funding and resource allocation processes, faculty promotion, tenure and review processes, information technology, financial and management reporting and administrative process redesign.

#### K-12 Blue Ribbon Task Force

In yet a subsequent assignment, the Pappas Consulting Group was engaged by the Governor-appointed Commission on Educational Excellence for the 21<sup>st</sup> Century to serve as its staff to create a vision and roadmap for pre-kindergarten through 12<sup>th</sup> grade education to ensure that Iowa's educational system continued its tradition of providing the best education to its young people. The four key areas included: high expectations for students; quality of the instructional program; student achievement and; parent and community involvement.

**Name:** Mary Sue Coleman, Ph.D.  
**Title:** Formerly, President, The University of Iowa; Currently, President *Emerita*, University of Michigan  
**Telephone:** (734) 764-4807  
**Email:** [marysuec@umich.edu](mailto:marysuec@umich.edu)

## **STATE UNIVERSITY SYSTEM OF FLORIDA AND FLORIDA BOARD OF GOVERNORS**

### Master Plan

The Florida Board of Governors Foundation, Inc. engaged the Pappas Consulting Group to identify appropriate recommendations for the future structure of the state university system as well as the policies and investments necessary to create that structure. The Pappas Consulting Group created a master plan for Florida's higher education future with the target date of 2030 at the 30,000-foot level.

### Staffing Plan

The Florida Board of Governors (FBOG) subsequently asked the Pappas Consulting Group to continue working with them in two areas: technical expertise relating to the further development and implementation of the "road map" for the State University System; and development of a FBOG staffing plan consistent with the strategic direction of the Board. We generated a report that outlined the current baseline and described the ideal future state. An implementation plan was developed.

**Name:** Mark Rosenberg, Ph.D.,  
**Title:** Formerly, Chancellor, State University System of Florida; Currently, President, Florida International University  
**Telephone:** (305) 348-2111  
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## **UNIVERSITY OF HOUSTON and UNIVERSITY OF HOUSTON SYSTEM**

The Pappas Consulting Group has been engaged by the University of Houston System over the past five years to: address system organizational structure; Board Governance; strategic enrollment management planning; UHS strategic direction as well as campus mission differentiation and funding; and to facilitate the development of the University of Houston Strategic Plan. Most recently, we have been working with the newly-appointed Provost to create a Tier One Office of Academic Affairs.

#### Governance

We first facilitated a Board of Regents Retreat with the goal of: (1) providing the Board with national best practices for the highest performing boards; and (2) reaching consensus on the strategic directions for the UH System. We then facilitated a retreat for the Chancellor's Leadership Team, focusing on the strategic themes that needed to be further vetted with key stakeholders including the identification of action steps and the development of accountability measures.

#### Developing Organizational/Structural Options

The Pappas Consulting Group prepared five-year and ten-year organizational/structural options for consideration concerning the University of Houston System and its four universities.

#### Strategic Planning

We worked with the UH Action Steps Steering Committee Steering at the University of Houston campus to update and streamline the campus Strategic Plan in order to realize Tier One status.

#### Strategic Enrollment Management Planning

The Pappas Consulting Group was engaged to: establish a baseline understanding of Enrollment Management from both an operational and organizational perspective at the unit level and the division level, and identify those organizational and operational issues that needed to be addressed assertively from a University of Houston System perspective.

#### Board Self-Assessment

In May of 2010, we facilitated a Board Self-Assessment at the request of the Board Chair.

#### Board Facilitation

In June of 2011, we facilitated a Board of Regents retreat to: review progress to date; examine present status; explore future directions; encourage Regents to be more aware of the growing importance of philanthropy; and provide the opportunity and mechanism for the Regents to work with each other to begin to establish a new strategic direction.

#### Planning to Serve the Higher Education Needs of Greater Houston

The Chancellor/President of the UH System/University of Houston charged the Pappas Consulting Group to undertake a strategic planning exercise to provide a recommended model for serving intentionally the higher education needs of Greater Metropolitan Houston, with the initial focus on Sugar Land.

Division of Student Affairs

The Pappas Consulting Group completed a strategic planning effort for the UH Division of Student Affairs.

Office of the Senior Vice Chancellor for Academic Affairs/Senior Vice President for Academic Affairs and Provost

We recently completed a review to create a functionally-aligned organization structure to support the University of Houston's Tier One classification and to ensure student success at both the undergraduate and the graduate level.

**Name:** Paula Short, Ph.D.

**Title:** Senior Vice Chancellor, University of Houston System, Vice President Academic Affairs and Provost, University of Houston

**Telephone:** (713) 743-9830

**Email:** [pmsshort@uh.edu](mailto:pmsshort@uh.edu)

**Name:** Chris Stanich

**Title:** Assistant Vice Chancellor, University of Houston System/Associate Provost, Institutional Planning and Analysis, University of Houston

**Telephone:** (713) 743-3232

**Email:** [cstanich@uh.edu](mailto:cstanich@uh.edu)

**UNIVERSITY OF TEXAS AT AUSTIN**

The state of Texas has historically been committed to holding its schools, universities and state agencies accountable through a series of performance and management audits. The Legislative Budget Board engaged the Pappas Consulting Group to conduct a management and performance review of the University of Texas at Austin.

The University of Texas at Austin is one of the nation's largest and most distinguished public research universities. With an enrollment in excess of 50,000 (approximately 75% of whom are undergraduates) and national rankings in the top 20 public research universities, the University of Texas at Austin has an extensive teaching, research and service mission.

The objective of this Legislative Budget Board mandated review was to ultimately promote a better education for Texas students through greater academic and administrative efficiency. We were specifically charged to develop findings and recommendations for containing costs and improving management strategies for the University of Texas at Austin.

We performed detailed analyses for each of the following review areas: Instruction and Academic Support; Human Resource Management; Financial and

Asset Management; Government Relations; and Plant Operations and Maintenance. Throughout our six month study, we: adhered to the work plan requirements stipulated by the LBB; collected and reviewed pertinent peer, statistical and benchmarking data and interviewed key UT personnel; collected electronic survey data from students, faculty and staff; met with LBB staff and University staff; conducted interviews with members of the Board of Regents, the Board staff, alumni and other constituents; and developed findings and recommendations for each area of review, focusing on improvements in resource allocation methodologies and making recommendations concerning possible statutory and/or funding recommendations for the Legislature to enact.

The University of Texas at Austin's review report noted 32 significant accomplishments and made 42 recommendations for improvement.

**Name:** Larry Faulkner, Ph.D.  
**Title:** Formerly, President, UT Austin and the Houston Endowment;  
Currently, President *Emeritus*, University of Texas  
**Telephone:** (512) 471-9444  
**Email:** [lrfaulkner@po.utexas.edu](mailto:lrfaulkner@po.utexas.edu)

**Name:** James Huffines  
**Title:** Formerly, Chair, Board of Regents, University of Texas System;  
Currently, President/COO PlainsCapital Corporation  
**Telephone:** (214) 252-4000

## **SONOMA STATE UNIVERSITY**

Over an elapsed period of 15 years the Vice President for Finance and Administration and CFO has utilized the Pappas Consulting Group to undertake a series of organizational and process redesign studies across the institution.

### Student Affairs

Sonoma State University engaged the Pappas Consulting Group to design a new paradigm for the delivery of academic and non-academic support units of the institution. The results of this comprehensive project has served as a model for the California State University System in recent years.

The Pappas Consulting Group conducted a high level diagnostic review of the Division of Student Affairs and Enrollment Management. We provided a diagnostic to determine whether there were opportunities for improving program and service delivery to students.

### Entrepreneurial Activities

The Pappas Consulting Group conducted an operations and organizational review of the Division of Entrepreneurial Activities.

### Human Resources

The Pappas Consulting Group Inc. was engaged to conduct a review of the Human Resources function within the Administration and Finance division. The primary goal of the review was to realign resources more appropriately through a new organizational structure. We identified the strengths and issues that pertained to the current organizational structure and business processes, as well as determined strategies for achieving the objectives of the study.

The Pappas Consulting Group Inc. was subsequently engaged to conduct an assessment to determine whether the staffing levels and organizational structure recommended in the original Human Resources review was still appropriate given current workloads.

### Information Technology

The Pappas Consulting Group Inc. was engaged to review and assess the processes of the Information Technology Services (ITS) operations. We provided recommendations for restructuring operations while continuing to provide essential services without significant additional resources. We next conducted a survey of other CSU institutions to learn more about how they are addressing the organization, operation, service level, and funding issues of their information technology services.

### Risk Management

The Pappas Consulting Group was engaged to determine whether the staffing levels and organizational structure recommended in the Pappas Consulting Group Inc. Human Resources Report dated February 10, 2007 was still appropriate given currently reported workloads.

### Facilities Management

The Pappas Consulting Group Inc. completed a review of Facilities Management to determine how it should be restructured to provide services more effectively with fewer resources.

### Student Union

The Pappas Consulting Group undertook a diagnostic assessment to determine how best to integrate the Student Union operations into the Division of Entrepreneurial Activities to serve students optimally. We subsequently made recommendations concerning the organization structure and the governance of the activities that currently comprise the Student Union.

**Name:** Laurence Furukawa-Schlereth  
**Title:** Vice President for Administration and Finance and CFO  
**Telephone:** (707) 664-2310  
**Email:** [laurence.furukawa-schlereth@sonoma.edu](mailto:laurence.furukawa-schlereth@sonoma.edu)

## **SUFFOLK UNIVERSITY**

The Pappas Consulting Group Inc. provided Suffolk University with organizational consulting services for the strategic transformation of administrative services and the design of a methodology to assess faculty productivity and instructional cost.

### Transformation of Administrative Services: Central Administration

The focus of this review was on the central administration of the University and included the following functions: Information Technology Services; University Communications; Human Resources; General Counsel; Student Affairs; Advancement; Finance & Treasury; Accounting and Finance; Budget & Risk Management; Procurement; Business Services; Bursar's Office; Research and Sponsored Programs; External Affairs; Facilities Planning and Management; Enrollment Management and International Programs; and the Police.

### Administrative Services Review (Academic Units)

The Pappas Consulting Group subsequently engaged in a review of the academic administration of the University including the Office of the Provost, the College of Arts and Sciences, the Law School, and the Sawyer Business School.

### Fall Budget Process

The Pappas Consulting Group provided assistance to the Acting Vice President/Treasurer and the Director of Financial Planning, Real Estate & Strategic Operations throughout the FY 11-12 fall budget-revision process. A best practices FY 12-13 operating budget process was developed and a FY 12-13 capital budget was instituted.

### Faculty Early Retirement Plan

The Pappas Consulting Group provided an approach for a Phased Retirement Plan for Suffolk tenured full-time faculty.

### Office of University Institutional Planning and Research

The Pappas Consulting Group created an Office of University Institutional Planning and Research at Suffolk University to satisfy the demand for accountability and provide consistent, reliable and comprehensive data within one centralized office.

### Peer Study

We conducted a very thorough analysis to determine 7-11 institutions similar to Suffolk on a set of observable characteristics, such as mission, size, budget, and mix of programs in order to provide a meaningful comparison group for benchmarking purposes for a multi-year period. The result was a confidential report informing key strategic, policy and accreditation decisions.

Information Technology System Vectors of Change

The Pappas Consulting Group prepared background and briefing documents relating to the use of Help Desks and ITIL or Information Technology Service Management (ITSM) for information technology.

Academic Quality, Faculty Productivity, and Curriculum Efficiency

The Pappas Consulting Group created a model to provide the Acting President and Provost, and the Acting Vice President/Treasurer with a tool to assess the efficient use of faculty resources through the examination of faculty productivity and curriculum efficiency.

Strategic Planning

We facilitated the development of the institution's first University-wide strategic plan for AY 12-13 through AY 17-18 at the request of the institution's new President.

Division of Student Success

We worked with University leaders to implement a Division for Student Success for undergraduate and graduate students. The recommendations were subsequently implemented with our Firm providing mentoring support to the Vice Provost for Student Success.

**Name:** Danielle Manning  
**Title:** Senior Vice President for Finance and Administration and Treasurer  
**Telephone:** (617) 573-8400  
**Email:** [dmanning@suffolk.edu](mailto:dmanning@suffolk.edu)

**Name:** Sebastian Royo, Ph.D.  
**Title:** Vice Provost for Student Success  
**Telephone:** (617) 573-857-  
**Email:** [sroyo@suffolk.edu](mailto:sroyo@suffolk.edu)

**UNIVERSITY SYSTEM OF GEORGIA**

The Pappas Consulting Group conducted a benchmarking study, an organizational assessment, a management review of administrative and financial practices, and a data assessment review for the 35 campus University System of Georgia. The purpose of this study was to: (a) compare the System office (Regents Central Office) and its institutions against their peers using state-of-the-art analytical tools and methods; and (b) review internal business policies and practices of the Regents Central Office and four sector-representative institutions: University of Georgia, Athens; Kennesaw State University; Macon State University; and Abraham Baldwin Agricultural College.



**Name:** Daniel S. Papp, Ph.D.  
**Title:** Formerly, Senior Vice Chancellor, Office of Academic and Fiscal Affairs, Board of Regents; Currently, President, Kennesaw State University  
**Telephone:** (770) 423-6033  
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## **UNIVERSITY OF SOUTH FLORIDA SYSTEM**

### Plan for the Future

The Pappas Consulting Group was engaged by the University of South Florida System to provide an external perspective of its strategic plan with the goal to gain more widespread ownership and understanding of its strategic direction across the University community.

### Business and Finance

The Pappas Consulting Group was hired by the President of the University of South Florida System to reassess the needs and portfolio of the business and finance functions required to meet the System's strategic agenda. The Pappas Consulting Group defined an alignment of organizational responsibilities and leadership criteria to best advance that strategic agenda.

### Organizational Restructuring

The purpose of this consulting engagement was to conduct a review of this multi-campus university in order to streamline the organizational structure and reengineer a dozen major administrative and academic processes. Our recommendations resulted in action plans to reduce approval levels, eliminate unnecessary work steps, migrate manual processes and procedures to an electronic platform, and improve services to students, faculty, staff, and other constituents.

We worked with the Chancellor of the State University System of Florida and his senior support team to determine the ways in which the campuses could be provided state regulatory relief. Many of our recommendations led the Presidents of the other campuses, as well as the Chancellor, to seek regulatory relief from the legislature.

### Cost Allocation-Phase 1

In this particular study, the Pappas Consulting Group developed the parameters for a cost allocation plan and model for the University of South Florida (USF).

### Cost Allocation Phase 2

The Pappas Consulting Group was subsequently asked to provide technical assistance and project management oversight for Phase 2 of the Cost Allocation Plan and Model project.

System Governance and Reorganization

We completed an extensive multi-campus organizational and governance review.

**Name:** Judy Genshaft, Ph.D.  
**Title:** President  
**Telephone:** (813) 974-2791  
**Email:** [jgensha@admin.usf.edu](mailto:jgensha@admin.usf.edu)

**SUNY-RESEARCH FOUNDATION**

Phase I

The SUNY Research Foundation engaged the Pappas Consulting Group to be of counsel to the President of the SUNY Research Foundation in his efforts to assess: the operating and processing efficiencies of the Foundation *vis a vis* the services provided to the SUNY campuses and the Chancellor's Office and; the long-term strategies that should be adopted by the SUNY Research Foundation Board to optimize its effectiveness with the campuses that comprise the system.

The result of our diagnostic review was a preliminary assessment of the policy, strategic and operational issues facing the Foundation as well as an initial prioritization of the issues relating to the mission, strategic goals, and operating performance of the Foundation.

Phase II

The Pappas Consulting Group next drilled down into the operating and processing environment of The Research Foundation (RF) of the State University of New York (SUNY) to determine the long-term strategies that should be adopted to optimize the RF's relationship with the SUNY campuses.

Phase III

Task forces for the four strategic initiatives delineated in our previous Phase of work were appointed.

During 2008, the Pappas Consulting Group assisted the RF to carry out its Operations Service Improvement Program (OSIP). OSIP was designed to dramatically improve RF service levels and change, in a fundamental way, the way the RF engaged the 64 campuses of the System.

The second major effort was the facilitation of the RF strategic planning process.

Collectively, these studies resulted in: an Information Services strategic plan; a study of technology transfer and economic development; a focused internal study on how to increase sponsored programs throughout SUNY and; the development of a series of white papers on the RF's Financial Structure.

A comprehensive strategic plan was adopted at the 2010 May Board Retreat and is available on the SUNY RF Website at [www.rfsuny.org](http://www.rfsuny.org).

**Name:** Bonny Boice  
**Title:** Formerly, Executive Vice President, Innovation and Partnerships, The Research Foundation, SUNY; Currently, President, BGB Consulting and Retreats, LLC  
**Telephone:** (518) 859-1272  
**Email:** [bonny@bgbconsultingandretreats.com](mailto:bonny@bgbconsultingandretreats.com)

## **UNIVERSITY OF ILLINOIS**

The Board and the senior leadership of the University of Illinois engaged the Pappas Consulting Group Inc. to undertake a series of self-assessments focused on the academic, academic support, student and administrative functions of its three campuses, including its urban health sciences university based in Chicago. In addition, we undertook several functionally targeted strategic planning projects for the Division of University Administration as well as for Information Technology.

### Peer Groups

The Pappas Consulting Group developed best practice metrics for the Urbana-Champaign, Chicago and Springfield campuses and worked with the Illinois Board of Higher Education to modify the peer groups of the three campuses.

### Financial Aid Study

We addressed a set of financial aid issues that focused on the growth of financial aid support funded through undergraduate tuition dollars.

### Institutional Support Costs

The Pappas Consulting Group undertook a study of Institutional Support Costs in order to better understand and describe the level of administrative support required to oversee and manage the primary academic programs and activities of the University. The data presented in this report gave a perspective of how campus size and the number of campuses within a "system" can impact the amount spent on Institutional Support Costs.

### Information Technology

This particular project included each of the offices within the Division of University Administration (UA) that provided administrative technology and ultimately led to the development of a strategic action plan.

University Administration

We crafted drafts of the strategic plan that were vetted among the senior staff of the Division. We were ultimately responsible for generating the final plan that was adopted and implemented by the Division.

**Name:** Dr. Douglas H. Vinzant  
**Title:** Formerly, Senior Associate Vice President for Planning and Administration; Currently, Vice President for Finance and Administration, University of Southern Mississippi  
**Telephone:** (601) 266-5005  
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**NORTHEAST OHIO MEDICAL UNIVERSITY (FORMERLY KNOWN AS NORTHEASTERN OHIO UNIVERSITIES COLLEGES OF MEDICINE AND PHARMACY)**

Phase I: Strategic Planning and Senior Leadership Organizational Review

The Pappas Consulting Group was engaged to develop a Strategic Plan and conduct an organizational review of NEOUCOM. The Pappas Consulting Group: prioritized and refined goals for the University; engaged University constituencies as appropriate; integrated national and state health care and educational agendas in order to ensure that the University was structured and aligned to respond effectively in the future; developed strategies and measures to define progress in alignment with these goals; reviewed the organizational structure and made recommendations about the structure in light of the University's goals and strategies; developed budget plans that helped the University achieve defined milestones; developed a strategic planning document that reflected goals, strategies, outcome measures, and budget plans; and developed messages for key external and internal constituencies regarding this process.

Phase II

The President requested that the Pappas Consulting Group undertake a Phase II organization review that included all of the positions that comprised Academic Affairs, Health Professions Education, Student Affairs and Admissions, Advancement, External Affairs as well as Finance and Administration.

**Name:** Jay A. Gershen, D.D.S., Ph.D  
**Title:** President  
**Telephone:** (330) 325-6263  
**Email:** [president@neomed.edu](mailto:president@neomed.edu)

e. High Level Project Execution Plan.

In order to achieve shared project goals and objectives with our clients and their work teams, the Pappas Consulting Group employs the discipline of planning, organizing and managing resources. This is accomplished through detailed project work plans that are designed and agreed to by all parties prior to starting a project. Our work plans enable us to stay on task, deliver as expected, and meet the needs of our clients on a timely basis.

The quality controls and assurances that we build into our work plans are guided by the following project management principles:

- Close collaboration and constant communication with our client.
- Definition of a predefined role and responsibility for each Pappas Consulting Group team member.
- Staffing control at the detailed project task level.
- Constant assessment of project status and reporting.

3. **Company Background.** The following information is requested to evaluate the Bidder's financial stability and ability to support the commitments set forth in response to the RFP. Please include at a minimum the following:

a. How long the company has been in business.

The Pappas Consulting Group Inc. was founded in 1992 and has been in operation since then.

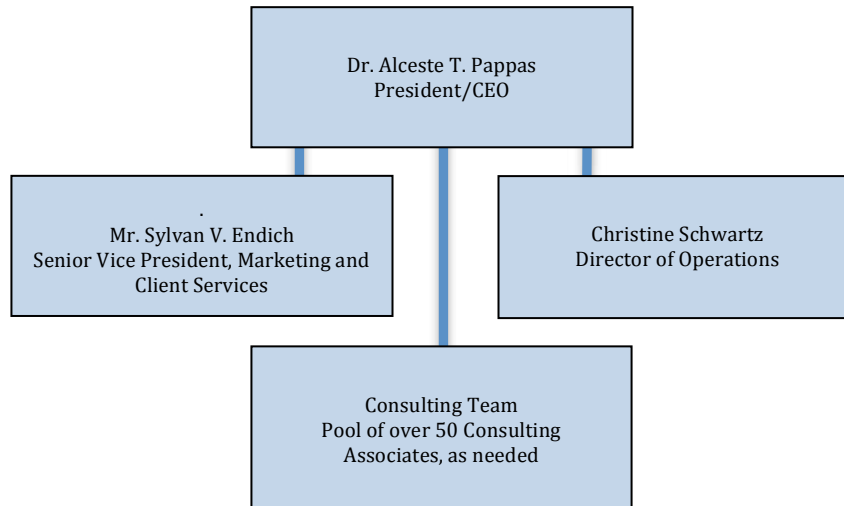
b. A brief description of the company size and organizational structure.

From the outset, the Pappas Consulting Group made the strategic decision to take on a limited number of engagements during the course of a fiscal year. We made this decision in order for us to work hands-on with our clients, to get to know them well, be nimble and be responsive 24/7. This model has worked well for our clients who appreciate our undivided commitment of time, energy and professionalism.

To this day, our Firm and our consultants have remained committed to "hands-on" service delivery. We have purposefully refrained from growing exponentially or leveraging work to junior staff or being acquired by a larger firm.

This project work will be directed from our corporate office in Florida. The Pappas Consulting Group has a cadre of over 50 consulting personnel located throughout the country from to meet specific client needs and project requirements. The following Organization Table depicts the manner in which the Pappas Consulting Group is structured.

**Organization Table  
Pappas Consulting Group Inc.**



- c. How long the company has been working with 1) higher education clients; 2) government clients; 3) commercial clients performing similar services.

Since its founding in 1992, The Pappas Consulting Group Inc. dedicated itself nationally and internationally to both the private and public sectors of higher education; federal and state agencies; legislatures; Boards of Trustees/Regents; Presidents/Chancellors; Vice Presidents; and the not-for-profits.

The Pappas Consulting Group was among the first higher education consulting firms to conduct administrative/business process redesign for higher education and non-profit institutions.

- d. Recent annual financial report or bank references for evaluation of financial capability to satisfactorily complete the requirements of this RFP.

David Silva, Client Manager  
Bank of America  
Merrill Lynch  
1025 Main Street  
Waltham, MA 02451  
781-788-7422

#### **4. Qualifications and Experience**

- a. Additional information deemed pertinent to 2c above.

As we have previously stated, we believe that the Pappas Consulting Group and its consultants have a truly unique understanding of the Iowa Board of Regents when put in perspective with other public systems of higher education.

We come with the understanding that there are three uniquely fundamental attributes of the Iowa Board of Regents as compared to other state university systems. First, Iowa has three public institutions of higher learning.

Second, of the three institutions of higher learning that comprise the Iowa Board of Regents, two are AAU institutions.

AAU's are highly competitive and seek a competitive caliber of students, faculty, and staff. Their overarching teaching, research and service missions are alike; what differentiates the one AAU from the other in Iowa is the land grant mission of Iowa State. With regard to the University of Northern Iowa, it is a master's level institution primarily serving the regional needs of the state. Issues of mission differentiation are therefore critical to grasp fully.

Third, Iowa has always prided itself in limited, centralized bureaucracies. The Iowa Board of Regents staff is led by an Executive Director, not by a President or Chancellor, as is the case with the preponderance of American public university systems. It has a small number of staff. Historically, the Board and its staff have been cautious not to "centralize" such functions as reporting and performance measurement, rendering a highly decentralized management environment that is often replicated at the campus level.

From our standpoint, all of these factors need to provide the context and be clearly understood before addressing the Distance Education and Time to Graduation/Enrollment Management business cases.

- b. A list of personnel to be assigned to this RFP, their functions in the project, length of tenure, and a detailed resume of each.

We have carefully selected a team of consultants to work in partnership with the Board, the Executive Director, the Transformation Project Manager and the three universities. The Team includes Dr. Alceste T. Pappas, Dr. James McCarthy, Mr. K. Scott Hughes, Mr. Richard M. Bellows, Mr. David L. Quandt, Dr. Cathie M. Hudson, and Dr. Stephen R. Portch. Each member of this team has first-hand knowledge of what is required to lead, operate and effectively manage universities with attributes similar to each of the three Iowa institutions.

We also have a long history of working together on similar engagements. Short biographies of each of our team members appears next. More detailed biographies can be found in Appendix B.

**Alceste T. Pappas, Ph.D., President/CEO**

Dr. Pappas will serve as Project Director, bringing over forty years of experience as an administrator and consultant to higher education with particular expertise in organizational redesign, strategic academic/administrative process redesign, strategic planning, and governance.

She will work directly with the Transformation Project Manager to ensure that work progresses timely and expected deliverables are produced satisfactorily.

Dr. Pappas served as Director of Housing and Child Care Services at the University of California, Berkeley for ten years before joining KPMG Peat Marwick where she became the Partner-in-Charge of its Education and Other Institutions consulting practice nation-wide. She opened the Pappas Consulting Group Inc. in 1992 in an effort to bring senior level expertise to colleges and universities across the country.

Dr. Pappas has extensive experience with public and private colleges and universities as well as state-wide systems of higher education. She has provided comprehensive services in strategic planning, governance, policy analysis, organizational design, business/academic process reengineering, benchmarking, economic development, programmatic assessment, and human resources planning. The long list of institutions that have requested her services is testimony to the care and level of professional quality of her services as well as the commitment she has displays to her clients.

She is the author of *Reengineering Your Nonprofit Organization: A Guide to Strategic Transformation* and she is currently listed in the *Who's Who in the World* and *Who's Who in America*.

Dr. Pappas has an A.B. in History, with honors, from the University of California, Berkeley, a Masters Degree in Counseling Psychology from Harvard University, and a Ph.D. in the Financing of Higher Education from the University of California, Berkeley. Among her experiences as a Board member are: Middle States Association of Colleges and Schools; the University of California, Berkeley Foundation Board; and Clark University.

**James McCarthy, Ph.D., Senior Consulting Associate**

Dr. McCarthy is an accomplished scholar and academic leader with more than 35 years of experience in a wide variety of universities. For 24 years, Dr. McCarthy focused his work on research and graduate education at three AAU universities:



Princeton; Johns Hopkins and; Columbia. His interdisciplinary research focused on adolescent and reproductive health and behavior and encompassed the fields of sociology, demography and public health.

At Hopkins, Dr. McCarthy served as Director of the NIH-funded Hopkins Population Center and at Columbia as Director of the Center for Population and Family Health, an academic department in Columbia's School of Public Health. At Hopkins, he was Associate Professor of Public Health and Sociology, and at Columbia was the first Robert and Harriet Heilbrunn Professor of Public Health. Subsequently, he held academic leadership positions at two public universities: Dean of the School of Health and Human Services at the University of New Hampshire and; Provost of Baruch College at the City University of New York. Most recently, he served as President of Suffolk University, a regional private university located in Boston.

Since 2005, when he designed and taught a hybrid course in the graduate program in public health at the University of New Hampshire, Dr. McCarthy has become heavily involved in promoting the more intensive use of technology to enhance university teaching and learning. At Baruch College, he led the College's participation in a partnership with Ithaca S-R and Carnegie Mellon University that implemented a hybrid "Introduction to Statistics" course. After offering several pilot sections of the course, sections that were monitored closely by both Baruch and Ithaca staff, Baruch became the largest participating institution in Ithaca's randomized study that compared student learning and satisfaction in hybrid and traditional face-to-face course formats.

The results of this study demonstrated conclusively that a well-designed, well-executed hybrid format produced student learning (both at the conclusion of the course and several months later) comparable to learning in courses taught face-to-face. This study also suggested, particularly for courses with large enrollments, that widespread adoption of hybrid sections could substantially reduce the cost of instruction.

Dr. McCarthy served as a member of Ithaca's Advisory Committee that contributed to a review of key opportunities for and barriers to the more widespread adoption of enhanced online learning.

Dr. McCarthy completed the Ph.D. from Princeton University, an M.A. from Indiana University and an A.B. from the College of the Holy Cross.

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Working to support the efforts of Drs. Pappas and McCarthy are a team of analysts who will be called upon to undertake data gathering and analytics. Mr. Hughes and Dr. Portch will work with Drs. Pappas and McCarthy to ensure that the project's data gathering and analytics are managed optimally. Our analytical team includes:

**K. Scott Hughes, Senior Consulting Associate**

Mr. Hughes provides consulting services to academic institutions, governmental agencies, and nonprofit organizations. Mr. Hughes has been providing consulting services for over forty years in a wide range of capacities, and is a former partner with KPMG Peat Marwick.

Mr. Hughes is a Certified Public Accountant who specializes in financial evaluation and planning, conducting studies that help clients improve quality services to constituents, increase productivity, and strengthen management's ability to make and execute more informed decisions. Such activities have included debt capacity studies, analysis of financial condition, business process and financial organizational redesign, business planning with resulting action plans, and revenue enhancement and performance metric studies. He has also assessed the research operations of many complex research universities with health sciences centers and has engaged in workforce development, technology transfer and commercialization projects, and economic development projects.

**Richard M. Bellows, Consulting Associate**

Mr. Bellows has worked in higher education for thirty years, nineteen of which at Butler University where he served as Executive Director of Financial Aid. During his tenure at Butler University, he was instrumental in increasing the undergraduate enrollment of the university. In addition, he was able to implement financial aid policies that lowered the discount rate from 40% and increased the academic quality of the entering class. Mr. Bellows has provided analytic data and reports to key university personnel in order to gain a solid understanding of FTIC demographics and their subsequent retention.

**David L. Quandt, Consulting Associate**

Mr. Quandt has more than thirty years of management and consulting experience with universities, public agencies and other nonprofit organizations. Mr. Quandt, a former Manager with KPMG Peat Marwick, has provided a range of consulting services for higher education and nonprofit institutions in the areas of enrollment management, financial management, information systems design, operational analyses, peer analyses/benchmarking, strategic systems planning and systems implementation support.

Specifically with respect to his enrollment management experience, Mr. Quandt has developed comprehensive undergraduate admissions marketing plans that

have led to significant increases in admitted freshmen applicants and strategic recruitment plans that have led to conceptual modifications to existing undergraduate recruiting programs.

**Cathie M. Hudson, Ph.D., Consulting Associate**

Dr. Hudson earned her Ph.D. in sociology from Duke University, with a focus on methods, statistics, social stratification/status attainment, and life course analysis. She worked as Assistant Vice Chancellor for Planning for the Board of Regents of the University System of Georgia from 1988 to 2004, as Associate Vice Chancellor for Planning and Policy Analysis and head of the Office of Research from 2004 to 2008, and as Vice Chancellor for Research and Policy Analysis from 2008 until 2010.

In her 22 years at the System Office, Dr. Hudson worked on many initiatives including ongoing System research, policy analysis, mission review of the 35 institutions of the University System of Georgia, the development of a System-wide admissions policy, academic program review, strategic planning, assessment, and institutional effectiveness. She led the development, improvement, and expansion of data systems for students, curriculum, programs, financial aid, and faculty. Dr. Hudson acted as the liaison of the Board of Regents to legislative and executive branch committees, including the Governor's Education Reform Study Commission, the HOPE Commission, and various committees with other educational agencies in Georgia.

**Stephen R. Portch, Ph.D., Senior Consulting Associate**

Dr. Portch is the Chancellor *Emeritus* of the University System of Georgia. Dr. Portch served as Chancellor of the 35 university and college system from 1994-2001 during a transformative period for Georgia higher education. Previously, Dr. Portch spent 18 years in the University of Wisconsin System, where he served as a Professor of English, a campus Dean, Chancellor of the 13 UW Center campuses, and ultimately as Senior Vice President for Academic Affairs.

Since 2001, Dr. Portch has been a higher education policy advisor, consultant, and speaker. His focus has been on governance, strategic planning, academic program review and faculty productivity and benchmarking.

Dr. Portch has an undergraduate degree from the University of Reading and a Masters and Ph.D. from Penn State, all with honors.

- c. Information concerning terminations, litigation and debarment. Bidder shall provide answers to the following questions:
  - 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.

During the last five (5) years, the Pappas Consulting Group Inc. has not had a contract for services terminated for any reason.

- 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.

During the last five (5) years, the Pappas Consulting Group Inc. has not had any order, judgment or decree of any Federal or State authority barring, suspending, or otherwise limiting the right of the Pappas Consulting Group Inc. to engage in any business, practice, or activity.

- 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.

During the last five (5) years, the Pappas Consulting Group Inc. has not had any pending or threatened litigation, administrative or regulatory proceedings, or similar matters that could affect the ability of the Pappas Consulting Group Inc. to perform the required services.

Neither the Pappas Consulting Group Inc. nor any owners, officers, or primary partners have 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

During the last five (5) years, no irregularities have been discovered in any of the accounts maintained by the Bidder on behalf of others.

- 5. Statement of Scope.** A clear statement of scope is required from each bidder that demonstrates their understanding of this project and how their past engagements provide them with the insight/skills/tools needed to complete this work.

*Project Objectives*

The Board seeks support from a qualified consulting firm to quantify the academic /business case for efficiency and transformational projects and analyze the System's academic alignment with the overall Board of Regents' mission and strategy to achieve fund reductions and reallocations.

In March 2014, the Board engaged an outside consulting firm to perform an assessment of the Regent System, the Board, and its three universities to determine alignment with the overall educational mission and provide an alternative organizational structure. Focusing on student success and organizational excellence, the Board has chosen the following for further effort:

1. Distance Education – collaborate to increase net revenue through online and hybrid Distance Education degree and certificate programs, thereby expanding the Universities’ reach beyond the traditional student markets.
2. Time to Graduation/Enrollment Management – develop strong management System-Wide (e.g., optimal organization, faculty staffing, and class size).

The Consultant Team will take these two academic/business cases and:

- Work with the Board, the Executive Director, the Transformation Project Manager and the three universities to determine the degree to which data previously generated for this project are relevant/complete;
- Come to a collective understanding and agreement among the parties listed above and the Consultant Team to define the appropriate scope of work encompassed in Distance Education and Time to Graduation/Enrollment Management;
- Build a business case for cost savings, revenue enhancement or efficiencies through an assessment of structure, core processes, staffing levels, performance levels and cost structure;
- Develop detailed recommendations, both short-term and long-term, based on findings;
- Identify opportunities for cost reduction and explain how net savings can be realized through changes in the delivery model, business processes, policies, and/or through implementation of enabling technologies (i.e., online course delivery, classroom scheduling and utilization);
- Develop recommendations including strategies to create a more efficient environment, as well as address any impact to faculty, staff, and student workload; and
- Utilize experience in past projects and knowledge of cross-industry best practices to develop an implementation roadmap to achieve the desired results.

Our recommendations will address both the positive and negative impact to faculty, staff, and students. We will work in partnership with the Board, the Transformation Project Manager and the three universities (particularly its academic leadership and the faculty) to understand the mission, culture and operating culture of each institution. As stipulated in the RFP, we will make several on-site visits to be coordinated through the Board Office and spend considerable time working with faculty, administrators, the Regents, and students throughout the engagement.

*Project Deliverables*

The results of the project conducted by the Pappas Consulting Group will provide the Board of Regents with the following deliverables:

- A Communications Plan detailing key messages with particular emphasis on change management and the engagement of campus constituencies.
- A detailed action plan that includes intermediate actions that can be implemented to achieve overall objectives.
- An action plan with metrics to enable the measurement of improvement for each item proposed.
- A proposed methodology for defining, tracking and reporting on actual net savings.
- Process flow diagrams (where applicable) and written summaries of the existing organizational structures/processes including strengths and opportunities for improvement as well as identify areas that are sufficient, as they currently exist.
- A timeframe for regular activity reports relevant to the agreed upon scope of work for the Board.
- Reports of findings and progress (on implementation) to the Board.
- A final report.

We understand that information obtained during the assessment process will be maintained in confidence until such time the action plan is completed and any necessary action is instituted by the Board or until the Board determines that the action plan is subject to release under the Iowa Open Records Law or otherwise determined by the Board.

Our proposal is fully responsive to the requirements of the RFP and addresses the primary objectives and tasks described above.

## **6. Methodology**

### **A. Design/Solution Development and Implementation Plans**

#### **Project Methodology**

The Board of Regents of the State of Iowa, building on Deloitte Consulting's work on an assessment of the Regent System, the three universities in Iowa, and the Board Office, has chosen to focus the next phase of its efforts on two salient and interrelated opportunities available to the Board and the three universities. These are:

- 1) Collaboration among the three universities to increase net revenue through online and hybrid degree and certificate programs, allowing the three universities to expand their reach beyond traditional student markets; and

- 2) Develop strong management throughout the three universities to enhance student success, in particular by increasing graduation rates and reducing time to graduation.

The Firm engaged to conduct this Phase II work must necessarily be respectful of the time and effort previously deployed by the three universities (most particularly its faculty and staff) the Board, and the Board staff, while recognizing that the Phase I Business Cases as currently written require further definition, clarity, and specificity from our perspective.

It is our belief that the Board, and its three universities and its consultants need first to agree to the specific charge to be carried out in Phase II. As currently enumerated, the “Opportunity Name” and the “Potential Opportunity Description” use language that is either limited (Distance Education) or is replete with examples of “hot button” issues (Time to Graduation/Enrollment Management) without the fundamental understanding of the multiple factors that contribute to a student’s journey to graduation.

The Pappas Consulting Group has extensive and distinct experience in each of these two domains and in the following section of our proposal we describe that experience and present how we would use our experience to ensure that the Board of Regents and the three universities succeed on each of these two dimensions once they are accurately defined.

#### *Distance Education*

We begin by setting out the need to define “Distance Education” more broadly than the traditional definition that has a specific spatial component.

The broader context should be one focused on the enhanced use of online technology, and the promotion of interactive learning online as components of BOTH traditional and non-traditional programs and pedagogies.

This expanded context brings expanded benefits not only through enhanced revenues from distance education degree programs and certificates, but also through hybrid and online courses that can enhance student success among “traditional” students by providing “just in time” availability of key courses to traditional students who at times (i.e., summers and inter-sessions) can also be “distance” students. These potential benefits track closely with the “Prioritized List of Opportunities” identified by Deloitte Consulting. From our perspective:

- The lines between “distance learners” and “traditional learners” are fluid rather than fixed.
- Building more distance education focused programs that are parallel to traditional face-to-face programs can provide substantial synergies.

- Elements of such programs (i.e., “courses”) can also serve, for example, to increase access to high school students and community college students and ensure smoother transitions for these students to Iowa Universities, and therefore shorter times-to-degrees for both groups. (APSS-2)(APFI-2)
- By providing enhanced faculty development opportunities needed to make distance education successful, this effort can also increase the effectiveness of ALL instruction. (APIRC-3)
- Enhancing the effectiveness of instruction leads to enhanced student success, as measured by increased graduation rates and reduction in time to graduation.
- And each of these comes with the added benefit of the proven reduction in the cost of instruction made possible by technologically enhanced teaching. (See Bowen and Bacow, et al. – ITHAKA.)

There are other benefits as well, and other mechanisms for further cost savings and simultaneously other academic enhancements:

- SSU-03 calls for improvements in utilization of classroom space through changes in scheduling policies.
- FAC-03 calls for reduction in utilities and operational costs by limiting use of buildings during evenings and summer.

However:

- SSU-06 calls for improving graduation and retention rates by creating more student-centric schedules.

On the surface, these two sets of Phase I recommendations can be thought of as operating at cross purposes. Clearly, limiting the use of buildings by providing fewer classes during evenings and summer will have a direct effect on students, some of whom depend on classes at those times either to better coordinate with work schedules or as a mechanism for more rapid progress toward degree completion. Reducing summer and evening classes is the exact opposite of “creating more student-centric schedules”. Enhanced use of technology-intensive pedagogy through hybrid and online instruction in key high demand course areas can SIMULTANEOUSLY achieve the results called for by BOTH FAC-03 (less need for physical classrooms) and SSU-06 (providing courses when students need and want them), while also fulfilling the objectives of APSS-1 (higher retention and graduation rates).

Therefore, our approach to enhancing what the RFP defines as “Distance Education” will be a broader one that seeks to use new educational technology SIMULTANEOUSLY to enhance the universities’ access to new student markets while also improving the success of students from more traditional education markets.



From the outset, we will be seeking opportunities to apply technology in those educational programs in which enhanced online learning can serve both constituencies. A goal in our early consultations both with the Board of Regents and with faculty and leaders of each of the three universities will be to identify a specific and finite set of academic areas that are likely to provide the greatest and most rapid indicators of the successful outcomes sought by the Board. Specifically, in our early consultations we will be seeking examples of programs that can BOTH support outreach to new student markets AND achieve improvements in the success of students from traditional markets. All recommended programs will target multiple potential markets and the synergy that results will be an important component of expected revenue enhancement and cost reductions.

We will take as a given the fact that the enhanced use of online instruction, well-designed and executed, will lead to cost savings. There is ample evidence available from recently established or expanded online programs and from carefully conducted experiments on the impact of hybrid learning on the cost of instruction (Bowen and Bacow).

Recent literature not only provides convincing evidence for the effectiveness of enhanced online learning, it also provides strong guidance on specific strategies that universities should follow to enhance the success of any efforts to increase the use of online learning. A recent review of “Barriers to Adoption of Online Learning Systems in U.S. Higher Education” (Bacow, *et al*) is particularly enlightening and its concluding section on Strategies for Overcoming Obstacles, can serve as a useful guide to our early conversations with faculty and University leaders, as we commence this project for the Iowa Board of Regents. Although these strategies were written largely to address efforts to increase the number of online and hybrid courses provided to traditional students, our approach assumes that most will also be relevant to efforts to develop new degree and certificate programs targeting new student markets.

#### *Time to Graduation/Enrollment Management*

As is the case with the need to strategically and practically define “Distance Education”, the second domain of this RFP, “Develop strong management throughout the three universities to enhance student success, in particular by increasing graduation rates and reducing time to graduation”, needs to be defined and agreed upon by the Board and its three universities.

Student success can be defined in a multiplicity of ways, but for most Governing Board members, legislatures and accrediting agencies, student success equates to time to complete the degree/graduation. For those within the academy (i.e., faculty and staff), Student Success also equates to retention, learning, social and psychological development. One lens looks at expediting degree generation to

mitigate student debt load and ensure that more students can get through the pipeline in a timely basis and the other focuses on how to enrich the student experience so the student can be successful upon graduation in whatever she/he pursues in life.

From our perspective, there are at least four elements that contribute to Student Success initiatives and they can be defined as follows:

1. Getting the Student to Campus and on the Right Trajectory. This constitutes Enrollment Management. Among the functions are Recruitment, Admissions, Financial Aid, the Registrar, strategic enrollment planning and the provision of so-called One-Stop or Student Service Centers (in person or through self-service) that help to mitigate “administrivia.”
2. Student Retention and Graduation Rates. Very often these equate to Student Success or Student Engagement and first year functions at the University including academic advising, academic support services, career networking, experiential and service learning, orientation and the first year experience.
3. Managing the Academic Enterprise. This includes such activity as the dissemination and implementation of academic policy concerning learning and pedagogy, scheduling classrooms, the availability/willingness of faculty to teach at certain times/days of the week, faculty overloads, faculty productivity, the utilization of adjuncts and lecturers as well as the availability of online, blended and hybrid courses to supplement in-classroom pedagogy.
4. Allocating and Managing Resources Strategically. For some institutions, this has meant the advent or adoption of Responsibility Centered Budgeting and other budget allocation processes to ensure that academic program priorities are being met and that faculty productivity and student credit hour generation are being leveraged optimally.

As previously enumerated in the Distance Education section of our proposal, we believe through careful work plan design we can concurrently leverage the work of the Distance Education business case to address the issue of Time to Graduation/Enrollment Management. What we need also to do is be collectively thoughtful with regard to what truly constitutes the following as enumerated in APOE-1 as follows:

*Opportunity Name:* Develop a strong enrollment management system-wide.

*Potential Opportunity Description:* All three public universities could become more sophisticated regarding enrollment management to ensure cost-effective delivery of student learning outcomes through better programmatic configurations, faculty mix, and mix of class sizes to that students can expeditiously complete their programs.

From our perspective, the bottom line is that the Board, its Executive Director, the Transformation Project Manager, the three universities and the Pappas Consulting Group must come to an early agreement about the definition of the task so there is no ambiguity as the work plan is refined and unfolds.

## **B. Implementation/Consultation Phase**

Given the need for members of the Pappas Consulting Group to work collaboratively with the Board, the Executive Director, the Transformation Project Manager, and University faculty and other personnel to come to agreement about the literal definition of the two business cases at hand, it is difficult for us to propose how we would assist the Board and its three universities to implement the recommendations.

We view consulting as an opportunity to impart knowledge and experience to our clients so they, in turn, have the expertise and project management skills to undertake the implementation themselves. We pride ourselves in serving as mentors and technical experts, being ever so wary to refrain from building a co-dependency with the clients with whom we work.

That being said, we believe where we can be most helpful in implementation assistance, is initially working with the client to design a detailed action plan that prescribes deliverables, dates and performance metrics for University personnel that will guide their work and enabling monitoring by the Board. We also believe in providing clients monitoring services that calls for us to visit a client on a monthly or quarterly basis to assess progress, identify challenges and recommend practical institution-driven ways to overcome those challenges throughout the implementation effort.

## **Consulting Approach**

To achieve the project objectives and complete the requisite deliverables, the Pappas Consulting Group will work in partnership with the Transformation Project Manager, Board Office staff and the faculty and staff of the three universities. Our project plan and analytic methodologies are designed to avoid duplication of effort and leverage information. Further, we understand fully that the project:

- Requires a partnership with the Board of Regents and its multiple stakeholders to be successful.
- Needs a strong, candid and transparent partnership.
- Must have integrity to enable stakeholder buy-in and ultimate implementation.
- Needs to be completed within an aggressive timeframe.
- Requires a consulting team with both higher education and in-depth administrative, academic and operational expertise.

## **Project Planning and Management**

Our challenge as a Firm in responding to this particular proposal centers around how the previous Phase I data collection and analytics were performed and the degree to which the campuses and the Board were involved in the crafting of the business cases for the Academic Review. To that end, we look to work closely with the Board and its three universities to refine previously generated data collection efforts (i.e., respecting the time and energy previously spent) while concurrently determining what additional data/documentation need to be collected and coming to a mutual understanding of what the business cases really should be by definition and what they intend to accomplish.

Finally, in order for this Phase II effort to be successful, thoughtful and candid conversation needs to occur with our Consultant Team, the Transformation Project Manager, and the three universities before the proposal work plan can be finalized.

At present, the proposed work plan contains the elements required to fulfill the study charge but will require detailed refinement upon conclusion of the initial set of working group meetings we propose to facilitate at the Board and on campus.

## **Project Work Plan**

Given the caveats previously expressed, the work plan presented on the following pages outlines the objectives and major work steps associated with the Distance Education and Time to Graduation/Enrollment Management project. To reiterate, it is our objective to craft a more detailed work plan once we are all in agreement about the definition and anticipated outcomes of the two academic/business cases.

Work Step	Project Tasks
<p><b>Step 1</b>  <b>Finalize Project Work Plan and Organization Structure</b></p> <p><i>In collaboration with the three universities, the Transformation Project Manager, and the Board, review and refine the proposed project work plan and organization structure to ensure it meets the needs and expectations of the Board.</i></p>	<p>In collaboration with the Board, its Executive Director, its Transformation Project Manager and the three universities, review and finalize the project work plan and organization structure.</p> <ul style="list-style-type: none"> <li>• Meet on-site with all parties.</li> <li>• Reaffirm definition, expectations, and requirements of the Distance Education and Time to Graduation/Enrollment Management Study effort.</li> <li>• Review and discuss each step of the proposed work plan.</li> <li>• Identify changes and additions to the work plan.</li> <li>• Revise the work plan as agreed upon and disseminate to the Board, Executive Director, Transformation Project Manager, the three universities and the Pappas Team.</li> <li>• Identify a Project Liaison responsible for coordinating logistics and gathering background information.</li> <li>• Come to agreement concerning the background information to be acquired (both previously generated and new) and determine the best method for disseminating this information to the Pappas Consulting Team.</li> <li>• Determine the list of Board, Board Office and University personnel to be interviewed in one-on-one sessions.</li> <li>• Identify focus group participants.</li> <li>• Determine dates for on-site visits, interviews and focus group sessions.</li> <li>• Determine a formal structure for communicating project activities to the Transformation Project Manager and University personnel (faculty and staff).</li> <li>• Develop a communications plan for review and ultimately dissemination to the Board, Board Office staff, University personnel and the University student population.</li> </ul>

Work Step	Project Tasks
<p><b>Step 2</b>  <b>Obtain and Review Background Information</b></p> <p><i>Gain a broad understanding of the academic program operations within the project scope based on existing information in Phase I as well as new documentation/data provided by the Board and the three universities.</i></p>	<p>Obtain and review a range of background information, including:</p> <ul style="list-style-type: none"> <li>• Tables of organization pertaining to the academic program operations under review at the three universities.</li> <li>• Strategic and tactical planning documents relevant to the study.</li> <li>• Position descriptions of key academic program /operations staff at the three universities.</li> <li>• Policies and procedures and other governance material pertinent to the various academic programs operations under review.</li> <li>• Description of major changes in funding, staffing, organization and technology during the past five years for the academic program operations under review.</li> <li>• Budget documentation of the academic program operations under review.</li> <li>• Staffing and faculty workload data (e.g., headcount, FTE counts by position and job classification, salary, release time, stipends, overloads) for the academic programs and operations under review.</li> <li>• Relevant training and professional development program materials.</li> <li>• Existing process flow maps that describe the information flow of key academic program business processes.</li> <li>• Description of methods used for processing academic programs/business transactions, generating management reports and accessing data.</li> <li>• Academic quantitative measures by college and department, such as: 5-year trends on degrees awarded; student credit hour productivity; student credit hour costs; time-to-degree by program; retention and graduation rates; faculty workload; faculty-student ratios; and class sizes by course/major.</li> <li>• Information regarding such programs as: learning communities; freshman orientation; advising, course availability; competency based learning; etc.</li> <li>• Materials describing the current and planned IT enabling environment for the Board Office and within the three universities.</li> <li>• Access to Phase I Deloitte Consulting work papers pertaining to Distance Education and Time to Graduation/Enrollment Management that have not been posted on the Board's website.</li> </ul>

Work Step	Project Tasks
<p><b>Step 3</b>  <b>Obtain and Review Reference Data</b></p> <p><i>Obtain best practices/trends data for comparison and evaluation.</i></p>	<p>Identify relevant comparative best practices and trends in Distance Education and Time to Graduation/Enrollment Management.</p> <p>Obtain and review various reference data, including:</p> <ul style="list-style-type: none"> <li>• Baseline metric performance data applicable to the academic programs/operations under review at the three universities inclusive of: freshman-sophomore retention rates; four-year and six-year graduation rates; distance education enrollments, course development costs, curriculum/degree offerings; etc.</li> <li>• Best practices and trends at other universities and their systems.</li> </ul> <p>Examine cost structures associated with the academic programs/operations under review.</p>

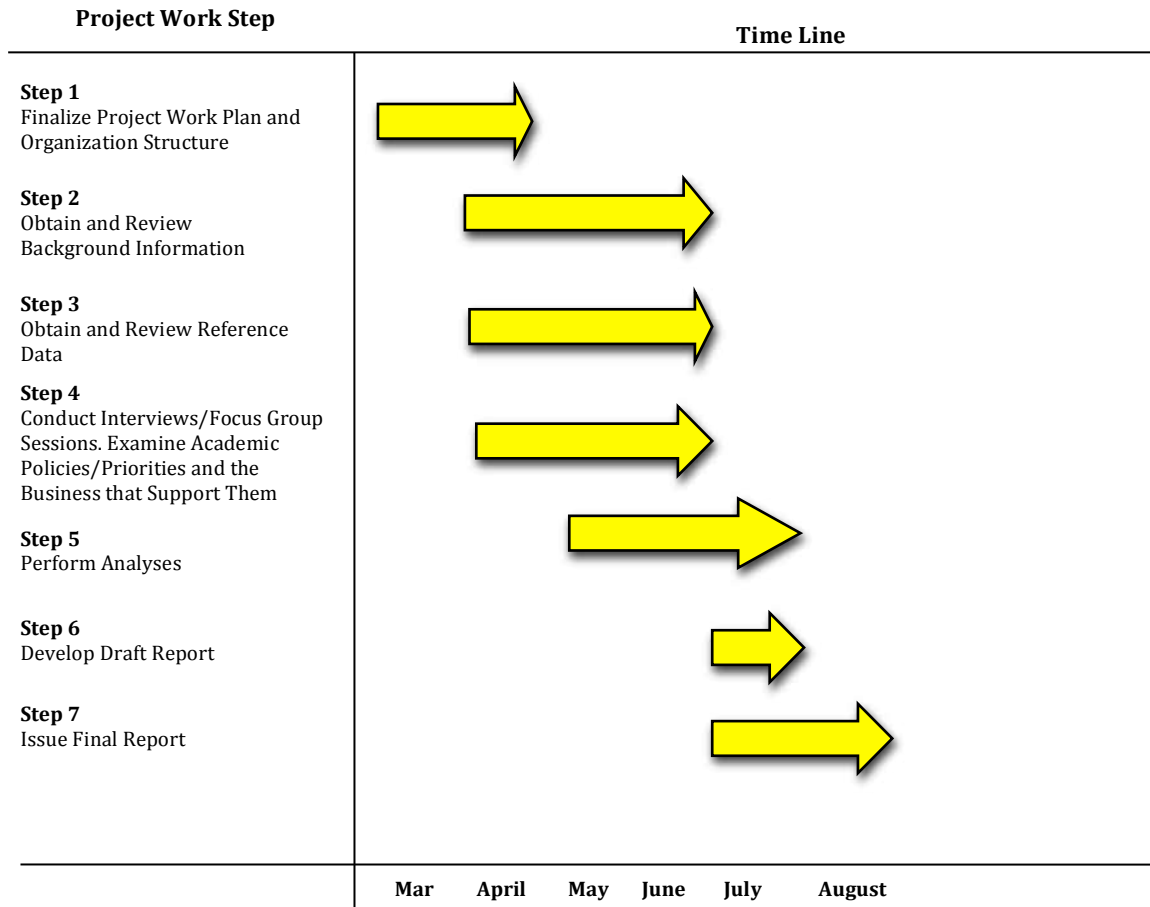
Work Step	Project Tasks
<p><b>Step 4</b>  <b>Conduct Interviews/Focus Group Sessions. Examine Academic Policies/Priorities and the Business Practices that Support Them.</b></p> <p><i>Obtain input and information from a variety of sources.</i></p>	<p>Develop interview guides for the one-on-one interviews and focus group sessions.</p> <ul style="list-style-type: none"> <li>• Design interview guides that focus on academic program organizational and operational characteristics, inclusive of existing strengths, issues, and opportunities for improvement in service delivery and operating efficiency.</li> <li>• Provide draft interview guides to the Transformation Project Manager and the three universities for review, comment and refinement.</li> </ul> <p>Conduct Interviews/Focus Group Sessions.</p> <ul style="list-style-type: none"> <li>• Schedule and conduct one-on-one interviews with members of the Board, Board staff and at the three universities (Academic leadership, faculty, students and staff), as appropriate.</li> <li>• Conduct focus group sessions with: key faculty and staff within the academic program operations under review at the three universities; and convene focus groups of key constituents and students regarding academic program operations.</li> </ul> <p>Examine Academic Policies/Priorities and the Business Practices that support them.</p> <ul style="list-style-type: none"> <li>• Review existence of academic policies and priorities, such as: program approval/discontinuation/reviews; program “sunsets”; “trigger points” for special reviews; etc.</li> </ul>



Work Step	Project Tasks
<p><b>Step 5</b> <b>Perform Analyses</b></p> <p><i>Analyze Academic Programs for:</i></p> <ul style="list-style-type: none"> <li>• <i>Centrality to Mission and Strategic Priorities</i></li> <li>• <i>Quality, Competitiveness and Demand</i></li> <li>• <i>Productivity and Efficiency</i></li> </ul> <p><i>Analyze the information obtained from the background materials, best practices/trends data, interviews and focus group sessions. Identify opportunities to enhance operating efficiency, realize economies of scale and minimize cost.</i></p>	<p>Review and analyze the information obtained from the background materials, best practices/trends data, and interviews and focus group sessions.</p> <p>Analyze existing academic programs under review against service delivery needs and develop business requirements.</p> <p>Assess the business requirements against the best practices/trends data.</p> <p>Aggregate the background, best practices/trends data, interview and focus group sessions for review and discussion with the Transformation Project Manager for feedback, identifying:</p> <ul style="list-style-type: none"> <li>• Assessment of strengths and limitations.</li> <li>• Major issues.</li> <li>• Organizational re-alignment and alternative service or program delivery opportunities.</li> <li>• Policy gaps.</li> </ul>
<p><b>Step 6</b> <b>Develop Draft Report</b></p> <p><i>Prepare a draft report describing observations, assessments and preliminary recommendations.</i></p>	<p>Based upon the analysis and review comments by the Transformation Project Manager, prepare a draft report containing observations, assessment and preliminary recommendations regarding possible service provision models and associated cost benefits/revenue enhancements and an implementation action plan containing improvement measurement metrics for review and comment by the Board and its Executive Director.</p> <ul style="list-style-type: none"> <li>• Transmit the report to the Executive Director, the Transformation Project Manager, and the three universities for initial review and comment.</li> <li>• Meet with the Board and Executive Director to review the next iteration of the draft report.</li> <li>• Discuss and agree upon changes and additions to the report or additional information required.</li> </ul>

Work Step	Project Tasks
<p><b>Step 7</b> <b>Issue Final Report</b></p> <p><i>After incorporating agreed upon changes and additions, develop the final report.</i></p>	<p>Based on input provided by the Board and its Executive Director regarding the draft report:</p> <ul style="list-style-type: none"> <li>• Conduct additional fact-finding and analyses as appropriate.</li> <li>• Integrate changes and additions within the report and finalize.</li> <li>• Present the finalized report to the Board, the Executive Director, and the three universities in fora to be determined.</li> </ul> <p>Assist in developing a project roll-out communications plan that summarizes report findings for dissemination to the Board, Board staff and the three universities (faculty, students and staff).</p>

Board of Regents, State of Iowa Work Plan



### Project Deliverables

The consulting services associated with the project will encompass, at a minimum, the following deliverables.

Work Step	Deliverable	Expected Completion Date
<b>Step 1</b>	1. Project Work Plan 2. Project Communications Plan	April 5 April 5
<b>Step 3</b>	1. Academic Program Operations Best Practices and Trends	May 5
<b>Step 4</b>	1. Interview Guides 2. Interviews and Focus Group Sessions	April 12 May 20
<b>Step 5</b>	1. Initial Project Findings and Current State Assessment Review with the Transformation Project Manager	June 15
<b>Step 6</b>	1. Draft Report	July 15
<b>Step 7</b>	1. Final Report 2. Project Roll-Out Communications Plan	August 13-17 August 13-17

## Client Staff Support Requirements

We foresee the need for client staff support as outlined below by work step. The Pappas Project Director and the Transformation Project Manager will work in partnership to determine the degree of effort required throughout the project.

Work Step	Client Staff Involvement
<b>Step 1</b> <b>Finalize Project Work Plan and Organization Structure</b>	<ul style="list-style-type: none"> <li>• Identify the Project Liaison.</li> <li>• Determine the list of Board, Board Office and University personnel to be interviewed.</li> <li>• Identify focus group participants.</li> <li>• Determine dates for the on-site visits, interviews and focus group sessions.</li> <li>• Determine the structure for communicating project activities.</li> <li>• Review, finalize and disseminate the communications plan draft.</li> </ul>
<b>Step 2</b> <b>Obtain and Review Background Information</b>	<ul style="list-style-type: none"> <li>• Collect the background information requested.</li> <li>• Post the information obtained on a secure web site.</li> </ul>
<b>Step 4</b> <b>Conduct Interviews/Focus Group Sessions. Examine Academic Policies/Priorities and the Business Practices that Support Them.</b>	<ul style="list-style-type: none"> <li>• Review and approve the draft interview guides.</li> <li>• Schedule the interviews and focus group sessions.</li> <li>• Forward relevant academic policies and priorities for the three universities and those disseminated by the Board.</li> </ul>
<b>Step 5</b> <b>Perform Analyses</b>	<ul style="list-style-type: none"> <li>• Provide input and feedback to the Pappas Consulting Team regarding the initial Distance Education and Time to Graduation/Enrollment Management operational findings and conclusions.</li> </ul>
<b>Step 6</b> <b>Develop Draft Report</b>	<ul style="list-style-type: none"> <li>• Provide input and feedback to the Pappas Consulting Team regarding the draft report.</li> </ul>
<b>Step 7</b> <b>Issue Final Report</b>	<ul style="list-style-type: none"> <li>• Review, finalize and disseminate the project report and roll-out communications plan.</li> </ul>

7. **References.** Please provide the contact information and client background for three client references. Submit references for clients that are most similar to the services being proposed for the Board.

Please refer to the client references listed previously within Section 2 Executive Summary.

8. **Sample Documents.** Please feel free to submit sample documents of the type of analysis the Board can expect from the work your firm is proposing to do (feel free to remove client names).

#### **University of Houston System/University of Houston**

Dr. Pappas facilitated the strategic planning process for the University of Houston and University of Houston System and engaged the approximately 215 staff members of the Student Affairs Division in a strategic planning exercise that clearly and passionately enumerated the vision, mission, values, strategic initiatives/goals and action steps/objectives of the Division. The Strategic Plan “*Our Path to Progress*” can be viewed/downloaded at the following link

[http://www.uh.edu/dsa/about\\_student\\_affairs/strategic\\_plan.html](http://www.uh.edu/dsa/about_student_affairs/strategic_plan.html)

#### Office of the Senior Vice Chancellor for Academic Affairs/Senior Vice President for Academic Affairs and Provost

We recently completed a review to create a functionally-aligned organization structure to support the University of Houston’s Tier One classification and to ensure student success at both the undergraduate and the graduate level. Our report “*Transforming the Office of the Senior Vice Chancellor for Academic Affairs/Senior Vice President for Academic Affairs and Provost*” can be viewed/downloaded at the following link:

<http://www.uh.edu/provost/documents/pappas-report.pdf>

#### **Suffolk University**

The following are in-depth descriptors of the detailed work performed on behalf of the University. Our report “*The Strategic Planning Imperative*” can be viewed/downloaded at the following link -

[http://www.suffolk.edu/documents/StrategicPlan/strategic\\_planning\\_imperative.pdf](http://www.suffolk.edu/documents/StrategicPlan/strategic_planning_imperative.pdf)

#### Strategic Planning

We facilitated the development of the institution’s first University-wide strategic plan for AY 12-13-AY 17-18 at the request of the institution’s new President. The Strategic Plan “*Charting the Future: A Plan for Suffolk University*” can be viewed/downloaded at the following link -

<http://www2.suffolk.edu/strategicplan/index.php>

Division of Student Success

The study resulted in a report that contains: a functional table of organization with clear reporting lines and responsibilities; major functions for each position within the table of organization that the Office of Human Resources can convert into official University position descriptions; the objectives of the new Division and its role and relationship to functions performed in Student Affairs, Enrollment Services, and the Sawyer Business School that need to interface with Student Success; and recommendations concerning which administrative processes need redesign once the final organizational alignment of the Division is complete.

<http://www.suffolk.edu/academics/20419.php>

**SUNY Research Foundation**

A detailed Operations Service Improvement Program (OSIP) was developed and implemented.

[https://portal.rfsuny.org/portal/page/portal/The Research Foundation of SUNY/home/What we do/strategic planning/pappas group report.pdf](https://portal.rfsuny.org/portal/page/portal/The+Research+Foundation+of+SUNY/home/What+we+do/strategic+planning/pappas+group+report.pdf)

A comprehensive strategic plan was adopted at the 2010 May Board Retreat and is available on the SUNY RF Website at <http://www.rfsuny.org>.

- 9. Cost of Services** – Submit a comprehensive price proposal that outlines rates and hour by each phase and any other costs incurred.
- a. A comprehensive price proposal should be submitted on the basis of “not-to-exceed pricing” for this project. Under a not-to-exceed pricing arrangement, the contractor is compensated for hours and expenses incurred up to a ceiling amount. If additional effort is required, the bidder is expected to complete this effort at no additional cost to the Board. If less effort is required than the contract price, the Board would not be billed for the work.
  - b. Billings would take place at the completion of key milestones/deliverables. The Board expects bidders to propose a milestone/deliverable schedule that should assume that the Board will retain 10% of every invoice which would be released at the acceptance of the final deliverable.

The Pappas Consulting Group Inc.’s proposed price proposal is being submitted under separate cover.

**Appendix A**

**COMPLETE DESCRIPTIONS OF RELEVANT PAPPAS CONSULTING GROUP  
QUALIFICATIONS**

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# Clients Served

## Pappas Consulting Group Inc.

### PUBLIC COLLEGES AND UNIVERSITIES

Alabama State University Cheyney University of Pennsylvania Clayton State University The College of New Jersey Eastern Kentucky University Georgia College and State University Georgia Institute of Technology Georgia State University Medical College of Georgia Northeastern Illinois University (NEIU) Northeast Ohio Medical University (formerly known as Northeastern Ohio Universities Colleges of Medicine and Pharmacy) Northern Michigan University Old Dominion University Oregon State University Portland State University Purchase College, State University of New York Sonoma State University South Dakota State University Southern Connecticut State University	SUNY-Maritime Tennessee State University Texas Southern University University of California Berkeley University of Colorado Denver (formerly known as University of Colorado at Denver and Health Sciences Center) University of Georgia University of Idaho University of Kentucky University of Mississippi, School of Pharmacy University of Nevada, Reno University of Oregon University of Southern Indiana University of Texas at Austin University of Virginia Virginia Commonwealth University Washington State University Wichita State University York College
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**MULTI-CAMPUS PUBLIC UNIVERSITIES AND PUBLIC UNIVERSITY SYSTEMS**

<p>Arizona Board of Regents  Arizona State University  California State University  City University of New York (CUNY)  State University System of Florida and Florida Board of Governors.  Iowa Board of Regents  Miami-Dade College  Montana State University  New Jersey Commission on Higher Education  New Jersey Public Research Universities  Oregon University System (formerly known as Oregon State System of Higher Education)  Pennsylvania State System of Higher Education (PASSHE)  Rhode Island Board of Governors for Higher Education (RIBGHE)  State University of New York</p>	<p>State University of New York Research Foundation  University of Connecticut  University of Houston System  University of Illinois  University of Kansas  The University of Massachusetts System  University of Massachusetts Boston  University of North Carolina and the North Carolina Community College System  University of North Carolina  -Fayetteville State University  -Western Carolina University  -Winston-Salem State University  University of North Carolina Pembroke  University of North Carolina Greensboro  University System of Georgia  University of South Florida System  University of Texas System</p>
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**PUBLIC COLLEGES AND UNIVERSITIES SERVED**

**ALABAMA STATE UNIVERSITY**

*915 S. Jackson Street, Montgomery, AL 36104*

The Board of Trustees of Alabama State University engaged the Pappas Consulting Group to review the organizational and operational structure of the institution in light of the growth in staff during a simultaneous period of decline in student enrollment. The issue of “right size” and “right structure” to meet the University’s current mission and future vision was the primary objective of this review.

We employed the following action steps to guide organizational restructuring and redesign to improve day-to-day operations:

- Assessed the organizational structure of the University and recommended structural changes to fulfill the University’s mission most effectively.
- Studied the number of staff positions in each administrative unit of the University and recommended where the number may be too large or too small to efficiently and effectively carry out the mission of the institution and of the respective unit.
- Reviewed the job title and functions of each staff position in the administrative units and recommended where job titles and functions could be realigned to achieve maximum efficiency.
- Conducted a comprehensive assessment of all administrative processes and recommended changes that improved efficiency, productivity, quality, and cost-effectiveness.

**CHEYNEY UNIVERSITY OF PENNSYLVANIA**

*1837 University Circle, Cheyney, PA 19319*

The Pappas Consulting Group was engaged to conduct a diagnostic review of Cheyney University’s enrollment management functions. The most compelling recommendations that emanated from this initial review were to:

- Improve recruitment and enrollment practices and strategies to generate more freshmen, transfer, and graduate students; and
- Strengthen first-year student retention and graduation rates.

We conducted interviews of Cheyney University faculty, staff and administrators who had recruitment and/or retention responsibilities. We completed numerous process flow charts of recruitment processes related to admissions, financial aid and registration. From our initial “As Is” diagnostic review, seventy-three recommendations were developed to address practices that were adversely affecting enrollment management outcomes. Where no practices were evident, policies and procedures were put in place. Existing activities were streamlined and/or strengthened.

While developing our recommendations, in the second phase of our work, we stayed within existing resources and staffing parameters (e.g., collective bargaining agreements). We changed practices in order to improve enrollment management results. Throughout our engagement, we were careful to avoid making recommendations that could potentially mitigate the positive cultural attributes that make Cheyney University a unique learning environment. Our enrollment management recommendations created strategies for:

- Structured marketing and student recruitment;
- Early and continuous advising programs that focus on “at risk” students;
- First-year student “intervention” programs;
- Integrated academic and out-of-classroom programs to improve the University’s overall learning environment; and
- Greater faculty involvement in both recruitment and retention.

#### **CLAYTON STATE UNIVERSITY**

*2000 Clayton State Boulevard, Morrow, GA 30260*

The Pappas Consulting Group developed a Strategic Plan that provided a guide that enabled the University to fulfill its mission goals of excellence and access, diversity and community partnerships. The CSU Strategic Plan was based upon market research, demographic and economic analysis of the main campus and its emerging sites, its catchment area, and extensive University staff and faculty participation.

The result of this assessment was the creation of a 5-year Strategic Plan for Clayton State University which included such components as mission, vision, values, goals and outcomes. It also identified how best to prepare Clayton State University for growth and prosperity within the context of CSU’s relationships with peer institutions and the USG Board of Regents.

#### **THE COLLEGE OF NEW JERSEY**

*2000 Pennington Road Ewing, NJ 08618*

The Pappas Consulting Group facilitated two strategic planning retreats for the College of New Jersey.

The President of the College and her senior management team had done much to set and clarify the strategic direction of the College. During that planning period, there had been significant turnover in Board membership. The College was eager to optimize the Board’s talents and make the Board as effective and efficient a collective as possible. The Pappas Consulting Group was engaged to design a day and a half Board retreat to address such matters and design practical solutions for implementation. We identified new and creative ways to address the structure of the Board that rendered the Board:

- grounded in the strategic direction of the institution and its continuous planning efforts without managing it from a day-to-day perspective
- collectively knowledgeable and informed about future initiatives requiring their support, both psychic and financial

- nimble and responsive to strategic initiatives
- an informed decision maker as a collective; and
- engaged in meaningful decision making at the continuous planning and policy levels.

#### **EASTERN KENTUCKY UNIVERSITY**

*521 Lancaster Ave, Richmond, KY 40475*

The Pappas Consulting Group assisted the Board of Eastern Kentucky University and its Executive and Academic Affairs Committee (Executive Committee) in the conduct of its first evaluation of its President. The evaluation was comprehensive and included internal and external focus groups; electronic surveys of faculty, staff, and students; and an extensive review of data and documents. The process resulted in a report that was both evaluative and developmental.

In 2011, Eastern Kentucky University again requested the Pappas Consulting Group conduct a Presidential evaluation. The President's leadership, management, communication effectiveness, personal relations, fairness and overall performance were assessed. A Presidential debriefing along with a written summary of results was produced for the Board of Regents.

#### **GEORGIA COLLEGE AND STATE UNIVERSITY**

*231 W. Hancock St., Milledgeville, GA 31061*

The Pappas Consulting Group was engaged to conduct a faculty compensation analysis and to develop a faculty pay plan for Georgia College and State University, a COPLAC institution.

The purpose of this project was to:

- Conduct a faculty compensation analysis to ensure GC&SU has a competitive market based approach to pay for all faculty members and administrative leaders.
- Study all forms of faculty compensation including annual contract pay, promotion and tenure increases and summer pay.
- Develop a total compensation pay plan that provides a competitive pay structure based on regional and national comparators.

The compensation study addressed existing wage compression issues and how to ensure GC&SU's competitive position in the labor market in order to hire and retain valued faculty.

#### **GEORGIA INSTITUTE OF TECHNOLOGY, THE UNIVERSITY OF GEORGIA, GEORGIA STATE UNIVERSITY, MEDICAL COLLEGE OF GEORGIA**

*North Avenue NW, Atlanta, GA 30332*

The Pappas Consulting Group provided counsel to Georgia Institute of Technology, the University of Georgia, Georgia State University, and the Medical College of Georgia concerning the delegation of responsibility and accountability for capital projects and leases from the University System of Georgia. The work was divided into three distinct phases:

- Investigation of the processes and effectiveness of the current systems for managing capital projects (project definition through delivery) and leases at each institution.
- Definition of an appropriate model of authority, responsibility, and accountability that could be delegated to institutional presidents in order to maximize effectiveness and efficiency in the design, construction and delivery of capital projects and leases.
- Development of a strategy to pursue recommended solutions.

We conducted interviews with representatives of each of the four major research universities; mapped the current processes of capital budget development, lease development, project planning and design, project bidding and construction, and change orders; analyzed processes to determine barriers and hurdles that consume time and resources; reviewed a list of construction projects completed in the last 3 years to determine the trend lines for various types of delivery methods, and for projects involving Board of Regents staff review and approvals; and prepared and delivered report.

#### **NORTHEASTERN ILLINOIS UNIVERSITY (NEIU)**

*5500 North St. Louis Avenue, Chicago, IL 60625*

Northeastern Illinois University engaged the Pappas Consulting Group to develop a Strategic Plan that would provide a guide as to how the University would continue to fulfill its mission goals of excellence and access, as well as its unique features of diversity and community partnerships. The Pappas Consulting Group developed: (1) a comprehensive, high level strategic plan for Northeastern Illinois University, integrating academic program needs and assessment with financial, human and physical resources; (2) a Strategic Planning Data Compendium that was replete with key data elements; and (3) a summary of relevant overarching themes that emanated from focus groups and interviews.

Under the leadership of the President, this Strategic Plan serves as a basis for all future significant academic and administrative planning at the University.

#### **NORTHEAST OHIO MEDICAL UNIVERSITY (FORMERLY KNOWN AS NORTHEASTERN OHIO UNIVERSITIES COLLEGES OF MEDICINE AND PHARMACY)**

*4209 SR 44., PO Box 95, Rootstown, OH 44272*

##### Phase I: Strategic Planning and Senior Leadership Organizational Review

The Pappas Consulting Group was engaged to develop a Strategic Plan and conduct an organizational review of NEOUCOM. With the new College of Pharmacy graduating its first class, a newly appointed Dean of Medicine, a new governance structure in place, and a new President on board, the timing was right for a new Strategic Plan. The Pappas Group first immersed itself in learning about and understanding the unique history of the University, its strengths and weaknesses as well as the opportunities and challenges facing it.

Through an iterative and inclusive process of interviews, focus groups and web-based surveys, the Pappas Consulting Group: prioritized and refined goals for the university; engaged university constituencies as appropriate; integrated national and state health care

and educational agendas in order to ensure that the university was structured and aligned to respond effectively in the future; developed strategies and measures to define progress in alignment with these goals; reviewed the organizational structure and made recommendations about the structure in light of the University's goals and strategies; developed budget plans that helped the University achieve defined milestones; developed a strategic planning document that reflected goals, strategies, outcome measures, and budget plans; and developed messages for key external and internal constituencies regarding this process.

## Phase II

The President requested the Pappas Group to undertake a Phase II organization review that included all of the positions that comprised academic affairs, health professions education, student affairs and admissions, advancement, external affairs as well as finance and administration. We worked collaboratively with the President and the Deans to meet the study objectives of increasing institutional efficiency and effectiveness. At the same time we undertook this Phase II organizational review, we provided counsel to the Vice President Finance and Administration as he conducted his own self-directed review of the functions that were part of his portfolio.

### **NORTHERN MICHIGAN UNIVERSITY**

*1401 Presque Isle Ave, Marquette, MI 49855*

The Pappas Consulting Group was engaged to reengineer all enrollment, retention, academic support, and related student services in anticipation of moving these operations and staff into a newly renovated building that would serve as a "One Stop." Rather than simply relocate offices as they existed, this public university took the opportunity to think about the best way to deliver student services and actually design the new building to fit the new programmatic paradigm.

We began by performing a detailed operations review of all the affected offices to pinpoint service disruptions, inefficiencies, bottlenecks, and opportunities to use technology in transaction processing. We reported to a Committee comprised of enrollment office directors, faculty, and staff union leaders. An Oversight Committee of Vice Presidents and the President retained right of approval.

We presented three possible models for consideration. The first focused on "fixing" processes that were inefficient or resulted in poor service delivery. The second model called for the creation of a One Stop for enrollment services as well as certain components of various retention, advising, and student academic support offices and services across the University.

The third model called for a radical reassessment of all services based on first establishing expected outcomes for enrollment related and retention-oriented offices. This model proposed to use technology for transactions and people to solve problems and engage in planning. This "radical" model was adopted unanimously.

The client adopted the detailed design for the One Stop and implemented the first phase in the Fall of 1999. Our design included: functionality; position descriptions/training/reporting relationships; technology and equipment requirements; and a floor plan for the renovated

building. The model was implemented in Fall, 2001. The building was opened in the Spring of 2005.

#### **OLD DOMINION UNIVERSITY**

*5115 Hampton Boulevard. Norfolk, VA 23529*

The Pappas Consulting Group conducted an internal and external stakeholder analysis, including interviews with legislators, Mayors, community leaders, and educational leaders, to inform the search process for the President of Old Dominion University. The Board of Visitors benefited both from the insights generated by this process, as well as a sense of ownership that developed among the stakeholders.

#### **OREGON STATE UNIVERSITY**

*P. O. Box 488, Corvallis, OR, 97339*

We were engaged by the OSSHE Board Administrative Review Committee to assess the administrative cost/structure of Oregon State University in order to identify ways to improve the effectiveness and efficiency of its administrative and support services.

We proposed changes to OSU's organization structure, operations and processes, focus and priority setting, and systems. We identified opportunities for savings and revenue enhancements ranging from \$7.7 million to \$19.7 million (up to 30 percent of administrative costs). OSU administrators subsequently reviewed the proposed changes, made appropriate modifications, and implemented significant change.

This study was the first inclusive higher education reengineering study to be performed in the country (February of 1992).

In a subsequent study, we worked directly with Oregon State University to define the following financial and human resource processes:

- Budgeting
- Position control
- Purchasing
- Personnel
- Accounts payable
- Payroll
- Accounts receivable
- Benefits administration
- General ledger
- Financial reporting
- Department reporting

#### **PORTLAND STATE UNIVERSITY**

*1825 SW Broadway, Portland, OR 97201*

Portland State University engaged the Pappas Consulting Group to: (1) assist the University to comply with Measure 5, state legislation requiring a 30% reduction of E&G funds while



improving both institutional effectiveness and efficiency; and (2) improve the quality and delivery of enrollment and related services to students.

The first of these two studies focused on the review of the initiatives undertaken by the University to reengineer its administrative and support services in order to comply with Measure 5. We performed a desk audit of these initiatives in order to assess their implementation and outcomes.

In the second project, we created a new model for the provision of enrollment/student services. We differentiated those academic and academic support services that should be lodged within the College and the professional schools from those to be consolidated into a student enrollment/student information center serving undergraduate as well as graduate students.

The University found that our recommended reconfiguration of critical services to students eliminated much of the fragmentation traditionally found in university structures, while improving the quality of service delivery and providing opportunities for cost savings. Further, the new model eliminated much of the “shuffle” confronting students when going from one office to another.

We further made specific recommendations about a relevant student development function that supported the mission and constituency of this urban campus.

#### **PURCHASE COLLEGE, STATE UNIVERSITY OF NEW YORK**

*735 Anderson Hill Road, Purchase, NY 10577*

Purchase College utilized the Pappas Consulting Group to develop a “plan-to-plan” as well as a strategic plan to focus intentionally the limited resources of The College to high priority strategic initiatives. We worked closely with the President and the Strategic Planning Team as facilitator, strategic planning “educator” and strategic planning expert; bringing to bear our experience with SUNY and its constituent members as well as higher education in general. This strategic plan effort resulted in a high level College-wide strategic plan in which the College’s stakeholders have confidence.

#### **SONOMA STATE UNIVERSITY**

*1801 East Cotati Ave, Rohnert Park, CA 94928*

Over an elapsed period of 15 years the Vice President for Finance and Administration and CFO has utilized the Pappas Consulting Group to undertake a series of organizational and process redesign studies across the institution. Within the last 7 years, we have conducted the last 5 studies references in this section of our qualifications.

#### Student Affairs

Sonoma State University engaged the Pappas Consulting Group to design a new paradigm for the delivery of academic and non-academic support units of the institution. The California State University System selected Sonoma State as a beta site for this effort.

Within academic affairs, we reconceptualized services to students through the development of a comprehensive, case management approach to advising that teamed student affairs professionals with faculty to advise and mentor students. The new paradigm for non-academic units entailed the creation of an organizational structure and key positions in Administration and Finance as well as redesign of existing positions to meet the goals of the new structure. Our recommendations included new and more efficient ways to provide administrative services to students, faculty, and staff.

The results of this comprehensive project has served as a model for the California State University System in recent years.

The Pappas Consulting Group conducted a high level diagnostic review of the Division of Student Affairs and Enrollment Management with the objective of ensuring that the division serves optimally the students of Sonoma State University. This review also informed the search process for the Vice President Student Affairs. We provided conceptual service models designed to forge alliances with academic support services, enrollment management and the more “traditional” student affairs/services provided students into one division.

We provided a diagnostic to determine whether there were opportunities for improving program and service delivery to students.

#### Entrepreneurial Activities

The Pappas Group conducted an operations and organizational review of the Division of Entrepreneurial Activities. The primary goals of the Review were to: conduct a high level assessment of Entrepreneurial Activities; prioritize the issues and strategic initiatives that confront the division; and define the subsequent scope of work and work plan phases required to sequentially address the organizational and operational items identified.

#### Human Resources

The Pappas Consulting Group Inc. was engaged to conduct a review of the Human Resources function within the Administration and Finance division. The primary goal of the review was to realign resources more appropriately through a new organizational structure that would:

- Enhance operating efficiency through the elimination of unnecessary activities
- Streamline the processes through which faculty, staff and students interface with Human Resources while maintaining appropriate controls
- Provide the types and level of service requested of and required by customers
- Create shared responsibility for customer satisfaction throughout all Human Resources related processes.

We worked in close collaboration with the Project Steering Committee comprised of the Vice President for Administration and Finance, the Associate Vice President for Administration and Finance and two student interns as well as with the managers and staff within Human Services. Together we identified the strengths and issues that pertained to the current organizational structure and business processes, as well as determined strategies for achieving the objectives of the study.

The Pappas Consulting Group Inc. was engaged to conduct an assessment review to determine whether the staffing levels and organizational structure recommended in the original human resources review conducted in 2007 is still appropriate given current workloads.

#### Information Technology

The Pappas Consulting Group Inc. was engaged to review and assess the processes of the Information Technology Services (ITS) operations at Sonoma State University. We provided recommendations for restructuring operations while continuing to provide essential services without significant additional resources. We addressed the manner in which the IT organization and operation could be restructured to better accommodate current and future service needs, which will lead to improved service, and more efficient use of financial resources.

We next conducted a survey of other CSU institutions to learn more about how they are addressing the organization, operation, service level, and funding issues of their information technology services.

#### Risk Management

The Pappas Group was engaged to determine whether the staffing levels and organizational structure recommended in the Pappas Consulting Group Inc. Human Resources Report dated February 10, 2007 was still appropriate given currently reported workloads. We undertook a two-phase project approach. During the initial review phase, we garnered a broad-based understanding of the organization and operations of the Risk Management and Employee Relations and Compliance Group. The second phase constituted the delineation of findings and recommendations of the review, including examining organizational structure alternatives to encourage a culture of institutional change.

We concluded there must be intentional and greater integration of risk management with Employee Relations and Compliance Services and greater outreach to the University as a whole through communication mechanisms, training and updates that enumerate the responsibilities of the various officers of the University and the Internal Audit function.

#### Facilities Management

The Pappas Consulting Group Inc. completed a review of Facilities Management to determine how it should be restructured to provide services more effectively with fewer resources.

We assessed the division's organizational structure, key work processes and supporting information systems (both manual and automated). We also addressed the capital planning function and its project delivery capabilities with respect to both facilities renovation and capital construction. We also undertook an appraisal of the planning, prioritization and decision making processes that undergird capital renewal (deferred maintenance).

#### Student Union

The Pappas Consulting Group undertook a diagnostic assessment to determine how best to integrate the Student Union operations into the Division of Entrepreneurial Activities to serve optimally the students of Sonoma State University. We conducted interviews with senior executives and the Board of the Student Union Corporation and issued a report that outlined what the construction of the new University Center would do to enhance the student experience at the University. We subsequently made recommendations concerning the organization structure and the governance of the activities that currently comprise the Student Union.

#### Financial Management

We have recently concluded an organizational and administrative process assessment of the Division of Financial Services. The major objectives of this review include conducting an examination of the business processes performed and providing recommendations for restructuring operations that are responsive to the University's Strategic Plan initiatives.

#### Human Resources

We are currently engaged, based on our expertise in the area of organization design and development, in conjunction with our extensive knowledge of Sonoma State University and the history of the department to provide assistance to the Senior Director of Human Resources for organizational design and work flow.

### **SOUTH DAKOTA STATE UNIVERSITY**

*100 Administration Ln, Brookings, SD 57006*

The Pappas Consulting Group facilitated a new strategic planning process and helped to create presentation materials for internal and external audiences for South Dakota State University. Our efforts focused on: reviewing all data, discussion notes, and other materials compiled through the Dialogue and Listening sessions and College Department/Unit meetings; reviewing all applicable and relevant materials as it may apply to devising a strategic plan document; drafting (or updating), in partnership with the Strategic Planning Council, strategic plan elements including mission, vision, goals, core values, goals, objectives/strategies, baseline metrics, benchmarks with peer institutions, performance measures, and other key factors; and creating and devising presentation material including internal campus communication (e.g. a "roadmap") and external stakeholder publication materials for print, web, media presentation, etc.

The new strategic plan "*Impact 2018, A Strategic Vision for South Dakota State University*" was released in January 2013.

### **SOUTHERN CONNECTICUT STATE UNIVERSITY**

*501 Crescent Street, New Haven, CT 06515*

Southern Connecticut State University engaged the Pappas Consulting Group to facilitate the development of a Strategic Plan with the purpose of:

1. Identifying achievable goals and objectives, in light of the Mission of the University;
2. Meeting these project goals and objectives within a defined timeline;

3. Communicating these goals and objectives to SCSU's constituents;
4. Developing the tools necessary for benchmarking progress;
5. Building teams and developing a sense of ownership of the Plan by the University's faculty, staff, and students;
6. Establishing a basic framework within which development and adjustment of the University's vision and values could be continuously assessed and adjusted;
7. Guiding the President's Cabinet to develop the tools necessary for all levels of University management to make decisions and resource allocations; and
8. Developing the process for updating and modifying the initial plan to meet changes over subsequent years.

The role and scope of services we provided to develop this Strategic Plan included:

- Acting as group facilitator charged with the objective of successfully articulating and translating the University's vision and values into a well-defined strategic plan;
- Providing and overseeing an appropriate planning methodology within which the University's Steering Committee could complete its work;
- Assisting the University with developing the plans and resources necessary to implement the University's strategic plan;
- Assisting the President's Cabinet with developing and communicating the various individual plans of action necessary to achieve the goals outlined in the strategic plan; and
- Developing the proper sequence of Action Steps and the resource allocations required to accomplish the overall Goals and Initiatives of the Strategic Plan.

### **SUNY-MARITIME**

*6 Pennyfield Avenue, Throggs Neck, NY 10465*

We were asked to assist in building a case for an increase in funding that could be presented to the SUNY System. We proceeded by first analyzing expenses and revenues and comparing such to the College's maritime peers. We then prepared a detailed and comprehensive case statement. We were subsequently asked to assess the College's recruitment, enrollment, and retention activities. The purpose of this review was to find opportunities to help the College increase its enrollment (both new students and greater retention of students) so that the SUNY System formula could be better tapped.

Our paper, *The Case for Increased Funding at SUNY Maritime*, was submitted to the SUNY System. This paper identified eight potential sources of increased state funding, including reclassification of courses; core institutional support; state initiated funding; sponsored activity support; campus mission adjustments; mission review; enrollment; and capital needs.

In order to meet our objectives and SUNY's to increase the freshman yield rate by 10%, the retention rate by 15%, and the six-year graduation rate by 25%, the Pappas Consulting Group:

- implemented an Enrollment Management Program;
- developed a long-range curricular plan;

- sought increased state funding;
- developed and implemented a strategic marketing/communications program; and
- implemented a College Technology Plan

We also conducted a feasibility study of implementing an international business program.

#### **TENNESSEE STATE UNIVERSITY**

*3500 John A. Merritt Blvd, Nashville, TN 37209*

The Pappas Group worked with TSU to develop an Academic Master Plan that would: delineate the University's academic, research and service priorities; guide all other planning processes, including strategic planning, fundraising, budget allocation, human and fiscal resource development, and facilities planning; provide a means for monitoring and reporting the accomplishment of its recommendations; and provide a means for updating and revising the plan as circumstances require.

The Pappas Group identified: the University's historic and current profile; the opportunities and challenges arising from the environment within which the University operates; and specific program areas for growth and development. We further provided a mechanism for making program decisions and addressed how to integrate intentionally the academic support, faculty and staff development, student support, and resource development components of the University.

#### Phase II

The Pappas Group conducted a second phase of work in which we "ghost wrote" the Academic Master Plan by developing a "strawman" for each of the proposed sections. We took each section to the Academic Master Plan Steering Committee and sought resolution of any identified issues and approval of that section.

#### **TEXAS SOUTHERN UNIVERSITY**

*3100 Cleburne Street, Houston, TX 77004*

The Pappas Consulting Group was engaged to develop a strategic plan for Texas Southern University. We first undertook a comprehensive assessment of the University's strengths, weaknesses, opportunities, and threats. We conducted a diagnostic review of programs, operations, and services and performed an environmental scan. A major portion of the assessment involved benchmarking performance indicators against peer institutions.

We then held a series of strategic planning/visioning retreats and work group sessions to craft a results-oriented strategic plan. Our work entailed intensive hands-on assistance to each academic and administrative department at the University as they developed their own goals and outcome measures based on the University-wide strategic plan. We facilitated such an effort with the Board of Trustees as well.

The result of this consultancy was a comprehensive five year strategic plan for the University which included detailed implementation/action steps with estimated investments/costs/benefits.

### Board Governance

After a number of years, we were subsequently asked to conduct a Board Governance workshop for the Board of Regents to ensure the long-term sustainability of the University. We: reviewed relevant documentation; conducted one-on-one telephone interviews with each member of the Board of Regents, the President and each of his direct reports, including the Chief of Staff; determined common themes; and issued a report summarizing the results of the workshop and an action plan for follow-up by the Board, the President and his leadership team.

#### **UNIVERSITY OF CALIFORNIA Berkeley**

*Berkeley, CA 94720-1500*

The purpose of this project was to identify strategic priorities for the College of Letters and Science, the largest College within the University of California Berkeley. A corollary objective was to determine ways in which resources could be optimally reallocated to meet strategic priorities.

Our study resulted in recommendations on how to shift funding to College priority programs.

#### **UNIVERSITY OF COLORADO DENVER (Formerly known as UNIVERSITY OF COLORADO AT DENVER AND HEALTH SCIENCES CENTER)**

*1201 Larimer Street, Denver, CO 80204*

The Pappas Consulting Group provided strategic planning services to the University of Colorado Denver. This was the first strategic plan developed for the University of Colorado Denver since the consolidation of the University of Colorado at Denver with the University of Colorado Health Sciences Center. The University sought to develop and maintain a dynamic and comprehensive strategic plan that would position the University for successful accreditation by the Higher Learning Commission of the North Central Association of Colleges and Schools in the year 2010-2011.

Prior to engaging the Pappas Group, the University had developed its own strategic planning methodology and committee structure reflective of the newly merged and yet divergent governance structures of the University and the Medical Center. We worked closely with the Chair of the Strategic Planning Committee and the various working groups the University had previously established in order to enable the University President to submit the Plan to the University of Colorado Board of Regents on a timely basis.

#### **UNIVERSITY OF IDAHO**

*709 S. Deakin Street, Moscow, ID 83844*

### Division of Finance and Administration Organizational Study

The Pappas Consulting Group conducted an organizational study for the Division of Finance and Administration. This review occurred during a time of difficult organizational transition.

Among the areas included in this study were: facilities management; administrative affairs; auxiliary services; budget office; business and accounting services; division of finance and administration systems; human resources; information technology services; and trusts and investments office. As a result of the study, we made a series of recommendations that called for significant organizational and process redesign.

Prior to this organization study, the Pappas Consulting Group was engaged to undertake a series of reviews related to the Division of Finance and Administration with the objective of assisting the Acting Vice President of that division to address financial control issues that were impacting the main campus, and its satellite operations across the state.

We recommended: numerous changes to improve the effectiveness of their recent SCT implementation from a management and user perspective; the redesign of the University's budget and monitoring process; the restructuring of the roles and responsibilities of certain division personnel with respect to the University of Idaho's financial management operations; fundamental changes in financial processing and financial controls; and sponsored grant accounting, overhead allocation methodologies and financial management reporting.

#### College of Natural Resources Staffing Review

The Pappas Consulting Group conducted a staffing review of the College of Natural Resources (CNR). The major objective of the review was to determine the optimal staffing structure to support the mission and operations of CNR academic departments. In addition, we examined the staffing complement of the Dean's Office and the academic departments to ensure business processes were conducted in a thorough, consistent and equitable manner. We worked in collaboration with the Dean, department heads, faculty, and administrative support staff to understand their administrative processing needs and identify optimal solutions. Our methodology included the review of relevant documents and one-on-one interviews with selected administrators, faculty and staff. We provided recommendations and next steps to improve administrative support to faculty.

#### **UNIVERSITY OF KENTUCKY**

*Lexington, Kentucky 40506*

The Provost of the University of Kentucky selected the Pappas Consulting Group to improve the organizational effectiveness of the Gatton College of Business and Economics with particular focus on the Office of the Dean, Von Allman School of Accountancy, School of Management, and the Department of Economics. We identified ways in which the College could meet the challenge of providing constituents and stakeholders timely, responsive, and nimble service; facilitate a change in the organizational culture of the College to improve collegiality and develop an operating environment of trust among the faculty and the leadership of the College; facilitate the design of a more responsive and nimble organization structure with clearly defined roles and responsibilities, accompanying performance metrics, and the management of consequences. We also created a communication strategy for the College and its multiple stakeholders to ensure the continuous and long-term focus on becoming a "high performing organization"



**UNIVERSITY OF MISSISSIPPI, School of Pharmacy**

*P.O. Box 1848, University, MS 38677*

The Pappas Consulting Group Inc. conducted an organizational review of the operations associated with the School of Pharmacy. The primary goals of the review were to:

- Determine how best to administratively integrate multiple locations and units to promote unity in function within the School.
- Identify ways in which the administrative role and relationship of the School of Pharmacy and the Centers within the Research Institute of Pharmaceutical Sciences could more effectively and efficiently be integrated to conduct business.
- Examine interactions between the units within the School to identify possible communication improvements or enhancements.

The project effort was being conducted within the context of the School's recently completed and adopted Strategic Plan. The following functional areas were reviewed:

- Academic and Student Affairs
- Academic Departments
- Administration
- Clinical Affairs
- Research Institute of Pharmaceutical Sciences

**UNIVERSITY OF NEVADA RENO**

*1664 N. Virginia Street, Reno, NV 89557*

Office of Sponsored Projects

The Pappas Group conducted a diagnostic review of the Office of Sponsored Projects Administration (OSPA) of the University of Nevada, Reno. The purpose of the review was to: (1) identify the major issues that may cause unacceptable service quality and; (2) propose an Action Plan to correct the deficiencies. After reading an extensive array of background material and conducting many interviews and focus group sessions, we developed an assessment of the strengths and limitations of the Office of Sponsored Projects Administration.

Our recommended Action Plan for OSPA employed a three-step Turnaround Strategy, focused on making the Office of Sponsored Projects Administration a highly productive and quality-service organization. The recommended three-step Turnaround Strategy proposed provided a road map for systematic and continuous improvement. This roadmap consisted of: the hiring of highly qualified people who had a clear understanding of their role and purpose; making sure policies, value systems, procedures, training, and administrative systems necessary to execute their responsibilities are in place; and ensuring that a set of performance measures and reporting systems to monitor and track performance are also put in position.

Integrated Clinical Services, Inc. Diagnostic Review

The Pappas Consulting Group Inc. conducted a diagnostic review of the University of Nevada School of Medicine Integrated Clinical Services, Inc. (ICS). The primary goals of the review were to: assess the operation of ICS; identify issues relative to the efficiency, effectiveness and performance of the various ICS operations; and provide recommendations to address the financial and operational issues that confronted ICS. The project was conducted within the context of the overall mission and strategies associated with ICS. A significant aspect of our review related to obtaining the perspective of interview participants regarding: ICS Board Governance and Oversight; Organizational Structure; and Operating Efficiency and Productivity. We provided a summary of the financial status and risk factors by department.

Our recommendations were framed within a three-stage, turn-around strategy. The first stage was intended to stabilize the financial situation and curtail operating losses. The second stage of the strategy created the infrastructure needed to make ICS a financially viable practice plan. The third stage was devoted to designing and putting into place the vision, strategies, goals and financial plan necessary for ICS to grow and become more competitive in the Reno and Las Vegas communities.

**UNIVERSITY OF OREGON**

*1585 E. 13th Avenue Eugene, OR 97403*

We were engaged to conduct an administrative cost assessment of the University of Oregon. The review focused on increasing institutional efficiency. We reviewed the efficiency of existing administrative and financial processes and their relationship to the Oregon State System of Higher Education as well as various state and executive agencies.

This engagement was undertaken during the time of a significant Presidential transition. The strategic agenda which had been the hallmark of the previous administration was transformed by Dr. Frohnmayer as he assumed office. As a result, we needed to respect the fundamental change the new senior incumbents wanted to effect while ensuring that a 20 percent reduction in E&G funds would in fact be realized. Many of the recommendations we made included new organizational paradigms and processes for student affairs and research services.

Oregon Bach Festival

The Pappas Consulting Group was engaged by the Senior Vice President and Provost of the University of Oregon to conduct a high-level strategic and organizational assessment of the Oregon Bach Festival which is internationally renowned. The study's objectives were to assess:

1. The organizational and governance structure of the Festival;
2. The programming and marketing functions of the Festival, with a focus on increasing the Festival's audience as well as the timing and the length of the Festival; and
3. The capacity for expanding the Board's role in fundraising and development.

We made recommendations relative to: the extraordinary legacy of the OBF's Founders; governance; organizational structure and management reporting; fundraising and development; marketing and programming and business, and budget practices and next steps for further analysis and action.

Jordan Schnitzer Museum of Art  
*1430 Johnson Lane, Eugene, OR 97403*

The University of Oregon engaged the Pappas Consulting Group to assess: the organizational and governance structure of the Jordan Schnitzer Museum of Art (the Art Museum); the optimal strategic balance of its educational programs with its exhibition/curatorial functions and with its community outreach and service functions; the manner in which the Museum could position itself more visibly in Eugene and the region; and the role the Board of Directors should play in the long-term sustainability of the Museum.

After initial data gathering, document analysis, and a site visit, we engaged Board members via telephone interviews, electronic questionnaires, and a half-day workshop in order to identify what steps needed to be undertaken to address the issues that emerged during the course of this engagement. Our report enumerated findings and proposed action steps to be undertaken regarding the following: Strategic Planning; Fund Development; Marketing and Community Relations; Governance; Charter and By-Laws; Organizational Structure; Communication; Museum Management Team; Business Practices; and Financial Management and Reporting. A Proposed Implementation Matrix constituted the final section of the report.

#### **UNIVERSITY OF SOUTHERN INDIANA**

*8600 University Boulevard, Evansville, IN 47712*

The Board of Trustees engaged the Pappas Consulting Group to: assist in the development of a formal Board policy on Presidential evaluation; assist in the development of a metrics dashboard with annual Presidential goals; and conduct a comprehensive evaluation through meetings with stakeholders, through a review of the President's self-evaluation, and through an examination of various documents and data sets. The process resulted in a report to the Board that is both evaluative and developmental.

#### **UNIVERSITY OF TEXAS AT AUSTIN**

*Austin, TX*

The state of Texas has historically been committed to holding its schools, universities and state agencies accountable through a series of performance and management audits. The Legislative Budget Board engaged the Pappas Consulting Group to conduct a management and performance review of the University of Texas at Austin.

The University of Texas at Austin is one of the nation's largest and most distinguished public research universities. With an enrollment in excess of 50,000 (approximately 75% of whom are undergraduates) and national rankings in the top 20 public research universities, the University of Texas at Austin has an extensive teaching, research and service mission.

The objective of this Legislative Budget Board mandated review was to ultimately promote a better education for Texas students through greater academic and administrative efficiency. We were specifically charged to develop findings and recommendations for containing costs and improving management strategies for the University of Texas at Austin.

We performed detailed analyses for each of the following review areas: Instruction and Academic Support; Human Resource Management; Financial and Asset Management; Government Relations; and Plant Operations and Maintenance. Throughout our six month study, we: adhered to the workplan requirements stipulated by the LBB; collected and reviewed pertinent peer, statistical and benchmarking data and interviewed key UT personnel; collected electronic survey data from students, faculty and staff; met with LBB staff and University staff; conducted interviews with members of the Board of Regents, the Board staff, alumni and other constituents; and developed findings and recommendations for each area of review, focusing on improvements in resource allocation methodologies and making recommendations concerning possible statutory and/or funding recommendations for the Legislature to enact.

The University of Texas at Austin's review report noted 32 significant accomplishments and made 42 recommendations for improvement.

#### **UNIVERSITY OF VIRGINIA**

*Charlottesville, VA 22904*

The Pappas Consulting Group Inc. served as the technical resource to the University of Virginia's Commission on the Future of the University. We provided a review of: proposed academic program initiatives as well as the interim work of the Commission and its committees.

The Pappas Consulting Group researched and analyzed fifteen University proposals for new academic program initiatives in order to ensure their coherence with the emerging plan. We provided an environmental scan of best practices among higher education institutions globally, indicating where we believed the University could truly distinguish itself. In this regard, we provided start-up and ongoing program costs (excluding capital costs) associated with establishing best-in-class programs at the University.

#### **VIRGINIA COMMONWEALTH UNIVERSITY**

*821 W Franklin St, Richmond, VA 23284*

As part of the University's strategic planning process, a Commission on the Future of the University concluded that substantial savings could be achieved if administrative services were reduced and streamlined.

We worked collaboratively with the University Committee on Administrative Review. The Committee set a goal to achieve a 15% reduction in administrative costs.

The results of the Pappas Consulting Group recommendations and action plan exceeded the University's Committee's goal. We identified \$13 million in total annual cost savings, representing 20% of the administrative costs at the University. The Pappas Group recommended cost saving initiatives in the following areas: Academic Affairs; Student

Services; Information Technology; Administration and Finance; Auxiliaries; Budget Operations; Facilities Management; Grants and Contracts Management; Human Resources and Payroll; Procurement and Payment; Health Sciences; and Research and Graduate Studies. The outcome of this study, along with other initiatives at the University, won an award from NACUBO for resource enhancement.

## **WASHINGTON STATE UNIVERSITY**

*Pullman, WA 99164*

The Pappas Consulting Group Inc. conducted an organization and staffing review of the Office of the Vice President for Research and Dean of the Graduate School to determine how to organize and staff the Office to enable the University to fulfill its strategic goals in research, scholarship and graduate study and provide optimal and seamless service to its Principal Investigators as well as to its graduate faculty and graduate students.

We documented major findings and conclusions, and prepared recommendations as well as drafted 2-3 organizational and staffing options for consideration. Lastly, we developed staffing and organizational structure options.

## **WICHITA STATE UNIVERSITY**

*1845 Fairmount Street, Wichita, KS 67260*

The Pappas Consulting Group Inc. was engaged to conduct an effectiveness and efficiency study of the operations associated with the Undergraduate Admissions and Financial Aid offices at Wichita State University (WSU). The primary goals of the study were to:

- Review existing undergraduate admissions marketing efforts and develop a series of marketing initiatives that not only broaden awareness of the University and its programs to prospective in-state, out-of-state and non-traditional students, but also augment the number of undergraduate applicants.
- Review the current scholarship program and develop a more effective scholarship/financial aid model that supports enrollment growth and maximizes tuition revenue.
- Determine an optimal structure within which advisement and other student services are provided.
- Identify alternative organization structures that could improve performance of the offices and/or delivery of services to the customer.

The project effort was conducted within the context of the President's inaugural address, his pledge to ensure quality and increase enrollment, and the University's new strategic plan.

At the conclusion of the engagement, we provided the President implementation plans for WSU staff to utilize at his direction.

Information Technology

The President engaged the Pappas Consulting Group to provide recommendations for how best to structure and organize the IT functions of Wichita State for future success. Our efforts focused on defining faculty, staff and student expectations for IT services along with recommending opportunities for improvement from the perspective of University IT professionals and users.

Our report summarized our findings, provided recommendations for improving services to address the needs of academic, research and administrative users while maximizing the return on IT resource investment, and opines on the organizational alignment of IT.

**YORK COLLEGE**

*94 - 20 Guy R. Brewer Blvd, Jamaica, NY 11451*

We conducted a senior organizational review of the nine direct reports to the President as well as the administrative staff that constituted the President's Office. Senior level faculty who served critical governance roles at the College were included as well.

As the result of our assessment, a number of existing functions were reallocated and/or consolidated, thereby reducing the number of senior positions and redistributing various executive responsibilities. Implementing this major organizational redesign was just the first step in providing the College an appropriate leadership infrastructure to plan for and manage future College growth.

**MULTI-CAMPUS PUBLIC UNIVERSITIES AND PUBLIC UNIVERSITY SYSTEMS SERVED**

**ARIZONA BOARD OF REGENTS**

*2020 N. Central Ave., Suite 230, Phoenix, AZ 85004*

The Pappas Consulting Group Inc. conducted a Performance Assessment of the Arizona Board of Regents and its leadership, including its organizational structure and operations to ensure it could meet the needs of its member institutions and the people of the state of Arizona.

The specific objectives of the study were to:

- more efficiently define the Board's mission, vision, governance role and strategic direction;
- provide for an organizational structure that would better enable the Board to carry out its governance and oversight responsibilities;
- ensure effective and efficient Board and staff operations; and
- improve communications

The report enumerated the need for greater focus on the most critical issues facing the University system; greater relevance of the work and work product generated by ABOR; improved productivity and efficiency; and, enhanced governance and stewardship of the University system. Best practices were presented throughout.

**ARIZONA STATE UNIVERSITY**

*1151 S. Forest Ave. Tempe AZ 85281*

We have conducted six assignments for this multi-campus, public research university. We undertook a review of the provision of administrative services among the University's four geographically dispersed campuses to determine the degree to which services should be centralized or distributed to the campuses. During the course of this work, we researched best practices at a number of public research universities and their systems.

We also were engaged to review the Human Resources office to assess its organizational structure and business practices and determine the degree to which the Main campus Human Resources operations should be providing services to the three other campuses of the University.

We also have conducted various organizational redesign and process reengineering studies for administrative technology support services, capital construction and planning as well as risk management, facilities management and the administrative services department resident in the division of Facilities Planning and Management. All of these studies have looked at the manner and degree to which services should be provided at the local level as well as from an enterprise-wide perspective, given the arrival of a new President with a vision for "a new American University".

All of this work was conducted within the context of the University's aggressive strategic planning and positioning efforts.

### Administrative Services

As a result of our work with ASU, the University adopted a new Administrative Services model that will serve the University's anticipated enrollment growth without necessarily requiring proportional funding increases. The Pappas Consulting Group worked with the Administrative Services Taskforce for the purpose of recommending an organizational structure for providing administrative services for the three campuses of the University, and the technology infrastructure needed to support the expansion of services.

The Pappas Consulting Group worked with the Administrative Services Taskforce to:

- complete a high level "As Is" review of the existing Administrative Services organizational structure to determine potential growth related problems;
- assess the existing technology infrastructure and identify potential improved efficiencies to support the expansion of services;
- develop a high level "To Be" conceptual organizational structure that:
  - reflects potentially revised high level (e.g., purchasing) approval processes;
  - identifies the staffing to support anticipated future transaction flow; and
  - will support significant growth with limited resources.
- assess changes required for the utilization of existing technology that would further accommodate the proposed "To Be" environment; and
- identify barriers that needed to be addressed to implement changes and meet the challenges of anticipated growth in student and related support services.

### Capital Planning and Construction

The Pappas Consulting Group conducted a diagnostic review of the capital planning and construction unit within the facilities management division of Arizona State University (ASU).

The diagnostic review included structure, staffing, business processes in place, technology/information systems support (including the web page), as well as the unit's policies and procedures manual. The final report of findings and recommendations, to which was attached an implementation plan for actions based on the resulting recommendations from the study, included such topics as:

- Organizational structure/personnel, including assessment of current unit organizational structure and capabilities in the area of facilities planning and construction (including a high-level look at any consultants currently retained by ASU for facilities planning and construction); interaction with other administrative departments to coordinate reporting requirements and information; etc.
- Capital planning, including methodologies for planning, reporting, and supervising ASU capital projects; etc.
- Construction project management, including methodologies for project planning and definition of project scope, cost estimation, architectural design and engineering services, project bidding and selection of contractors, change orders, and compliance with construction contract specifications.
- Long range master planning, including how options are assessed for inclusion in a capital plan; relationship to the University strategic plan; etc.



- Financial planning, including integration with overall division planning; linkage to budget process; etc.

#### Human Resources

Arizona State University (ASU) engaged the Pappas Consulting Group to conduct a review of the services provided by the Human Resources department to assist campus(es) decision makers as they prepared to appoint a new Assistant Vice Provost for Human Resources.

The Pappas Group conducted interviews with selected members of the multiple campus communities and virtually all members of the main campus Human Resources department for the purpose of:

- collecting information from users and providers on their perceptions of the type, level and quality of services provided by the Human Resources department; and
- providing guidance to the search committee and the Vice Provost for Administrative Services with regard to the type of qualifications and experience that would prepare a new Assistant Vice Provost for Human Resources.

#### Intellectual Property and Technology Transfer

The Pappas Consulting Group conducted a survey of 13 universities that, for the most part, undertake basic research as part of their mission. The purpose of the survey was to gather information on the methods other universities use to manage intellectual property generated from their research activities. Particular focus was on the extent other universities are engaged in holding equity positions in start-up companies spun off from university-based research. The Pappas Consulting Group:

- Developed a survey instrument that inquired about the status of research foundations at other universities and how those research foundations were used to manage intellectual property and foster technology transfer.
- Identified 13 research universities that had a broad range of experience with technology transfer. The participating universities represented the spectrum of ways that are being used to manage intellectual property.
- Invited representatives of each of the selected campuses to participate in the survey. All those invited agreed to participate.
- E-mailed the survey in advance and conducted a pre-scheduled, 45-minute telephone interview, going over each of the questions on the survey instrument.
- Summarized the results of the survey and developed a set of recommendations for possible ASU action.

The results of the survey enabled ASU to create a not-for-profit entity to manage its intellectual property and technology transfer initiatives.

#### Administrative Services Information Technology

The ASU Vice Provost for Administrative Services sought to restructure the technology support provided to the various operating departments within the VPAS organization. This restructuring included the organization of technology support personnel, the functional

services provided, staffing assignments, server deployment, as well as development and support of VPAS-customized software applications. The objective of this restructuring was to implement effective mechanisms for planning future technologies, their functional use by VPAS, and their integration within VPAS and, where appropriate, with the ASU community as a whole.

The Pappas Consulting Group was subsequently engaged to review the organizational and support structure of the departmental technology units to determine if a revised structure would be more appropriate to meeting VPAS's future technology needs.

The Pappas Consulting Group delivered:

- A governance structure for management guidance and oversight of technology planning, development and support functions.
- A listing of technology service and support functions to be performed, and the organizational unit(s) to which they would be assigned, including: VPAS technical personnel; VPAS functional personnel; and where appropriate other non-VPAS personnel.
- An organizational chart at the unit level (versus employee) for a new technology support structure within VPAS.
- A written evaluation of the results, outcomes, and required adjustments to the technology support structure upon conclusion of the project.

#### Risk Management

The Pappas Consulting Group was engaged by the Division of University Services to conduct a review of the department of Risk Management.

Our first assignment was to conduct an organizational study of the department. We did so by reaching out to members of the ASU community at large, including chief academic officers, Deans (as well as their assistants), incumbents responsible for academic research regulatory activities, and members of the departments within the Division of Facilities Planning and Management all of whom are clients or users of Risk Management Services. In addition, we interviewed each member of the Risk Management department.

Upon conclusion of that first phase, we spoke with a number of Principal Investigators and members of various University Committees charged with academic research regulatory activities (biological, animal and human subjects) and radiation research.

After that second phase of work, the Pappas Consulting Group made a series of organizational and process related recommendations that impacted the entire University.

#### **CALIFORNIA STATE UNIVERSITY**

*800 N. State College Blvd., Fullerton, CA 92831*

Members of the Pappas Consulting Group have been engaged to conduct management reviews of administrative business functions and financial operations and controls at a number of campuses of this complex state university system. Here are but a few examples of such work.

Chancellor's Office

We examined work processes conducted by the contract services and procurement, receiving, and accounts payable units of the Chancellor's Office of the California State University system. The study resulted in recommendations to improve efficiency, enhance the level of service, and position the office to take maximum advantage of emerging technologies and effectively support campus consortiums.

California State University, Fullerton

We conducted a financial management review of California State University, Fullerton, evaluating overall management of campus fiscal operations related to general financial internal control systems and examining underlying centralized and campus-wide fiscal operation management control. We reviewed, tested and recommended improvements in management oversight and business processes and made observations about the state of financial management on the campus relative to staffing and use of technology.

California State University, Northridge

We performed a comprehensive financial management review at California State University, Northridge, which included assessing policies and procedures, financial authority and responsibilities, technology, qualifications and expertise of finance staff, and interaction between central and campus-wide financial units. Our review also comprised examination of financial procedures and controls practiced by each of five auxiliaries and business processes conducted by Physical Plant Management.

We identified areas that need to be strengthened and provided an implementation plan for improving financial management on each campus.

**CITY UNIVERSITY OF NEW YORK (CUNY)**

*205 E 42nd Street New York, NY 10017*

The Pappas Consulting Group was engaged to conduct an organizational assessment of the Chancellor's Office of the City University of New York.

The objectives of this study were to:

- Transfer increased authority to the twenty campus Presidents.
- Provide a more accountable and supportive administrative resource (The Office of the Chancellor) to the campuses.
- Work with the campuses to effect efficiencies and ensure the development and measurement of test practices.

When Dr. Goldstein arrived as the new Chancellor in 1999, he was concerned that the System Office was an impediment to the day-to-day operations of the 20 campuses. We reviewed the various functions that were performed at the Chancellor's Office and determined where activities and functions would more appropriately be carried out at the campus level to achieve greater efficiency and effectiveness. As a result, the Chancellor's Office was converted

from a “command and control center” to a “service center” with clearly stipulated performance and accountability measures put in place. A significantly transformed table of organization of the Chancellor’s Office resulted. We changed the name of the Office that Dr. Goldstein assumed (“The Central Office”) to the Chancellor’s Office to reflect clearly its transformed mission.

## **STATE UNIVERSITY SYSTEM OF FLORIDA AND FLORIDA BOARD OF GOVERNORS**

*325 W. Gaines St., Tallahassee, FL 32399*

### Master Plan

The Florida Board of Governors Foundation, Inc. engaged the Pappas Consulting Group to identify appropriate recommendations for the future structure of the state university system as well as the policies and investments necessary to create that structure.

The Pappas Group created a master plan for Florida’s higher education future with the target date of 2030 at the 90,000-foot level. We intentionally designed an interview and focus group process that elicited dialogue and thought provoking decisions rather than a process designed to generate curt, technocratic answers. We met with the Chancellor and the Board of Governors and his staff in small groups to ascertain the role of the Board of Governors staff and their relationship to the Board of Governors. We met with the leadership teams of the eleven institutions that comprise the System as well as members of the Board of Education, Independent Colleges & Universities of Florida (ICUF), the Community College Chancellor and his chief academic officer, as well as members of the state legislature.

We held eleven, three to four hour focus groups with the Presidents of each of the FBOG institutions and their Vice Presidents. These sessions provided valuable insight into the ambitions of the individual institutions as well as their perception of the role and responsibilities of the Board of Governors and its staff. We interviewed each Board of Trustees Chair to ascertain his/her perceptions of the role and responsibilities of the local board of trustees vis-à-vis the Board of Governors.

We also reached out to the Chancellor of the Florida Community College System and his senior staff as well as with selected community college presidents whose institutions offered the baccalaureate. The Chair of the State Board of Education and the Commissioner of Education made themselves available and provided their perceptions of the future structure and governance of the FBOG. We spoke with the senior staff of ICUF and several ICUF member institutions along with several leaders of the business community. Legislative leaders and others were also interviewed in order to gain a broad perspective of their vision of the State University System and the challenges confronting it.

Upon conclusion of this extensive and broad data gathering effort, we developed a series of observations and recommendations based on our own extensive experience with public higher education and their systems. From February 2007 through January 2008, Dr. Pappas participated in multiple public hearings, appeared before State Senate Appropriations Committees and spoke at the Askew Institute. She addressed the Florida Association of Colleges and Universities in June, 2007 and ICUF in 2009.

We continued to serve as advisors to the Board of Governors, the Chancellor, and the Chair of the Education Committee of the Florida House of Representatives as essential planning decisions are vetted and made.

#### Staffing Plan

The Florida Board of Governors subsequently asked the Pappas Consulting Group to continue working with them in two areas: technical expertise relating to the further development and implementation of the “road map” for the State University System; and development of a FBOG staffing plan consistent with the strategic direction of the Board.

We provided technical expertise to address queries relating to institutional funding, economic development and business collaboration, e-learning, branch campuses, K-12 pipeline, Board of Trustees and Board of Governors roles and relationships and other subject matters addressed in the report.

The staffing plan assignment utilized the high level strategic direction outlined in the Pappas Report as the backdrop for its organizational and staffing recommendations. A baseline of the current organizational structure, reporting relationships and roles and responsibilities of each incumbent in the FBOG was established.

During the course of this effort, we determined the degree to which FBOG staff should: work with the FBOG as an entity and with individual FBOG members; engage with campus-based personnel and for what purpose; engage with campus-based Board of Trustees; interface with the Legislature and state agencies; and collaborate with the Council of 100, economic development agencies, ICUF, the community colleges, etc. We generated a report that outlined the current baseline and described the ideal future state. An implementation plan was developed.

#### **IOWA BOARD OF REGENTS**

*11260 Aurora Avenue, Urbandale, IA 50322*

We have served the Iowa Board of Regents on two separate occasions.

#### Organizational Audit

The first study was a five campus organizational audit of every major function, including the review of the colleges/schools of the University of Iowa, Iowa State University and the University of Northern Iowa. We recommended the elimination/consolidation of academic program offerings as well as schools/colleges. We learned during this initial study that the role of alumni is a force with which to be reckoned in the redesign of any educational enterprise.

#### Audit of the Prior Organizational Audit

We worked closely with the Executive Director of the Iowa Board of Regents and the Chair of the Board in this subsequent study where the Pappas Consulting Group was asked to assess, after a five year hiatus, the progress made in redesigning strategic planning, funding and

resource allocation processes, faculty promotion, tenure and review processes, information technology, financial and management reporting and administrative process redesign.

#### K-12 Blue Ribbon Task Force

In yet a subsequent assignment, the Pappas Consulting Group was engaged by the Governor-appointed Commission on Educational Excellence for the 21st Century to serve as its staff to create a vision and roadmap for pre-kindergarten through 12th grade education in Iowa to ensure that Iowa's educational system continues its tradition of providing the best education to its young people. The four key areas included: high expectations for students; quality of the instructional program; student achievement and; parent and community involvement. Mr. Pomerantz served as the Chair of that Commission.

#### **MIAMI DADE COLLEGE**

*300 N.E. 2nd Avenue, Miami, FL 33132*

This complex college system engaged the Pappas Consulting Group to perform a series of operations reviews of Computer Services, Telecommunications, Human Resources, and Bookstores. The purpose was to identify means by which to improve services and reduce administrative costs. An additional objective was to redesign the processes and workflow between the Central Office and its 6 campuses/sites.

We established an Administrative Review Committee, comprised of three Board members and three senior administrators, to provide oversight. Throughout the project, we had significant interaction with operational managers and service recipients. We analyzed each area using our proprietary methodology and addressed specific service and process issues identified by Miami-Dade College.

The project resulted in a series of detailed recommendations to: simplify the computing environment while enhancing functionality in all process areas, redirect Miami-Dade's software acquisition/development strategy, enhance its telecommunications management structure, reengineer a set of human resource operations, and restructure the management of the Bookstores operations. For each recommendation, we calculated the estimated cost savings and benefits. We further developed an action plan that identified responsibilities, estimated costs, and timeframe required for full implementation.

#### **MONTANA STATE UNIVERSITY**

*Bozeman, MT 59717*

The Pappas Consulting Group was engaged to assist the University in its review of: (1) the Administration and Finance Division of the Bozeman campus; and (2) the support services commonly provided by the Administration and Finance Office across the four campuses (Bozeman, Billings, Northern, and Great Falls) of MSU.

#### Review of Administration and Finance Organization at MSU-Bozeman

Our work plan targeted ways to improve service levels, consolidate organizational structures, and strengthen operating efficiency. A key aspect of the analysis was the extent to which the

Banner software and other forms of technology were used to streamline transaction processing, access accurate and timely operational information and generate useful management information.

Our work plan was designed to give the University system guidance for continuing its efforts to improve service quality, streamline operating efficiency, and reduce its administrative overhead costs as it adapts to the mega-trends driving our society.

#### Review of Common Administration and Finance Services Throughout the University

We identified alternative organizational structures and service delivery methods, evaluating their advantages and disadvantages, and recommended opportunities for service delivery, improvements, and cost savings.

#### Human Resources/Personnel and Payroll Organizational Review

The Pappas Consulting Group was engaged to conduct a review of the Human Resources/Personnel and Payroll (HR/PP) within the Administration and Finance division at Montana State University. The review defined an organizational structure and operating environment that: created shared responsibility for customer satisfaction throughout all HR/PP services and processes; provided the types of services and level of service wanted and required by customers; resolved current customer concerns and improved customer perceptions of HR/PP services across campus; enhanced operating efficiency and effected cost/time savings for HR/PP staff and customers; and streamlined the processes through which faculty, staff and students interfaced with HR/PP while maintaining appropriate controls and data integrity.

The project was conducted within the context of the overall mission of the division of Administration and Finance as well as that of the University.

#### **NEW JERSEY COMMISSION ON HIGHER EDUCATION**

*20 W State St, Trenton, NJ 08608*

The Pappas Consulting Group provided on-going technical and facilitation assistance to the Executive Director of the New Jersey Commission on Higher Education as it continued to develop and direct the implementation of the state's Long-Range Plan for Higher Education.

In addition, we developed a series of concept papers on funding and capital planning that have been vetted by all the public university Presidents in the state.

#### **NEW JERSEY PUBLIC RESEARCH UNIVERSITIES**

*20 W State St, Trenton, NJ 08608*

The Pappas Consulting Group was charged by a Review, Planning and Implementation Steering Committee (Executive Order 42) charged to:

- Review the impact of the Commission on Health Science, Education and Training's recommendation to create a comprehensive plan for restructuring New Jersey public research universities (Rutgers, the State University of New Jersey, the University of Medicine and Dentistry, and the New Jersey Institute of Technology).
- Facilitate the collection of information pertaining to the restructuring.
- Examine and prioritize specific strategies to restructure the three public research universities.
- Outline a proposed work plan.
- Deliver an assessment and implementation interim report to the Governor that included, for the various stages of implementation, the actions required, a timeline for those actions, specific milestones, and responsibilities for the proposed multi-year effort.

A structure of committees and working groups was designed in order to involve multiple constituencies in the project, identify and examine the myriad issues inherent in restructuring, and compile extensive information on which to base decisions. P. Roy Vegelos, M.D., retired CEO of Merck served as the client and Chair of the Steering Committee.

#### Phase I: Preparation and Organization

During the first 90 days of the project the Pappas Consulting Group spent time organizing and orienting the various committees and working groups. We developed draft governance, structure and budget scenarios, and consulted and collaborated with existing governing bodies within the Universities and the state.

#### Phase II: Research and Discussion

Phase II focused on identifying information needs and collecting data relative to the many academic and administrative functions within the existing universities and their various sites. We interacted with numerous committees and working groups during this part of the planning project. We conducted system-wide committees and group meetings in collaboration with university-level committees and groups at regional locations throughout this phase. During this phase of our work, we researched and documented the governance mechanisms of public university systems in place in all fifty states.

#### Phase III: Analysis and Conclusions

During this phase, we analyzed the data compiled for each of the functional areas and formulated conclusions relative to the new public research university system and its funding.

#### Phase IV: Benchmarks and Accountability Measures

As the new system of public research universities was being developed, we were asked to develop appropriate benchmarks and accountability measures for it.

During the course of this assessment, we utilized existing data from the New Jersey Commission on Higher Education and supplanted it with comparative data from the Lombardi Program on Measuring University Performance produced by TheCenter at The University of Florida (Its successor, TARU, is currently housed at Arizona State University).



We utilized Lombardi's nine different measures:

- Total research expenditures
- Federal research expenditures
- Endowment assets
- Annual giving
- Faculty members in the National Academies
- Faculty awards
- Doctoral degrees
- Postdoctoral appointees
- Entering freshmen SAT scores

Our report concluded that there would be a lot of opportunity if the correct synergies could be created within and across the three proposed public research universities.

In January of 2012, Governor Chris Christie offered a proposal to overhaul the state's university system, merging schools from Rutgers University and the University of Medicine and Dentistry, and creating a research university in South Jersey. The mergers would represent a historic change to the structure of higher education in New Jersey as the Pappas Report had indicated years prior.

#### **OREGON UNIVERSITY SYSTEM (formerly OREGON STATE SYSTEM OF HIGHER EDUCATION)**

*Corvallis, OR 97333*

The Board of Trustees engaged the Pappas Consulting Group to undertake a number of strategic planning, business process redesign, and outsourcing initiatives for OSSHE and its five campuses.

We created a new strategic plan for the Chancellor's Office and helped to define the operating and strategic relationships with the five campuses. During the course of our work, we recommended changes to policies and procedures affecting the conduct of business between and among the Chancellor's Office and the five institutions. We reviewed each of the campuses and the Chancellor's Office at the operational level. Multiple layers of approval and fragmentation and duplication of worksteps were eliminated at the System and its campuses.

A series of detailed follow-up studies with proposed action plans to improve effectiveness and efficiency of administrative and support services for Oregon State University, The Chancellor's Office, the University of Oregon, and Portland State University were then undertaken.

#### **PENNSYLVANIA STATE SYSTEM OF HIGHER EDUCATION (PASSHE)**

*2986 North Second Street, Harrisburg, PA 17110*

Pennsylvania State System of Higher Education (PASSHE) charged the Pappas Consulting Group to conduct an organizational assessment of the administrative operation of the central

office and its 14 universities. This project reflected the Chancellor's goal to have the administrative operation of the System, for each campus and the central office as well as their interrelationships, examined for ways to enhance services and reduce costs. PASSHE sought to analyze the System's organizational alignment in support of its overall mission and strategy. Towards that end, our consulting team:

- Identified areas where similar support services, common business practices, or common use of technology could enable consolidation, decentralization or centralization, creation of new regional partnerships, outsourcing, improvement of workflow, or the deployment of a new cost-effective model for the delivery of services.
- Identified opportunities to improve the efficiency, effectiveness, and coordination of functions among the campuses and central office resources.
- Provided guidance on what decisions, processes, and/or organizational structure changes should occur to achieve the appropriate balance between cost savings and service levels to our students, faculty and staff in the short term (12 months) and over the longer term.

#### **RHODE ISLAND BOARD OF GOVERNORS FOR HIGHER EDUCATION (RIBGHE): University of Rhode Island**

*80 Washington Street, Providence, RI 02903*

The Rhode Island Board of Governors for Higher Education engaged the Pappas Consulting Group to conduct a presidential review of the University of Rhode Island (URI). We conducted a series of focus groups and interviews with key constituencies of the Community College of Rhode Island (CCRI) and URI higher education communities, including the President's Cabinet, student leaders, executive committee of the faculty senate, and the URI executive committee of the American Association of University Professors; and the department chairs, union leadership, student leaders, senior administration, deans and staff at CCRI. We produced a report summarizing our findings.

#### **STATE UNIVERSITY OF NEW YORK (SUNY)**

*35 State Street, Albany, NY 12207*

##### Strategic Planning

This 64-campus system asked the Pappas Consulting Group to provide strategic planning and enrollment management assistance on several occasions. To that end, we worked with two Chancellors, the Chief Operating Officer of the system as well as various system-wide Strategic Planning Committee comprised of Presidents from the community colleges, the regional campuses and the research centers. During these efforts, we facilitated a number of strategic planning sessions and developed various drafts of the strategic plan for review and signoff by the Committee.

Information Technology Infrastructure

*Phase I*

The Chancellor asked the Pappas Consulting Group to work in partnership with the RF Vice President for Information Services to undertake a preliminary review of the IT infrastructure at all constituent SUNY Plaza organizations, including the Office of Administrative Systems (OAS), the State University Construction Fund (SUCF) and the Research Foundation of SUNY (RF SUNY).

The Chancellor commissioned this review to strengthen and enhance service levels and realize economies of scale as well as consolidate duplicate services, functions, organizations and technology. The primary goal of the review was to determine immediate action steps and long-term considerations to better position SUNY Plaza IT organizations in the support of the strategies emerging in the new SUNY strategic plan.

The subsequent baseline report of the administrative IT functions of SUNY Plaza set the stage for a Phase II review that included the academic, student and other related IT functions of SUNY.

In response to the baseline report, we reviewed the SUNY IT enterprise and developed a comprehensive SUNY-wide IT strategic plan. The overall SUNY IT plan will align technology with student, academic, research and administrative requirements, as well as enable and advance the transformative outcomes and initiatives identified within the SUNY strategic plan.

Presidential Evaluations

The Pappas Consulting Group Inc. has provided presidential evaluation services to the State University of New York.

Prior to each campus visit, the Pappas Consulting Group reviews extensive documentation, including: self-evaluations; the SUNY-Campus Memorandum of Understanding; and extensive written comments from Vice Chancellors, the President of the Research Foundation, campus administrators, faculty, students and union leaders. Based on this documentation, on-site interviews and observations, we provide SUNY Senior Leadership and the Board of Trustees a thorough written evaluation of the President and related operating issues. We have conducted such evaluations for:

- Buffalo State College
- College at Fredonia
- College at Geneseo
- State University at Albany
- State University at Cortland
- State University Institute of Technology
- State University at New Paltz
- State University at Old Westbury
- State University at Oswego

- State University at Purchase
- SUNY Chancellor

## **SUNY-RESEARCH FOUNDATION**

*35 State Street, Albany, NY 12207*

### *Phase I*

The SUNY Research Foundation engaged the Pappas Group to be of counsel to the President of the SUNY Research Foundation in his efforts to assess: the operating and processing efficiencies of the Foundation *vis a vis* the services provided to the SUNY campuses and the Chancellor's Office and; the long-term strategies that should be adopted by the SUNY Research Foundation Board to optimize its effectiveness with the campuses that comprise the system.

We undertook an initial Diagnostic Review to understand: the mission of the Foundation; the roles and responsibilities of the different units within the Foundation; the interactions between the Foundation and the campuses; and the long-term strategy of the Foundation. The result of our diagnostic review was a preliminary assessment of the policy, strategic and operational issues facing the Foundation as well as an initial prioritization of the issues relating to the mission, strategic goals, and operating performance of the Foundation.

### *Phase II*

The Pappas Consulting Group next drilled down into the operating and processing environment of The Research Foundation (RF) of the State University of New York (SUNY) to determine the long-term strategies that should be adopted to optimize the RF's relationship with the SUNY campuses. The review was conducted after responsibility for the Federal Relations, Philanthropy and Planned Giving programs was transferred from the Foundation to the Chancellor's Office. A detailed Operations Service Improvement Program (OSIP) was developed and implemented.

### *Phase III*

The Pappas Consulting Group completed Phase III of this on-going assessment. Task forces for the four strategic initiatives delineated in our previous Phase of work were appointed with the charge to: clarify and articulate the role and responsibilities associated with each central Foundation unit; stimulate SUNY research funding opportunities, technology transfer royalties and economic development; define the level of service required for each central Foundation unit to adequately support SUNY research efforts; and redefine the Foundation's assessment structure.

These four areas became the cornerstone for two fundamental changes in the RF. The first was the Operations Service Improvement Program (OSIP) implemented in 2008. The second was the Strategic Planning Process that started in August 2008 and was completed in May 2010. The strategic plan was adopted at the RF's August Board meeting with a series of dashboard indicators.

During 2008, the Pappas Consulting Group assisted the RF with carrying out its Operations Service Improvement Program. OSIP was designed to dramatically improve RF service levels and change, in a fundamental way, the way the RF engages the campuses. A basic framework of Roles and Responsibilities was developed, using input from a Task Force comprised solely of campus users. This Task Force has now become the primary driver to ensure consistent service delivery to the campuses. The RF portal was redesigned to streamline operations and improve communication. A study of Legal Counsel has led to service improvements in contract reviews and the use of external legal counsel. Throughout we relied on input from SUNY's 64 campuses as well as such external stakeholders as the Governor's office, Legislative staff, state agencies involved in R&D and economic development as well as business and community leaders.

The second major effort was the facilitation of the RF strategic planning process. Beginning in August 2008, internal studies and research efforts were undertaken to provide background for the planning effort. These studies first resulted in: an Information Services strategic plan; a study of technology transfer and economic development; a focused internal study on how to increase sponsored programs throughout SUNY and; the development of a series of white papers on the RF's Financial Structure.

A comprehensive strategic plan was adopted at the 2010 May Board Retreat and is available on the SUNY RF Website at [www.rfsuny.org](http://www.rfsuny.org).

## **UNIVERSITY OF CONNECTICUT**

*Storrs, CT 06269*

### Synergy Study

At the request of the President and with support and endorsement from the Board of Trustees, the Pappas Consulting Group undertook a strategic planning and organizational study of the University of Connecticut. The scope of this engagement included the main teaching campus at Storrs, the University of Connecticut Health Center in Farmington (UHC), and the various regional campuses and schools distributed across the state. The goals of this study included identifying:

- possible actions to bring the various UConn entities together and become "One University," an overall institution stronger than its separate parts;
- methods for positioning the University to more fully support and operate as a "Top 25 Public Research University," to advance the University's strategic goal to achieve that milestone recognition; and
- potential synergies available from across the various UConn entities and fully exploiting their potential benefits to advance the University's core missions.

To accomplish the project's strategic planning objectives, we identified several institutional areas of study to be undertaken by the consulting team. These study areas were applied as appropriate to the Storrs and regional campuses as well as to the UHC, and included:

- Strategic and fiscal planning
- Organizational structure

- Sample business process analysis across major administrative areas (e.g. financial processes; human resources, student administrative services)
- Information technology
- Physical plant
- Research/sponsored projects and grants & contracts administration
- Performance measurement
- Academic support functions (including enrollment management)

The study was conducted utilizing a variety of data-gathering steps. Extensive one-on-one interviews were conducted with over 100 University trustees, executives, deans, directors and operating personnel at Storrs, UCHC, and the regional campuses. Follow-up interviews were conducted with some personnel where appropriate; focus groups were utilized in selected instances around a common theme of investigation. The consulting team reviewed a number of prior planning documents, financial reports, organizational charts, and operational/statistical reports already prepared by the University and/or upon special request from us. Sample process flows were prepared by University directors and reviewed for processing methods in place, extent of automation, and potential and/or realized efficiencies. Various steps were taken within our consulting team to ensure that data obtained were crosschecked and shared and results were coordinated across the various UConn entities.

The study focused on the strategic-level issues and opportunities available to the University and the results of this study provided UConn with a portfolio of institutional topics that can be pursued, from which University leaders can determine priorities and initiate detailed analyses and workplans for implementation.

We provided four major recommendations for restructuring core administrative functions that would enable the University to attain its goal of being among the top twenty-five public research universities in the country.

1. Implement a “shared administrative services model.”
2. Institute a University-wide strategic planning process in which each unit contributes to the mission as a whole.
3. Develop targets and reward systems to promote collaboration and institutional excellence. Develop and promote strategic themes that will unite the University.
4. Create an institutional performance measurement system to track progress toward the goals enumerated in the strategic plan.

Internal rates of return were calculated for areas of cost avoidance and cost reduction over a five year period. Metrics and benchmarking activities were utilized throughout the study.

#### Information Technology

The Pappas Group developed a preliminary framework for a campus-wide Information Technology Strategic Plan. Our plan delineated the potential priorities, sequencing, and expected outcomes for future IT acquisition and deployment, with general cost estimates and funding strategies. Every effort was made to ensure that “the University's business objectives were driving University technology”. From this framework, the University commenced an

extended detailed planning process that engaged all areas of the University community in determining a final technology plan.

#### Office of Sponsored Programs

The Pappas Consulting Group provided project management services to the Office of Sponsored Programs (OSP) for the implementation of hardware and software to support the administration of grants and contracts. Installation of this system was identified as a University priority to enhance fiscal and management control over the extensive research activities of the University.

Beginning in December 2003, the Office of Sponsored Programs (OSP) initiated a project to develop a crosswalk to feed data from Grants & Contracts to the Financial Records System (FRS) to create new FRS General and Subsidiary Ledger accounts for awarded proposals. The goal of this interim solution was to replace the highly labor intensive and manual online data entry procedures currently in place. The ultimate goal was to establish an automated data feed from the newly acquired InfoEd system for grant management when the remaining InfoEd modules were installed and operational. The Pappas Group was asked to provide project management services for this project as well, which was successfully implemented in December 2004.

As part of the effort to implement the interim solution, a review of current FRS account set-up processes was undertaken to identify weaknesses and recommend appropriate alternative processes for FRS account set-up. The need for this review grew out of the fact that current processes were very labor-intensive, paper-driven and required staff to enter the same data on more than one data entry screen.

#### **UNIVERSITY OF HOUSTON and UNIVERSITY OF HOUSTON SYSTEM**

*4800 Calhoun Rd. Houston, TX 77004*

The University of Houston System is comprised of the University of Houston, the University of Houston Sugar Land, the University of Houston Downtown, the University of Houston Clear Lake, the University of Houston Victoria, and several metropolitan learning centers. The Chancellor of the System concurrently serves as the President of the University of Houston.

The University of Houston is committed to emerging as the preeminent metropolitan university system in the U.S. and has been successful in its recent efforts to achieve Tier One status in the state of Texas.

The Pappas Consulting Group has been engaged by the University of Houston System over the past eight years to: address system organizational structure; Board Governance; strategic enrollment management planning; UHS strategic direction as well as campus mission differentiation and funding; and to facilitate the development of the University of Houston Strategic Plan. Most recently, we have been working with the newly appointed Provost to create a Tier One Office of Academic Affairs, conduct an organizational redesign and streamline the academic administrative process.

### Governance

We first facilitated a Board of Regents Retreat with the goal of: (1) providing the Board with the national best practices for the highest performing boards; and (2) reaching consensus with the Board and Chancellor on the thematic strategic directions for the UH System. This Retreat was a crucial step in the Chancellor's dual mission of strengthening governance and enabling this system to become strategic in its long-term thinking. We then facilitated a retreat for the Chancellor's Leadership Team, focusing on the strategic themes that needed to be further vetted with key stakeholders including the identification of action steps and the development of accountability measures.

### Developing Organizational/Structural Options

The Pappas Consulting Group prepared organizational/structural options for consideration concerning the University of Houston System. These options were developed for a five-year and a ten-year period enabling a thoughtful and well vetted implementation process. The Board determined that structural solutions will be phased over time. We presented alternative organizational/structural options for discussion concerning campus alignment, branches, and possible specialized institutions at the May 2009 Board Retreat.

### Strategic Planning

We worked with a Steering Group at the University of Houston campus to update and streamline the campus Strategic Plan.

We worked with the UH Action Steps Steering Committee to enable the University of Houston to realize Tier One Status. While utilizing the University's existing strategic plan as the context for new strategic visioning, the Pappas Group sought ideas from both internal and external stakeholders concerning the future of UH over an intensive 100-day period. We also engaged with the Board of Regents and with the leadership of the University to seek agreement on the key strategic themes for the University of Houston. All of this activity led to a remarkably consistent consensus on six themes and resulted in the drafting, editing and creation of a strategic plan for the University.

### Strategic Enrollment Management Planning

The Pappas Group was engaged to: establish a baseline understanding of Enrollment Services from both an operational and organizational perspective at the unit level and the division level, and identify those organizational and operational issues that needed to be addressed assertively from a University of Houston System perspective. We developed four institutional profiles to demonstrate how each institution was distinctive, had unique yet core academic programs and displayed the student profile of each. These intensive and extensive working papers and reports have served as the basis for a UHS and individual institutional enrollment management plans.

UH is adopting the Strategic Enrollment Management model developed by the Pappas Consulting Group to project and manage the growth and the shaping of enrollments. Accountability standards issued by the state mandate increasing retention rates and graduation rates. More strategic recruiting and enrolling students that better suit the university impact these two measures.



We reviewed the UH enrollment operation and offered a number of tools to assist with the new management paradigm for recruiting and enrolling new students:

- Developed three themes to help with decision making in managing recruitment efforts:
  - Quality, target key groups of students that will improve the overall academic profile and will be successful for four years (retention).
  - Access, recruitment and awarding strategies for low-income students to ensure the student and family can sustain enrollment for four year.
  - Net Revenue, awarding aid to impact quality and access, at the same time making sure the academic enterprise remains financially viable.
- Evaluated the recruitment plans used by the admissions office and:
  - Developed university name awareness for 8<sup>th</sup> and 9<sup>th</sup> grade high school students.
  - Reviewed high school visit schedules/travel plans for admissions.
  - Developed options to enhance travel and recruitment to key areas that would be the most productive.
  - Assisted staff in developing profiles of key high schools and recruitment areas, to better understand application flow.
  - Introduced staff to national database to use for data mining and developing a better understanding of cohorts from key areas in their recruitment areas.
- Developed a model to evaluate enrollment patterns of applications, admits and enrollees (and yields) looking at:
  - Academic quality of each cohort.
  - Demographics, including family financial strength.
  - Ethnicity.
- Developed an academic rating index to use in review of application flow and enrollment patterns.
- Introduced and developed merit aid program to influence enrollments.
- Introduced financial aid awarding models to project yields and spending patterns of merit and need based aid. The model will assist staff in understanding the relationships between awarding of aid and net revenue for the incoming class.
- Reviewed financial aid awarding procedures and recommended changes to offer more competitive awarding plans to attract low-income students.
  - Reviewed options to estimate state aid awards.
  - Developed a more aggressive awarding plan to impact and influence enrollment of financially needy students.
- Assisted with developing an outline for staff to use in writing a long range strategic enrollment plan focusing on:
  - Intentional recruitment in key geographic areas to influence enrollment patterns.
  - Developed a long-term merit awarding program and financial aid awarding plan to assist with retention rates and increase the academic profile of incoming students.
  - Developed a plan to increase access and awareness of high education options for low-income families.

#### Board Self-Assessment

In May of 2010, we facilitated a Board Self-Assessment at the request of the Board Chair.

### Board Facilitation

In June of 2011, we participated in a Board of Regents retreat to: review progress to date; examine present status; explore future directions; encourage Regents to be more aware of growing importance of philanthropy to UHS; and provide the opportunity and mechanism for the Regents to participate with each other and for their opinions/thoughts regarding priorities to be heard.

### Planning to Serve the Higher Education Needs of Greater Houston

The University of Houston is committed to working with its system partner universities to meet the burgeoning higher education needs of Greater Metropolitan Houston, most especially in Sugar Land, Katy and the Northwest. Given the University's aspiration to become a Tier One University and serve the education, economic development and workforce needs of greater Houston, the Chancellor/President of the UH System/University of Houston charged the Pappas Consulting Group to undertake a strategic planning exercise to provide a recommended model for serving intentionally the higher education needs of Greater Metropolitan Houston, with the initial focus on Sugar Land.

We provided a high level summary defining: the three most prevalent models of educational outreach through a parent campus; the highlights of our interviews with public officials and senior members of the University of Houston; a description of the pros and cons of each of the three educational models given the unique context of Metropolitan Houston and the University of Houston. We then provided recommendations concerning the most appropriate model for consideration at Sugar Land.

### Division of Student Affairs

The Pappas Consulting Group completed a strategic planning effort for the Division of Student Affairs.

### Office of the Senior Vice Chancellor for Academic Affairs/Senior Vice President for Academic Affairs and Provost

We recently completed a review to create a functionally-aligned organization structure to support the University of Houston's Tier One classification and to ensure student success at both the undergraduate and the graduate level.

## **UNIVERSITY OF HOUSTON DIVISION OF STUDENT AFFAIRS**

*4800 Calhoun Rd. Houston, TX 77004*

The Pappas Consulting Group completed a strategic planning effort for the Division of Student Affairs.

Dr. Pappas facilitated the strategic planning process and engaged the approximately 215 staff members of the Division in a strategic planning exercise that clearly and passionately enumerated the vision, mission, values, strategic initiatives/goals and action steps/objectives of the Division.

## **UNIVERSITY OF ILLINOIS**

*108 Henry Administrative Bldg. Urbana, IL 61801*

The Board and the senior leadership of the University of Illinois engaged the Pappas Consulting Group Inc. to undertake a series of self-assessments focused on the academic, academic support, student and administrative functions of its three campuses, including its urban health sciences university based in Chicago. In addition, we undertook several functionally targeted strategic planning projects for the Division of University Administration as well as for Information Technology.

### Peer Groups

The Pappas Consulting Group was asked to develop best practice metrics for the Urbana-Champaign, Chicago and Springfield campuses and work with the Illinois Board of Higher Education to modify the peer groups of the three campuses. This benchmarking work enabled the University to “measure” progress toward meeting their strategic goals and objectives and ensure accountability of University managers.

### Financial Aid Study

We were engaged by the University of Illinois to assist in addressing a set of financial aid issues that focused on the growth of financial aid support funded through undergraduate tuition dollars.

The University’s tuition-funded financial aid program was created as a way to supplement need-based financial aid no longer being met through the federal government (Pell Grants) and the State of Illinois Monetary Award Program (MAP) grants. The MAP Supplemental Aid expenditures began in the 1995-96 academic year when, for the first time, tuition and fees charged to Chicago and Urbana students exceeded the maximum award from the MAP program.

We undertook three specific tasks:

- Benchmarked the University’s MAP Supplemental Aid expenditures against national norms for both public and private 4-year universities.
- Benchmarked the educational loan debt of graduating seniors at the University against national norms for both public and private universities.
- Surveyed other external sources of financial aid grants besides the federal Pell Grants and the Illinois Student Assistance Commission MAP Grants that could replace the current University MAP Supplemental Aid grants.

The results of this benchmark study helped the Board of Trustees to understand better the policy questions surrounding financial aid.

### Institutional Support Costs

The Pappas Consulting Group undertook a study of Institutional Support Costs in order to better understand and describe the level of administrative support required to oversee and manage the primary academic programs and activities of the University.

Three sets of comparisons of Institutional Support Costs were presented in the study. They were:

- University of Illinois compared to other Illinois Public Universities
- University of Illinois compared to Big Ten Universities
- University of Illinois compared to Selected Major Public Universities

The data presented in this report gave a perspective of how campus size and the number of campuses within a "system" can impact the amount spent on Institutional Support Costs. The results of the study helped the University of Illinois to understand the trend lines of institutional support costs.

### Focused Strategic Planning Projects for Information Technology and the University Administration Division.

#### *Information Technology*

This particular project included each of the offices within the Division of University Administration (UA) that provided administrative technology. We reviewed the component parts of IT development and delivery, and addressed various planning questions. We established several planning criteria and principles. These included goals for administrative technology that were identified by the Project Steering Team, as well as several IT service principles that were established by the Pappas Group. These criteria and principles guided the overall assessment of the current UA environment and ultimately led to the development of a strategic action plan.

#### *University Administration*

The Pappas Consulting Group was asked to join a Division-wide strategic planning process already underway in order to facilitate its conclusion. The objective of our assistance was to facilitate discussions among the various directors within the Division and with those Vice Presidents and directors external to the Division who were users of the Division's multiple services. We crafted drafts of the strategic plan that were then vetted among the senior staff of the Division. We were ultimately responsible for generating the final plan that was eventually adopted and implemented by the Division.

### **UNIVERSITY OF KANSAS**

*1450 Jayhawk Blvd., Lawrence, KS 66045*

The Pappas Consulting Group was engaged to conduct a review of its senior administrative structure (direct reports to the Chancellor) for the purpose of making recommendations to streamline and improve the effectiveness of that structure. In addition, we conducted a broad review of current marketing communications activities throughout the University including

the Academic Medical Center to help prepare for the creation of a strategic marketing communications plan. As part of this review, we assessed the current staffing and organizational structure of University Relations to determine how it could best support such an institutional effort.

#### Senior Administrative Structure Review

The University of Kansas is a complex, multicampus university with a full-service medical center. Its campuses and sites are dispersed geographically in at least four sites. There were sixteen direct reports (including the Executive Vice Chancellor) to the Chancellor.

We undertook a diagnostic review of the senior administrative structure of the University. We developed a standardized interview guide tailored to the Chancellor's objective to streamline and reduce his number of direct reports.

The outcome of this study was a set of recommendations streamlining and focusing the work of the direct reports to the Chancellor to carry out overarching activities that cut across campuses; work in a coordinated and strategic manner to advance the Chancellor's priorities and free the Chancellor from time-consuming daily supervisory duties.

#### Marketing Communications

The impetus for this review included these factors:

- The need for the Office of University Relations to provide leadership and services to the entire University community by strengthening relationships, improving communications with diverse internal and external constituencies, and encouraging participation in support of University programs and initiatives.
- Historic de-centralization of the University's communications effort had created a proliferation of separate domains of communication activities throughout the University without a common purpose or graphic identity to bind their work.
- The present organizational structure in University Relations was impeding the ability of the Executive Vice Chancellor to operate at a high-level policy and planning mode.

Throughout the course of this engagement, we conducted extensive document analysis as well as focus groups with members of the faculty and staff at the Lawrence campus, the Academic Medical Center and the various branch campuses.

The outcome of this study was a set of recommendations regarding the direction of the University's marketing communications as well as the leadership role of University Relations.

### **THE UNIVERSITY OF MASSACHUSETTS SYSTEM**

*225 Franklin Street, Boston, MA 02110*

#### Administrative Redesign

The UMass Board of Trustees engaged the Pappas Consulting Group to conduct a three year multi-phased project to improve business services, reduce administrative costs, and improve

the working environment of its five campuses and the President's office. The Phase I objective was to conduct a high level review of services: Student Services (enrollment); Human Resources; Procurement; and Financial Accounting and Reporting and to pinpoint significant processes for administrative redesign. Based on the study outcomes of Phase I, we undertook a series of pilot projects on each of the campuses in Phase II to identify tangible cost savings, demonstrate how administrative redesign could work on a larger scale, and build credibility and support for Phase III (on-going implementation and continuous improvement on each campus).

We redesigned admissions, financial aid, registration, and student accounts functions. This effort produced an integrated process for transfer and freshman student admissions resulting in reduced response time to applicants. In Human Resources, we improved hiring practices by reducing approvals and the number of forms. The Procurement redesign included the development of a procurement card for small dollar purchases, resulting in a 25% reduction in purchasing cost, as well as a streamlined travel reimbursement process. Financial Accounting and Reporting redesign resulted in the decision to implement one system (PeopleSoft) on all of the campuses and in the President's Office.

The System achieved the following results from administrative redesign and outcome measurement: students, faculty, and staff are satisfied with administrative services; administrative costs are under control; graduation rates have continued to rise; the University has reduced its dependence on tuition and fees; and dollars are being reallocated to the academic core in accordance with the strategic planning priorities for each campus. Other outcomes included a One-Stop Student Services Center (credited with greatly improved recruitment and retention rates at UMass Dartmouth and UMass Lowell).

#### Benchmark Study

We were engaged by the UMass Board of Trustees to develop a set of benchmarks and an outcome measurement process to gauge the effectiveness of the strategic planning and business process redesign initiatives being implemented in the President's office and on each of the five campuses.

The benchmark measurement process was developed in partnership with a Special Committee of the Board of Trustees and made use of five criteria for measuring administrative productivity. These criteria were: Satisfaction Surveys, Administrative Expenditure Ratios, Graduation Rates, Revenue Structure Ratios, and Dollars Invested in the Academic Core. These five outcome measures were linked to five specific objectives approved by the Board of Trustees for administrative redesign. Benchmark targets were set for each administrative redesign objective, and an annual reporting system continues to monitor progress.

The System achieved the following results from administrative redesign and outcome measurement: students, faculty, and staff are satisfied with administrative services; administrative costs are under control; graduation rates continue to rise; the University has reduced its dependence on tuition and fees; and dollars are being reallocated to the academic core in accordance with the strategic planning priorities for each campus.

**THE UNIVERSITY OF MASSACHUSETTS BOSTON**

*100 Morrissey Blvd, Boston, MA 02125*

The Pappas Consulting Group Inc. completed its administrative review of the University of Massachusetts Boston within the context of the University's goals to: grow its enrollment by the year 2025 to 25,000; continue to be a sophisticated urban research university and; play a distinguished role on the global stage. We conducted an organizational assessment of the functions reporting to the Chancellor and identified administrative processes requiring redesign in a Phase II effort.

Phase II, to start in the Fall 2014, is designed to: identify opportunities for savings; reengineer processes; and target the generation of alternative revenue streams.

**UNIVERSITY OF NORTH CAROLINA and NORTH CAROLINA COMMUNITY COLLEGE SYSTEM (HB 1264)**

*UNC: Chapel Hill, NC; NCCCS: 200 West Jones Street, Raleigh, NC 27603*

The General Assembly of the State of North Carolina mandated a study (HB 1264) to ensure that the state's citizens would be academically prepared and equipped for current and future job opportunities in North Carolina's growing knowledge economy. The Legislature called on the University of North Carolina (UNC) and the North Carolina Community Colleges (NCCCS) to examine jointly this objective with the assistance of a consultant team.

Among the legislative requirements of the study:

- analysis of state and regional demographic, economic and educational data
- enrollment projections for UNC and NCCCS
- analysis of current academic program offerings
- recommendations on increased effectiveness through collaboration and distance learning
- analysis of long-range capital plans
- specific emphasis on the historically black universities and the Native American university
- an analysis of the role of the liberal arts and of programs aimed at the state's knowledge-based economy

During the engagement, the Pappas Consulting Group discovered that there are many "North Carolinas". There are areas of population growth and areas of population decline. There are areas of the highly educated and areas plagued by illiteracy. There are areas with high household incomes and areas with high concentrations of poverty.

Our report indicated that by 2010, 750,000 people would join the workforce in such "traditional" occupations as:

- Service occupations (office jobs to custodial services)
- Professional and technical fields (over 250,000 by 2010 in education, health, and information technology)
- Management and financial positions (accountants)

- Construction
- Transportation

There would also be growth in such “emerging” occupations as:

- Advanced manufacturing
- Advanced materials (chemicals and plastics)
- Advanced materials (nanotechnology)
- Biotechnology and pharmaceuticals
- Computing, software and the internet
- Logistics and distribution

We employed a gap analysis to determine the impact these projections had on the academic programs of the sixteen constituent members of the University of North Carolina and the state’s 58 Community Colleges. The impact on the capital and infrastructure budgets of the two systems was assessed along with a funding and resource allocation analysis.

The economic development needs of the region in which each institution is located was examined. Serious discussion ensued regarding the development of regionally-based education centers that encompass both the Universities and the Community Colleges with a particular focus on e-learning.

Focus groups, town-hall meetings, and interviews with various business, K-12, and legislative leaders were conducted throughout the course of the study.

#### **UNIVERSITY OF NORTH CAROLINA**

*910 Raleigh Rd., Chapel Hill, NC 27514*

The University of North Carolina General Administration (G.A.) engaged the Pappas Consulting Group to assist focused growth institutions to meet new enrollment growth targets. These institutions included: Fayetteville State University; Winston-Salem State University; and Western Carolina University. The assignment was extended to a second year. In the case of Western Carolina University, our work was expanded further to include strategic marketing and retention.

The University of North Carolina projected an increase of over 50% in the traditional college-age population. We worked with these three campuses to design recruitment programs, develop retention initiatives, and prepare camera-ready recruitment materials for the purpose of attracting students to, and keeping students at, these campuses. Work plans for each of the campuses, while containing common elements, were tailored to meet the needs and niches of each institution.

For each of the campuses, the project deliverables included a/an:

- Diagnostic review of recruitment, retention, and marketing activities;
- Camera-ready copy for ViewBook and collateral recruitment materials;
- Recruitment Plan for 2000; and
- Action Plan for retention initiatives.



In addition, we completed a comprehensive Enrollment Plan for each of the campuses. These were submitted to the General Administration, the state legislature and were ultimately approved for implementation.

Details of the Pappas Consulting Group work conducted for each of the Universities are summarized below.

Fayetteville State University

The Pappas Consulting Group was engaged to assess its enrollment and recruitment marketing programs, systems, and processes in order to recommend initiatives to increase undergraduate enrollment by as much as fifty percent in a several year period. During a second phase, we helped to develop and implement a strategic marketing plan that included, but was not limited to, a printed portfolio and electronic materials that conveyed creative and consistent messages about the University. A high school recruitment yield model, a corollary community college recruitment program, and the design of a “one stop” student information and help center also resulted, the details of which are:

*High School/Community College Student Recruitment*

The purpose of this follow-up engagement was to help FSU redirect recruitment efforts towards specific and potentially high yield high schools and primary feeder community college markets. This approach was a significant departure from FSUs recruitment strategy of providing general information to a wide body of high school students, and then taking action when recipients requested more information or an application for enrollment. This project concurrently sought to establish a campus-wide recruitment effort by coordinating University personnel who had previously attempted to recruit unique populations of students (e.g., Music Department, Athletics, Weekend & Evening, Departments, etc.) on their own.

*One-Stop/Non Traditional Students*

The Pappas Consulting Group was engaged to facilitate project management efforts, assist staff, and share national best practices with two project work teams: (1) One-Stop Student Center and; (2) the campus-based Non-Traditional and Degree Programs.

The work of the One-Stop Student Center project team led to the identification of a campus site for the Center’s operation, approval of an implementation and operational budget for the Center, and the establishment of a staff training schedule and agenda for full implementation.

The second project, creating nontraditional student degree programs, resulted in a work plan that focused primarily on the potential interface with Fort Bragg and neighboring community colleges.

Western Carolina University

*1 University Way, Cullowhee, NC 28723*

Western Carolina University has engaged the Pappas Consulting Group from time to time to assess and redesign its recruitment, admissions, and retention operations. Recruitment had

been stagnant over several years, and Western's retention rate ranked at the bottom of the sixteen constituent institutions of UNC.

We initially conducted a complete audit of the admissions office and its operations. We helped Western implement radical changes in recruitment and admissions processing that resulted in assigning support staff the review of routine applications and assigning admissions officers to hands-on recruitment activities. We then audited Western's marketing, communications, and public relations efforts and delivered a marketing plan. Very soon thereafter, we reviewed all operations, programs, and services associated with retention and advising. We recommended a "case management" approach to advising, early identification and management of "at risk students", and related initiatives to improve retention. Western is reaping the benefits of this consultancy in terms of exponential growth in the numbers of first-time freshmen and transfer students. The retention rate has also improved substantially.

Our work with Western Carolina continued with: the creation of a camera-ready ViewBook and corollary recruitment materials; a recruitment plan; refinements to the advising program; development of a plan for a One Stop enrollment/student services operation; and the creation of a comprehensive enrollment plan for submission to the General Administration for approval.

#### *Retention*

The objective of this project was to work in partnership with the Chancellor to: (1) assess the major factors contributing to the relatively low yield rates of the entering freshmen class and the decreasing retention rates for undergraduate students; and (2) put in place an integrated, University-wide plan to improve student recruitment and retention efforts. In that regard, we:

- reviewed all aspects of enrollment management services to determine what needed to be done to increase student yield;
- conducted student focus groups to determine student perceptions of the University, with an emphasis on why students either remain on campus to complete the degree or leave the University before completion of the degree. A report summarizing the results of the interviews was presented to senior University Officials as well as the Academic Senate;
- assessed various academic policies, procedures and organizational paradigms to develop an action plan that clearly delineated next steps for the Provost and the Academic Senate Chair to undertake on behalf of the University for the improvement of student retention; and
- undertook a diagnostic review of the organizational structure and staffing of the Student Affairs Division. During the course of this review, we assessed the effectiveness of the Division's efforts in student retention and the degree to which it interfaced with Academic Affairs, Enrollment Management, and Administration and Finance.

We were called back to update this work and create a unit dedicated solely to undergraduate student services and educational effectiveness. We issued a final report in March of 2009.

*University Housing*

The objective of this review was to work in partnership with the Director of Housing and the Vice Chancellor for Student Affairs to assess all aspects of the University's housing operation. This included:

- the residential life program (staffing, staffing levels, staff training and development, hall government associations, programming, student satisfaction);
- learning communities and special/thematic housing (faculty participation, faculty incentives, student perceptions of need);
- the Honors College;
- the utilization of housing stock (use/mix of classes, gender, singles/doubles);
- policies and procedures (judicial, parietals, room and board rate setting, all policies articulated in the existing booklet forwarded to all residential students);
- administrative processes (room assignments, billings, student room inspections, interface with Administration and Finance);
- all aspects of facilities management (maintenance and custodial, groundskeeping, security/safety);
- capital budget/budget projection development (including renewal and replacement, bond retirement, reserves and preliminary identification of significant capital improvements);
- annual operating budget development (assuming that housing is run as an auxiliary enterprise); and
- the role of housing in student recruitment and retention (quality of life, quality of printed marketing material, messages sent to parents and students during site-visits, on the Web and in recruiting materials).

During this particular engagement, we conducted focus groups with hundreds of student residents, interviewed each housing staff member as well as key administrative and academic leaders.

Deliverables included:

- Recommendations concerning printed and other visual material used in conjunction with the student housing operation and program
- Recommendations concerning staff and staffing levels and the quality of the residence life program
- An assessment of the facility and residential life components of this housing program
- An inventory of the proposed utilization of existing housing stock as well as proposed housing stock
- Revised policies and procedures in keeping with President's Office and campus policies with an eye toward improving student recruitment and retention efforts
- Streamlined and automated processes for students as well as faculty and staff who have considerable daily interface with the Housing Office
- Assessment of the current operations and interface with the Division of Administration and Finance
- Preparation of a budget template as well as a five year budget projection based on information currently available in the Housing Office.
- Review and recommendations for the fiscal year operating budget.

*Media Relations*

Western Carolina University engaged the Pappas Consulting Group to assess how the University's strengths could be used to promote the University in the national media. Our objective was to:

- Create a national media visibility campaign that could generate national media attention.
- Arrange interviews with key national editors, writers and broadcast producers in New York, Washington and Boston for the Chancellor.
- Follow up with the media to encourage them to visit the campus.
- Develop a format to display the results of media attention or "clips" generated nationally and regionally for distribution to key University constituencies.

Strategic Organizational Redesign

As part of its routine follow-up efforts, the Pappas Group worked with Western Carolina University to improve further its record of undergraduate student retention.

The Pappas Group:

- Collected, analyzed and summarized all relevant archival material to create a baseline understanding of prior recommendations and the degree to which recommendations were implemented.
- Interviewed the Vice Chancellors, selected direct reports and the Deans to assess the degree to which remediation was necessary in the provision of student academic support services.
- Undertook a global assessment of the major systems, services and practices that impact student retention.
- Conducted a series of staff training and development workshops to enable staff to understand and internalize their individual as well as collective role in ensuring student success.
- Served as a technical resource with the appropriate Vice Presidents and managers to determine ways in which processes, organizational structures, and practices could be improved.
- Maintained on-going coaching of selected managers.

Winston-Salem State University

*601 S. Martin Luther King Jr. Drive, Winston-Salem, NC 27110*

The Pappas Consulting Group facilitated a strategic planning process that developed a five-year plan of action. The role and the reach of the University was clarified while respecting

and building upon the University's distinguished history of access and service to North Carolina's African-American students. WSSU has experienced a transformation within its campus, and has significantly improved its long-standing relationships with the city of Winston-Salem in which it is located.

The Pappas Consulting Group also worked with this HBCU for an elapsed period of two years. The first phase included an assessment of enrollment and recruitment marketing programs, systems, and processes for the purpose of recommending initiatives to increase undergraduate enrollment by as much as fifty percent over the next several years. We also helped to develop and implement a strategic marketing plan that includes, but is not limited to a portfolio of marketing materials that conveys creative and consistent messages about the institution. A high school recruitment yield model, a corollary community college recruitment program, and the design of a "one stop" student information and help center were completed as well.

As required by UNC policy, the WSSU Board of Trustees engaged the Pappas Consulting Group to assist in the evaluation of the Chancellor of Winston-Salem State University. WSSU employees, faculty and staff participated in the process. We issued a report to the Board Committee that enumerated the results of the 360 degree evaluation; including recommendations for the next phase of the Presidency.

#### **UNIVERSITY OF NORTH CAROLINA PEMBROKE (UNCP)**

*1 University Drive, Pembroke, NC 28372*

The Pappas Consulting Group Inc. conducted a review of UNCP's Transfer Student recruiting and processing environment. This was based upon the University's objective to increase significantly the enrollment of well-qualified transfer students in Fall 2013 and beyond, following a decline in new transfer enrollment that has occurred during the last two years.

The Pappas Group analyzed information from interviews, data reports and materials in order to create a picture of the current recruiting and processing environment for transfer students. Appropriate recommendations for change were drawn from this analysis.

#### **UNIVERSITY OF NORTH CAROLINA GREENSBORO**

*1400 Spring Garden Street, Greensboro, NC 27412*

The Pappas Consulting Group Inc has currently been engaged for the preparation, facilitation, and documentation of the Environmental Scan phase of the strategic planning process for the University.

#### **UNIVERSITY SYSTEM OF GEORGIA**

*270 Washington Street, S.W., Atlanta, GA 30334*

The Pappas Consulting Group conducted a benchmarking study, an organizational assessment, a management review of administrative and financial practices, and a data assessment review for the 35 campus University System of Georgia. The purpose of this study was to: (a) compare the System office (Regents Central Office) and its institutions against

their peers using state-of-the-art analytical tools and methods; and (b) review internal business policies and practices of the Regents Central Office and four sector-representative institutions: University of Georgia, Athens; Kennesaw State University; Macon State University; and Abraham Baldwin Agricultural College.

Project Scope I entailed a benchmarking study, by sector, of the 35 USG institutions. Selected academic and administrative performance indicators were developed in order to calculate optimal ranges for performance and practice by peer group. This study established a database for the System and their institutions for decision-making and strategic resource allocation purposes.

During this phase of our work, we provided a template to the institutions so they could measure performance in comparison with their peers and aspirants at the state and national level, as appropriate. Based on the data we obtained, we provided USG and their institutions an analysis of our results and recommendations concerning business practices, measurement, and data collection. The Board of Regents continues to use these benchmarks to assess performance on an annual basis.

Project Scope II encompassed internal management reviews of business/administrative practices at the Regents Central Office and four representative institutions. A broad base of interviews and data collection efforts were undertaken to cover virtually all business and administrative areas. As a result of this effort, seven process areas were selected for intensive review: (1) purchasing; (2) budget and resource allocation; (3) facilities management design and construction; (4) warehouse operations; (5) materials requisition; (6) business services; and (7) custodial services. Our recommendations resulted in annual savings or cost avoidance to the System.

Project Scope III focused on the development of consistent approaches to define, collect, and analyze institutional data to assess performance at both the system and campus level.

## **UNIVERSITY OF SOUTH FLORIDA SYSTEM**

*4202 E. Fowler Avenue, Tampa, FL 33620*

Over an elapsed period of 20 years, the Pappas Consulting Group has completed numerous engagements. The last two referenced were completed in the last 36 months.

### Plan for the Future

The Pappas Group was engaged by the University of South Florida System to provide an external perspective of its strategic plan with the goal to gain more widespread ownership and understanding of its strategic direction across the University community.

### Business and Finance

The Pappas Consulting Group was hired by the President of the University of South Florida System to reassess the needs and portfolio of the business and finance functions required to meet the System's strategic agenda due to the departure of the Executive Vice President and CFO. The Pappas Group defined an alignment of organizational responsibilities and leadership criteria to best advance USF's strategic objectives.

### Organizational Restructuring

The purpose of this consulting engagement was to conduct a review of this multi-campus university in order to streamline the organizational structure and reengineer a dozen major administrative and academic processes. The President of the University initiated the study and served as the study sponsor. The Pappas Consulting Group established an Administrative Review Committee (ARC), comprised of senior University administrators and the consulting team to coordinate the broad-based effort.

We reviewed financial accounting and reporting, human resources, purchasing/accounts payable, enrollment, academic support, auxiliary, and development (fund raising) policies, processes, and structure on each of the campuses and in the President's Office. We focused our efforts on structure and process flow between the central office and the campuses.

Our recommendations resulted in action plans to reduce approval levels, eliminate unnecessary work steps, migrate manual processes and procedures to an electronic platform, and improve services to students, faculty, staff, and other constituents (internal and external).

We worked with the Chancellor of the State University System of Florida and his senior support team to determine the ways in which the campuses could be provided state regulatory relief. Many of our recommendations led the Presidents of the other campuses, as well as the Chancellor, to seek regulatory relief from the legislature.

### Cost Allocation-Phase 1

In this particular study, the Pappas Consulting Group developed the parameters for a cost allocation plan and model for the University of South Florida (USF). In an effort to ensure that general direct and indirect costs for non-grant contract funding sources were allocated accurately, we worked with the University to determine appropriate overhead rate structures and develop a model for allocating these costs on an ongoing basis. We brought together key decision makers to evaluate the nature and purpose of the new cost allocation methodology. From these discussions, a set of guiding principles were established to assess alternative cost allocation approaches. After evaluating the advantages and disadvantages of alternative cost allocation methodologies, an appropriate costing approach was selected. Upon the conclusion of this process, we then worked in partnership with the University to craft an electronic model to support and keep current the methodology.

### Cost Allocation Phase 2

The Pappas Consulting Group was subsequently asked to provide technical assistance and project management oversight for Phase 2 of the Cost Allocation Plan and Model project. The Phase 2 effort utilized the technical knowledge of the Pappas Consulting Team as well as its proven project management skills to enable the University to begin to implement the model, develop Board policy and sign applicable service agreements.

### Strategic Planning

The University of South Florida currently comprises four institutions: USF Tampa; USF St. Petersburg; USF Sarasota-Manatee; and USF Polytechnic. The first three institutions are separately accredited; Lakeland is in the process of becoming separately accredited. All four institutions have distinct missions and their own detailed strategic plans. USF sought to find and capitalize on synergies and economies of scale among its institutions that were of benefit to students, faculty, staff, alumni, and communities. We conducted focus groups, interviews, and web-based surveys. We served as staff to a System-wide Strategic Planning Committee and worked closely with the President as well as with the four Chancellors and the Board of Trustees.

The Pappas Consulting Group drafted, amended and generated the final USF Strategic Plan 2010-2015. Throughout we communicated widely with the internal community as well as with alumni and business leaders through a USF System website that posted relevant strategic planning materials and kept all constituents informed of major themes and milestones. The resulting plan was the first comprehensive USF system plan, complementing the four institutional strategic plans previously generated to provide a blueprint for the future.

### System Governance and Reorganization

We recently completed an extensive multi-campus organizational and governance review.



### **UNIVERSITY OF TEXAS SYSTEM**

*601 Colorado Street, Austin, TX*

The Pappas Consulting Group Inc. has been engaged by the University of Texas System on several occasions to facilitate Board retreats regarding strategic planning, assessment, best practices and benchmarking. The objective of these retreats was to focus on the distinctiveness of the UT System's leadership, governance, and opportunities within the broader context of American higher education.



**Appendix B**  
**CONSULTANT TEAM BIOGRAPHIES**

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Alceste T. Pappas, Ph.D., President/CEO

James McCarthy, Ph.D., Senior Consulting Associate

K. Scott Hughes, Senior Consulting Associate

Richard M. Bellows, Consulting Associate

David L. Quandt, Consulting Associate

Cathie M. Hudson, Ph.D., Consulting Associate

Stephen R. Portch, Ph.D., Senior Consulting Associate

**ALCESTE T. PAPPAS, PH.D.**  
**President and CEO Pappas Consulting Group Inc.**

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**PROFESSIONAL PROFILE**

Dr. Pappas is an internationally known consultant in education and the nonprofit. She is recognized for her capacity to: work at all levels within an institution; provide innovative yet practical solutions; garner the trust and confidence of those with whom she works; articulate clearly and passionately the needs of educational and non profit organizations; and work adroitly and respectfully in a myriad of cultures and operating environments.

In 1992, Dr. Pappas created the Pappas Consulting Group Inc., a wholly woman-owned SubChapter S Corporation in the state of Florida, serving the needs of educational and non-profit organizations. Our Firm's objective is to provide our clients with a broad yet highly specialized range of services through senior level, experienced practitioners who serve as consultants in a variety of complex organizational settings and cultures.

**AREAS OF EXPERTISE**

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- Strategic planning and positioning
- Governance (Board, faculty, student, staff, volunteer)
- Policy and procedure analyses
- Operations/business/administrative process redesign
- Organizational analyses (individual institution, postsecondary systems of education, national office and chapter/affiliate relations)
- Program/services assessment and redesign, including benchmarking and best practices
- Change management and continuous quality improvement
- Staff training and development
- Facilitation
- Human Resources
- Student Affairs and Student Success
- Enrollment Management
- Fundraising and Development
- Marketing and Communications
- Academic Administration

**PROFESSIONAL EXPERIENCE**

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Dr. Pappas has assumed a leadership role on projects in the fields of strategic planning and positioning; governance; organizational redesign and change management; human resource management; business process redesign; resource allocation; and costing and economic development. Some of these studies are described briefly below:

## **STRATEGIC PLANNING AND POSITIONING**

- Developed a Strategic Plan and conducted an organizational review that included all of the positions that comprised academic affairs, health professions education, student affairs and admissions, advancement, external affairs as well as finance and administration of Northeast Ohio Medical University (previously known as Northeastern Ohio Universities Colleges of Medicine and Pharmacy).
- Facilitated the development of Suffolk University's first University-wide strategic plan for AY 12-13-AY 17-18 at the request of the institution's new President.
- Facilitated a new strategic planning process and helped to create presentation materials for internal and external audiences for South Dakota State University. The new strategic plan "*Impact 2018, A Strategic Vision for South Dakota State University*" was released in January 2013.
- Developed a Strategic Planning Briefing Book for Choate Rosemary Hall as a "Roadmap for the School for Years to Come" to inform the Trustees of the current state of the School through survey research, interviews, focus groups, peer data, and relevant reports that had been generated by the School or third parties.
- Worked in partnership with the Strategic Planning Co-Chairs of Arcadia University to: draft/update mission, vision, core values, strategic initiatives (goals), action steps (objectives); identify key performance measures; conduct select benchmarking of peers/aspirants; conduct high-level operational review/synthesize findings; conduct SWOT analysis; assist in creation of a Strategic Planning website; staff/participate in Town Hall presentation(s); conduct Strategic Planning Workshops; ensure the final Arcadia University Strategic Plan encompasses input at the direction of the Strategic Planning Committee.
- Created of a 5-year strategic plan for Clayton State University that included such components as mission, vision, values, goals and outcomes and examined CSU's relationships with peer institutions and the USG Board of Regents.
- Developed a comprehensive strategic plan for Northeastern Illinois University, integrating academic program needs with financial, human and physical resources. A Strategic Planning Data Compendium replete with key data elements was generated for on-going use by University managers.
- Generated a "plan-to-plan" for Purchase College to enable the institution to begin to focus limited resources on high priority items.
- Developed a comprehensive strategic plan for Southern Connecticut State University that enabled the President's Cabinet to successfully accomplish the overall goals and initiatives articulated in the plan.

- Developed an Academic Master Plan for Tennessee State University that delineated the University's academic, research and service priorities; provided a means for monitoring and reporting on implementation; and provided a means for updating and revising the plan as circumstances required.
- Generated a comprehensive, five-year strategic plan for Texas Southern University based on a series of strategic planning/visioning retreats, work group sessions, a diagnostic review of programs, operations, and services, and an environmental scan.
- Crafted a dynamic and comprehensive strategic plan for the University of Colorado Denver (formerly known as University of Colorado at Denver and Health Sciences Center) that positioned the University for successful accreditation from the Higher Learning Commission of the North Central Association of Colleges and Schools.
- Undertook a comprehensive strategic planning process for the University of Connecticut, including its main teaching campus at Storrs, the University of Connecticut Health Center in Farmington (UCHC), its regional campuses and its geographically dispersed professional schools across the state, in order to create "One University".
- Provided strategic planning and enrollment management assistance to the 64-campus system of the State University of New York. Facilitated a number of strategic planning sessions at the request of the Chancellor and developed various drafts of the strategic plan for review and signoff by the Committee.
- Generated a strategic plan for the multi-billion dollar Research Foundation that was approved by the RF's Board of Trustees. The plan was generated after a 24-month assessment of each functional area of the Research Foundation. The role and relationship of the RF to SUNY's 64 campuses was explored.
- Worked with the University of Houston System to undertake a series of strategic assessments to: address system organizational structure; Board Governance; strategic enrollment management planning; and campus mission differentiation and funding.
- Facilitated a series of University of Houston System Board of Regents Retreats with the goal of: (1) providing national best practices for the highest performing boards; and (2) reaching consensus on the strategic directions for the UH System and its member institutions.
- Worked with the University of Houston Action Steps Steering Committee to enable the University of Houston to realize Tier One Status.
- Facilitated Savannah College of Art and Design's first-ever formal strategic planning process in order to be optimally prepared for its SACS accreditation site visit. As an outgrowth of the SCAD Strategic Plan, the College embarked upon a significant Administrative Redesign (ARD) initiative. Provided project management, design, and implementation assistance to SCAD's ARD project teams in the areas of Enrollment Management, Academic Support Services, Information Technology and Budget

Development. As a result, SunGard Higher Education announced SCAD as the 2010 winner of the SunGard Higher Education Award for Institutional Performance for outstanding results from its academic process redesign initiative.

- Facilitated a strategic planning process for the Lebanese American University (with campuses in Byblos and Beirut) and crafted a plan for implementation. Subsequently, worked with the University's Self-Study Leadership Team to obtain accreditation from the New England Association of Schools and Colleges (NEASC). During the NEASC Visiting Team's exit interview, the strategic plan was cited as one of the "best" by the Visiting Team's Chair
- Determined how to best "grow" Nova Southeastern University's undergraduate student body in order to position itself more aggressively in the Florida, regional and national marketplace.
- Undertook strategic planning and marketing engagements for Barnard College, Iona College, Elizabeth Seton College, Seton Hall College, Long Island University, the Commission on Independent Colleges and Universities, Yeshiva University, General Theological Seminary, Union Theological Seminary (NY) and Union Theological Seminary (Richmond).

#### **ADMINISTRATIVE PROCESS REDESIGN, ORGANIZATIONAL REDESIGN AND CHANGE MANAGEMENT**

- Currently conducting an organizational and administrative process review of the University of Massachusetts Boston within the context of the University's goals to: grow its enrollment by the year 2025 to 25,000 and transform from a RU/H to a RU/VH institution.
- Created a functionally aligned organizational structure for the Office of the Senior Vice Chancellor for Academic Affairs/Senior Vice President for Academic Affairs and Provost with the objective of being able to support optimally the University of Houston's Tier One classification and to ensure Student Success at both the undergraduate and graduate level.
- Led organizational and administrative redesign efforts in partnership with the President of Wichita State University in Admissions, Financial Aid, Registrar, Student Success and Information Technology. Facilitated numerous retreats with Deans, faculty and staff.
- Developed a five-year financial plan for Suffolk University Law School.
- Undertook an organizational study of every functional area of Suffolk University including: Information Technology Services; University Communications; Human Resources; General Counsel; Student Affairs; Advancement; Finance & Treasury; Accounting and Finance; Budget & Risk Management; Procurement; Business Services; Bursar's Office; Research and Sponsored Programs; External Affairs; Facilities Planning and

Management; Enrollment Management and International Programs; and the Police. Proposed administrative process redesign throughout the University.

- Worked with University leaders to implement a Division for Student Success for undergraduate and graduate students at Suffolk University.
- Conducted a comprehensive review and prioritization of all programs, academic and non-academic at Canisius College to identify areas with high potential for cost savings and estimate their dollar value.
- Conducted a review of University of North Carolina Pembroke's Transfer Student recruiting and processing environment to increase significantly the enrollment of well-qualified transfer students in Fall 2013 and beyond.
- Conducted an organizational review of the operations associated with the University of Mississippi School of Pharmacy including Academic and Student Affairs; Academic Departments; Administration; Clinical Affairs; and Research Institute of Pharmaceutical Sciences.
- Conducted a study for the Chancellor of the City University of New York to: transfer increased authority to the twenty campus Presidents; provide a more accountable and supportive administrative Chancellor's office to the campuses; and work with the campuses to effect efficiencies and ensure the development and measurement of best practices.
- Undertook a three-year, multi-phased study on behalf of the Board of Trustees and the President of the University of Massachusetts to improve business and student services, reduce administrative costs, and improve the working environment of the five campuses and the President's office. Recommendations concerning systems and information technology were made to support the redesigned processes.
- At the behest of the Board of Trustees of the University of Massachusetts, developed a set of benchmarks and an outcome measurement process to gauge the effectiveness of the business and student process redesign initiatives being implemented in the President's office and the campuses.
- Performed a business process redesign study for the Oregon State System of Higher Education and its five campuses. Responsible to a Board Advisory Review Committee comprised of Board members and citizens to both improve the service levels of the campuses and the Chancellor's office while developing 10, 20, and 30% cost reduction scenarios for the campuses and a 50% cost reduction scenario in the Chancellor's (system) office. Systems and information technology recommendations led the state to float a bond initiative for new hardware and software for the entire system.
- Engaged by the Iowa State Board of Regents to undertake a comprehensive organizational and operational audit of the Board Office, the University of Iowa, Iowa State University, the University of Northern Iowa, the Iowa School for the Deaf, and the Iowa Braille for Sight Saving School. Ten years later, performed an assessment of

the progress made by the individual institutions and the Board Office in implementing the hundreds of recommendations made in the original study. The original audit encompassed academic and research programs and administration, planning, student services and enrollment management, advancement, finance, human resources, systems and technology, and physical plant.

- Directed a study for the University of North Carolina System General Administration (The Chancellor's Office) to assist three system institutions to meet new enrollment growth targets over the next eight years. The University of North Carolina System projects state growth in the traditional college-age population of over fifty percent within the next eight years.
- Improved the organizational effectiveness of the University of Kentucky-Gatton College of Business & Economics by designing a more responsive and nimble organization structure with clearly defined roles and responsibilities, accompanying performance metrics, and the management of consequences.
- Conducted an organizational assessment of the administrative operation of the central office and the 14 universities of the Pennsylvania State System of Higher Education (PASSHE) reflecting the Chancellor's goal to have the administrative operation of the System, for each campus and the central office as well as their interrelationships, examined for ways to enhance services and reduce costs.
- Conducted a review of the University of Chicago's financial, human resource, purchasing/accounts payable, enrollment, academic support, auxiliary, and development (fundraising) policies, processes, structures in the College, the divisions, and the President's Office. Over eight million dollars in the annual operating budget were realized through the reduction or elimination of detailed processing in the central comptroller's office and the establishment of Local Transaction Centers at the College and in the divisions.
- Served as the project director for a review of the main campus of the University of South Florida as well as its four regional campuses to streamline the organizational structure and redesign a dozen major administrative and academic processes. In addition, we worked with the Chancellor of the State University System of Florida to determine the ways in which USF and its sister institutions could be provided with state regulatory relief.
- At the direction of the College Council, the President, and the Chancellor of the State University of New York, undertook a multi-phase study for SUNY-Maritime. We identified eight potential sources of increased state funding, directed a strategic planning effort to make the campus more international in its focus, and increased the freshman yield rate by 10%, the retention rate by 15%, and the six year graduation rate by 25%.
- Directed a series of operations reviews of the central office and the six campuses of Miami-Dade College. The objective of the study was to improve services, reduce administrative costs and resign the processes and workflow between the central office and the campuses.

- Performed an administrative structure and process redesign study for all aspects of the academic support and administrative units of Virginia Commonwealth University. The University Committee on Administrative Review, with which we worked, set a goal to achieve a 15% reduction in administrative costs. As the result of our work, the University was able to achieve a twenty percent reduction.
- Directed enrollment management and “one-stop” enrollment services studies for Mills College, the University of Northern Michigan, Sonoma State University, the University of Western Carolina, Fayetteville State University, Winston Salem State University, the University of Massachusetts, Dartmouth, Portland State University, the Fielding Institute, and the University of Houston.
- Reviewed the organization structure of the University of Maryland, Teachers College, Columbia University, St. Olaf College, Emory University, the University of Akron, Adelphi University, Bryn Mawr College, Fairleigh Dickinson University, Manhattanville College, Howard University, and Seabury Western Theological Seminary.
- Directed organization and operations reviews for the University of Minnesota System, the University of Iowa, Iowa State University, the University of Texas System, Morgan State University, Tufts University, the Commissioner of Higher Education of the Commonwealth of Rhode Island, the New School for Social Research, Old Dominion University, Albert Einstein College of Medicine, the University of Washington, Virginia State University, and Virginia Union to determine productivity and the appropriateness of staffing levels within certain key administrative units as well as the quality and timeliness of the output of those offices.
- Undertook feasibility studies which encompassed the determination of space requirements, a market study of enrollment prospects for residential and nonresidential students, and models of projected activities over the course of a target planning period for Johns Hopkins University, General Theological Seminary, The College of Insurance, the University of Washington, Rockefeller University, Niagara University, and City University of New York.
- Directed merger studies for the University of Maryland, Iona College, Gannon University, Hartford College for Women, and Mt. Vernon College.
- Completed governance studies for Adelphi University, Manhattanville College, the American Health Foundation, the American Craft Council and the Catholic Near East Welfare Association, Alzheimer’s Association, The Crohns and Colitis Foundation of America.
- Developed a recall policy for retrenched faculty and librarians of the State University of New York.
- Assessed whether The New York Historical Society could remain as a stand-alone educational and cultural entity or if it needed to merge/consolidate with another not-for-profit entity or institution of higher learning. In addition to the development of such long-term strategies, restructured the organization and developed a short-term budget and business plan.



- Undertook a study of taxpayer costs of independent and public sector institutions of higher learning in the State of Florida. Helped to design the Florida Resident Access Grant (FRAG) to provide tuition assistance to Florida undergraduate students wishing to attend an independent sector institution in the state,
- Directed a multi-phased three-year study of the redesign of the central office, national/international governance structure and key administrative processes, programs, and operations of Hadassah, The Women's Zionist Organization of America, Inc. The resulting deliverables were: a strategic marketing/communications plan; a new membership processing system; a technology plan; an integrated budgeting and planning process; a detailed human resources action plan to implement appropriate roles and authorities, policies, compensation and classification, performance management, training, union relations, and records maintenance; job descriptions for top volunteer and staff positions; and specific/state-of-the-art standards and methods to deliver travel and speakers bureau services.
- Undertook Project Redesign for the National Office of the YWCA of the USA in order to develop and implement a comprehensive review and overhaul of the structure, governance and workflows of the YWCA central office. We focused on the redesign of cumbersome administrative processes that negatively affected the delivery of key services to its 146 member associations.
- Conducted a comprehensive operations and structure review of the United States Committee for UNICEF. The purpose of the study was to redesign the mission, vision, management organization, governance and fundraising efforts. Our work resulted in the transformation of the organization's field structure.
- Assessed the resources of Boscobel Restoration and determined the ways in which to build on these resources for the future. The team established an estimate of the funds necessary to complete the strategic goals.
- Conducted an organization review and the development of a salary and wage administration program for the Ford Foundation, Christian Children's Fund, Inc., Union Theological Seminary (Richmond) and the American Craft Council.
- Reviewed and evaluated the national office and regional organization structure of Hadassah, the Women's Zionist Organization of America, Inc., the Philoptochos, the women's service organization of the Greek Orthodox Church, the Metropolitan Opera, the New York Philharmonic Society, the American Health Foundation, the Religion Index, and the Community Family Planning Council.
- Developed the requirements definition and conceptual design of an integrated management information system for the national board of the Young Women's Christian Association.
- Conducted a study of the fiscal resources, planning and management of 70 Catholic Schools of Theology and Houses of Formation as well as a study of the fiscal and educational resources of each of the ten accredited Episcopal seminaries.

## EMPLOYMENT HISTORY

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Dr. Pappas started her professional career at the University of California, Berkeley as the Director of Student and Young Alumni Affairs. She was next appointed Director of Housing and Child Care Services. During this time, she served as President of the California Association of College and University Housing Officers, and Program Chairperson of the Association of College and University Housing Officers International.

In 1979, she joined Peat Marwick Mitchell as a senior consultant with the charge to develop Firm-wide capability in the delivery of governance, strategic planning, organization, budgeting, human resources and feasibility consulting services to colleges, universities and non-profit organizations. She was admitted to the partnership in 1984 and was designated KPMG Peat Marwick's Partner-in-Charge of Consulting Services to Education and Non-Profit organizations in 1987. In 1992, she founded the Pappas Consulting Group Inc., a firm solely dedicated to the provision of consulting services to the education and the non-profit sectors.

## EDUCATION

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**Ph.D. in Financing of Higher Education**, University of California, Berkeley, CA

**Masters Degree in Counseling Psychology**, Harvard University, Cambridge, MA

**A.B. in History**, with honors, University of California, Berkeley, CA

## PUBLICATIONS

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Dr. Pappas is a prolific author. In 1996, John Wiley and Sons published her book, ***Reengineering Your Nonprofit Organization: A Guide to Strategic Transformation***. The objective of the book was to address the myriad of transformational issues facing educational and nonprofit organizations.

She has published numerous articles in ***Management Focus***, KPMG's monthly newsletter to college, university and non-profit clients on such subject areas as strategic planning and positioning, marketing, resource allocation, governance, and business process redesign.

Articles in similar subject areas have appeared in the NACUBO Business Officer, The Journal of the National Association of Student Personnel Administrators and the Journal of College and University Student Housing International.

## AFFILIATIONS AND MEMBERSHIPS

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Over her professional career, Dr. Pappas has served on the following Boards:

Advisory Board of the College of Letters and Science of the University of California, Berkeley  
Board of Directors of the Prytanean Alumnae Board  
Board of Directors of the University of California Alumni Council  
Board of Directors of the Women's Faculty Club at the University of California, Berkeley  
Board of Overseers of Regents College  
Board of St. Basil Academy

Board of Catalyst  
Board of the Committee on Economic Development  
Board of the Middle States Association of Schools and Colleges  
Board of the YWCA of the City of New York  
Board of Trustees of Clark University  
Board of Trustees of Hellenic College and Holy Cross Seminary  
Board of Trustees of the New York Chiropractic College (by order of the New York Board of Regents)  
Board of Trustees of Seabury Western Theological Seminary  
Member of Mortar Board  
Member of Phi Kappa Phi  
Member of the Archdiocese Council of the Greek Orthodox Church of North and South America  
Member of The Order of the Golden Bear  
Merola Opera Board  
University of California, Berkeley Capital Campaign in New York  
University of California, Berkeley Foundation Board

### **SEMINAR PRESENTATIONS**

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Dr. Pappas has conducted numerous seminars and has been a long-time faculty member at the College Business Management Institutes sponsored by the Western, Central, and Southern regions of the National Association of College and University Business Officers. She has also conducted seminars for CASE, the Bryn Mawr Summer Institute for Women, the University of Central Florida's Financial Management Program for Women, The American Council for the Arts, and the National Association of Independent Schools.

### **AWARDS AND HONORS**

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Received the 1996 Terry McAdam Book Award for the book, ***Reengineering Your Nonprofit Organization: A Guide to Strategic Transformation.***

Inducted into the Academy of Women Achievers of the YWCA of the City of New York in 1984.

Awarded the Matilda Morrison Miller Prize in History from the University of California, Berkeley.

Listed in the 2013 Editions of *Who's Who in the World* and *Who's Who in America*

**James McCarthy, Ph.D.**

**Senior Consulting Associate, Pappas Consulting Group Inc.**

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**PROFESSIONAL PROFILE**

An accomplished scholar and academic leader with more than 35 years experience in a wide variety of universities. For 24 years, McCarthy focused his work on research and graduate education at three research-intensive universities: Princeton, Johns Hopkins and Columbia. At Hopkins, he also served as Director of the Hopkins Population Center, and at Columbia (where he was the Heilbrunn Professor of Public Health), Columbia was the Director of the Center for Population and Family Health. He also has held senior leadership positions at the University of New Hampshire (Dean of the School of Health and Human Services); at Baruch College at the City University of New York (Provost and Senior Vice President for Academic Affairs); and Suffolk University (President).

Since 2005, when he designed and taught a hybrid course in the graduate program in public health at New Hampshire, McCarthy has become heavily involved in promoting the more intensive use of technology to enhance university teaching and learning. At Baruch College, he led the College's participation in a partnership with Ithaca S-R and Carnegie Mellon University that implemented a hybrid "Introduction to Statistics" course. Assessment of the outcomes of this approach showed, conclusively, that a well-designed, well-executed hybrid format produced student learning comparable to learning in courses taught face-to-face, and had the potential to do so at significantly reduced costs.<sup>i</sup> McCarthy also served as a member of Ithaca's Advisory Committee that contributed to a review of key opportunities for and barriers to the more widespread adoption of enhanced online learning.<sup>ii</sup>

At Suffolk University, McCarthy, with assistance provided by the Pappas Consulting Group, launched a Strategic Plan that set a goal of having 20% of instruction provided either online or in hybrid format.<sup>iii</sup> To accomplish this, the University has developed a series of fully online courses, designed initially in MOOC format but with the ultimate goal of transforming the MOOCs into credit-bearing courses. In an op-ed piece in the Boston Globe, McCarthy made the case for all colleges and universities becoming producers as well as consumers of MOOCs and other intensively developed and produced online material.<sup>iv</sup> Suffolk's first MOOC, on the History of Boston, is set to launch in October, 2014.<sup>v</sup>

Throughout his career, McCarthy has also been deeply involved in both specialized and regional accreditation. At the University of New Hampshire, while he served as Dean, all seven accredited programs he led received the maximum period of re-accreditation possible. At Baruch College, he led a two-year effort that culminated in the successful reaccreditation of the College by the Middle States Commission on Higher Education, which commended the College on the quality of the self-study process and the self-study

**James McCarthy, Ph.D.**

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report. Following this effort, he was invited to present a keynote address on accreditation to the annual Middle States meeting. He repeated this success at Suffolk, when its application for a 10-year accreditation renewal was approved unconditionally by the New England Association of Colleges and Universities. Recently, NEASC invited him to present on successful accreditation at its annual meeting of new college and University presidents. He has consulted with the American University of Beirut on its efforts to accredit programs in public health and with the Hult Business School on its efforts to establish programs in New York State; has served as a member of the accreditation team for the Harvard School of Public Health; and chaired the team conducting a NEASC accreditation review of the American International College in Springfield. He has also been invited to serve on a panel, convened by the Association of College Trustees and Alumni, to review a proposal that calls for a substantial overhaul of all regional accreditation efforts, with the goal of greatly streamlining routine reaccreditations.

## **PROFESSIONAL EXPERIENCE AND EMPLOYMENT HISTORY**

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### **Pappas Consulting Group,** (2014 – present)

Consulting Associate, providing consulting services on a range of issues in higher education.

### **Suffolk University,** (2012 – 2014)

President

- Served as Chief Executive Officer of a regional private university that enrolls 8,000 students in three schools and colleges (Suffolk Law School, the Sawyer Business School, and the College of Arts and Sciences); employs more 1,100 full-time faculty and staff; has an annual budget of \$300 million and an endowment of \$190 million.
- Within the first six months, led the launch of a comprehensive strategic plan that focuses University resources on students, and on specific areas of traditional strength and emerging opportunities, including enhanced online offerings.
- Within the first eight months, launched construction on a major academic building to house classrooms for the University's Sawyer Business School and College of Arts and Sciences, including state-of-the-art teaching facilities for the College's science programs; developed a comprehensive facilities master plan that will provide important new facilities, while reducing the footprint of the campus and reduce deferred maintenance substantially.
- Led the development of first University-wide Faculty Handbook.

**James McCarthy, Ph.D.**

**Page 3**

- Led the effort that culminated in Suffolk's receiving full, ten-year reaccreditation from the Commission on Higher Education of the New England Association of Schools and Colleges, with no conditions or interim progress reports required.
- Achieved consistently strong financial performances, with annual positive operating margins of greater than 3% of total operating revenues for FY13 and FY14; projecting a 3% positive margin for FY15, even with a substantial fall off in Law School enrollment.
- Secured strong, positive press coverage on University's Strategic Plan, online and hybrid initiatives, building plans, and faculty handbook (two editorials; two op-ed pieces; and three lead articles in the Boston Globe between December 2012 and the present).
- Restructured and re-staffed the University's Office of Institutional Advancement, and secured substantial increase in cash donations (dollars increased by 20%; donors increased by 46%) and new commitments (dollars committed up by 76%; donors up by 24%).

**Baruch College, The City University of New York, (2007 – 2012)**

Provost and Senior Vice President for Academic Affairs; Professor of Public Affairs

- Served as chief academic officer of a large, diverse, urban college that is part of one of the largest public university systems in the country, a College that enrolls 17,000 undergraduate and graduate students, more than 60 percent of whom are African-American, Latino or Asian-American.
- Managed an all-funds academic budget of more than \$100 million, at a time of substantial financial challenges.
- Led a two-year effort that culminated in the successful reaccreditation of the College by the Middle States Commission on Higher Education, which commended the College on the quality of the self-study process and the self-study report.
- Led Baruch's participation in a rigorous experimental study of the effectiveness of hybrid teaching and learning.
- With the President and the College's senior leadership, worked closely with the Directors of the Baruch College Fund on the College's capital campaign and on overall efforts to increase private support for the College.

**The University of New Hampshire, (2001 – 2007)**

Dean, School of Health and Human Services; Professor of Health Management and Policy

- Served as chief academic and chief administrative officer of a School with 2,100 undergraduate and graduate students and 150 full-time faculty members who taught in eight departments (Health Management and Policy, Nursing, Occupational Therapy, Communication Sciences and Disorders, Recreation Management and Policy, Family Studies, Social Work and Kinesiology), and conducted research and provided direct services through six centers and institutes.

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- Increased undergraduate enrollment by more than 30 percent and graduate enrollments by more than 50 percent and more than doubled support from grants and contracts.
- Led seven successful accreditation reviews for specific academic programs, receiving the maximum period of re-accreditation possible in all seven cases.
- Taught graduate public health courses.

**Columbia University**, (1988 – 2001)

Director, Heilbrunn Center for Population and Family Health

Associate to Full Professor, and Heilbrunn Professor of Public Health

- Directed a multidisciplinary Center that offered graduate degrees in public health; supported global research on child, adolescent and reproductive health and on forced migration and health; and ran an extensive network of community-based and school-based teaching clinics that served Latino and African-American communities in Upper Manhattan.
- Launched new teaching, research and outreach programs including a Practice-Based Master of Public Health Program, a Master of Public Health Program on Forced Migration and Health, and International Student Internship Program, a Latino Fellows Program, and the first Head Start program located in a university health sciences center.
- Led the Center through a period of considerable growth that saw its annual grant and contract supported budget increase from \$8 million to \$30 million, its clinical sites expand to provide 75,000 client visits per year, and its faculty and staff grow to more than 200.
- Secured substantial grant funding from major foundations (Mellon, Hewlett, Packard, Rockefeller, Gates, Ford), U.S. national agencies (National Institutes of Health, Department of Health and Human Services, Agency for International Development), New York State agencies (Departments of Health and Education), and from several local foundations.
- In collaboration with School leadership, secured multiple seven-figure gifts to support two endowed professorships, a naming gift for the Center, the construction of Center-run clinics, and numerous program initiatives.
- Taught graduate and undergraduate courses in social demography, and graduate courses in program management.

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**Trinity College Dublin, Ireland,** (1994 – 1995, 1996).

Visiting Academic, Department of Community Health and General Practice  
(On leave from Columbia University)

**The Johns Hopkins University,** (1979 – 1988)

Assistant to Associate Professor of Population Dynamics and Sociology  
Director, Hopkins Population Center (1985 – 1988)

- Directed an interdisciplinary population research center that included faculty and research facilities in the Schools of Public Health, Medicine and Arts and Sciences.
- Taught graduate and undergraduates courses in sociology, demography and health information systems.
- Served as Principle Investigator on research and policy grants from the National Institutes of Health, the U.S. Agency for International Development, and the William and Flora Hewlett Foundation.

**International Statistical Institute, London, UK,** (1980 – 1981)

Consultant Researcher, World Fertility Survey  
(On leave from The Johns Hopkins University)

**Princeton University,** (1977 – 1979)

Research Associate, Office of Population Research

## **EDUCATION**

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Ph.D. Sociology, Princeton University, 1977

M.A. Sociology, Indiana University, 1972

A.B. Sociology, College of the Holy Cross, 1971

## **PUBLICATIONS AND RECENT PRESENTATIONS**

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James McCarthy, “All MOOCs are not the same”, The Boston Globe, Opinion Pages, July 27, 2013.

James McCarthy, “One Provost’s Perspective on A Successful Reaccreditation Effort”, First Plenary Session, Middle States Commission on Higher Education Self-Study Institute, Philadelphia, November 9-10, 2010.



**James McCarthy, Ph.D.**

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James McCarthy, “Health Behaviors and Disparities”, Presented at Inaugural Seminar, Cornell University Population Program, Ithaca, New York: September 6, 2008.

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Nancy Riley and James McCarthy, Demography in the Age of the Postmodern. Cambridge University Press, 2003.

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Bruce Armstrong, Alwyn T. Cohall, Roger Vaughan, McColvin Scott, Lorraine Tiezzi and James McCarthy, “Involving Men in Reproductive Health: The Young Men’s Clinic,” American Journal of Public Health, Vol. 89 (June), 1999.

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Louis Pizzarello, Meredith Tilp, Lorraine Tiezzi, Roger Vaughan and James McCarthy, “A New School-Based Program to Provide Eyeglasses: Childsight,” Journal of Pediatric Ophthalmology, Vol. 2 (December), 1998.

Brid Hollywood, Alan Kelly, John Kevany, James McCarthy, Mary McSweeney and Tom O’Dowd, “Getting Control of the Planning Process: A Community Initiative in Health Care Planning,” Administration, Vol. 46 (Summer), 1998.

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Deborah Maine, Tessa M. Wardlaw, Victoria M. Ward, James McCarthy, Amanda Birnbaum, Murat Z. Akalin and Jennifer E. Brown, Guidelines for Monitoring the Availability and Use of Obstetric Services. United Nations Children's Fund, World Health Organization and United Nations Population Fund, New York, October, 1997.

James McCarthy, "The Conceptual Framework of the Prevention of Maternal Mortality Network," International Journal of Gynecology and Obstetrics, Vol. 59 (Supplement No. 2), November, 1997.

Lorraine Tiezzi, Judy Lipshutz, Neysa Wroblewski, Roger D. Vaughan and James McCarthy, "Pregnancy Prevention Among Young, Minority Urban Adolescents: Results of the *In Your Face* Pregnancy Prevention Program," Family Planning Perspectives, Vol. 29, No. 6, July/August, 1997.

James McCarthy, "Fertility Transitions and Demographic Politics" (in Portuguese), Bioetica, Vol. 4, 1996.

Roger Vaughan, James McCarthy, Heather Walter, Ken Resnicow, Pamela Waterman, Bruce Armstrong and Lorraine Tiezzi, "The Development, Reliability and Validity of a Risk Factor Screening Survey for Urban Minority Junior High School Students," Journal of Adolescent Health, 19, September, 1996.

Therese McGinn, Deborah Maine, James McCarthy, Allan Rosenfield, "Setting Priorities in International Reproductive Health Programs: A Practical Framework," Center for Population and Family Health Columbia School of Public Health, (July) 1996

Heather J. Walter, Roger D. Vaughan, Bruce Armstrong, Roberta Y. Krakoff, Lorraine Tiezzi and James McCarthy, "Characteristics of Users and Nonusers of Health Clinics in Inner-City Junior High Schools," Journal of Adolescent Health, Vol. 18, May, 1996.

Roger D. Vaughan, Heather J. Walter, Bruce Armstrong, Lorraine Tiezzi, Pamela D. Waterman and James McCarthy, "Carrying and Using Weapons: A Survey of Minority Junior High School Students," American Journal of Public Health, Vol. 86, April, 1996.

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Howard Wineberg and James McCarthy, "Separation and Reconciliation in American Marriages," Journal of Divorce and Remarriage, Vol. 20, No. 1-2, 1993.

James McCarthy and Janet Hardy, "Age at First Birth and Birth Outcomes," Journal of Research on Adolescence, Vol. 3, No. 4, 1993.

Dawn Upchurch, James McCarthy and Linda R. Ferguson, "Childbearing and Schooling: Disentangling Temporal and Causal Mechanisms," American Sociological Review, Vol. 58, No. 5 (October), 1993.

Haroutune K. Armenian, James McCarthy and Sevan G.O. Balbanian, "Patterns of Infant Mortality From Armenian Parish Records," International Journal of Epidemiology, Vol. 22, No.3, (June), 1993.

Deborah Maine, James McCarthy and Victoria Ward, Guidelines for Monitoring Progress In the Reduction of Maternal Mortality. Statistics and Monitoring Section, UNICEF, October, 1992.

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Gbolahan A. Oni and James McCarthy, "Family Planning Knowledge, Attitudes and Practices of Males in Ilorin, Nigeria," International Family Planning Perspectives, Vol. 17, No. 2 (June), 1991.

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James McCarthy and Andrew Cherlin, "Demographic Characteristics of Single-Parent and Reconstituted Families in Developed Countries," (in French). In France Prioux (ed.), La Famille Dan Los Pay Developpes: Permanences et Changements. Paris: Institute National d'Etudes Demographiques, 1990.

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James McCarthy, "Changes in Reproductive Patterns." Contraception and Reproduction: Health Consequences for Women and Children in the Developing World. National Academy Press, 1989

Haroutune K. Armenian, James McCarthy and Sevan G. O. Balabanian, "Patterns of Mortality in Armenian Parish Records from Eleven Countries." American Journal of Epidemiology, Vol. 130, No. 6 (December), 1989.

James McCarthy, Audrey Pendleton, Andrew Cherlin, "The Quality of Marriage and Divorce Data from Surveys" In, National Center for Health Statistics, Challenges for Public Health Statistics in the 1990s. U.S. Department of Health and Human Services, (PHS) 90-124, November, 1989.

Dawn M. Upchurch and James McCarthy, "Adolescent Childbearing and High School Completion in the 1980's: Have Things Changed?" Family Planning Perspectives, 1989, Vol. 21, No. 5 (September/October), 1989.

Howard Wineberg and James McCarthy, "Childspacing in the United States: Recent Trends and Differentials," Journal of Marriage and the Family, Vol. 51, No. 1 (February), 1989.

M. Samir Boraie, James McCarthy, and Morna R. Oruch, "Achieved Fertility, Family Size Desires and Contraceptive Use in Egypt," (June) 1984. In Egypt: Demographic Responses to Modernization. Cairo: Central Agency for Public Mobilisation and Statistics, 1988 James McCarthy and Gbolahan A. Oni, "Desired Family Size and Its Determinants Among Urban Nigerian Women: A Two-Stage Analysis," Demography, Vol. 24, No. 2 (May), 1987.

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Ruhul Amin, Shafiqur R. Choudhuri, Alemayehu G. Marian and James McCarthy, "Family Planning in Bangladesh, 1969-1983," International Family Planning Perspectives, Vol. 13, No. 1 (March), 1987.

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Nazek K. Nosseir, James McCarthy, Duff G. Gillespie and Farida Shah, "The Use of Mini-Surveys for Evaluating Community-Based Health Interventions," Health Policy and Planning, Vol. 1, No. 1 (March), 1986.

Saad Gadalla, James McCarthy and Oona Campbell, "How the Number of Living Sons Influences Contraceptive Use in Menoufia Governorate, Egypt," Studies in Family Planning, Vol. 16, No. 3 (May/June), 1985.

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Miguel Gomez B., James McCarthy and Nancy Yinger, "Public Policy and Female Sterilization in Costa Rica," Studies in Family Planning, Vol. 14, No. 10 (October), 1983.

James McCarthy, "The Educational and Vocational Futures of Adolescent Mothers," The Adolescent Family, Report of the Fifteenth Ross Roundtable on Critical Approaches to Common Pediatric Problems in Collaboration with the Ambulatory Pediatric Association, September 12, 1983

Andrew Cherlin, Jeanne Griffith and James McCarthy, "A Note on Maritally-Disrupted Men's Reports of Child Support in the June 1980 Current Population Survey," Demography, Vol. 20, No. 3 (August), 1983.

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Alex A. Alens Z., German Correa, James McCarthy, "Social Science Research for Population Policy Design: Case Study of El Salvador," International Union for the Scientific Study of Population, Papers, Number 23, 1982

Carmen A. Miro, Gerardo Gonzales and James McCarthy, "Social Science Research for Population Policy Design," International Union for the Scientific Study of Population, Papers, Number 21, 1982.

James McCarthy, "Differentials in Age at First Marriage." World Fertility Survey, Comparative Studies: Cross National Summaries, Number 19, (June) 1982

James McCarthy and Ellen Radish, "Research Note: Education and Childbearing among Teenagers." Family Planning Perspectives, Vol. 14, No. 3 (May-June), 1982.

James McCarthy, "Contraceptive Sterilization in Four Latin American countries." Journal of Biosocial Science, Vol. 14, No. 2 (April), 1982.

Miguel Gomez B. and James McCarthy, "Female Sterilization in Costa Rica." Studies in Family Planning, Vol. 13, No. 1 (January), 1982.

James McCarthy, "Social Consequences of Childbearing During Adolescence." Birth Defects: Original Article Series, Vol. XVII, No. 3, pages 107-122. March of Dimes Birth Defects Foundation, 1981

Susan Watkins and James McCarthy, "The Female Life Cycle in a Belgian Commune: La Hulpe, 1847-1866." Journal of Family History, Vol. 5, No. 2 (Summer), 1980.

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Charles Westoff, James McCarthy, Noreen Goldman, and Felix Mascarin, "Illustrative Analysis Contraceptive Sterilization and Births Averted in Panama." World Fertility Survey, Scientific Reports, No. 4, (August) 1979

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Charles Westoff and James McCarthy, "Population Attitudes and Fertility." Family Planning Perspectives, Vol 11, No. 2 (March-April), 1979.

James McCarthy and Jane Menken, "Marriage, Remarriage, Marital Disruption and Age at First Birth." Family Planning Perspectives, Vol. 11, No. 1 (January-February), 1979.

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James McCarthy, "A Comparison of the Probability of Dissolution of First and Second Marriages." Demography, Vol. 15, No. 3 (August), 1978.

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## **AFFILIATIONS AND MEMBERSHIPS**

Bottom Line Massachusetts (education-focused not-for-profit):  
Board of Directors (2014)

Association of Independent Colleges and Universities in Massachusetts  
Vice Chair / Chair Elect (2014)

The Alan Guttmacher Institute:  
Board Member (1999-2008; 2011-2014); Chair of the Board of Directors (2003-2005)

Planned Parenthood Federation of America:  
National Board of Directors; CEO Search Committee (2003-2005)

Manchester (New Hampshire) Community Health Center:  
Board of Directors (2001-2007)

Foundation for Healthy Communities (New Hampshire):  
Board of Directors (2005-2007)

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New Hampshire Area Health Education Council:  
Advisory Board (2001-2007)

New Hampshire Citizens' Health Initiative:  
Chair of the Health Promotion and Disease Prevention Team (2006-2007),  
appointed by Governor John Lynch

Commission to Develop a Comprehensive State Mental Health Plan: Member (2006-2007), appointed by the New Hampshire State Legislature

New Hampshire Public Health Association:  
Friend of Public Health Award (2007)

Governor and Executive Council of the State of New Hampshire:  
Proclamation in recognition of service to the State of New Hampshire (2007)

The Irish Voice:  
Named to "Irish Education 100", as one of the 100 top Irish-Americans in higher education in the United States (2009 - 2014)

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<sup>i</sup> <http://www.sr.ithaka.org/research-publications/interactive-learning-online-public-universities-evidence-randomized-trials>

<sup>ii</sup> <http://www.sr.ithaka.org/sites/default/files/reports/barriers-to-adoption-of-online-learning-systems-in-us-higher-education.pdf>

<sup>iii</sup> [http://www2.suffolk.edu/strategicplan/SU\\_StrategicPlan.pdf](http://www2.suffolk.edu/strategicplan/SU_StrategicPlan.pdf)

<sup>iv</sup> <http://www.bostonglobe.com/opinion/2013/07/26/the-online-college-revolution-needs-many-voices/bjnie2pADJJs4kSuIzfhHM/story.html>

<sup>v</sup> <http://historyofboston.org/free-boston-mooc/>



**K. SCOTT HUGHES**  
**Senior Consulting Associate, Pappas Consulting Group Inc.**

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**PROFESSIONAL PROFILE**

Mr. Hughes is one of this country's leading authorities on the financial management of colleges and universities. His 40 years of experience as a university administrator, national higher education association researcher, and public accounting firm partner, gives Mr. Hughes the knowledge and experience to assist colleges and university leadership as they address the critical financial and organizational issues facing their institutions.

Mr. Hughes works in close partnership with the Pappas Consulting Group Inc. to offer a wide range of client services that are unparalleled throughout higher education.

**AREAS OF EXPERTISE**

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- Financial Management
- Strategic and Business Planning and Positioning
- Governance Studies and Board Retreats
- Debt Capacity Analyses
- Financial Condition and Ratio Analyses
- Benchmarking Analyses
- Cost Behavior Analyses
- Policy and Procedure Analyses
- Performance and Quality Service Improvements
- Organizational Redesign Analyses (individual institution, postsecondary systems of education)
- Change Management and Continuous Quality Improvement
- Revenue Enhancement, Fundraising and Development
- Management of Intellectual Property
- Technology Transfer

**PROFESSIONAL CONSULTING EXPERIENCE**

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Mr. Hughes has provided the leadership and assisted clients on projects in the fields of: financial and analytic studies; strategic and business planning; governance; organizational redesign and change management; performance measurement and benchmarking; and intellectual property and technology transfer. A representative sample of the engagements undertaken in each of these areas is described below:

**FINANCIAL AND ANALYTIC STUDIES**

- Undertook a confidential due diligence effort to document and assess the academic program and financial condition of a private higher education institution on the West coast. The review examined the condition of the real estate assets, balance sheet condition, revenue and expense ratios, admissions, retention, and other operating data.

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The information gathered in the due diligence effort was used to assist in determining the potential for the institution to become a financially viable, stand-alone institution for a state university system.

- Undertook an Accounting and Financial Reporting Improvement project for the California State University, Monterey Bay Foundation. The purpose of our assistance was to help address and resolve the Foundation's accounting and financial reporting issues.

A triage approach had been taken, dividing the work effort into three separate steps. The three steps were:

- *Step One. Stabilize the Situation.* Develop and put into place a 'work-out' plan and marshal the necessary resources to correct the current situation. Time to complete: 3 months.
- *Step Two. Correct Deficiencies.* Improve the operating environment by hiring and training appropriate staff, instituting required policies and procedures, and correcting any technology weaknesses. Time to complete: 15 months.
- *Step Three. Optimize Performance.* Establish organizational goals, strategies, performance benchmarks, and monitoring systems to optimize the use institutional resources. Time to complete: 24 months

The results of the project were intended to give the Foundation efficient and productive financial operations and management reporting.

- Conducted a review on behalf of the California State University Chancellor's Office of the FEMA projects at California State University, Northridge (CSUN) resulting from the 1994 earthquake. The purpose of the review was to assess the University's risk position and recommend appropriate actions to manage effectively the risks associated with the supported claims.

The results of the study led to a strengthening of the documentation and record keeping systems used as the basis for reimbursement claims filed with FEMA.

- Undertook a financial condition assessment for Mills College (CA). The purpose of the financial assessment was, through use of financial ratios, to demonstrate the financial strength of the College.

The results of the assessment were used for presentations to the Mills College community and its Board of Trustees.

- Undertook the conduct of a due diligence study for National Center for International Schools (NAIS) in San Francisco as part of its efforts to secure capital financing for relocating the Chinese American International School (CAIS) and the French American International School (FAIS). The scope of the due diligence study was to: (1) determine the mathematical accuracy of the materials developed for the Prospectus; (2) review and comment upon the fairness and completeness of the material presented in the Prospectus describing the nature and status of the two schools and NAIS; and (3) assess the reasonableness of the project risk associated with the debt-financed project.

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The performance of the due diligence study led to the successful issuance of the financial debt instrument which was used to bring together the CAIS and FAIS into one shared facility in San Francisco.

- Performed a confidential study for an East coast private university to estimate the historic and prospective economic damage caused by the physical presence of an adjacent power facility. The scope of work involved the measurement of lost enrollments and tuition pricing power over a fifty-year time line.
- In a joint effort with KPMG Peat Marwick, conducted an Economic Impact Analysis for the University of Washington. The purpose of the study was to conduct a systematic analysis of UW's impact on regional and State economies and identify ways in which the University significantly benefits the economy of Washington. This report documented the results of the study and has been prepared to: (1) broaden community understanding regarding the beneficial impact of services and spending on local businesses, citizens, and the overall economy; (2) document the benefits provided in return for state appropriations and the expenditure of citizens' tax dollars; and (3) illustrate the results achieved from basic research in the form of new companies that generate new jobs in the community.

The benefits of the Economic Impact Analysis assisted the University in explaining its economic force in the local community and to the state of Washington legislature.

- Conducted a financial review of the Housing and Dining System of Western Washington University. The purpose of the review was to evaluate the financial strength of the Housing and Dining System as it was preparing to issue debt for capital expansion. The financial review used benchmarks and financial ratios to demonstrate the financial viability of the Housing and Dining System.

The results of the financial review provided the University administration, Board of Trustees, rating agencies, and the potential investors with the confidence level needed to proceed with the capital expansion program.

**STRATEGIC AND BUSINESS PLANNING**

- Engaged by the California Maritime Academy (CMA), a campus of the California State University (CSU), to conduct a Financial and Organizational Design Study. The purpose of the study was intended to help campus leadership build its case for stable state funding from the Office of the Chancellor. The scope examined financial operations to better understand the cost structure of CMA. The project consisted of three separate studies: (1) an internal controls review; (2) an analysis of fixed costs; and (3) a benefits analysis of a shared administrative resources arrangement with Sonoma State University.

The benefits of the study led to strengthening of internal controls, a new method for determining state funding, and an increased understanding of the issues involved in a shared resources agreement.

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- Over a four-year period, facilitated, for a Fortune 500 company, its strategic planning efforts, involving their food service and facilities management operations for their college and university clients. The results of the company's strategic planning efforts led to the investment in new products, more focused delivery of client services, and streamlined logistical support systems for their college and university clients.
- Conducted a strategic planning project for the Chinese-American International School of San Francisco. Major tasks included: (1) identifying the current strategic objectives and their relation to the mission of CAIS; (2) assessing the strengths and areas of opportunity for current strategic objectives; (3) evaluating governance and Board of Directors structure; (4) developing and defining the role and professional development track for head of school; (5) facilitating Board, faculty and parent discussions of strategic objectives and related changes in the organizational structure and staffing of CAIS; (6) evaluating new strategic objectives and organizational design structures to meet the requirements of the next phase of growth for CAIS which maximize efficiency and effectiveness; (7) recommending a model that encompassed new strategic objectives and design of the organizational structure; (8) developing an implementation plan for putting in place the recommended strategic objectives and organizational redesign that will meet the needs of an expanding student base and the move to the new location; (9) identifying the timing and resources needed for the implementation plan; and (10) clarifying staff responsibilities in light of the recommended new strategic objectives and design.

The strategic plan was used as the basis for moving the School from the Presidio to the Civic Center area of San Francisco into a facility shared with the French-American International School.

- Performed an assessment for Dominican School (CA) to determine its capacity to undertake a major capital campaign. The focus concentrated on the financial management and operations of the school, examining: (1) policies and procedures; (2) workflow systems and processes; (3) use of technology; (4) short-term and long-term planning; (5) physical infrastructure; and (6) strengths of the board and staff.

The results of the assessment assisted the School in strengthening its administrative policies, financial reporting, and planning functions.

- Acting as Project Manager, performed a series of studies, for the leadership of Saint Mary-of-the-Woods (IN) funded by the Lilly Endowment, Inc. under its Strengthening Institutions Program. The purpose of the grant was to seek funding to underwrite management studies to improve the quality of information used for decision-making. The Lilly Endowment funded three specific studies. The studies subsequently undertaken were: (1) an Assessment of Information Technology at the College; (2) a Space Utilization Study; and (3) the Development of an Academic Cost Model.

The results of the studies led to improved use of information technology, greater understanding on the effective use of space, and improved quantitative information for academic program offerings.

- Over a five-year period, provided strategic and business services to the Housing and Food Service division of the University of California, Berkeley. The range of services provided included: (1) review and monitoring of 5-year long range development plans (LRPD); (2) review and monitoring of annual operating budgets; (3) review of annual operating report to the Board of Regents; (4) review of capital budgets for housing and food service capital projects submitted to the Board of Regents; and (5) development of strategic and operating plans for Child Care Services.

Benefits of the assistance provided the University included higher quality financial analyses on capital projects and improved budgeting and planning documents.

- Participated in a three-year, multi-phased study on behalf of the Board of Trustees and the President of the University of Massachusetts to improve business and student services, reduce administrative costs, and improve the working environment of the five campuses and the President's office. Recommendations concerning systems and information technology were made to support the redesigned processes.

#### **GOVERNANCE**

- Provided project management support and technical guidance to the California State University (CSU) Chief Administrative Business Officers (CABO) for developing guidelines that describe good business practices for the auxiliary organizations. The guidelines established policies, procedures, and best practices in the areas of: cash management; investments; donations, program service fees, and other revenues; receivables; procurement; payroll; property and equipment inventory; debt and other liabilities; and computer system controls.

The results of the project documented best business practices for the CSU auxiliary organizations and led to a more consistent approach to their financial management operations.

- Provided project management support and technical guidance to the California State University (CSU) Chancellor's Office for the development of investment policy templates to be used by the CSU foundations located on each of the twenty-three campuses. The investment policy guidelines were intended to strengthen the fiduciary responsibilities of the foundations, increase consistent treatment of the management of endowments, and improve the quality of reporting of investment results.

The project had been expanded to include a survey and assessment of campus endowment spending policies and the use of investment managers and consultants

- Conducted a financial management review as part of a broad management study under the purview of the state of Texas Legislative Budget Bureau (LBB) of the University of Texas at Austin. The scope of the financial management review included: (1) cash management, cash flow forecasting, including cash reserves and balances; (2) investment management; (3) debt management; (4) financial structure,

**K. Scott Hughes**  
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reporting relationships and staffing levels; and (5) administrative costs, including the proportion of administrative costs for salaries.

The results of the management review led to policy changes in the assessment of tuition and fees, modification of endowment management practices, and simplification of operating practices.

- Conducted and facilitated numerous governing board retreats for academic institutions and other not-for-profit organizations. Clients have included: California School of Professional Psychology, Chinese-American International School in San Francisco; Independent Colleges of Northern California; Mills College; California State University, Monterey Bay Foundation; Community Music Center (San Francisco).

#### **ORGANIZATIONAL REDESIGN AND CHANGE MANAGEMENT**

- Performed an Organizational Redesign Study for the California School of Professional Psychology (CSPP) with the purpose to review administrative and academic program structures with the intent of identifying service quality and productivity improvements. The purpose of the Study was to stabilize tuition rates while recognizing the need to continue to reward faculty and staff for their performance, balance the operating budget and increase reserves. A key aspect of the study was to analyze the operations at the Alameda, Fresno, Los Angeles, and San Diego campuses and the President's Office and determine ways to streamline administrative functions and improve service to students and faculty.

The benefits of the study led to a streamlined organization, reduced operating costs, and increased productivity in the use of technology systems.

- Conducted a review of procurement operations at the Chancellor's Office of the California State University. The purpose of the review was to: (1) examine the procurement cycle and provide recommendations to improve efficiency; (2) enhance the level of service; (3) position the Office to take maximum advantage of emerging technology; and (4) expand services to include the administration of grants and contracts, using existing resources. In addition, we were asked to provide recommendations on how the operating units should be organized to provide services effectively to the Chancellor's Office and campus consortiums.

The results of our efforts led to a redesign of the procurement operations, increased use of technology, and streamlined operating procedures.

- Undertook a review of the California State University, Chico development organization. The president requested the Development organization study be undertaken with the purpose of examining and evaluating the current Development organization structure, and recommending an organizational structure that would work best for the University in achieving its fundraising goals. A follow-on project was approved to document gift processing operations and to recommend ways to streamline operating efficiency and increase service levels to donors and academic departments.

The results of the review led to a redesign of the development organization and the reassignment of roles and responsibilities for fundraising functions and activities.

- Undertook an analysis of the California State University, Dominguez Hills financial management issues. Four areas were examined: (1) reaffirm or redefine the mission, role, and authority of all administrative units, particularly Business and Finance; (2) provide an objective assessment of the University's approach to financial management; (3) evaluate the University's fiscal planning approach; and (4) examine linkages of process between decision and delivery points.

The results of the study led to changes in financial management roles and responsibilities, management reporting, and internal controls.

- Conducted a review of the financial management practices of California State University, Fullerton. The purpose of the review was to evaluate: (1) overall management of campus fiscal operations related to general financial internal control systems; and (2) underlying centralized and campus-wide fiscal operation management control.

As a result of the study and recommendations the University was able to strengthen its financial management team, improve internal controls, streamline operating efficiency, and improve service quality to academic departments.

- Conducted a review for the California State University, Hayward of its financial management operations. The purpose of the review was to: (1) evaluate overall quality of CSUH accounting and payroll operations, including processes, policies, staffing, and management; (2) assess the underlying financial management systems with attention to the effectiveness, timeliness, and accuracy of financial transaction processes; (3) examine the quality of financial management information being provided the university community; and (4) evaluate the degree of training provided and used throughout the University community.

The results of the study led to the following changes: (1) a redesign of roles and responsibilities for the University's financial management and budgeting operations; (2) a strategic initiative to optimize the University's financial management system; and (3) a strategic initiative to develop a comprehensive and consistent budgeting and financial reporting structure.

- Conducted a review of the Administrative Services, Accounting and Purchasing Offices of the California State University, Monterey Bay (CSUMB). The purpose of the review was to examine the existing organization and identify alternative structures to ensure that the offices are organized to meet the current and anticipated future needs of faculty, staff and students.

Results of the study helped to support changes in the organizational structure of the Business and Administrative offices, the redesign of business and accounting functions, and the strengthening of internal controls.

- Conducted a review of the California State University, Monterey Bay (CSUMB) one-card function, known as the Otter Card program. The purpose of the review was to examine the financial viability of the system and make recommendations to improve

**K. Scott Hughes**  
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its operating performance. We also examined and made recommendations on accounting practices and information systems used to support the operation of the one-card system.

The results of the study led to a reorganization of the management of the one-card system and a strengthening of the information systems and internal controls used to support the one-card.

- Performed a financial management review for the California State University, Northridge focused on the following: (1) financial policies and procedures; (2) financial authority and responsibilities; (3) qualifications/expertise of finance staff; and (4) communication between central and campus-wide financial units. The objective of the review was to identify areas that need to be strengthened and provide an implementation plan for improving financial management at CSUN.

A follow-up engagement was performed to conduct a management review of the Physical Plant Management (PPM) (CSUN). The purpose of the review was to analyze the department in the context of how it functioned after the results of the 1994 earthquake and how it was expected to operate when most of the dynamics associated with the earthquake had ended.

The results of the financial management study led to strengthened internal controls, a redesigned accounting structure, and improved financial management reporting. For the Physical Plant study, the results of the study prepared the University for the transition from the rebuilding environment post-earthquake to a more traditional operating environment.

- Undertook a financial management study for the California State University, San Marcos with the following objectives: (1) evaluate the overall quality of CSUSM management of University financial operations; (2) assess underlying financial management systems with attention to the effectiveness of administrative processes; and (3) examine the quality of financial management information being provided to the campus community, particularly as related to staffing and use of technology.

The results of the study led to a strengthening of University's financial management team, organizational structure, and the reengineering of business processes.

- Conducted a study for DePauw University to evaluate its campus-wide initiative to substantially upgrade its administrative processes and systems. Examined four key issues: (1) project sponsorship; (2) breadth and depth of staffing; (3) project planning and budgeting; and (4) required training.

The results of the study led to improvements in each of the areas examined.

- Conducted a study on the emerging state of E-commerce and its potential impact on Dominican University (CA). The scope of the study examined three areas: (1) the College's current situation regarding its readiness to migrate to E-commerce activities; (2) a set of priorities to move Dominican College toward an E-commerce environment; and (3) focusing on high-priority areas that can be achieved with a minimal demand for increased financial resources.



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The results of the study enabled the University to move forward with its E-commerce strategy, making investments in a logical and strategic manner.

- Performed a study for Dominican University (CA) to develop a new organizational structure and work processes that improve student service functions and increase productivity. The project studied the current methods used to provide administrative and support services to students.

The results of the study led to the creation of a one-stop service model and the redesign of office space and information management systems.

- Undertook a project to assist Golden Gate University in the re-engineering of its Enrollment Services. The objectives of the re-engineering project were to: (1) implement client-focused processes to replace internally-driven, departmentally-focused operations; (2) understand the processes that need to be changed and identify appropriate technology solutions; (3) respect existing culture, people, structures, and processes to the extent possible; (4) effectively employ strategy, processes, people and technology; and (5) properly align responsibility, authority and accountability for actions and decisions.

The results of the project led to a successful redesign and implementation of the University's enrollment management services.

- Performed a study to assist the Hospice of Marin Foundation in the examination of its current financial management and reporting situation. The purpose of the study was to concentrate on three areas. These were: (1) describe the accounting and financial reporting needs of the Foundation within the context of its increased fundraising and fiduciary responsibilities; (2) describe the financial management systems and tools that will be required; and (3) describe the financial management reporting requirements, roles and responsibilities, and financial management structure resulting from the proposed redesign of the Hospice of Marin organizations.

The results of the study led to a redesign of the accounting and financial management structure of the Foundation and the implementation of a new accounting system.

- Performed a study for Mills College (CA) to develop a new organizational structure and work processes that improve student enrollment management functions. The project studied the current methods used to provide administrative and support services to students.

The results of the study led to the creation of a one-stop service model and the redesign of office space and information management systems.

- Conducted a review of the Administration and Finance operations of Montana State University (MSU). The objective of the project was to provide assistance to the University in its review of: (1) the Administration and Finance Division of the Bozeman campus; and (2) the support services commonly provided by the Administration and Finance Offices across the four campuses (Bozeman, Billings, Northern, and Great Falls) of MSU. The outcome of the review was a series of

**K. Scott Hughes**  
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recommendations on opportunities to improve cost efficiency, service levels, and overall effectiveness of the Administration and Finance operations.

- Undertook a study for the Samuel Merritt College (CA) to assist in the redesign of the functions and activities that provide administrative services to students. The project was in conjunction with the College's plans to move the administrative units that provide student services to a renovated building. The administrative offices originally included in the redesign were Registrar, Financial Aid, Student Accounts, and the Dean of Student Affairs.

The results of the study provided alternative organizational models and staffing tables to be considered for the relocation of the student services functions.

- Conducted a financial management review for the leadership of the University of Idaho. Major objectives of the review were to: (1) assist the University in the development of management reports for the President, Provost and Deans that provide activity reporting for all funds; (2) undertake a risk assessment analysis to evaluate the quality of internal controls and the proper execution of the University's fiduciary responsibilities; and (3) assess the development and execution of policies and procedures as they relate to the internal controls and fiscal management of the University. An additional task was added to the original scope to assist in the University's Administrative Restructuring Process.

Participated in a follow up study in 2005-06 that evaluated the appropriate level of staffing and resources required for the finance and administrative operations of the University. The project included the conduct of a peer analysis of similar research universities in the Pacific Northwest.

#### **PERFORMANCE MEASUREMENT AND BENCHMARKING**

- Conducted a benchmark study for presentation to the Board of Trustees of the University of Illinois on the subject of student financial aid. A report was commissioned by the University to provide information useful to the Board of Trustees when addressing the state of Illinois Monetary Award Program (MAP) Supplemental Aid expenditures. Three specific tasks were assigned. They were: (1) benchmark the University's MAP Supplemental Aid expenditures against national norms for both public and private 4-year universities; (2) benchmark the educational loan debt of graduating seniors at the University against national norms for both public and private universities; and (3) survey other external sources of financial aid grants besides the federal Pell Grants and the Illinois Student Assistance Commission MAP Grants that could replace the current University MAP Supplemental Aid grants.

The results of this benchmark study helped the Board of Trustees to better understand the policy questions surrounding financial aid policies.

- Conducted a study of Institutional Support Costs for the University of Illinois. The purpose of the study was to better understand and describe the level of administrative support used to oversee and manage the primary academic programs and activities of the University. Three sets of comparisons of Institutional Support Costs were developed in the study. They were: (1) University of Illinois compared to other Illinois Public Universities; (2) University of Illinois compared to Big Ten Universities; and (3) University of Illinois compared to Selected Major Public Universities.

The results of the study helped the University of Illinois to understand and present the long-term trends of their institutional support costs.

- At the behest of the Board of Trustees of the University of Massachusetts, participated in the development of a set of benchmarks and an outcome measurement process to gauge the effectiveness of the business and student process redesign initiatives being implemented in the President's office and the campuses.

#### **INTELLECTUAL PROPERTY AND TECHNOLOGY TRANSFER**

- Conducted a survey of 13 major research universities, on behalf of Arizona State University, to gather information on methods other universities use to manage intellectual property generated from their research activities. Particular focus was on the extent other universities are engaged in holding equity positions in start-up companies spun off from university-based research.
- Over a ten-year period of time, provided management services to the Office of Technology Transfer (OTT) for the University of California Office of the President. The purpose of the assistance was to strengthen the management and operations efforts of the University's technology transfer activities. The range of services over the ten-year period included: (1) strategic planning; (2) organizational redesign of OTT functions and operations; (3) improved management and reporting systems; and (4) staff training seminars and workshops.

The benefits derived from the management services supported the growth of the technology transfer program to being the largest among the country's public universities.

- Undertook a study to review the technology transfer programs of the University of North Carolina. This was a segment of a broader scope funded by the state of North Carolina legislature to identify new and expanded academic programs, determine workforce preparation needs, assess current programs and capacity, analyze the gap between what is needed and what exists, where to locate new programs, and define facilities and infrastructure requirements.

The scope of the technology transfer segment was to examine: (1) graduate degree and university research programs; (2) technology transfer initiatives; and (3) workforce needs for workers with graduate-degree requirements. The scope further includes the objective to analyze the gap between what is needed and what exists, what new programs may be needed, and define facilities and infrastructure requirements.

#### **EMPLOYMENT HISTORY**

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Mr. Hughes began his career at the University of Illinois where, for eight years, he was a member of the Office of Grants and Contracts, reaching the position of Director of its pre-award grant and contract program. In that capacity, he authorized the submission of proposals and negotiated contracts with the federal government. He prepared and negotiated

**K. Scott Hughes**  
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the indirect cost rates, and participated in the design and implementation of new financial accounting systems.

In 1970, Mr. Hughes relocated to Stanford University and began a 6-year period, working in the Controller and Development Offices. While in the Controller's Office he participated in the design and implementation of financial accounting systems, assisted in the design and creation of the University's first capital budgeting system, contributed to the input of the Stanford Budget Equilibrium Model, and worked on the early stages of debt capacity analysis, which was the first efforts in the development of financial condition ratios used today throughout higher education. While in the Development Office, Mr. Hughes managed the university's systems and operations for alumni and donor records, information systems and reporting. He was a member of the fundraising team for the \$300 million Campaign for Stanford, one of the first major capital campaigns conducted in higher education; becoming the Capital Campaign template used by academic institutions across the country.

In 1976, Mr. Hughes joined the staff of the National Association of College and University Business Officers (NACUBO) in Washington, DC. He was the first employee solely focused on undertaking research projects to improve the financial management of higher education. Subsequently, he became the first director of NACUBO's Financial Management Center. In his 4 years at NACUBO, Mr. Hughes undertook several research projects in cooperation with the American Council on Education NCHEMS, Association of Governing Boards, Kellogg Foundation, National Science Foundation, and National Center for Education Statistics. Results of these research efforts formed the foundation for the subsequent development of financial condition ratios, benchmarking, new concepts in financial management reporting, new FASB auditing standards, and the financial ratios used commonly by the rating agencies, accreditation agencies, and state governmental commissions to measure the financial viability of academic institutions.

In 1980, Mr. Hughes returned to California to begin a twelve-year career with KPMG Peat Marwick where he developed and managed a consulting practice for non-profit organizations in the Western United States. Operating out of offices in San Francisco and Los Angeles, Mr. Hughes concentrated on providing management services to many of the western region colleges and universities and other not-for-profit organizations. Over a ten-year period, while KPMG Peat Marwick was the external auditor, Mr. Hughes directed the management consulting services provided to the Board of Regents of the University of California, the Office of the President and its nine campuses.

Since 1991, Mr. Hughes has continued to offer management consulting services to colleges and universities throughout the United States.

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## **EDUCATION AND CERTIFICATION**

**Master of Accounting Science**, University of Illinois, Urbana-Champaign

**Bachelor of Science in Accountancy**, University of Illinois, Urbana-Champaign

**Certified Public Accountant** since 1965.

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## PUBLICATIONS

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Mr. Hughes has published extensively in the field of management for government and non-profit organizations. He has also been the author or co-author of publications that have had significant impact on the financial management in higher education: They are:

- Years of Challenge, published by the National Association of College and University Business Officers (NACUBO), describes the impact of demographic and work force trends on post-secondary education, 1991. (*Note: Years of Challenge was used as the basis of testimony to the House of Representatives for the Higher Education Reauthorization Act.*)
- Managing Change in Higher Education, published by the College and University Personnel Association, applies the principles of change management to the academic setting, 1995.
- Ratio Analysis in Higher Education, published by KPMG Peat Marwick. He is co-author of the industry standard used by rating agencies, accrediting associations and underwriters to evaluate debt capacity and institutional financial condition, originally published in 1981.
- “Transforming Academic Institutions”, published by the National Association of College and University Business Officers (NACUBO), August 1995.

His articles have been published extensively by the NACUBO ***Business Officer*** and KPMG ***Management Issues***, College and University Personnel Association, and Association of Governing Boards.

## AFFILIATIONS AND MEMBERSHIPS

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Mr. Hughes has served as an officer on not for profit boards and as a member of non-profit organizations. These have included:

California School of Professional Psychology  
Community Music Center  
Independent Colleges of Northern California  
University of California Lawrence Hall of Science  
San Francisco Performances  
University of Illinois President’s Council

### **SEMINAR AND WORKSHOP PRESENTATIONS**

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Mr. Hughes has been a frequent presenter at seminars and workshops for higher education institutions, foundations, and related organizations. These have included: The Association of Governing Boards, National Association of College and University Business Officers, the Stanford Management Institute, California Associations of Financial Aid Administrators, Association of Jesuit Colleges and Universities, and Western Association of Student Financial Aid Officers.

**RICHARD M. BELLOWES**  
**Consulting Associate, Pappas Consulting Group Inc.**

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**PROFESSIONAL PROFILE**

Mr. Bellows has worked in higher education for forty years. Butler University in Indianapolis. During his tenure at Butler University as the executive director of financial aid he was instrumental in successfully increasing the undergraduate enrollment of the university from 2,200 in 1991 to 3,897 in 2009. In addition, he implemented financial aid policies that lowered the discount rate, increased the academic quality and enrolled families with the financial means to sustain the cost of private higher education.

Since 2009, Mr. Bellows has served as a consultant to campuses with enrollment management challenges. He provides professional services to senior administrators and enrollment management staff to more effectively manage data, monitor trends and evaluate discounted aid for new student enrollments. Mr. Bellows provides expertise in the development of models for applicant and admit pools, modeling expected yields, tracking academic quality and managing the awarding parameters for merit and need based aid. These powerful tools assist staff as they make strategic data driven decisions to meet the university's enrollment and net revenue goals.

**PROFESSIONAL EXPERIENCE**

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As a member of Butler University's senior leadership team, he assisted the vice president in monitoring yields, discount rates and developing messaging to promote the value of a Butler education. Mr. Bellows worked closely with the finance office in developing tuition rate increase models each year. He collaborated with the Offices of Information Technology, Registration and Records, Athletics and the Deans of five colleges.

As the Director of the Office of Financial Aid, Mr. Bellows focused on three areas that led to Butler's success in meeting their enrollment goals, in both yield and discount rate. Through modeling and charting trends he was able to understand the marketplace, competition, price threshold and integrate this information with enrollment goals to successfully enroll a class, meet net revenue projections and maintain high retention rates. Second, he empowered his staff to be problem solvers and anticipate the needs of the families and others in the campus community. Third, he provided the Office with a vision for staff to understand how all components fit together.

**Richard M. Bellows**

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Mr. Bellows served on the oversight committee for the University's implementation of PeopleSoft, and provided leadership for the integration of the Financial Aid module.

Prior to his time at Butler University, Mr. Bellows served as Director of Financial Aid at a regional state university and a small private college in northern Indiana. These experiences provided opportunities to understand different types of campus structures and organizations.

## **EDUCATION**

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Masters Degree in Guidance and Counseling: James Madison University, VA.

B.S. in Mathematics: Manchester College, Indiana.

## **AFFILIATIONS, ACCOMPLISHMENTS AND MEMBERSHIPS**

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Mr. Bellows is committed to promoting access to higher education in the state of Indiana. In the mid 80's he was the co-founder and coordinator of "Directions", a community program comprised of Indiana Purdue University at Fort Wayne and the Fort Wayne Community Schools. He worked with the Center for Leadership Development (CLD) in Indianapolis to develop a special working partnership with Butler University. This partnership provided Butler with the opportunity to work with a key minority serving agency in the city.

In his 40 plus years, he has spent time working with local high schools to provide Financial Aid information to parents, present at Financial Aid conferences and serve as a campus liaison to the State Student Assistance Commission of Indiana (SSACI).

Mr. Bellows has served in leadership positions on a variety of state, regional and national organizations that work to promote higher education. He served on the national councils for the College Board, National Coalition of Higher Education Loan Programs (NCHELP) and National Association of Student Financial Aid Administrators (NASFAA), USA Funds and Sallie Mae. His work with these organizations allowed him to provide insight from the campus perspective to assist with influencing public policy on student aid and higher education.



**Richard M. Bellows**

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### **Consulting Services - Recent Engagements**

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Assisted a large public university in its transition to a Strategic Enrollment Management Model to make data driven decisions to impact and manage growth as well as shaping enrollment and net revenue. Five key areas of focus were:

- Developed themes to help with decision making to manage the strategic enrollment planning process.
- Assisted staff with the development of a comprehensive Strategic Enrollment Plan for the university.
- Evaluated recruitment / admissions plans used by the university.
- Revised two merit aid programs to influence enrollments.
- Reviewed the financial aid awarding procedures and recommended changes to offer competitive awarding plans.

Mr. Bellows' routinely reviews administrative structures and operational procedures for Enrollment Management Divisions.

**DAVID L. QUANDT**  
**Consulting Associate, Pappas Consulting Group Inc.**

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**PROFESSIONAL PROFILE**

Mr. Quandt is a senior level consultant with more than thirty years of management and consulting experience with universities, public agencies and other nonprofit organizations. In the course of his professional career, he has assisted numerous clients improve productivity and enhance quality through the provision of program evaluation, business process reengineering and project management support.

**AREAS OF EXPERTISE**

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- Enrollment Management Review
- Financial Management Review
- Information Systems Design
- Operational Analysis
- Peer Analyses and Benchmarking
- Strategic Systems Planning
- Systems Implementation Support

**PROFESSIONAL EXPERIENCE**

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Mr. Quandt has provided a range of consulting services for higher education and nonprofit institutions in the areas of enrollment management review, financial management review, information systems design, operational analysis, peer analyses/benchmarking, strategic systems planning and systems implementation support. A sample of the engagements undertaken in each of these areas is described below.

**ENROLLMENT MANAGEMENT REVIEW**

- Conducted an enrollment management review of the Undergraduate Admissions Office at Wichita State University.

Developed a comprehensive undergraduate admissions marketing plan and provided follow-on project management support that led to a first-year 40% increase in admitted freshmen applicants.

#### **ENROLLMENT MANAGEMENT REVIEW (CONT'D)**

- Developed a conceptual strategic African-American recruitment plan for the University of Houston.

The plan led to a series of modifications to the University's existing undergraduate recruiting program.

#### **FINANCIAL MANAGEMENT REVIEW**

- Conducted a financial management review of the Storehouse operation at the University of California, Los Angeles.

The review led to a restructuring of the product distribution/warehouse operation.

- Developed a cost allocation model for the University of South Florida.

The model enabled the University to make more informed business decisions and better control the cost structures associated with service provision.

#### **INFORMATION SYSTEMS DESIGN**

- Developed the requirements definition and conceptual design for an integrated general ledger system at the State University of New York.

The data gathered in the effort was utilized as the basis for selecting a package software solution and defining conjunctive software modifications.

- Developed the requirements definition and participated in the evaluation and selection of an integrated management information system for the National Association of Accountants.

Based upon vendor responses to a request for proposal, a package software solution was identified that achieved the defined requirements.

- Developed the detail design for an integrated budgetary system for the State of Hawaii Department of Education.

The design served as the basis for the development of custom software in support of the department's budgetary process.

**OPERATIONAL ANALYSIS**

- Conducted an operational review of the Alumni Donor Information Systems office at the University of Washington.

The results of the review led to the implementation of procedural changes within the office.

- Conducted a review of the fundraising database and gift processing operations at California State University, Chico.

As a result of the review, the development organization was redesigned and the roles and responsibilities for various fundraising functions and activities were reassigned.

- Conducted a review of the administration and finance organization in conjunction with related common services provided by the four campuses comprising the Montana State University system.

The review led to a redesigned organization structure, a framework for improving operational efficiency and a system-wide strategy for sharing information and expertise.

- Conducted an organizational assessment of administrative service provision at the Pennsylvania State System of Higher Education (PASSHE).

The assessment caused PASSHE to implement a range of policy, process and procedure recommendations that improved the efficiency, effectiveness and coordination of administrative operations among and between the central office and the fourteen universities within the System.

- Conducted a review of the operating and processing environment at The Research Foundation of the State University of New York.

As a result of the review, the Foundation implemented a series of recommended strategies that optimized its effectiveness with the SUNY campuses.

- Conducted an organizational and operational assessment of administrative services at Suffolk University.

Consistent with the recommendations, the University restructured its administrative operations and redesigned numerous processes so as to provide a more effective and efficient level of service support to its academic units.

#### **PEER ANALYSES AND BENCHMARKING**

- Performed a confidential study for an East coast private university to estimate the historic and prospective economic damage caused by the physical presence of an adjacent power facility. The scope of work involved the measurement of lost enrollments and tuition pricing power in comparison to peer institutions during a fifty-year timeframe.
- Conducted a strategic directions peer benchmarking analysis for the University of Virginia relative to such data as endowment value, research expenditures, retention rate, state appropriations support, undergraduate admittance rate and yield rate.

#### **STRATEGIC SYSTEMS PLANNING**

- Developed a strategic system plan for The Asia Foundation.

The plan provided a conceptual framework and integrated approach for achieving the organization's programmatic and financial management operational goals.

- Conducted a review of the information technology operations at the constituent SUNY Plaza organizations, inclusive of the Office of Administrative Systems, the Research Foundation of SUNY and the State University Construction Fund.

The review enabled SUNY to better position the SUNY Plaza IT operations in supporting and responding to the strategies articulated within the SUNY Strategic Plan.

#### **SYSTEMS IMPLEMENTATION SUPPORT**

- Provided implementation support for an integrated financial management and fundraising system at the Anti-Defamation League.

The effort culminated with the implementation of both software modules and the establishment of supporting processes and procedures.

**David L. Quandt**  
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## **EMPLOYMENT HISTORY**

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David Quandt began his professional career with the Auditor-Controller staffs of Los Angeles and Ventura County, where he was employed as an Auditor and Financial Analyst. In 1978, he began working at the University of California, Los Angeles (UCLA), as a Senior Systems Analyst for the Medical Center, followed by a six year stint as the Manager of Information Systems for University Relations. In this latter role he co-designed and implemented the University's fundraising system, and managed the related support staff.

In 1986, Mr. Quandt moved to New York, where he began working for Merrill Lynch as a Systems/Project Manager. In this position, he was responsible for developing financial management application software for Merrill's Bond Fund Accounting system.

In 1987, Mr. Quandt joined KPMG Peat Marwick, where he served as a Senior Consultant in the New York office, and later as a Manager for the Western Region. While at KPMG, he specialized in providing consulting services to higher education and other nonprofit organizations. Services encompassed enrollment management review, financial management review, information systems design, operational analysis, strategic systems planning, and systems implementation support.

Subsequently, in 1991, Mr. Quandt returned to UCLA, where he held numerous positions including that of Procurement Director. In this capacity, he was responsible for:

- Restructuring a \$10 million product distribution/warehouse operation, reducing costs by 45%.
- Negotiating strategic sourcing agreements for all product lines, resulting in annual savings of \$500,000.
- Instituting e-commerce capabilities for order placement with vendors and by customers.

Thereafter, he served as an Internal Consultant for the Facilities Management department. In this role, Mr. Quandt was responsible for conducting business reviews of various administrative units. Additionally, he was directly involved with two prominent strategic planning efforts, undertaken to determine the most effective means of delivering information technology services and core human resource services to UCLA departments. As part of this effort, Mr. Quandt conducted operational reviews of various units within Campus Human Resources, including:

- Benefits and Personnel Services
- Compensation
- Labor and Employee Relations
- Staff Employment
- Staff and Faculty Counseling Center
- Training and Staff Development.

**David L. Quandt**  
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Lastly, Mr. Quandt served as UCLA's Associate Director for the Communications Technology Services department. In this capacity, he was responsible for seven business units including Bruin OnLine Internet access, Customer Call Center operations, Marketing Communications, and Product and Service Training. During the five years that he was affiliated with the department, he redirected the programmatic focus of several units by:

- Leading multiple cross-functional project teams in restructuring operations.
- Implementing new application systems.
- Instituting ISO 9001 compliancy.

In concert, these activities reduced operating costs by 20% and enhanced service provision.

Since 2004, Mr. Quandt has worked as a Consulting Associate with the Pappas Consulting Group, offering consulting services to colleges, universities and other nonprofit organizations.

## **EDUCATION**

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**B.S., Business Administration**, California Polytechnic State University, San Luis Obispo, CA

## **PUBLICATIONS**

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Co-authored "A Successful Project", Cause/Effect, which discussed the elements of project dynamics critical to the successful development of a large-scale application system.

**CATHIE MAYES HUDSON, PH.D.**  
**Consulting Associate, Pappas Consulting Group Inc.**

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**PROFESSIONAL PROFILE**

Dr. Hudson was formerly the Vice Chancellor for Research and Policy Analysis at the Board of Regents of the University System of Georgia. Her office was the research arm of the Board of Regents, analyzing and reporting on higher education and related state and national policy issues and their impact on the University System of Georgia and its 35 institutions. She was responsible for ensuring that data needed to implement and evaluate policies were available at the System level, that definitions of data elements were standard and meaningful, and that relevant and valid interpretations of those data were used in development and implementation of policy initiatives. She supported University System planning and institutional effectiveness activities, as well as key policy initiatives, and represented the Chancellor and the System on legislative and other state committees on issues related to accountability, data, and selected policy initiatives.

**AREAS OF EXPERTISE**

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- Higher education data and policy analysis
- Strategic planning
- Mission review and needs assessment
- Retention, progression, and graduation rate initiatives
- Accountability reporting, benchmarking, and assessment
- Admissions and enrollment management
- Data administration
- College access and diversity
- P-16 and seamless education analysis
- Institutional research
- Comprehensive program review
- Research administration analysis

**PROFESSIONAL EXPERIENCE**

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Vice Chancellor for Research and Policy Analysis, Board of Regents of the University System of Georgia, 2008 until retirement in June 2010. Managed office of Research and Policy Analysis (RPA), the research arm of the Board of Regents, analyzing higher education and related state and national policy issues and their impact on the University System of Georgia (USG). Research and reporting focused on students, financial aid, curriculum, and faculty. RPA provided guidance and support for USG strategic planning. Managed Office of Regents Testing (and Office of Healthcare Workforce Research, 2008).

Associate Vice Chancellor for Research and Policy Analysis (Earlier names Strategic Research and



Analysis; Planning and Policy Analysis), Board of Regents (BOR) of the University System of Georgia, 1995 to present. Responsibilities included managing office; setting and implementing the research agenda for the Board of Regents System Office, leading and supporting strategic initiatives, and the collection and analysis of System data. RPA provided support for USG planning and institutional effectiveness activities, including USG and institutional strategic planning and comprehensive planning.

Assistant Vice Chancellor for Planning; Board of Regents Central Office, University System of Georgia, 1988-1995. Responsibilities included research on higher education issues, strategic planning activities for the University System and its institutions, and coordination of assessment of institutional effectiveness.

## SELECTED PROFESSIONAL ACTIVITIES

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### Higher Education Data Analysis and Reporting

*External Reporting.* Coordinated and managed the external reporting functions of the BOR, administering System-wide responses to the annual federal IPEDS (Integrated Postsecondary Education Data System) surveys and the annual Consortium for Student Retention Data Exchange surveys, the Southern Regional Education Board (SREB) data exchange, and other reports to external entities. Represented the Board of Regents to state agencies and entities on selected issues.

- USG Staff Liaison to HOPE Scholarship Commission, a legislative Joint Study Commission charged to determine ways to keep HOPE fiscally sound and continue to provide merit-based incentives for improved education quality (FY2004)
- Staff member, 1999-2000 Governor's Education Reform Study Commission; Sub-Team Lead, Measurement Team of Accountability Committee. My team was responsible for outlining the tests and measures that were to be used in the accountability system for K-12 schools (co-authored "Measuring Results for Accountability" and "Improving Postsecondary Education Agencies' Feedback to High Schools" (July 1999)
- High School Feedback Reporting. Provided annual reports of feedback to each high school principal and superintendent in Georgia (1990-2009)
- Member, Formula Funding Committee (FY2001-2002; 2006)

*USG System Reporting, Policy Analysis, and Research.* Managed the internal reporting functions of the Board of Regents on students, financial aid, curriculum, and faculty, including enrollment and enrollment projections. (See <http://www.usg.edu/research/students/> for examples of reports.)

- Beginning in FY2002, developed research agenda System and implemented over the next decade. (See <http://www.usg.edu/research/pubs/rnotes/>)
- Editor or co-editor, *Information Digest* (<http://www.usg.edu/research/pubs/digest/>) (1988-2006)
- *Briefing Book*, Strategic Planning Retreat, Board of Regents, January 4, 2007; sections of briefing book, 2009

- Studies and reports on the impact of the HOPE Scholarship, keeping HOPE over time, relationship between HOPE and Pell, effects on retention and graduation
- Studies and reports on the impact of preparation for college (through the College Preparatory Curriculum) on learning support placement and college success
- Studies and reports on transfer students
- Studies and reports on retention, progression, and graduation rates; time to degree; predicted retention and graduation rates; impact of financial aid and related topics
- Analyzed effectiveness of learning support in later core courses
- Faculty salary equity data and reports by gender and race/ethnicity (1989, 1991, 1993, 1996, 2005)
- Studies on the academic progression and graduation of USG student-athletes (before Bradley legislation, 1988-1990)
- Managed System-wide administration of surveys. The ACT Student Opinion Survey was administered in Fall 1997 and 2002. NSSE and CCSSE were administered in 2005 and 2008. Reports were made to the Board of Regents and System committees, and the results were used to pinpoint areas for improvement.
- Editor *Normative Data for the Freshman Class* (1992-95)

#### Strategic Planning

- Member, “Top Ten Issues” committee to identify issues facing the USG (2008); developed issue papers on strategic areas (FY2010)
- Member, System Office Strategic Planning Coordination committee (FY2008-FY2009)
- Member, committee on carrying capacity (2009)
- Member, Statewide (System) Assessment Team; resulted in the transition of four two-year colleges to state colleges and revision of mission statements (2003-2005)
- Member, planning team for creation of Georgia Gwinnett College
- Comprehensive Planning Activities FY1997-FY2000: Member, Comprehensive Planning Committee, with goal of linking enrollment planning, academic program planning, facilities planning and workforce needs; team member, planning assumptions, enrollment planning principles, academic planning principles, and workforce principles for USG comprehensive planning; wrote guidelines for institutional RFPs for enrollment targets; reviewed enrollment targets in the context of admissions changes and institutional strategic plans; created inventory of external sites; co-authored reports to BOR for recommendations for permanent sites at Camden, Cartersville, Gwinnett, and North Metro.
- Member, committee to create institutional strategic planning guidelines, co-author (1997-99; 2004)
- Member, Self-Study Steering Committee, the University of Georgia; presentation to Steering Committee on “USG Technology and Distance Education Initiatives” November 19, 1999
- Staff liaison, several strategic planning committees and subcommittees for “Access to Excellence” (1994-1996)
- Managed survey of Georgia public, “Identifying Issues for Strategic Planning in the University

System of Georgia” (1993)

- Managed survey of USG faculty, “Strategic Planning Issues” (1993)
- Staff support to Ad-Hoc System Advisory Committee on Strategic Planning; Work Group on Participation: Enrollment and Employment; Planning Information Work Group (1991-92)

#### Mission Review and Needs Assessments

##### *Mission Review*

- Member, Institutional Enhancement Teams to Southern Polytechnic State University and Fort Valley State University; responsible for review of retention strategies, institutional effectiveness, strategic planning, and information use; and assisted with interviews and reviews related to recruitment and enrollment management (FY2002)
- Member, Mission Review Team; staff liaison for mission review hearings for institutions with mission review consultants; wrote reports of hearings (FY1995-96)
- With others, supported Northwest Georgia Planning Council and needs assessment to determine programs needed in the Dalton area, resulting in transition of a USG two-year college in Dalton to a four-year college, Dalton State College (FY1999)
- With Arthur Dunning, coordinated Central Georgia Planning Council and subsequent needs assessments resulting in the change of mission of Macon Junior College to Macon State College, a four-year college offering a limited number of bachelor’s programs in response to local economic needs (1995)

##### *Needs Assessments*

- With Annie Hunt Burriss et al., supported needs assessment in information technology (FY1998) and teacher education (FY1999); established educator supply/demand data system; tracked new teacher education graduates into the labor market (FY1999 to FY2000); expanded supply/demand data system for use in academic program planning (FY2000)
- With others, completed engineering needs assessment for USG (1998)

##### *Healthcare Workforce Needs Assessments*

- System liaison, Nursing Education Task Force; resulted in creation of the Office of Healthcare Workforce Research (FY2008-FY2009, now the Center for Health Workforce Planning and Analysis); hired staff and managed office until director was hired
- System Office liaison to committees of the Health Care Workforce Technical Advisory Committee of the Health Strategies Council Research Group; supported analysis of supply and demand of health care workers (FY2002)

#### Retention, Progression, and Graduation

- Standardized definitions for cohorts and rates in graduation and retention studies in the University System for the first time; created standard graduation and retention reports for System
- Liaison to Retention, Progression, and Graduation Strategic Initiative, resulted in graduation and retention rate targets (2007-2009)
- Member, USG Team for Improving Retention and Graduation Rates (report at <http://www.usg.edu/strategicplan/projects/rpgr.pdf>); managed inventory and analysis of first-year experience programs; expanded analysis for institutions (2007-2008)

- Member, implementation team for recommendations on graduation rates; wrote “USG Guidelines for 2005 Retention/Graduation Rate Plan” (2005-2006)
- One of three liaisons to Task Force on Graduation Rates (2004)
- Comparison of predicted and actual retention and graduation rates (FY1998-99; 2006)
- Author of report, “Retention and Graduation of Black Students at Traditionally Black Institutions and Traditionally White Institutions” (1994)

#### Accountability, Benchmarking, and Assessment

- Comparator Peers. Managed FY0209 process to revise comparator and aspirational peer institutions for USG research universities and to identify peers for regional and state universities and state and two-year colleges. The peers were used to benchmark voluntary support of institutions and retention/graduation rates.
- Accountability. Prepared annual accountability report card to the Governor’s Office of Student Achievement for the University System of Georgia (FY2002 to FY2009). Member, state Panel on Postsecondary Indicators.
- Benchmarking Projects. Provided data support for USG FY2000 consultant-led benchmarking project; coordinated creation of or compilation of data for indicators.
- Institutional Effectiveness and Assessment. Member, ex officio, and liaison to Regents Administrative Committee on Institutional Effectiveness (FY1992 to FY2009)
  - Organized USG Subcommittee on Assessing Student Satisfaction (FY1997)
  - Organized institutional peer review process of assessment of general education and major areas; with others, trained peer reviewers (FY1996)
  - Member, Task Force on Assessing General Education Outcomes. Co-editor of *Assessing General Education Outcomes: Knowledge, Skills, and Perspectives*, a resource manual for institutions (FY1996)
  - Member, Task Force on Assessment Methods, editor and co-author of *Assessment Methods: A Resource Manual for the Assessment of Institutional Effectiveness* (1992)
  - Member, Task Force on Assessing the Transfer Function; wrote institutional resource manual (1992).
  - Editor, *Using Surveys in the Assessment of Institutional Effectiveness: A Report of the Task Force on Surveys of Graduates and Employers* (1991)

#### Admissions and Enrollment Management: Policy Implementation and Analysis

- Evaluated pilot admission standards resulting in permanent change in admissions policy to eliminate SAT use for admission to USG two-year colleges (May 2008)
- Member, Committee on Pilot Admissions Standards; resulted in pilot admissions change eliminating use of SAT and ACT at two-year and state colleges (2005)
- Monitored implementation of policy phase-in at USG institutions; worked with two-year presidents on revisions to the policy for students with GEDs (FY2002-2003)
- Member, committee on additional academic unit requirement (FY2001-2002)
- Developed admissions policy phase-in projections and reports (FY2000); held workshops (2001)

- Member, Admissions Policy Implementation Study Group (FY1998-99)
- Liaison to Two-Year College Presidents' Admissions Committee (FY1999-FY2001)
- Team member or liaison to committees, task forces, and sub-task forces on admission of home school students, standard calculation of high school GPA, admission of students from non-accredited high schools, admission of GED students, standards for reporting admissions categories in System data, and special programs to provide access to the USG in areas where no two-year college existed (FY1998-FY2001)
- Member, team to draft admissions policy for *The Policy Manual* and admissions procedures for the *Academic Affairs Handbook*
- Staff liaison to General Admissions Task Force; member of Executive Committee of Task Force on Standards for Sectors (FY1996)

#### Data Administration and Data Warehouse Development

Responsible for administering the University System student, curriculum, financial aid, and degree data systems, interpreting Board policy, making sure that data needed to implement and evaluate policies were available at the System level, that definitions of data elements were standard and meaningful, and that relevant and valid interpretations of those data were used in development and implementation of BOR policy initiatives. I expanded USG use of data from other state agencies and entities, developing data-sharing agreements with the Georgia Board of Nursing for licensure data, Professional Standards Commission for licensure test data, and Georgia Department of Labor for employment and wage data (FY1994 to FY2009).

- Co-chair, ADP Faculty Data Transition Committee (FY2009)
- Member, ex officio, Student Information Reporting System Committee (FY1994 to FY2009)
- Member, System Data Analysis Team, to define data elements for inclusion in a data warehouse, create process for access to data, and implement a change review process (FY2002-2003)
- Member, USG Student Information System (Banner) Committee
- University System representative on the Georgia Education Information Steering Committee; member, subcommittee on use of SSN in student records; chair subcommittee on non-K-12 data elements (FY2002)
- Chair, System Office committee on changes to the Faculty Information System (FY2002)
- Managed creation and implementation of USG financial aid data, Financial Aid Reporting System (FY2002 to FY2009)
- Co-Chair, University System Data Access Committee (FY1996—FY2000)
- Liaison to University of Georgia Geographic Information System Group (FY1996)
- Liaison to Georgia Postsecondary Education Collaboration Council Data Committee; tracked transfers across USG and Technical College System of Georgia institutions (FY2002)
- Periodic review and improvement of USG data systems on students, curriculum, degrees, and faculty (complete review, FY2002)
- Author, "Accessing and Using University System Data Bases" (1992)

College Access and Diversity

- Supported data needs and trained graduate students for work on a Lumina Grant/McCabe Fund grant to improve African-American male college participation ((lead, Arlethia Perry-Johnson; 2006 through 2009).
- African-American Male Initiative: Chaired subcommittee on research and policy analysis; wrote report for subcommittee on the educational pipeline for African-American male students to USG (FY2003); evaluated projects and proposals (FY2003-FY2008)
- Staff member, Hispanic Task Force (FY1999-2000)
- Member, Task Force on Pre-College Programs for Students in At-Risk Situations ( FY1996-98)
- Evaluator, PREP (pre-college enrichment programs, FY1998)
- Co-editor with Betty Whitten, "Participation in the University System: Enrollment and Employment" (1993)

P-16 and Seamless Education Activities

- Member (and coordinator), Georgia Education Research committee representing researchers at educational agencies and entities in the state (FY2006-FY2009)
- Member, P-16 Council Research and Assessment Committee (FY1996 to FY2002); School to College Transition Committee (various names, FY1998 to FY2006)
- Wrote prototype of data-sharing agreement with the State Department of Education; with others, defined structure of shared education data system between the Board of Regents, Department of Technical and Adult Education, and Department of Education (FY1998)
- One of staff liaisons to Georgia Postsecondary Education Collaboration Council Data Committee (committee of USG and Technical College System of Georgia personnel, FY1999)
- Member, P-16 Committee on College Preparatory Curriculum Admissions Standards
- Supported Board Initiative on Teacher Preparation (FY1997-98); presentation to Board of Regents on teacher education students and workforce in Georgia (September 1997); member, Ad Hoc Teacher Education Advisory Committee (FY1998)
- Analyzed data from the shared BOR and Department of Technical and Adult Education (now Technical College System of Georgia) student data base; co-authored first report on transfer between systems (FY1998-99)

Support for Institutional Research and Planning in USG

- Member, ex officio, Administrative Committee on IRP; assisted in planning and conducting biannual IRP Committee meetings; presented updates on strategic initiatives to IRP (FY1990-FY2009)
- Executive Planning Committee; Subcommittee on Executive Information Systems; Environmental Scanning Subcommittee

Comprehensive Program Review and Academic Affairs Functions/Initiatives

- Comprehensive Program Review. Worked with the Regents Administrative Committee on

Institutional Effectiveness to develop policy and procedures requiring institutions to review academic programs every seven to ten years. Following Board approval of policy, with others implemented procedures on institutional academic program review; reviewed reports; assessed process; streamlined reporting process; developed thresholds to trigger early review of programs (FY2001-2008)

- Member, new academic program review team (to review and recommend programs to the Board of Regents for approval, 1995 to 2009)
- Member, Council on Undergraduate Education (FY2002); Council on General Education (reviewed new core curriculum courses, FY2004 to FY2008)
- Liaison to USG Academic Committees on Sociology, Anthropology, and Social Work; Criminal Justice (FY2002 to FY2009)
- Member, various search committees including Senior Vice Chancellor for Academic Affairs, 2002; Chief Academic Officer and Executive Vice Chancellor, 2008.
- Member, Central Office GLOBE (distance education) Committee; Central Office Distance Learning Committee FY1999-2000, FY2000-2001

#### Research Administration Analysis and Support

- Staff liaison, Ossabaw Island Education Initiative (2007-2010); promoted research and scholarship on Ossabaw Island (<http://www.usg.edu/ossabaw/>)
- Staff liaison, Research Advisory Committee (committee of research university vice presidents of research, FY1998-FY2008). The RAC promoted research in the USG, coordinated the collection of data on research contracts and grants, and drafted policies on research for the Board of Regents.
- Defined, collected, and presented data for Board of Regents agenda on service agreements and contracts for applied learning (FY1995-FY2007) and for annual report on research, contracts, and grants funding received by USG institutions; made several presentations on research to the Board of Regents.

#### **EDUCATION**

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Ph.D., Sociology, Duke University, 1984; Dissertation *The Transition from Wife to Widow: Short-Term Changes in Economic Well-Being and Labor Force Behavior*

M.A., Sociology, University of Georgia, 1975; "Sex-Role Ideology and Dominance in Decision-Making Groups."

B.A., Sociology, Furman University, 1972

## HONORS

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Cooperative System Fellows Program, National Center for Education Statistics, 1994  
Phi Kappa Phi, 1974

## PUBLICATIONS

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- "Assessment of General Education in the University System of Georgia," with Mary F. Estes and Thomas Z. Jones. *Assessment Update: Progress, Trends, and Practices in Higher Education*, 5, No. 2 (1993): 5-7.
- "Teachers' Perceptions of the Goals of Education in the USA: Responses to the Educational Reform Literature of the 1980s," with Alan J. Hoffman and Hugh D. Hudson, Jr. *Educational Studies* (London) 17, No. 2 (1991): 117-125.
- "Synthetic Cohorts from Panel Surveys: An Approach to Studying Rare Events," with Richard T. Campbell. *Research in Aging*, 7, No. 1 (1985): 81-93.

## PRESENTATIONS

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- "Faculty and Staff Diversity in the University System of Georgia," report to the Board of Regents Committee on Academic Affairs, January 13, 2009.
- "USG Admissions and Enrollment Issues," presentation to East Central Georgia High School Guidance Counselors, Augusta High School Counselors Workshop, Augusta State University, March 6, 2008 (and similar presentations to counselors over a ten-year period).
- "Overview of Demographic and Student Enrollment Trends," presentation to Board of Regents Strategic Planning Retreat; Transforming the System, Changing Lives, Strengthening the State, January 2008.
- "Looking Ahead at the University System," panel presentation with William Bowes and Sandra Stone, Georgia Summit, September 19, 2007.
- "Retention, Progression, and Graduation Rates: A System's Perspectives on Best Practices," panel presentation with Meihua Zhai, Jayne Perkins-Brown, Rebecca Farrow, Michael Gass, and Charles Hawkins, Southern Association for Institutional Research, Arlington, Virginia, October 16, 2006.
- "Retention, Progression, and Graduation Initiative," presentation to Board of Regents, April 19, 2006.
- "Changing Retention, Progression, and Graduation Rate in a University System," panel presentation, SHEEO/NCES Network Conference and IPEDS Workshop, May 8, 2006.
- "Enrollment Projections and Policy Implications for the USG by 2020," presentation to Joint Meeting of the USG Chief Business Officers and Chief Academic Officers," February 2, 2006.
- "USG Feedback to Georgia's High Schools," presentation to Joint Liaison Committee of the State Board of Education, State Board of Technical and Adult Education, and the Board of Regents, January 31, 2005.



- “Keeping the Best Students in Georgia: The Effects of the HOPE Scholarship,” presentation to the American Studies Association, Crossroads of Cultures Annual Meeting, Atlanta, Georgia, November 12, 2004.
- “The Context of Higher Education in Georgia: Statewide Assessment of Demographic and Education Change,” presentation to Board of Regents Retreat, August 24-25, 2004.
- “Impact on USG of Changing HOPE Eligibility Criteria,” presentation to HOPE Commission, September 18, 2003.
- “Analyzing the Effects of HOPE: The Costs of Keeping the Brightest and Best Students in Georgia,” presentation to the Work Group of the HOPE Commission, Atlanta, Georgia, September 12, 2003.
- “Student Persistence in the USG,” presentation to the USG Minority Advising Program Annual Fall Conference, September 13, 2002.
- “Enhancing Access to Higher Education for African-American Males: The Educational Pipeline to the University System of Georgia and Beyond,” presentation to the USG African-American Male Initiative Task Force, September 4, 2002.
- “Changes in Administrative Data Systems: University System of Georgia,” presentation with Mark Pevey, Georgia Summit, September 21, 2001.
- “Remedial Education: Policy Issues, Practices, and Tools,” panel presentation with Roger P. Sugarman, Jeff L. Schiel, Jill D. Crouse, and Richard Sawyer; AIR Annual Forum, Long Beach, CA, June 4, 2001.
- “Overlapping Jurisdictions: Planning in a Multi-Layered Environment,” paper presentation with Joseph Szutz, SCUP-35, Denver, Colorado, July 17, 2000.
- “Courses Without Campuses, Colleges Without Students: The Challenge of Counting Students and Courses in Distance Education,” paper presentation with Joseph Szutz, 40<sup>th</sup> AIR Forum, Cincinnati, Ohio, May 22, 2000.
- “Individual and Institutional Factors for Maintaining HOPE Scholarship Eligibility,” paper presentation with Sue Sloop and Haoran Lu, annual meeting of American Education Research Association, April 28, 2000.
- “Learning Support Trends in the University System,” presentation to USG Annual Learning Support Conference, April 10, 2000.
- “Student Satisfaction and Student Success,” paper presented with Albertine Walker-Marshall to the 39<sup>th</sup> AIR Forum, Seattle, WA, June 1, 1999.
- “Keep a ‘B’ and Attend College Free: The Effects of Georgia’s HOPE Scholarship on High School and College Students,” roundtable presentation with Sue Sloop and Haoran Lu, annual meeting of American Educational Research Association, April 1999.
- “Helping HOPE Scholars Maintain Eligibility: Individual and Institutional Factors,” presentation with Haoran Lu and Sue Sloop, annual meeting of Association for Public Policy Analysis and Management, October, 1998.
- “A Multilevel Analysis of the Factors Affecting Time to Bachelor’s Degree Completion and Policy Implications,” roundtable paper presentation with Sue Sloop and Haoran Lu, annual meeting of American Educational Research Association, San Diego, April 1998.

- “Assessment and Accountability: Enhancing versus Reporting Quality,” Presentation with Joseph Szutz, Robert Haney, and Brad Rice, American Association of Higher Education annual meeting, Washington, DC, June 10, 1996.
- "Planning Information Sources in Higher Education," presentation to the Governor's Council for School Performance, January 18, 1994.
- "Balancing Structure and Flexibility: A Resource Manual for Assessment of General Education Outcomes in a University System," panel presentation to the Seventh AAHE Conference on Assessment in Higher Education, June 24, 1992.
- "The Initial Effects of a State System Policy of a Required College Preparatory Curriculum," paper presentation with Haskin Pounds and Robert Anderson, 30th Annual Forum of the Association for Institutional Research, Louisville, Kentucky, May 16, 1990.
- "Developing a Model of the Academic Progression of Student-Athletes in a State System of Higher Education," paper presentation with Robert Anderson and Haskin Pounds, the 30th Annual Forum of the Association for Institutional Research, Louisville, Kentucky, May 16, 1990.
- "The Academic Progression of Student Athletes in a University System: The 1983 Class," paper presentation with Haskin Pounds and Robert Anderson, 1989 SAIR/SCUP Conference, Durham, NC, October 1989.
- Presentation to Oversight Committee of Board of Regents on admissions, residency, and placement rates of selected programs, February 1999.
- “System Policy Initiatives,” address to Minority Advising Program Annual Conference, April 1996.
- Presentation on assessing student learning outcomes in general education, Georgia Association of Women in Community Colleges, October 1995.
- Panel presentation to AAHE Assessment Conference on assessment, accountability, and improving teaching/learning through peer review, 1996.
- Various presentations to System institutions, committees, and workshops on strategic planning, System initiatives, admissions policy changes, assessment of student learning outcomes, enrollment projections, demographics of System, impact of changes in the high school curriculum, use of System data, and access to planning information.

**STEPHEN R. PORTCH, PH.D**

**Senior Consulting Associate, Pappas Consulting Group Inc.**

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**PROFESSIONAL PROFILE**

Named one of the “21 Most Influential Voices of the Academy in the Nation”, Dr. Portch is Chancellor Emeritus of the University System of Georgia. Prior to serving as Georgia’s Chancellor, Dr. Portch had an eighteen year career with the University of Wisconsin System as Professor of English, Campus Dean, Chancellor, and Senior Vice President of Academic Affairs. He is an international consultant and speaker.

**AREAS OF EXPERTISE**

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- University Strategic Planning
- Board of Trustee Governance and Development
- Presidential/Chancellor Performance Reviews
- Presidential/Chancellor Search Process and Transition
- Seamless Education (P-16)
- Academic Program Review and Planning
- Higher Education and the Economy
- Reengineering Higher Education
- Faculty Policies and Procedures
- University Research
- Institutional Assessments/Environmental Scans
- Executive Compensation

**PROFESSIONAL EXPERIENCE**

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Since 2001, Dr. Portch has used his extensive higher education experience as a consultant. Below is a sample of his consulting work:

- Lead consultant for the Ohio Governor’s Commission on Higher Education and the Economy; consultant to Ohio’s Business Alliance for Higher Education and the Economy; consultant for strategic planning for the InterUniversity Council and lead consultant to the North East Ohio Universities Collaboration and Innovation Study Commission.
- Advisor to the New Jersey Commission on Higher Education, with special emphasis on its long-range strategic plan for the State.
- One of the team of consultants who worked with the New Jersey’s Governor’s Review, Planning and Implementation Steering Committee, with special emphasis on governance, academic program design, and restructured university plans.

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- One of the team of consultants who assisted the University of Illinois, with special emphasis on peer analysis of performance and accountability.
- One of the team of consultants who reviewed the University of Texas at Austin, with special emphasis on academic programs, faculty policies and procedures, and governmental relations through peer analysis.
- Consultant for the University of North Texas for board development, strategic planning, and academic review.
- One of the team of consultants who reviewed North Carolina's future need for graduates from two and four year colleges and universities to grow the state's economy (HB1264).
- Consultant to the University of Richmond for board assessment and development; institutional environmental scan; Presidential search; Presidential transition; and strategic planning.
- Consultant to the University of Richmond Alumni Association for strategic planning and governance/structural review.
- One of the team of consultants assisting with the development of the Ross Consortium, linking universities and Ross School (NY).
- One of the team of consultants who assisted the University of Connecticut, with special emphasis on academic administration structure and efficiency.
- One of the team of consultants who assisted the Lebanese American University with strategic planning, with special emphasis on academic programs, academic governance, and faculty policies and procedures.
- Consultant and facilitator for Board of Trustees strategic planning retreats for Clark Atlanta University, Morehouse School of Medicine, University of North Texas, the North Dakota University System, and the University of Richmond.
- Consultant on Executive Compensation for the University of Maine System.
- Consultant for multiple Presidential reviews in the State University of New York (SUNY), Winston-Salem State University, Clark Atlanta University, and Eastern Kentucky University. Additional SUNY consultation with Board Chair and Chancellor. Developed Presidential review policy and process for the University of Richmond and Clark Atlanta University.
- Consultant on seamless education (P-16) for Arizona, Hawaii, Nebraska, North Dakota, Ohio and for the State Higher Education Executive Officers (SHEEO) and

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the Education Commission of the States (ECS). Consultant for the KnowledgeWorks Foundation on P-16.

- Consultant for Randolph Macon Woman's College strategic planning to change its mission to co-educational.
- Consultant for the Florida Board of Governors to develop a long-term master plan.
- Consultant for the University of South Florida on strategic planning.
- One of a team of consultants assisting the University of Colorado at Denver on strategic planning.
- Consultant to Virginia Commonwealth University on presidential search process and transition and on board governance and development.
- Consultant to Colorado State University System on executive structure, board governance assessment, and strategic planning. Advise Board on Chancellor and Presidential search processes.
- Consultant for institutional assessment at Old Dominion University.
- One of a team of consultants for the University of Houston System on strategic planning, enrollment management, and board governance.
- One of a team of consultants for Nova Southeastern University on undergraduate program and enrollment planning.
- Consultant for Iona College on strategic planning, board development and Presidential succession.
- One of a team of consultants for Savannah College of Art and Design on strategic planning, academic policies and procedures, structural planning, and reputation building.

## **EMPLOYMENT HISTORY**

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From 1976 to 1984, Dr. Portch served the University of Wisconsin System. During that time, he rose to the number two position as Senior Vice President for Academic Affairs, responsible for academic program review, research policy, faculty promotion and tenure recommendations and policy, minority affairs, student affairs, and institutional research and policy analysis. His other positions in Wisconsin included being Chancellor of the 13 freshman-sophomore colleges and campus Dean and CEO of the University of Wisconsin: Marathon College, and Professor of English.

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From 1994-2001, Dr. Portch served as Chancellor of the University System of Georgia, responsible for its 34 colleges and universities, over 217,000 students, 33,000 faculty and staff, and a \$4.3 billion budget. During this period, the University System had an unprecedented growth in its quality and reputation as the result of an aggressive and successful strategic plan.

Since 2001, Dr. Portch has used his extensive higher education experience as a consultant and speaker with the Pappas Consulting Group Inc.

## **EDUCATION**

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**Ph.D. in English (minor in Higher Education)**, with highest honors, Pennsylvania State University, 1982.

**M.A. in English (minor in Higher Education)**, with highest honors, Pennsylvania State University, 1975.

**Bachelor of Arts in English**, with honors, University of Reading, England, 1973.

## **PUBLICATIONS**

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He has published one book and numerous articles

Book: Literature's Silent Language: Nonverbal Communications (New York and Bern: Peter Lang Publishing, 1985)

Sample articles:

- "The Toughest Teaching: Capturing Attention, Sketching Pictures, and Touching Humanity," Quest, May 1999.
- "At the Brink of a Revolution: Raising Aspirations, Increasing Equity, and Expanding Learning in Higher Education," Pathways to Adult Success for All Youth, 1999.
- "Destiny or Dinosaur: Redefining the 21<sup>st</sup> Century Academic Department," The Department Chair, Spring 1998.
- "Looking in the Mirror: Issues of Integrity in the Academy," Liberal Education, Spring 1997.
- "How to Respond to New Difficulties," Planning for Higher Education, Summer 1996.
- "From Sizzling Cauldron to Quilting Bee: Ensuring Equity," The Journal of the American Association for Women in Community Colleges, 1997.
- "From Frog to Prince: From Post-Tenure Review to Faculty Roles, Development, and Rewards," Change, July/August 1993.
- "A Don's Diary," The Times Higher Educational Supplement (England), July 1990.
- "A Visit to Professor Cram: Attractive Computer Learning," College Composition and Communication, October 1983.

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## **AFFILIATIONS AND MEMBERSHIPS**

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Former Vice Chairman, Southern Education Foundation Board of Trustees

Board Member, Andalusian Foundation

Former Distinguished Senior Fellow, Education Commission of the States

## **SAMPLE KEYNOTE SPEECHES**

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- Keynote Speaker, “From Good to Great”, Zayed University Convocation, Dubai, August 2007
- Keynote Speaker, “Yes, Minister: Staff Continuity in Higher Education”, State Higher Education Executive Officers Conference, Boston, August 2007.
- Keynote Speaker, Virginia Council of Higher Education “Nexus Between Higher Education and Business” symposium, Richmond, Virginia, July 2001.
- President’s Lecture, “Curves, Forks, and Landmines: The Road Presidents Must Walk,” American Association of State Colleges and Universities Annual Conference, Phoenix Arizona, November 2000.
- Panelist, “Governing the Public Trust,” The Association of Governing Boards Draft Statement on External Influences on Colleges and Universities, AGB Council of Presidents, Leesburg, Virginia, December 2000.
- Keynote Speaker, “Why We Need More Geeks,” Keeping Kids in School National Conference, Atlanta, Georgia, September 2000.
- Keynote Speaker, “Down Go the Dominos: the Collapse of the University as We Know Know It,” Board Professionals Preconference Workshop—AGB, National Conference, New Orleans, Louisiana, March 2000.
- Keynote Speaker, “The Inverse Field of Dreams Theory: Educational Attainment and Economic Development,” Chancellor’s Fall Convocation, Indiana University Perdue University Indianapolis, Indiana, November 1999.
- Plenary Speaker, “The Second American Revolution: The Transformation of the American University,” Society for College and University Planning, Atlanta, Georgia, July 1999.
- Keynote Speaker, “Ensuring a High-Quality Teacher Workforce,” Standards-Based Teacher Education Project (STEP), Atlanta, Georgia, June 1999.
- Keynote Speaker, “Techno-poets: The Workforce of the Future,” American Economic Development Council, Phoenix, Arizona, June 1999.
- Keynote Speaker, Context ’99-Conference on Textbooks and Technology, Panama City, Florida, February 1999.
- Keynote Speaker, “The Millennium University: Half-way House Hormones and Virtual Freedom,” CUMREC ’98 Conference, Atlanta, Georgia, May 1998.
- Keynote Speaker, “A Revolution Without a Tea Tax: International Education in the Next Millennium,” 25<sup>th</sup> Anniversary Conference at Richmond College-The American International University in London, London, England, April 1998.

**Stephen R. Portch, Ph.D.**

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- Keynote Speaker, “Destiny or Dinosaur: Redefining the 21<sup>st</sup> Century Academic Department,” 5<sup>th</sup> Annual Academic Chairpersons Conference, Orlando, Florida, February 1998.
- Keynote Speaker, “The Monster is out of the Barn: Reinventing the Extension Idea,” Annual Technology Conference, Louisiana Cooperative Extension Service, Baton Rouge, Louisiana, December 1997.
- Invited participant in International Conference on Teacher Preparation and Professional Development, Bellagio, Italy, July 1997.
- Speaker, Annual Meeting of American Association of Colleges and Universities, “Educational Integrity and Institutional Choices,” Atlanta, Georgia, January 1997.
- Keynote Speaker, National Extension Technology Conference, September 1996.
- Keynote Speaker, American Association for Women in Community Colleges Conference Awards Breakfast Meeting, Atlanta, Georgia, April 1996.
- Presentation on “Putting the Pedal to the Metal: Accelerating Change,” National Conference on Trusteeship, Association of Governing Boards of Universities and Colleges, Chicago, Illinois, April 1996.
- Keynote Address, “The New Faculty Alphabet: Allied, Benevolent and Cyberspaced,” American Association for Higher Education Annual Conference on Faculty Roles and Rewards, Atlanta, Georgia, January 1996.
- Keynote Speaker, “Responding to the Dilemmas of Change: The Role of Higher Education in Racial, Ethnic and National Conflicts,” International Race, Ethnicity, and Nationalism Conference, Milwaukee, Wisconsin, September 1993.

## **AWARDS AND HONORS**

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- Honorary Doctorate in Literature, Richmond College, London, England, 1997.
- Named one of 21 senior leaders with the most influential voices in higher education by Change, the Magazine of Higher Learning, 1997.
- Companeros Award for “Outstanding Public Service and Leadership”, Association Latinoamericana, 2001.
- “On the Move Award,” 100 Black Men of Atlanta, 1995.
- “Visions of Excellence Award,” Atlanta Business League, 1995.
- “Service and Innovation Award,” Georgia Library Association, 1995.
- “Leadership Appreciation Award,” Academic Boosters Club, 1995.
- Selected as “One of the 25 Most Powerful and Influential Georgians,” Georgia Trend Magazine, 1997.
- Special Recognition Award, Wisconsin Women in Higher Education, 1991.
- Special Recognition Award for faculty and staff in Wisconsin for support of Professional Development, 1985.



## PROFESSIONAL SERVICES AGREEMENT

This Professional Services Agreement (Agreement) is entered into this 17th day of February 2015, by and between the Board of Regents, State of Iowa (Board), whose address for the purposes of this Agreement is 11260 Aurora Avenue, Urbandale, Iowa 50322, and Pappas Consulting Group Inc., whose address for the purposes of this Agreement is 117 Island Cove Way Palm Beach Gardens, FL 33418.

For the purposes of this Agreement, the terms "University" and "Universities" shall mean the University of Iowa, Iowa State University, and the University of Northern Iowa either individually or collectively.

For consideration of the mutual promises contained in this Agreement the Board and Pappas Consulting Group Inc. agree as follows:

### 1. Scope of Services

- Work with the Board of Regents, Transformation Project Manager and the three universities to determine the degree to which data previously generated for this project are relevant/complete;
- Come to a collective understanding and agreement concerning the definition and scope of work to be encompassed in Distance Education and Time to Graduation/Enrollment Management;
- Build a business case for cost savings, revenue enhancement or efficiencies through an assessment of structure, core processes, staffing levels, performance levels and cost structure;
- Develop detailed recommendations, both short---term and long---term, based on findings;
- Identify opportunities for cost reduction and explain how savings can be realized through changes in the delivery model, business processes, policies, and/or through implementation of enabling technologies (i.e., online course delivery, classroom scheduling and utilization);
- Develop recommendations including strategies to create a more efficient environment, as well as address any impact to faculty, staff, and student workload; and
- Utilize experience in past projects and knowledge of cross---industry best practices to develop an implementation roadmap to achieve the desired results.

Pappas Consulting Group Inc.'s recommendations will address positive and negative impacts to faculty, staff, and students. Pappas Consulting Group Inc. will work in partnership with the Board, the Transformation Project Manager and the three universities to understand the mission, culture and operating culture of each institution. Pappas Consulting Group Inc. will make several on---site visits to be coordinated through the Board Office and spend considerable time working with faculty, administrators, the Regents, and students throughout the engagement.

## 2. Deliverables

- a. A Communications Plan detailing key messages with particular emphasis on change management and the engagement of campus constituencies.
- b. A detailed action plan that includes intermediate actions that can be implemented to achieve overall objectives.
- c. An action plan with metrics to enable the measurement of improvement for each item proposed.
- d. A proposed methodology for defining, tracking and reporting on actual net savings.
- e. Process flow diagrams (where applicable) and written summaries of the existing organizational structures/processes including strengths and opportunities for improvement as well as identify areas that are sufficient, as they currently exist.
- f. A timeframe for regular activity reports relevant to the agreed upon scope of work for the Board.
- g. Reports of findings and progress (on implementation) to the Board.
- h. A final report.
- i. Within fifteen (15) days of receipt of a Deliverable, the Board shall provide Pappas Consulting Group Inc. with written notice of one of the following:
  - i. the Deliverable conforms in all aspects required by this Agreement and is approved and accepted by the Board,
  - ii. the Deliverable does not conform with the requirements of this Agreement, but the Board waives the nonconformity and approves and accepts the Deliverable, or
  - iii. the Deliverable does not conform with the requirements of this Agreement and the Board is rejecting the Deliverable.
- j. Subject to section 21.a and Iowa Code Chapter 22, all Deliverables will become public record upon acceptance by the Board.

3. Term. The term of this Agreement shall commence on the date this Agreement has been executed by both parties and shall terminate upon satisfactory completion of the Services and acceptance of all Deliverables, unless earlier terminated by either party in accordance with Section 8.

## 4. Fees and Payment

- a. Professional Fees for Services identified herein shall be calculated on a time and materials basis not to exceed \$537,600. Pappas Consulting Inc. shall invoice the Board on a monthly basis for Services actually rendered, with payment for properly documented Professional Fees due thirty (30) days following the Board's receipt of an invoice. The Board reserves the right to retain an amount not to exceed 10% of each properly documented Professional Fee invoice pending satisfactory completion of the Services and final acceptance of all Deliverables. Each Professional Fee invoice shall be supported by detailed timesheets including a breakdown of work completed to confirm progress against deliverables. The following hourly rates shall apply:
  - i. Pappas - \$475
  - ii. McCarthy - \$425
  - iii. Hughes - \$475
  - iv. Bellows - \$350

- v. Quandt - \$350
- vi. Hudson - \$250
- vii. Portch - \$475

In the event any of the team members identified in Sections 4.a.i through 4.a.vii leave the employ of Pappas Consulting Group Inc. or are removed from this project for any reason, Pappas Consulting Group Inc. may propose a suitable replacement. In no event shall the hourly rate chargeable to the Board for the replacement team member exceed the corresponding rate identified herein, unless expressly agreed to in writing by the Board.

- b. In the event Professional Fees for the Services are less than the not to exceed amount of \$537,600 all savings shall accrue to the Board. In no event shall Professional Fees for the Services identified herein exceed \$537,600.
  - c. Reimbursable expenses, identified further in Section 6, shall not exceed \$134,400. Reimbursable expenses shall be invoiced on a monthly basis, with payment for properly documented expenses due thirty (30) days following the Board's receipt of an invoice.
5. Change Orders The Board, without invalidating this Agreement, may at any time direct changes in the Services (Change Order). All Change Orders shall be submitted to Pappas Consulting Group Inc. in writing. Pappas Consulting Group Inc. is responsible for reviewing a proposed Change Order and verifying the scope of Services impacted. A Change Order may result in an equitable increase or decrease in the Fees identified in Section 4. Once the parties have agreed to the applicable increase or decrease in Fees, the increase or decrease shall be documented in writing and signed by both parties.
6. Reimbursable Expenses The Board shall reimburse Pappas Consulting Group Inc., or pay directly, actual reasonable expenses incurred in the performance of the Services; including, but not limited to, administrative fees as further defined in 6.d, travel, lodging, meals, and communication and reproduction expenses. The Board may reject a request for reimbursement of expenses, in whole or in part, that does not conform to the requirements of this section. The Board's obligation to reimburse expenses is subject to the following limitations:
- a. Travel Expenses:
    - i. Automobile Mileage – IRS allowable reimbursement rate for current year
    - ii. Air Fare – Actual cost of coach class fare. **Receipts required.**
    - iii. Rental Car – Actual cost of mid-size car or smaller. **Receipts required.**
    - iv. Taxi, Airport Shuttle – Actual cost including reasonable gratuity. **Receipts required**
    - v. Parking – Actual cost. **Receipts required.**
  - b. Daily Expenses:
    - i. Lodging – Actual cost for a standard single room. **Receipts required.**
    - ii. Meals – \$40 per diem for a full day of travel. For partial days of travel the following limits apply – B = \$8, L = \$12, D = \$20. Alcohol is not a reimbursable expense.

- c. Other Expenses:
  - i. Telecommunications – Actual cost with proper supporting documentation
  - ii. Printing – Actual cost. **Receipts required.**
  - iii. Miscellaneous – Actual cost, receipts required for any single expense in excess of \$25
- d. Administrative Fees – \$75 per hour for administrative services provided by Pappas Consulting Group Inc.'s Director of Operations in direct support of the Services. Pappas Consulting Inc. will provide proper supporting documentation of administrative services provided.

#### 7. Ownership of Work Product

- a. Pappas Consulting Group Inc. agrees that any computer programs, software, documentation, discoveries, inventions, improvements, copyrightable work or other Deliverables (Work) developed by Pappas Consulting Group Inc. solely or with the assistance of others, or by any of Pappas Consulting Group Inc.'s subcontractors, as a result of the performance of Pappas Consulting Group Inc.'s responsibilities and obligations under this Agreement are the property of the Board. Pappas Consulting Group Inc. hereby assigns and transfers to the Board all rights, title and interest in and to the Work, including but not limited to, the exclusive rights to reproduce, distribute, prepare derivative works, display and perform the Work. Pappas Consulting Group Inc. agrees to assist the Board in taking whatever action reasonably necessary to preserve the Board's commercial interest in and to the Work; including, but not limited to, the filing of patent and copyright protections. To the extent that Services are provided by subcontractors who produce any portion of the Work, Pappas Consulting Group Inc. shall insure that its agreements with subcontractors include a full assignment of rights in the Work to the Board as is required herein of Pappas Consulting Group Inc.
- b. To the extent that the Work incorporates any computer programs, software, documentation, discoveries, inventions, improvements, or other copyrightable work developed by Pappas Consulting Group Inc. prior to or independently of the Services (Pappas Consulting Group Inc. Technology), Pappas Consulting Group Inc. grants to the Board the right to use any Pappas Consulting Group Inc. Technology included in the Work in connection with the Board's use of the Work.
- c. To the extent that the Work incorporates any computer programs, software, documentation, discoveries, inventions, improvements, or other copyrightable work developed by others prior to or independently of the Services (Third Party Technology), Pappas Consulting Group Inc. shall secure, at no cost to the Board, a license for the Board to use any Third Party Technology included in the Work in connection with the Board's use of the Work. Pappas Consulting Group Inc. shall indemnify and hold harmless the Board from and against any suits, claims, damages, losses, and expenses, including reasonable attorney's fees, for infringement of any patent rights or copyrights arising out of the use or incorporation of Third Party Technology in the Work.
- d. Section 7 shall survive termination of the Agreement.

#### 8. Termination

- a. For Convenience. Either party may terminate this Agreement for convenience by providing thirty (30) days advance written notice to the non-terminating party. In the event of a termination for convenience, Pappas Consulting Group Inc. shall follow any reasonable written directive of the Board to cease and/or conclude the Services. The Board shall only be responsible for payment for Services satisfactorily rendered and expenses incurred through the date of termination for convenience. Notwithstanding the forgoing, the Board shall not be responsible for payment for Services rendered or expenses incurred following delivery of a notice of termination for convenience if the Services rendered or expenses incurred are in direct contravention of any reasonable instructions provided by the Board in the notice to terminate.
- b. For Cause. In the event of a material breach, the non-breaching party may terminate this Agreement by providing the breaching party with written notice of the alleged breach and the intent to terminate. The breaching party shall have fourteen (14) days to cure the breach. In the event a breach is not or cannot be cured within fourteen (14) days from the date the breaching party is first put on notice, the nonbreaching party shall have the right to terminate this Agreement. In the event of termination for cause, the Board shall only be responsible for payment for Services satisfactorily rendered and expenses incurred through the date the notice of breach is first delivered to the breaching party.
- c. In the event of a termination under either 8.a or 8.b, the Board shall only be responsible for payment for Services satisfactorily rendered and expenses incurred through the effective date of termination. In no event shall the fees and expenses payable by the Board upon termination exceed the limits identified in Section 4.

## 9. Insurance

- a. Pappas Consulting Group Inc. shall purchase and maintain, throughout the life of this Agreement, commercial general liability insurance and commercial automobile liability insurance to protect Pappas Consulting Group Inc. from claims for bodily injury, including accidental death, personal injury, and property damage arising from operations under this Agreement, whether such operations be by Pappas Consulting Group Inc., a subcontractor, or anyone else directly or indirectly employed by Pappas Consulting Group Inc. or a subcontractor. In addition, all statutory insurance requirements, including workers' compensation, shall be met. Limits of such insurance shall be as stated below:

<u>Type of Insurance</u>	<u>Limits of Liability</u>
Workers' Compensation	Statutory
Commercial General Liability	\$1 million per occurrence
Commercial Auto Liability	\$1 million combined single limit
Errors and Omissions	\$1 million per claim

- b. With the exception of Workers' Compensation and Errors and Omissions, the "State of Iowa" and the "Board of Regents" shall be included on such policies as additional insureds. Prior to providing services under the terms of this Agreement, Pappas Consulting Group Inc. shall provide a Certificate(s) of

Insurance evidencing the required insurance coverage. Pappas Consulting Group Inc. shall maintain such insurance in effect throughout the duration of this Agreement consistent with all applicable laws and in the minimum amounts required above to cover claims arising from the performance of this Agreement. Should a policy be canceled or subject to adverse material change, Pappas Consulting Group Inc. shall provide the Board with written notice of the change at least thirty (30) days prior to the effective date of the cancellation or change. Failure to carry the required insurance coverage places Pappas Consulting Group Inc. in material breach of this Agreement.

- c. Certificate(s) of Insurance on current ACORD forms, which shall be acceptable to the Board, shall be addressed to:

The Board of Regents, State of Iowa  
11260 Aurora Avenue  
Urbandale, Iowa 50322

- d. Pappas Consulting Group Inc. shall either (1) require each subcontractor performing Services hereunder to procure and to maintain during the life of each associated subcontract liability insurance of the type and in the same amounts as specified herein, or (2) provide coverage for the activities of the subcontractor(s) in Pappas Consulting Group Inc.'s own policies.
- e. Pappas Consulting Group Inc. shall automatically renew policies which expire during the term of this Agreement and provide the Board with certificates as evidence of such renewal.

#### 10. Indemnification

- a. To the fullest extent permitted by law, Pappas Consulting Group Inc. shall defend, indemnify and hold harmless the Board, the Universities, and their agents and employees from and against all claims, damages, losses, and expenses, including reasonable attorney's fees, arising out of or resulting from the negligent or intentional acts or omissions of Pappas Consulting Group Inc., its officers, agents, or employees in the performance of this Agreement.
- b. To the extent permitted by Iowa Code Chapter 669, the Board shall defend, indemnify and hold harmless Pappas Consulting Group Inc., its agents and employees from and against all claims, damages, losses, and expenses, including reasonable attorney's fees, arising out of or resulting from the negligent or intentional acts or omissions of the Board, its officers, agents, or employees in the performance of this Agreement.

- 11. Independent Contractor Status Pappas Consulting Group Inc. agrees that the relationship between Pappas Consulting Group Inc. and the Board is that of an independent contractor. Pappas Consulting Group Inc. shall be solely responsible for self-employment, income or any other taxes relating to payment under this agreement including those of any employees. Pappas Consulting Group Inc. shall be solely responsible for liability, disability and health insurance coverage.

12. Assignment The covenants, conditions, and obligations contained in this Agreement shall be binding on and inure to the benefit of the respective successors and assigns of the Board and Pappas Consulting Group Inc. to the same extent as if each successor and assign were named as a party to this Agreement. Notwithstanding the forgoing, neither party shall assign the Agreement, in whole or in part, without prior written consent of the other party, and any attempt to do so shall be void and ineffective.
13. Subcontracting Pappas Consulting Group Inc. shall not subcontract all or any portion of the Services to be provided under the terms of this Agreement to any other party or entity unless prior written consent is granted by the Board. Pappas Consulting Group Inc. shall provide the Board with advance notice of any proposed subcontractor, and the Board shall notify Pappas Consulting Group Inc. in writing of any reasonable objection to a proposed subcontractor. In the event the Board reasonably objects to a proposed subcontractor, Pappas Consulting Group Inc. shall propose a new subcontractor or perform the Services to be subcontracted itself.
14. Use of Marks Pappas Consulting Group Inc. shall not use the name or marks of the Board of Regents or the Universities in any commercial advertising, or as a business reference, without the express written consent of the Board or, when applicable, the University in question.
15. Non-Availability of Funds Notwithstanding any other provisions of this agreement, if funds anticipated for the continued fulfillment of this Agreement are at any time not forthcoming or insufficient, either through the failure of the Federal government or the State of Iowa to appropriate funds or through deappropriation, then the Board shall have the right to terminate this Agreement immediately without penalty by giving written notice documenting the lack of funding.
16. Choice of Law The terms of this Agreement, including all attachments and amendments, and all matters relating to this engagement, shall be governed by and construed in accordance with the laws of the State of Iowa. Any action based on or arising out of this Agreement shall be brought and maintained exclusively in state or federal court in Polk County, Iowa.
17. Severability In the event any term or provision of this Agreement, or the application thereof to either party, is held invalid, illegal, or unenforceable in any respect, the other provisions of this Agreement or the application thereof to either party shall continue to be valid and enforceable to the fullest extent permitted by law.
18. No Waiver of Rights No action or failure to act by the Board or Pappas Consulting Group Inc. shall constitute a waiver of a right or duty under this Agreement, nor shall such action or failure to act constitute approval or acquiescence in a breach of this Agreement except as expressly agreed to in writing.
19. Force Majeure If a party's ability to perform an obligation of this Agreement is delayed at any time by reason of acts of God, war, civil commotion, riots, inclement weather, strikes or other labor disputes by employees of a third party, inability to obtain required government permits, fire, epidemic, or similar causes beyond the reasonable control of the party (Permitted Delay), then the time for performance shall be appropriately extended by the time of delay actually caused by the circumstance or event. The party

claiming a Permitted Delay shall promptly notify the other party in writing of the Permitted Delay and the event causing the delay.


20. Entire Agreement None of the covenants, provisions, terms or conditions of this Agreement shall be in any manner modified, waived or abandoned, except by a written instrument signed by both parties. This Agreement contains the entire agreement of the parties.

21. Iowa Open Records Act and Confidential Information

- a. The parties recognize that as an agency of the State of Iowa the Board is subject to the requirements of Iowa Code Chapter 22, the Iowa Open Records Act. Pappas Consulting Group Inc. shall identify in writing any information provided to the Board pursuant to this Agreement which Pappas Consulting Group Inc. reasonably believes represents a trade secret or other confidential information which may fall within one of the exceptions identified in Iowa Code section 22.7. Pappas Consulting Group Inc.'s designation of information as confidential is for informational purposes only and is not binding on the Board. The Board will notify Pappas Consulting Group Inc. of a request for any information previously designated in writing by Pappas Consulting Group Inc. as confidential, unless prohibited by law.
- b. The Board may provide Pappas Consulting Group Inc. access to information that is considered confidential in accordance with State or Federal laws, including the Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. § 1232g, or is otherwise exempt from public disclosure under Iowa Code section 22.7 (collectively, Board's Confidential Information). Pappas Consulting Group Inc. agrees to only use the Board's Confidential Information in connection with the Services. To the extent that Pappas Consulting Group Inc. is provided access to any of the Board's Confidential Information it shall protect against unauthorized redisclosures using at least the same degree of care it employs in maintaining the confidence of its own confidential information, and in any event, no less than a reasonable degree of care given the confidential nature of the information. The Board hereby consents to Pappas Consulting Group Inc.'s disclosure of such confidential information (1) to subcontractors engaged by Pappas Consulting Group Inc. to perform Services who have been bound by confidentiality provisions similar to those contained in this Agreement, or (2) as may be required by law, regulation, or a lawfully issued judicial or administrative order.
- c. Notwithstanding anything contained in the foregoing, Pappas Consulting Group Inc. shall not be provided access to any personally identifiable student information subject to the protections of FERPA (FERPA Data) unless and until it enters into a FERPA Memorandum of Agreement (FERPA MOA) with each University and the Board. The FERPA MOA shall govern the exchange of FERPA Data, and shall be appended to and fully incorporated in this Agreement. To the extent that there is a conflict between a term or provision contained in this Agreement and a term or provision contained in the FERPA MOA, the FERPA MOA shall control.
- d. The requirements of Section 21 shall apply to any subcontractor that Pappas Consulting Group Inc. enters into agreement with to perform any portion of the



Services. Pappas Consulting Group Inc. shall include in all subcontracts a provision that complies in all material aspects with Section 21. Subcontractors requesting access to FERPA Data will be required to execute a FERPA MOA in accordance with Section 21.c.

 2.17.15  
Robert Donley  
Executive Director  
Board of Regents

Date

  
Alceste Pappas  
President and CEO  
Pappas Consulting Group Inc.

2/17/2015

Date