



College of Alameda



Follow-up Report in Support of Reaffirmation of Accreditation

Submitted by
College of Alameda
555 Ralph Appezato Memorial Parkway
Alameda, California 94501

to

Accrediting Commission for Community and Junior Colleges
Western Association of Schools and Colleges

December 31, 2009



Berkeley City College

College of Alameda

Laney College

Merritt College





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Statement on Report Preparation

District Statement on Report Preparation

Each of the four colleges in the Peralta Community College District completed a Comprehensive Self-Study report and submitted it to the Accrediting Commission for Community and Junior College in early 2009. Accreditation teams visited the four colleges from March 9-12, 2009 for the purpose of evaluating the colleges' request for reaffirmation of accreditation. Several members of the four teams also met with the chancellor and district staff at the district office on Monday, March 9, 2009 prior to arriving at the colleges. Team members met with district staff to assess areas such as finance, physical facilities, human resources, technology resources, governance, budgeting, and board relations for the operation of the district.

On March 12, 2009, each of the college visiting teams provided an oral report on findings from the visits and noted both commendations and recommendations. At a later date, each of the college presidents was provided a draft of their college's Evaluation Report and had the opportunity to review the report for factual error. Those reports were reviewed by ACCJC at their June 9-11, 2009 commission meeting. ACCJC sent the four colleges and the district office letters dated June 30, 2009 stating the action the commission took on reaffirmation of accreditation.

Based on the March 12, 2009 visiting team exit reports, the district was well aware that there would be district recommendations. Those recommendations were documented in the June 30, 2009 commission letters and the commission directed the colleges/district to respond to these recommendations in a progress report to the Commission, with an ACCJC team follow-up visit on March 15, 2010.

A major district recommendation focuses on *Financial Resources and Technology* (COA-Recommendation #5). This recommendation evolves from the difficulties the district has experienced in the full implementation of an enterprise management system (PeopleSoft). Those difficulties include full installation and implementation of all necessary financial system modules, training of staff in order to move from the methodology of the legacy system to the methodology of an enterprise management system, and the resultant effects which led to material weaknesses and substantive findings delineated in the 2007-2008 independent audit report.

The district has been working since the purchase of the PeopleSoft software system to fully implement it. The district has taken this recommendation seriously and recognizes the pressing need to respond to this recommendation and the need to have the project implementation completed no later than 2011. The exit reports and the ACCJC action letter highlighted the need for a quick resolution within the next two years, to insure the stability of the district; and the district readily agrees with the requirement.

The district response to this recommendation was completed with the assistance of the Vice Chancellor of Finance and Administration and his staff, as well as the Associate Vice Chancellor of Information Technology, and key college business office personnel.

A second recommendation, in keeping with the previous recommendation, focused on an *Integrated Management Systems* (COA-Recommendation #7), and essentially requires the district to resolve the functional issues associated with the implementation of the PeopleSoft enterprise system, with specific focus on the Student Administration system. The colleges and the district recognized the importance of this issue even prior to the team visit. While the district has been responding to a full and functional implementation of PeopleSoft, the ACCJC recommendation has only spotlighted the need for quicker results.

The district response to this recommendation was completed with the assistance of the Vice Chancellor of Finance and Administration, the Associate Vice Chancellor of Information Technology and his staff, the Vice Chancellor of Educational Services, the Associate Vice Chancellor of Academic Affairs, the Associate Vice Chancellor of Student Services, and key faculty, administrators and staff at each of the four colleges.

College Statement on Report Preparation

Like the district, the College of Alameda has been diligently working to address the recommendations highlighted in the March 9-12 visiting team report. The college's first staff development day, August 19, 2009, began with a review of the March 12, 2009 visiting team exit report and the recommendations documented in the June 30, 2009 commission letter to the college. Dr. Jannett Jackson, the Accreditation Liaison Officer (ALO), established a timeline for completion of the report and provided a list of faculty, staff and administrators who agreed to be a part of the recommendation subcommittees.

The ALO and the college Accreditation Committee has led the campus effort in preparing this Follow-Up Report. Throughout the semester the Accreditation Committee met and received updates on the progress the subcommittees were making on their respective recommendations. On October 20th, the college held its second flex day, and an update on the accreditation progress-to-date was provided to the campus.

After compilation and initial editing, a draft version of this report was disseminated in hardcopy and was posted on the college's website for faculty, staff and administrators' review, correction and suggestions. Feedback was forwarded to Dr. Jackson for inclusion in the final document. The final report was reviewed and accepted by the college Accreditation Committee and forwarded to the College Council which approved it on December 2, 2009. It was also approved by all shared governance bodies prior to forwarding to the College President for submission to the



Chancellor and the Peralta Community College District Board of Trustees. The report was reviewed by the Peralta Community College Board of Trustees at its regular meeting on February 9, 2010 and approved at the February 23, 2010 meeting. Administrative Assistant to the President, Teodora Washington and Staff Assistant to the Vice President of Instruction, Lynn Torres, oversaw the initial production of the report. Public Information Officer, Shirleen Schermerhorn, prepared the cover; and format, layout and line editing of the final report was done under the supervision of the ALO. A list of the faculty staff and administrators who worked on the six recommendations are included as part of this document.

The college was pleased with the team's nine (9) commendations and has been working diligently to address the four recommendations¹ specific to College of Alameda and has made significant progress on the two recommendations that require district and college collaboration.

The college appreciates the accreditation team's feedback and support, and is eager to continuously improve in order for our students to be successful in meeting their educational goals. Both the college along with the District acknowledges that efforts to positively address these recommendations will affect the colleges' ability to provide quality educational programs and services which will assist us in more effectively accomplishing our mission.

Respectfully submitted,

George Herring, EdD
President, College of Alameda

¹ At the AACJC/WASC meeting June 2009, Recommendation #6 which was part of the final team report, was eliminated from the Commission's letter. Recommendation #6 focused on the college's integrated budget development process.



College of Alameda Timeline Accreditation Follow-Up Report

Selection of committee members for the various standards, convening of the first steering committee meeting, and identifying and beginning data gathering and correction of areas of concern are the first steps, to be done immediately. The timeline to be followed is:

<u>Fall 2009</u>	<u>Deadline</u>
Establish timeline	Aug 11
Prepare progress report	
Begin writing 2009-10 faculty, staff and administration survey	
Continue steering and standard committee meetings	
Receive faculty, staff and administrator feedback	
Continue editing	
Determine report formatting, create style sheet	
Complete final editing	Oct 30
Distribute preliminary copy of Accreditation Follow-Up Report	Nov 2
Request college review and input from constituency groups (Department Chairs, Academic Senate, Classified Senate, College Council)	Nov 30
Present COA Accreditation Follow-Up Report 2009 at Open Forums (2 at a minimum, College Hours & late afternoon)	Dec 1
Approval by Constituency Groups & College Council, no later than	Dec 18
Final Report with input from COA Faculty & Staff	Dec 31
Organize standard document files	
Continuous	
Confirm Evaluation Team arrangements	
<u>Spring 2010</u>	<u>Deadline</u>
Send final report to PCCD Governing Board	Feb 4
Request PCCD Governing Board validation & approval	Feb 23
Mail COA Self-Study Report to Accreditation Commission no later than	Feb 29
Complete final organization of standard document files	
Set up Team Room	
Prepare college for Evaluation Team Visit	Mar 15



**Accreditation Team Recommendations
College of Alameda
and the
Peralta Community College District (PCCD)**

Recommendation 1

In order to meet the Standard and build upon the considerable progress made in developing a systematic, integrated district-wide planning process, the team recommends that the college move forward in implementing its own comprehensive and integrated strategic planning process that is tied to the college's mission, values, goals and priorities and includes the evaluation and refinement of key processes to improve student learning and promote institutional effectiveness. (Standards 1A.4, 1B.2, 1B.3, 1B.4, 1B.6, 1B.7, 2A.1a, 2A.2.f, 2B.4, 2C.2, 3A.6, 3B.1.a, 3B.2.a, 3B.2.b, 3C.1.c, 3C.2, 3D.1, 3D.3, 4A.1, 4A.2, 4A.5, 4B.2, 4B.2.b)

Overview

In response to the recommendation, the College of Alameda began the process of updating and revising its integrated planning and budget (IPB) model.

Introduction: The goals of the subcommittee for Recommendation 1 were to integrate a systematic and comprehensive college strategic and operational planning model to align with the district-wide planning and budgeting plan, while honoring processes that were familiar to faculty and staff at College of Alameda (COA). The COA processes are tied to the college's vision, values and mission, and incorporates action priorities with institutional outcomes of academic excellence, student success and fiscal responsibility.

The strategic portion of the IPB model in the following illustration (Illustration I) is a full-cycle review. At the beginning of every year, a joint meeting of managers, the College Council and Academic Senate reviews the college's mission and goals by a defined set of data. These data sets include but are not limited to institutional learning objectives; student learning outcomes (SLOs); college-wide reports such as the student equity plan, educational master plan, technology plan, etc., national and state reports (ARCC, IPEDS, CSSEE, etc.); and college and district strategic plans. Using the college goals and the data sets previously referenced, measurable action priorities for each of the college's goals are constructed. The action priorities are benchmarked and will be evaluated each year for the extent to which they have been achieved. Each year new priorities may be added; however, preceding priorities will remain until completed. This joint committee will use a benchmark scorecard consisting of quantitative and qualitative data.

The operational portion of the IPB model (Illustration I), in a vertical display, shows that the college committees with council members and coordinating bodies for the unit plans and program reviews are



informed of the strategic priorities and are asked that they address the priorities, where pertinent, in their program reviews, unit plans and committee investigations and reports.

The culminating product of the operational plan are the budget requests submitted to the managers for review and ranking using a numerical rating matrix and then transmitted to the joint review bodies and finally forwarded to the budget committee. As the budget requests are reviewed by the Academic Senate, Council and finally the Budget Committee, the ratings assigned to the proposals may change by joint consultation with the reviewing bodies.

The top-ranked proposals are submitted to the College President who has the power to veto any proposal or to request further justifications. The proposals accepted by the President are sent to respective district-wide committees (e.g., Education, Technology and Facilities) for integration into the district-wide planning process. The purpose of these district committees is to review requests for resource sharing and to negotiate district-wide programs. Any disputes regarding funding and/or allocations persisting after review by the district Education, Technology and Facilities Committees are forwarded to the district Planning and Budgeting Council for disposition. Final recommendations are then forwarded to the Chancellor, who consults with the Senior Management Team (SMT)².

College Action Plan: The Planning and Assessment Process (Illustration II) is intended to further support the IPB process by emphasizing the cyclical and systematic nature of planning, implementation, assessment and revision. It is similar to the cycle of inquiry in that it illustrates the cycle of planning and review, with revision of actions after review of data sets, identification of strengths and weaknesses, and with weaknesses crafting action priorities. Once the action priorities are crafted, they are measured with benchmarks, either by trend analysis or with baseline averaging using the AACJC/WASC Rubric for Evaluating Institutional Effectiveness for planning, program review and student learning outcomes.

The new IPB model is undergoing governance review for input and revision. It is anticipated that the reviewing bodies may change in their assigned responsibilities while the end products of the basic structure will retain the structure proposed herein. Along the way, the clarifications of the committees' functions must be clearly defined and stated by expected annual reports that, where appropriate, can be added to both annual reviews and ongoing program and unit plan analysis.

Terminal documents (program reviews, unit plans, and executive summaries with recommendations from the committees) will be examined for intent, specifically including references to resource allocations: budget, human resources, facilities/equipment and technology.

Analysis of Results to Date: Integrated College planning is regarded as a process; one that will require careful planning, a period of testing for implementation, an assessment of both outcomes and

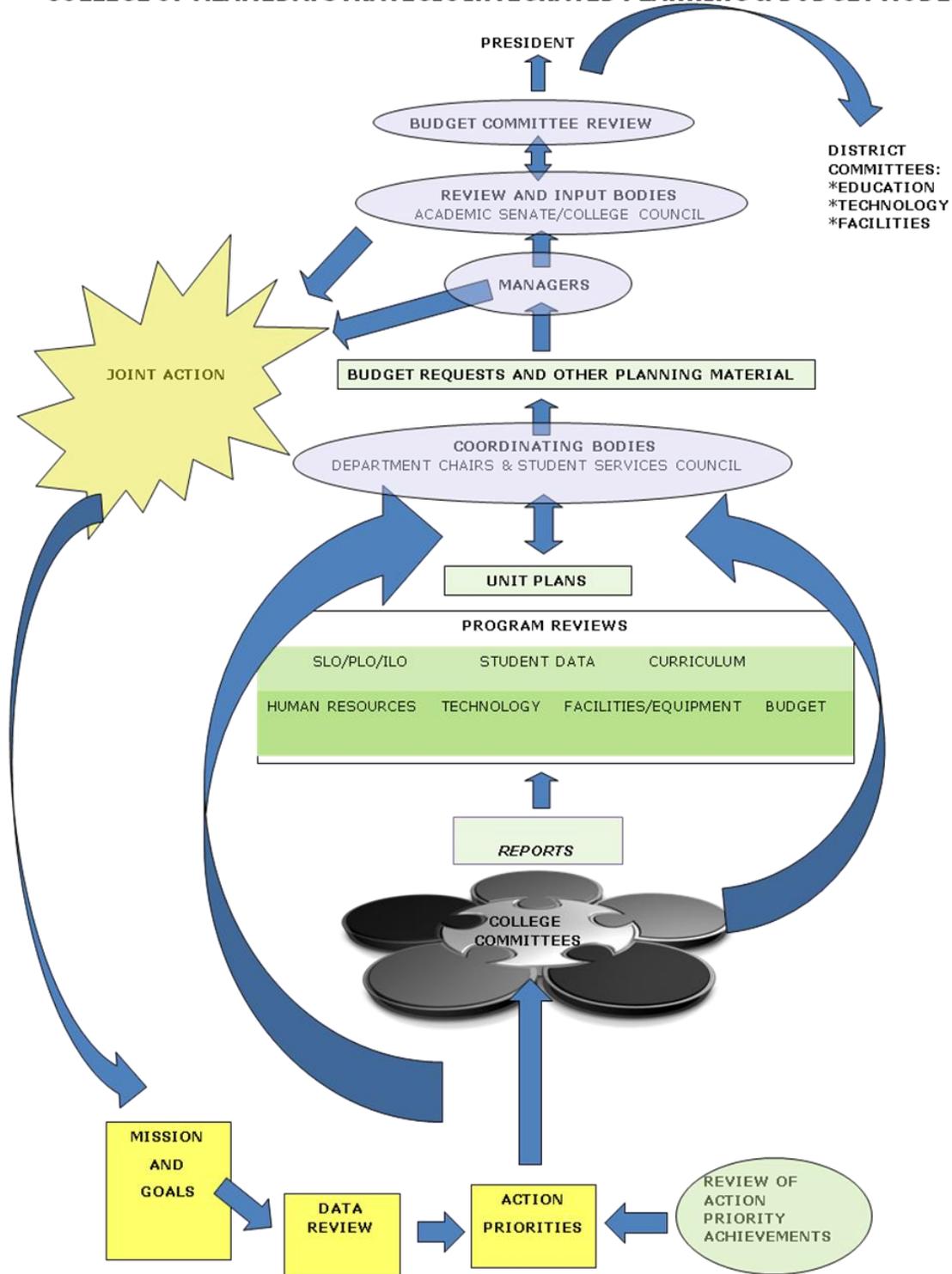
² Primary members of the SMT include the district Vice Chancellors, College Presidents and the General Counsel, as necessary other members augment this body as part of the Executive Cabinet.



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processes, and an evaluation as to the appropriateness of the plan and its ability to address the college in an integrated manner. The college has continued to forge ahead to fully implement and to institutionalize the IPB process. Much progress has been made to date as evidenced by the Planning and Budget Integration Handbook and the IPB Model which follows. The College is committed to institutionalizing this process in the coming months.

COLLEGE OF ALAMEDA: STRATEGIC INTEGRATED PLANNING & BUDGET MODEL



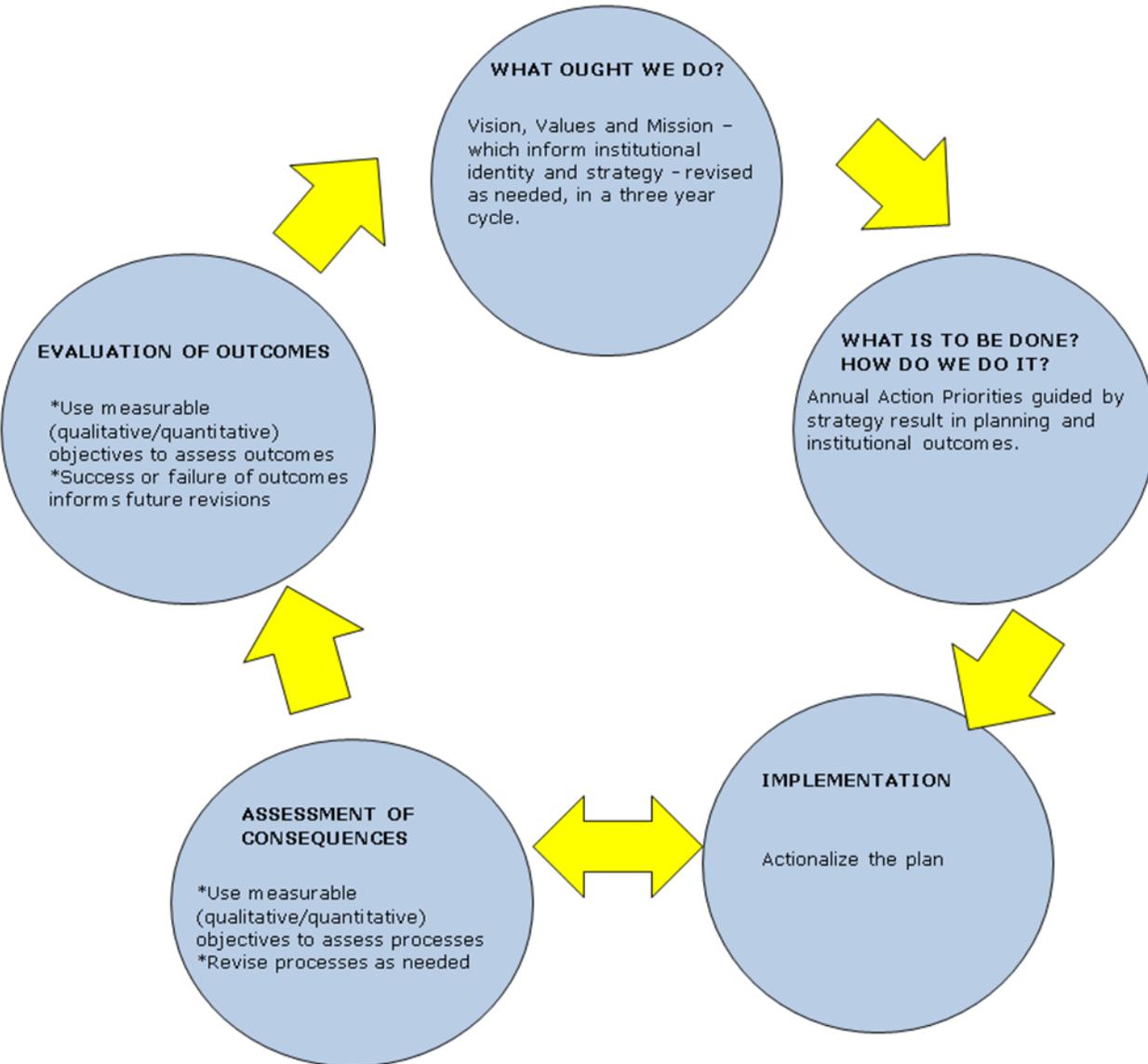
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Key: circles = actions, rectangles = products

Illustration I

Illustration II

The Planning and Assessment Process



When there are needs or college decision made that affect one or more of the other district colleges, the District Committees: Education, Technology and Facilities come into play. Issues are discussed and these district committees; any recommendations are then forwarded to the District Planning and Budget



Council (PBC) for further review and could result in the issue (or issues) being referred to the Chancellor for final resolution.

Evidence:

1. Recommendation #1 Subcommittee Minutes
2. District Strategic Planning and Budget Model
3. College of Alameda Integrated Planning Handbook, version 16
4. PCCD Strategic Plan
5. College of Alameda Institutional Self Study, Dec 2008
<http://www.peralta.edu/coa/library/accreditation/index.html>
6. District Planning and Budget Integration Overview(CWG),
http://eperalta.org/wp/pbi/files/2009/09/pbi-overview_081009.pdf
7. College of Alameda Flex Day, Accreditation Follow-Up Report, Jan 20, 2010
8. College of Alameda Flex Day, Accreditation Update, August 2009
9. College of Alameda Open Forums, Dec 1, 2009
10. Accreditation Follow-Up Report Timeline
11. COA Integrated Planning Subcommittee emails

Recommendation 2

In order to meet the Standard, the team recommends that systems to support internal campus communication, as well as college-district communication, be improved to support the optimal functioning of the college in promoting student learning (Standards 1B.1, 1B.2, 1B.4, 1B.5, 1B.7, 2A.2.a, 2A.2.b, 2A.2.f, 2B.4, 2C.2, 3A.6, 3B.2.b, 3C.2, 3D.1.a, 3D.1.d, 3D.3, 4A.1, 4A.2, 4A.2.a, 4A.3, 4A.5, 4B.2, 4B.2.b, 4B.2.e, 4B.3, 4B.3.f)

Overview

During the past five years the college struggled with changing from an institution that operated ad-hoc and by consensus, to an institution driven by planning (with all the right elements, a vision, mission, goals, and strategic directions), but with little understanding by the many college constituencies of how the new processes operated. As a result of the WASC visit, college leaders are more keenly aware that not only do processes have to be in place, but that the leadership should communicate those processes with intentionality and clarity.

Introduction: At the core of the recommendation is the need for the College to develop “systems to support internal campus communication”, as well as improve “college-district communication” that supports the optimal functioning of the college in promoting student learning. The need for improved communication reaches across several standards and represents a systemic problem that jeopardizes the fostering of collaboration amongst campus constituency groups and negatively affects the success of



our students. The College has therefore chosen to address this recommendation by reviewing specific themes that emerged from evaluating the standards identified in the recommendation references.

Ongoing collegial and self-reflective dialogue about improvement of student learning and institutional processes: The College continues to encourage dialogue amongst its various constituency groups to promote institutional effectiveness which support student learning and success. Internal campus communication systems to strengthen the quality of student learning and institutional processes have been improved through the exchange of minutes for each of the standing committees of the College Council that are now being published on-line, under college governance on the college's web page, and are also being made available in the library for all of the campus community ([http://alameda.peralta.edu/apps/comm.asp?\\$1=20310&menu=public](http://alameda.peralta.edu/apps/comm.asp?$1=20310&menu=public)). Also, the duplication of the same individuals that serve on a majority of the nineteen (19) COA committees adds clearer personal understanding and clarity on campus issues. Since the College of Alameda is a small college, members of the President's Cabinet also serve on the College Council and these individuals are on many of the standing committees that are described in the College Standing Committees document.

It is encouraging to note that issues regarding physical, fiscal, and personnel matters that affect the entire college community are being more clearly addressed throughout the numerous entities of the college committees. The primary action priorities of the college are being addressed in each of these committees, and increased dialogue on each of the priorities throughout the body of the committees is becoming more unanimous as mechanisms for fulfilling them are being implemented and measured as to their effectiveness.

Beginning in 2004, the results of the planning grant activities and the resulting planning matrix that addresses enrollment management and defined institutional learning outcomes, has proven to be effective in the improvement of internal campus communication. The five major grant projects that have been instituted and noted in the 2008 Institutional Self Study, pgs. IB-2 and 3 included as Appendix I. According to end of year and final reports these projects have also been successful in meeting their given outcomes. The sharing of the analysis across the campus community has resulted in the development of new course sections and increased retention in specific target groups of students.

Communication of Institutional Goals and Institutional Effectiveness: Unit plans that address institutional goals have been developed and completed at the department and discipline level throughout the college. A review of the completed plans is being undertaken by the managers and department chairs using the process outlined in Illustration I. The instructional and the department chairs rank each priority request and the non-instructional departments have done likewise within the Student Services Council. The leaders of each of these areas are sharing the information that has resulted from their reviews and rankings with the various committees identified in the IPB process. This information will be presented to the College Council for forwarding to the College President. As indicated previously, this process is currently being refined and codified as outlined in the College's response to Recommendation 1.

The College's four action items are linked to specific objectives and are now being joined to expected institutional outcomes. This will be used to evaluate the progress made in goal achievement to be

measured in the subsequent year. The narrative timeline has been translated into a flow chart that will provide the visual cues to map the flow of planning proposals and budget requests (Illustration I & II). Additionally, mechanisms for increased clarity are being implemented between the administrative, faculty, and staff committee levels so that each will understand the recommendation and approval processes of the college.

The three evaluation methods that were put forth to verify how the various college committee levels comprehend the goal implementation and assessment processes have surmised that the various committee collaborations are beginning to work effectively towards goal achievement. Also, the staff is generally in agreement that the college has set forth action priorities that are consistent with its purposes. The Curriculum Committee as part of its responsibility for catalog oversight has taken the lead in looking at the institutional learning outcomes as they relate to the college's mission, vision and its alignment with Title 5 Ed Code on community college outcomes. This includes re-reviewing data, identifying areas for goal re-setting, and validating processes used to measure goals. Thus more deliberate goal-setting mechanisms are being undertaken to periodically evaluate the college action plans based on ongoing data.

Planning process is broad-based, opportunities for input offered, resource allocation, improved institutional effectiveness: The subcommittee working on Recommendation #1 has developed an integrated strategic process that further elucidates the college's planning and budget process in accordance with our mission and goals. The Student Success Initiative/Basic Skills Initiative (SSI/BSI) has implemented its planning document that includes the fostering of learning communities aimed at improving student enrollment, retention and success in the basic skills areas. Overall, the attitude of the faculty and staff is becoming more positive in its belief that college planning is becoming more broad-based and that allocation of increasingly limited resources are being used positively to change and improve the institution.

Increasingly, the six assessment vehicles that are being utilized by the college noted in the 2009 Accreditation Self-Study, Standard 1-B page 12, are being documented, evaluated and disseminated, they include:

- Departmental assessments: Special evaluations on SSPIRE, Student and Faculty surveys of Library Instructional Programs and Services, and various Student Health surveys.
- The Community College Survey of Student Engagement (CCSSE), which measures institutional Learning Outcomes and benchmarks, used every other year beginning Spring 2007.
- The Equity Plan, which measures improvements in student course success and persistence, basic skills success and persistence, degree and certificate attainment, and transfer by students' age, gender, race/ethnicity, and disability.
- The Accountability Report for Community Colleges (ARCC), used in many different reports such as the Equity Plan and Fact Book, and supplements/supports other data collection.
- Unit (discipline) plans, which include overall enrollments, FTES, and productivity used for measuring discipline progress. In Fall 2009, a new form was adopted that include the status of student learning outcomes (SLOs). It is intended that the assessments will assist in bridging the SLOs to overall course success.



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- The COA Fact Book, initiated in June 2008 and updated in fall 2009 provides formative and summative data on student enrollment and demographics.

The college endeavors to disseminate and share information to its various constituency groups through the college newsletter, “COA Today”, on staff development days, through standing committees, through faculty and staff retreats, via electronic communication, publications, and through special forums. Additionally, the college has employed a student hourly to assist the Public Information Officer (PIO) in web updating in order to centralize and facilitate the posting of pertinent data in a more prompt manner. This has resulted in a webpage called College Governance with a link to the committee meetings and agenda items ([http://alameda.peralta.edu/apps/comm.asp?\\$1=20310&menu=public](http://alameda.peralta.edu/apps/comm.asp?$1=20310&menu=public)).

Six various assessment mechanisms that are consistently collected by the college (cited in the 2008 Self Study on page 12 of Standard 1-B and included as Appendix II), in conjunction with the review cycles compiled by the five Student Service units noted on page 13, the library review cycles, and the review cycle of all units provide information for the determination the effectiveness our college programs and services. This compiled information is decimated throughout the appropriate college bodies. The shared governance structure which makes available to all staff the recommendations on the policy and budgetary decision-making process is facilitating the construction of clearer objectives with measurable outcomes that will lead to further improvement of instructional programs, student support services, library and other learning support services.

Communication between advisory groups and the campus at large is facilitated by participating faculty who serve on these groups, but are also liaisons to the respective vocational departments. Many of the vocational faculty serve on the Academic Senate or College Council and often report on the assessment and evaluation of vocational programs through their advisory committees and the broader campus.

Ongoing, systematic evaluation and integrated planning and makes the results available to appropriate constituencies: College of Alameda understands the importance of ongoing planning and evaluation and has created an integrated planning process that involves participation of all departments, programs, faculty and staff. The 2010-2011 Integrated Planning and Budget Timeline indicates the process of ongoing and systematic planning and is published on the college website and documented in minutes, agendas and completed unit plans.

In fall 2009, all departments and programs are completing their respective unit plans which include programmatic recommendations, course additions, budget planning and action plans. Data was provided by the campus researcher to assist in evaluating course, program, and institutional effectiveness. According to the timeline, once unit plans are completed and reviewed by divisions, the Management Team reviews them and then they are sent to the Budget Committee for validation of the process and further discussion. This allows for effective use of budget resources once planning is completed. This Integrated Planning and Budget process is cyclical and will occur systematically every



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year. This process is also being documented in the IPB Handbook and is being addressed in Recommendation 1 above.

The College provides for a systematic and regular review of its student support services and instructional unit plans based on the Integrated Planning and Budget Cycle. Programs complete annual unit plans which are then reviewed by the Department Chairs and the Student Services Council. The completed unit plans can be viewed on the College website:

(<http://www.peralta.edu/coa/library/planningdocs.html#unit>). Action plans and budget requests are prioritized and then forwarded to the Management Team and then to the Budget Committee for review.

Evaluation of instructional and student support services contributes to the achievement of student learning outcomes by utilizing results to improve services. Information from the evaluation of SLOs and program assessment is incorporated into College documents like the Educational Master Plan, College Fact Book, and Matriculation Plan and are also published on the website.

Library and other learning support services such as the Learning Resources Center, are evaluated through faculty, staff, and student input in the form of informal and formal methods of assessment including student surveys, class evaluations, and faculty/staff interviews. This information is used to develop the unit plans as well as program reviews. These documents are posted at the Library website (<http://alameda.peralta.edu/library>). This summative information obtained through evaluations is incorporated into the Educational Master Plan and Facilities Master Plan which is shared with the college constituency groups through forums, meetings and postings on the web.

This process has proven successful but needs to be constantly reinforced and is a key functional component to improved intra-campus communication.

College-district communication. In spring 2009, the Chancellor convened a Chancellor's Working Group (CWG) to seriously address the effectiveness of the current district planning and decision-making committees. The CWG was to determine if a more effective structure and process could be formulated with the goal to facilitate campus and district-wide communication.

The Chancellor's Working Group (CWG) was comprised of four representatives from the Peralta Federation of Teachers, four representatives from the District Academic Senate, two classified staff representatives, one college president, one vice president of instruction and two administrators from the district office, the Associate Vice Chancellor of Academic Affairs and the District's Legal Counsel, who assumed the role of district strategic planning manager. The Chancellor attended meetings at key points in the process. It should be noted that the CWG group came together for the first time on January 22, 2009, a least six weeks prior to when the ACCJC evaluation teams came to evaluate the four colleges and the district office. After January 22, 2009, the CWG met on January 27; February 3, 12, and 26; March 3; April 7 and 8; and May 7, 20, and 27. Information about the work-to-date was presented on February 19, 2009 at a district off-site accreditation retreat. Town Hall meetings were held at the four colleges during the week of May 11 to 15, 2009 to review the work and recommendations of the Chancellor's Working Group and to solicit reaction to their recommendations.



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A presentation on the proposal from the CWG was presented on Staff Development Day, August 18, 2009. A planning retreat (official “kick off”) was held on August 28, 2009 in Jack London Square.

The CWG process for arriving at an agreed upon “work product” was intense, at times confrontational, and in the end constructive. The Chancellor asked the CWG to study the issues and recommend options for improving the functioning of the district-wide advisory and decision-making process. The Chancellor requested that the CWG recommend improvement to:

- Streamline the process for developing recommendations on planning and budgeting;
- Ensure effective shared governance participation and discussion; and
- Deliver thoughtful, data-driven recommendations.

Early on in the process, the CWG established the following guiding principles:

1. Educational planning and needs (including services) should be the foundation of all decision-making.
2. College planning should be the primary source for determining shared governance recommendations. The role of the district-wide committees and processes is to provide uniform data, assure consistency, and to encourage and promote coordination. Colleges are the primary source because they are closest to student needs and have educational expertise.
3. There needs to be a clear flow of communication between committees so that the development of recommendations is transparent and logical.
4. The Planning and Budget Council (PBC) has authority to make a recommendation to the Chancellor and to make recommendations on initiatives proposed by the Chancellor. As per existing policies and procedures, the Chancellor and Board provide a response to advisory and constituency bodies if the recommendations are not adopted and are substantively modified.
5. All constituencies have the right to make recommendations directly to the Chancellor and Board.
6. The intent is to have a clear path from recommendations to consideration in the decision-making cycle.
7. All decisions and minutes shall be documented and publicized widely, using all available means. This ensures effective communication to colleges and constituencies.

It was agreed that this district-level process would be implemented in fall 2009 for the 2009-2010 academic year. At the end of the academic year, this process will be reviewed and evaluated, and any needed improvements put forward for review and adoption.

The district-level process or the Planning and Budget Integration Model (PBIM) and committee structure is comprised of the District Technology Committee, the District Education Committee, and the District Facilities Committee. In addition, there is a higher level District Planning and Budget Council which reports directly to the Chancellor. Each of these four committees includes the appropriate district office Vice Chancellor, a college President, as well as appropriate administrators, faculty, and staff. The goal is to move to more highly supported action meetings with key decision-making milestones, rather than the more frequent discussion-oriented sessions. Through this process the committees and their membership will have the ability to actively address district services issues by



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using well-designed meeting agendas to focus on those “services” which are centralized and those that require collaboration between the district office and the colleges.

This process acknowledges college planning is the foundation of the PBI as the colleges are closest to the educational needs of the students. As the first element of the PBI, the colleges conduct periodic program reviews, prepare annual unit plans, and develop annual educational and resource plan priorities. The colleges integrate the results of their “subject-matter” committees into college planning, e.g. technology committees, curriculum committees, facilities committees, etc. During periodic master planning and during annual institutional planning, the colleges develop plans addressing: instructional and student services programs; staffing priorities; fiscal priorities; IT and equipment; facilities; and marketing. It is agreed that the planning of the four colleges must drive district planning which then drives the provision of district services or those services which are centralized.

The role of the Education Committee, Technology Committee, and Facilities Committee is to support the colleges in coordinating their efforts and resolving issues. These committees also provide subject matter expertise in their respective areas by including college representatives with relevant knowledge, responsibility, and experience. These committees are responsible for communicating with their counter-part committees at the colleges (including possible cross-membership) thereby insuring dialogue and transparency regarding action items.

These three committees are charged with developing district-wide recommendations that best serve students and the community using evidence-based processes and criteria. Therefore, the committees will work toward consensus solutions that are based on the results of these processes and a “shared agreement” decision model. Any unresolved issues are sent to the higher-level Planning and Budget Council.

After the August 28, 2009 “Summit”, these subject matter committees will meet six (6) times during the 2009-2010 academic year and will conduct a self-evaluation to review – what worked, what didn’t work, and what needs improvement. At the Summit, each committee addressed their charge, their operating principles, desired outcomes and milestones, and reviewed the proposed evaluation instrument.

The overarching Planning and Budget Council is charged with making recommendations to the Chancellor and shall receive a response from the Chancellor before he pursues any significant course of action. The committee also shall receive draft policy initiatives and considerations from the Chancellor and the Board of Trustees and make recommendations on those before any significant action is taken by the Chancellor.

The Planning and Budget Council (PBC) is responsible for providing oversight on the implementation of the district Strategic Plan, which does speak to district services. The PBC ensures accountability for follow-through on recommendations. The PBC will track their recommendations and determine which of two results occurred: (1) the recommendation was implemented including any modifications, or (2) the recommendation was not implemented and the reasons for it not being implemented. The PBC also



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ensures accountability for follow-through on process steps: Did constituencies, colleges, district service centers, committees, etc., perform the agreed upon steps in the process.

Summit 2009

As noted above, on August 28, 2009, approximately 80 district staff (administrators, faculty, classified staff, and student representatives), and the Board of Trustees President and Vice President (both as observers), gathered for Summit 2009 to officially “kick off” the Planning and Budget Integration Model and committee structure. The level of detail being provided in this report is an effort to demonstrate to the accrediting commission that the district (district office and four colleges) take the recommendation for improved communication seriously. Further, even before the four Evaluation Teams drafted this specific recommendation, the district already had begun this process.

As noted, approximately 80 individuals attended Summit 2009, including the Chancellor, the three Vice Chancellors, three Associate Vice Chancellors, the four college presidents and eight vice-presidents, the academic senate presidents, leaders from the unions, other appropriate faculty and staff, as well as student representatives. The Board of Trustees President and Vice President participated as observers of the Summit process. The group was/is made up of all of those who serve as members of the four committees in this process: Technology, Facilities, Education, and Planning and Budget Council.

Summit 2009 went from 8:30 am to 3:00 pm. The morning session provided an opportunity to present an overview of the Planning-Budgeting Integration Model along with a timeframe for the upcoming year. In framing the upcoming year, participants reviewed the strategic plan, the long-term and short-term institutional objectives, the budget status, and the overall strategic planning process since 2004. The four committees that were convened on August 25, 2009 are now a part of the strategic planning process. Addressing district services, roles and responsibilities, and accountability is truly a part of strategic planning. It is important for all committee members to see that connection. Ultimately it is important to evaluate the process in order to ensure improvement and quality.

In the afternoon of the Summit, the four committees met and began the work for the year. Each of the four committees reviewed their charge and operating principles. In some instances this led to expanding or refining the proposed charge and even adding to the operating principles. Each committee set initial “desired outcomes” for the academic year and began to develop committee milestones to be completed by the second meeting of the committee. Interestingly, the Planning and Budget Council, in view of the additional cuts that could happen to general fund dollars and especially categorical fund dollars, set a Budget Overview Workshop for the entire district which occurred on September 21, 2009. Also, the Facilities Committee recognized the need to address “procurement” or purchasing, since the Vice Chancellor on that committee also oversees purchasing. Thus the critical nature of the “purchasing” service was acknowledged and readily added to the committee charge at this first meeting.

It was decided that each of the four committees would meet monthly from September through the end of April. The Technology Committee meets the first Friday of the month; the Facilities Committee



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meets the second Friday of the month; the Education Committee meets the third Friday of the month; and the Planning and Budget Council meets the fourth Friday of the month.

What should be particularly noted is that while each of the four committees will have a chair (the appropriate Vice Chancellor) and a faculty co-chair (and a classified co-chair for the Technology Committee), these four committees also will have a meeting facilitator, recorder, and summary writer. The facilitator works with the chair and co-chair to design the meeting agenda and discussion/decision tools. During the meeting the facilitator's role is to support an effective and timely level of discussion (e.g., promote an appropriate balance of discussion and decision-making). The recorder keeps a record of the main points of the discussion on a flip chart or wall chart. This enables the group to track progress during the discussion. The summary writer has the important responsibility of documenting key decisions, points of agreement and follow-up steps and will be a classified staff support person. Further the summary writers will use an agreed upon template for recording the meetings. That includes the following in column format: Agenda Item; Discussion; Follow-Up Action; and Decision (shared agreement/resolved or unresolved?). All materials from the meetings, including agendas, minutes, and back-up documents are being posted on a district Web site: <http://eperalta.org/wp/pbi>

Planning and Budget Integration Model Committees since Summit 2009

The following will provide information regarding the work of the district Education Committee, the district Technology Committee, the district Facilities Committee, and the district Planning and Budget Committee during fall semester 2009 since the time of Summit 2009 (August 28, 2009) and prior to November 1, 2009. All committees during this time period finalized membership; set ground rules; set goals and outcomes for the year; set a schedule of meetings, decision points, and deliverables; and have regularly posted the work of each committee to the Planning and Budget Integration Web site (Peralta.edu> Service Centers> Peralta Planning and Budget Integration Model).

The Educational Committee: The main work of the district Educational Committee focused on the colleges revising and updating all unit plans. Those unit plans were then summarized at the college level and the summaries included a prioritization of human resource needs (faculty and staff); equipment, material, and supply needs; facilities needs; and technology needs. Those summaries and the prioritization of college resource needs were presented at the Educational Committee. That presentation also linked the resource needs with the College Educational Master Plan and the District Educational Master Plan.

Other areas of discussion and action included addressing categorical budget reductions and the impact on the provision of services in those categorical areas (i.e., DSPS, EOPS, Matriculation, CalWORKS, TANF, TTIP for libraries, etc.); the ongoing work in student learning outcomes and assessment to meet the "proficiency" stage by 2012; the prospects for summer school given the work load reduction by the State Chancellor's Office; the Center for International Trade Development and economic development; the need for an additional bond fund allocation for equipment given the reduction in State funding;

The Technology Committee: The district Technology Committee has focused on the priorities of the IT network coordinators, the priorities of the college technology committees, the need to upgrade the



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library electronic databases, Web page issues and *WordPress*, smart classrooms, and matriculation. The committee has a defined mission which is to focus on technology services; identify issues; and develop plans in order to enhance technology in the support of student learning by addressing instructional, administrative, and business services functions. The district Technology Committee also provides recommendations on technology and prioritizes technology requests in order to be results-oriented, promote transparency, and facilitate communication amongst and between the colleges and the district.

The Facilities Committee: The district Facilities Committee has requested a prioritization list from the colleges regarding facilities. This committee has determined that security needs and health issues are part of the responsibility of this committee. Further, there has been a focus on procurement, FF&E, moving from keys to card keys, and setting and defining outcomes for 2009-2010.

The Planning and Budget Council: Following Summit 2009, the chair of the district Planning and Budget Council, the Vice Chancellor for Finance and Administration, conducted a Budget Workshop on September 21, 2009. The workshop had been requested to provide an overview of budget basics, as well as to apprise participants of the severity of the cuts to funding received through the State Chancellor's Office. When combining cuts to the general fund and to categorical funds, the district anticipates \$13 million less in revenues from the State. Council meetings this fall semester have focused primarily on funding issues. The Council has implemented a variety of strategies to deal with the loss in funding; strategies recommended by the Vice Chancellor for Finance and Administration. The process has been open and transparent. While it is unfortunate that budget cuts are happening, nevertheless, a proactive Planning and Budget Council has been important to the budgeting process.

Conclusion: The activity of the four committees as of November 1, 2009, demonstrates the value in re-organizing the district committees and putting in place a focused approach to the work of the committees. This concerted effort to restructure and refocus the purpose and charge of district-level committees has been most critical given the economic crisis in the state of California and the drastic reduction in funding to the community colleges. This committee structure allows for focused communication, collaborative thinking, approaches, and planning for the delivery of district-level services and helps to insure that the mission of the colleges and the district is primary in all decision making.

Given the above district and college processes, procedures and tools in the form of committee meetings and their minutes posted website; e-mail; press releases when necessary, accurate college catalogs and schedules, and a campus newsletter College of Alameda has adequate communication tools to support internal campus communication as well as college-district communication. In addition, College of Alameda is a small campus with many opportunities for campus dialogue and a history of a culture of communication, albeit ad-hoc. The faculty and administrators participate actively in civic organizations within the community of the city of Alameda and Oakland, in particular. Renewed institutional dialogue supported by data-driven research has resulted in improved college communication which has stimulated intentional improvement and self-reflection, which is the purpose of the standards.



College Action Plan: During the past year the college has engaged in renewing the processes that support decision making and disseminating information to all college constituencies. During the past year the communication tools have been used to sharpen the focus on the processes that are used to support decision making that is based on the institutional goals of the college as well as alignment with those of the district.

The new college catalog represents a step forward in the communication of the college values and vision, and how those values and vision relate to the Educational Master Plan and what we see as the learning outcomes for each student who participates in learning at College of Alameda. This catalog is a deliberate step away from the dry reiteration of history that was simply carried over from catalog to catalog in years past.

The College Council, as the central planning body of the college, has a renewed sense of purpose. Two years ago fewer than ten people attended College Council meetings. The meetings this academic year are packed because the membership understands the decision making accountability of the body. One of the issues that have come to light is the necessity to provide in advance to the college council, copies of the minutes of the standing committees.

Other college standing committees report a similar response from their constituencies, that is, a renewed sense of focus on institutional change and the effectiveness of the institution in responding to the dramatic changes occurring, specifically this academic year, with major cuts in the budget. A new page on the college website entitled: "College Governance", has been created. Training has been provided to each of the standing committee chairs as well as the department chairs to assist them in posting minutes of meetings, unit plans, program reviews, etc. Training has also been provided to each of the support staff that must create minutes, so that there is a standardized format.

On a district level the Planning and Budget Integration Model has been created with four committees: Education, Technology, Facilities and the Planning & Budget Council. The new process was developed by the Chancellor's Working Group (CWG) which met to streamline the decision making process of the district and to improve communication between the college and the district. Given these changes, the College feels it has substantially met the stands and fulfilled the intent of Recommendation 2.

Evidence:

1. Equity for All Plans, 2005 and 2008, Planning Documents, <http://www.peralta.edu/coa/library/accreditation/index.html>
2. Issues to be Addressed, 2006 COA Progress Report, Planning Documents, <http://www.peralta.edu/coa/library/accreditation/index.html>
3. Analysis of the Infusion of Library Research into 201A and 1A English courses, 2006 and 2007, Library Planning Documents, <http://alameda.peralta.edu/apps/page.asp?Q=Library%20Handouts&menutab=3&pro=20013>



4. COA Drug and Alcohol Survey 2007-2008,
<http://alameda.peralta.edu/apps/pub.asp?Q=394&T=Alcohol:%20You%20Choose&B=2>
5. Report on Institutional Learning Outcomes using CCSSE 2008
6. COA Fact Book 2008 & 2009, <http://www.peralta.edu/coa/library/accreditation/index.html>
7. Unit Plan Description Document, 2007, Planning Documents,
<http://www.peralta.edu/coa/library/accreditation/index.html>
8. "COA Today" Newsletter, issues 2005 to present, College Information webpage,
[http://alameda.peralta.edu/apps/comm.asp?\\$1=20310&menu=public](http://alameda.peralta.edu/apps/comm.asp?$1=20310&menu=public)
9. Basic Skills Retreat Matrix and Agenda (May, 2008)(April 2009),
<http://www.peralta.edu/coa/library/accreditation/index.html>
10. Unit Plans 2007-08, 2009-10 Planning Documents,
<http://www.peralta.edu/coa/library/accreditation/index.html>
11. COA Integrated Planning & Budget Handbook, version 16
12. PCCD Planning and Budget Integration Handbook, 2009-2010
13. Peralta Planning and Budget Integration Model Web site: <http://eperalta.org/wp/pbi/>
14. Summit August 28, 2009 agenda : <http://eperalta.org/wp/pbi>
15. Institutional Objectives and Action Priorities 2010-13
16. Email on Secretary Training on Minute taking
17. PBIM handout and binder from Summit
18. Accelerated Program Review & Draft Program Review Handbook (1/16/10)
19. Student Equity Plan, July 2009
20. College Standing Committees
21. Appendix I - Timeline for Accreditation Follow-Up Report

Recommendation 3

In order to meet the Commission's 2012 deadline, the college must accelerate its progress in developing and assessing course-level and program-level student learning outcomes and using assessment data for improvement. Further, in order to meet the Standards, the college must also ensure compliance with its program review and unit planning processes and accelerate its progress toward creating a data-driven environment in which continuous assessment is used as a vehicle for institutional improvement (Standards 2A.1, 2A.1.a, 2A.1.c, 2A.2.a, 2A.2.b, 2A.2.e, 2A.2.f, 2B.4)

Overview

The college's mission statement, vision, values, and goals, are clearly stated and demonstrate the college's commitment to student learning. Although significant progress had been made in the last several years regarding issues such as planning, program review, student learning outcomes, and institutional effectiveness, there is still work to be done. The college must ensure that processes are ongoing, systematic, and used to assess and improve student learning and achievement.

Introduction: The college's response to this recommendation includes a review of the appropriate Accreditation Standards, the "Rubric for Evaluating Institutional Effectiveness: Program Review, Planning and Student Learning Outcomes" and an assessment of what is working, what is in-progress, and identification of methods and processes that could be improved. Also developed was a strategy



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and timetable for moving the institution forward so that the proficiency level of the effectiveness rubric can be attained by the fall 2012 deadline.

Representatives from the Instructional, Student Services and Administration units provided a cross-discipline approach in evaluation. Using the “Rubric for Evaluating Institutional Effectiveness” the college’s activities aligned with examples presented in the development stage and in some cases documentation shows we are making progress in advancing to the proficiency stage.

Proof of this exists with the completion of a two-year process where course-level outcomes were completed during the summer of 2009 and culminated with the posting of these outcomes into the account management system *TaskStream*; the revamping of the college catalog to align college objectives with institutional learning outcomes with Title 5; campus retreats and flex day activities, and unit plan and program review completion. Additionally, the college is continuing to identify and development assessment tools for instructional and non-instructional outcomes.

Many disciplines have begun the authentication of assessment outcomes for courses, along with their alignment with program outcomes and institutional outcomes. The intention is that all departments/disciplines will accomplish this goal during the 2009-10 academic year.

Conclusion: In the fall of 2009, as part of the Professional Development Day, October 20, 2009, the college reviewed its vision, mission and institutional learning outcomes (ILOs). Using the college’s ILOs as a basis for aligning course and program outcomes, faculty discipline groups worked with presenter, Dr Rebecca Kenney, on a mapping exercise. Forty faculty and staff as well as administrators participated in the college morning activities. The goal was to visually map the courses and/or program outcomes to the institution’s learning outcomes, to identify missing courses, and to test the validity of identified course and program outcomes, their sequencing and whether they contributed to the stated course and program outcomes.

An outgrowth of this Professional Development Day activity was the connection of mapping SLOs and non-instructional learning objectives (LOs) to the Institutional Outcomes posted on *TaskStream*. During this workshop, instructional, non-instructional, student services faculty and staff, and administrators began to experience the connection between student success and the success of the college through dialogue and the discussion of pedagogy. By using this process, it began to become apparent that there is a circular alignment amongst course(s), programs, and the institutional goals—in essence, you could visually see how all processes are interrelated and how it affects all constituents. Another mapping exercise is scheduled for the spring 2010 staff development days to further refine this process.

College Action Plan: The College is continuing to work on bridging *TaskStream*, a database/data storage software application for student learning outcomes (SLOs), with *CurriCuNet*, an online course management system used in the curriculum approval process and adopted by the California Community Colleges’ State Chancellor’s Office for submission of curriculum to the state for approval. To date, all active courses at College of Alameda have SLOs and have been entered into *TaskStream*. Although



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functional, the Peralta colleges are still in the beta testing phase of *CurriCuNet* implementation, with an anticipated completion date of fall 2010. At this time, both systems should be able to interface with the other so that course outlines are linked to learning outcomes and assessment data.

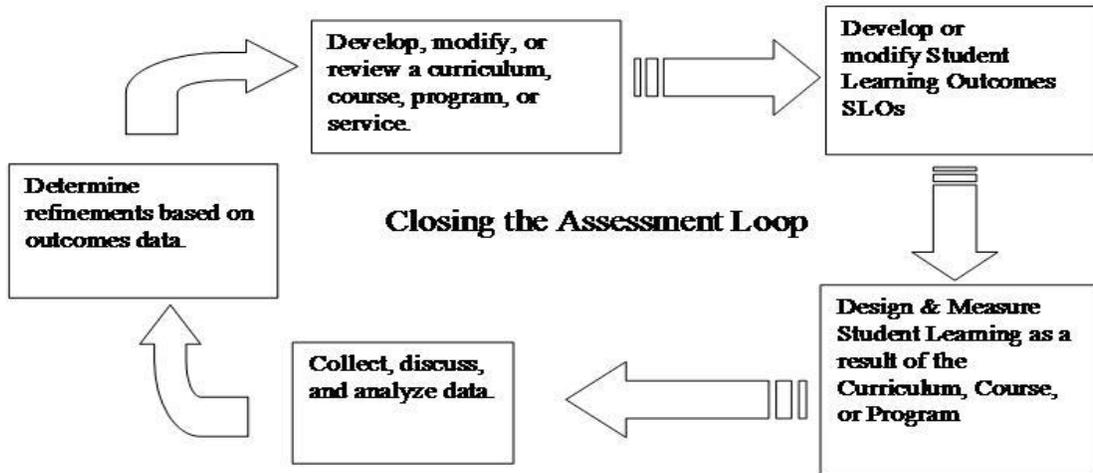
Additionally, as recommended in this report, the college is refining its Student Learning Advisory Committee (SLOAC) and is developing a working Institutional Assessment Plan that has a continuous process cycle to: Define, Refine, Implement Analyze, Revise, Dialogue, Assess Success and Improvements, Make Changes, and Implement Re-Assessment of Successes and Challenges. For the Plan to be effective, it must be aligned with the mission, vision, and culture of our College. If the plan is to be a success it will require a college culture that has an open mind and commitment to understanding and accepting change, a culture open to divergent points of view and open to trying something new and/or different; allowing for pitfalls and failures; making necessary adjustments/improvements to: courses, methods of instruction and ones thinking; and developing processes with the ultimate goal of students' achieving success. To change the institutional culture of a college will take a commitment by leadership at all levels: administration, faculty, staff and students. COA has begun this process in earnest in 2006, and continues to move forward towards sustainability and continuous improvement.

Towards this end, the Subcommittee for Recommendation #3 is advancing the adoption of an SLO Terminology Glossary regarding definitions of key terms relevant to student learning outcomes and assessment, as recommended by the regional SLO Coordinators and adopted at the fall State Academic Senate 2009 plenary session.

One of the basic tenants of the Academic Senate model is adherence to a common language. Based on the California State Academic's "SLO Terminology Glossary" approve at the Fall 2009 Session, the subcommittee will be recommending to the college the adoption of the following:

Assessment Process

Assessment Cycle. The assessment cycle refers to the process called closing the loop and is figuratively represented below.



- Define Success related to individuals/student groups/constituents (what worked, what did not, why and what are you going to do about it. Possibly consider new methodologies, new materials, revisions in the educational process)
- Determine incentives for involvement as a means of change (for the campus climate, recognition/rewards for improvement, and institutionalizing an academic culture for success)
- Successful achievement for Degree Seekers, Lifelong Learners, Career/Technical Training and Advancement
- Focus on what is achievable and reasonable
 - o Identify at least three major Student and Program Outcomes, Assessment/Authentication, Evidence/Data
 - o Establish how to address the three with an intention of expansion
 - o Determine, explain and demonstrate the direct application to Programs, Institution, Mission, budget and planning process including a timetable for necessary resources

Professional Development

- Open to continuous training as part of understanding the process and proceeding throughout the cycle
 - Professional/Staff Development, formal and informal meetings, focus groups and substantive dialogue
 - Modeling workshops to provide a clear understanding of the distinction between Qualitative and Quantitative Data and Analysis
 - Create and build Quantitative and Qualitative Assessments and Authentication of Assessment Measures

- Establish Criteria for Successful Performance (Justification/Analysis)
- Learn and explore the connection between Program Review, Unit Plans, Curriculum and the relationship between planning and budget

Communication

- Maintain an open dialogue involving all constituents to gain ideas and suggestions for continuous improvement towards student success
- Determine and prioritize resources needed for success across disciplines, departments, student services and administration
- Note that the process is not stagnant but continuous with open dialogue and an openness to outside evaluation processes/evaluators
 - Outcomes (Student, Institutional) need meaningful review for necessary changes and improvement to close the loop with Documentation/Data
 - Student Success based on criteria such as embedded assignments with assessments directly tied into the outcome of success demonstrated in performance, understand, and actual application (Student Success)
 - (outside evaluation for example the English PAT Test)
- **NOTE:** Success includes sufficient Planning and Resources along with Commitment to the Process from all who Believe Success is Possible!

TimeLine – Annual Assessment Cycle (Suggested)

<u>Activity</u>	<u>By whom</u>	<u>Timeframe</u>
Gather and archive student learning data,	Faculty/Student	Ongoing
following completion of Course Outcomes	Services(SS) Staff	Ongoing

TimeLine – Annual Assessment Cycle (Suggested)

<u>Activity</u>	<u>By whom</u>	<u>Timeframe</u>
Authentication of Assessment program assessment plans	Faculty/SS Staff	Fall 2009 Spring 2010
Analyze Data	Faculty and Chairpersons	Spring 2010



Activity	By whom	Timeframe
Implement program, curriculum, and Assessment improvements as needed	Faculty and Chairperson	Spring 2010
Request additional budget based on Feedback/Unit Plan/Program Review	Faculty, Chairperson Deans and Budget and Planning Committee	Spring 2010 Fall 2010

ASSESSMENT MEASURES
Examples of Program/Course Measures

Activity	When administered	When analyzed
Classroom assessment techniques	Continuous	Immediate
Student performance rates	By Semester (2009/10.etc)	End of Semester
Exit exams	Program/Course period Program/Course	End of
Portfolio reviews	By Semester	End of Semester
Capstone Courses	Last Semester/ Program/Course	End of
Standardized tests in content areas	Throughout Semester/Program	End of Semester/Program
Professional licensure or Certifying exam	End of Semester/ Program Period Program	End of Course

Program Review/Unit Plan

Activity	By whom	Timeframe
Unit Plan	Faculty	Annually
Budget/Planning	Faculty/Dean Budget/Planning Committee	Annually
Program Review	Faculty/ Reference: Administration/Chart	Every 3 years

Institutional Effectiveness Measures

<u>Activity</u>	<u>By Whom</u>	<u>Timeframe</u>
Retention rates	Program	End of Semester/
Graduation rates		End of Semester/ Program
Transfer rates	Program	End of Semester/
Licensure rates	Program	End of Semester/
Placement rates	Program	End of Semester/
Graduation satisfaction survey	Program	End of Semester/
Employer satisfaction survey		One year after program

Evidence:

1. Minutes and email from Recommendation #3 subcommittee
2. The Outcomes Assessment Cycle and Narrative Diagram
3. SLO Checklist for Credit Courses/Programs
4. Assessment Tool Checklist
5. Evaluation Checklist for SLOs and Assessment
6. "Choosing the Right Assessment Tools – An Overview"
7. *TaskStream* online repository of SLOs for College of Alameda, url:
<https://www.taskstream.com/pub/>
8. Agenda for Oct 20, 2009 Professional Development Day
9. Fall 2009 Welcome Back - Robert Brem's Presentation on Assessment
10. Welcome Section of College Catalog – 2009-2011
11. Stiehl, R. & Lewchuk, L. (2005). *The Mapping Primer: Tools for Reconstructing the College Curriculum*. Corvallis, OR: The Learning Organization. Url:
http://www.outcomesnet.com/MAPPING_PRIMER/mapping_primer.html
12. Stiehl, R. & Lewchuk, L. (2002). *The Outcomes Primer: Tools for Reconstructing the College Curriculum*. Corvallis, OR: The Learning Organization. Url:
http://www.outcomesnet.com/MAPPING_PRIMER/mapping_primer.html

13. Stiehl, R. & Lewchuk, L. (2005). *The Assessment Primer: Creating a Flow of Learning Evidence*. Corvallis, OR: The Learning Organization. Url: http://www.outcomesnet.com/MAPPING_PRIMER/mapping_primer.html

Recommendation 4

In order to meet the Standard, and consistent with the recommendation of the 2003 visiting team, the team recommends that the college devote the time and resources needed to complete regular systematic evaluations for classified professionals, full-time contract faculty, and part-time faculty. (Standard 3.A.2.)

Overview

The college has adopted an aggressive plan to complete all delinquent evaluations for classified professionals prior to the end of the fall semester 2009. Additionally, significant progress has been made in complying with Board Policy and the Peralta Federation of Teachers agreement regarding part-time and contract faculty evaluations.

Introduction: The College and District have confirmed the need for timely and ongoing evaluations for contract and part-time faculty. In an effort to facilitate this process a side letter included as Article 30-H, and the Part Time Preference Pool Tentative Agreement 3-06.

According to the contract, all part-timers get evaluated every three years, so the managers have developed a three year cycle over that period. Working with the Peralta Federation of Teachers the college has gotten approval on a schedule for contract faculty evaluations and have developed a 3-year schedule. Additionally, the district has provided a \$60 stipend for adjunct faculty who participate on an evaluation committee. The following outlines the process the college has taken regarding part-time evaluations:

1. A list of all the part-timers was developed by the Managers.
2. A determination was made on who would be evaluated; following the contract guidelines:
 - a. 1/6 of the part-timers in each department must be evaluated each semester.
 - b. Anyone in their first year at Peralta (07-08) gets evaluated first; after that, the most senior part-timer(s) get evaluated first. (Unless they were evaluated in fall 2008)
3. The district is currently using a different system for part-time evaluations than the one in 2007, i.e. a new five-level rating system, based on the side letter which augments the bargaining agreement; therefore, all evaluations fall under the 'Initial Evaluation' model (Board Policy 3.31 provides the exact procedure). Essentially, no faculty members view the class(es) and administers the student evaluations. The faculty evaluator is chosen by the department chair. The Dean's classroom evaluation is optional, and the part-timer does a self-evaluation.
4. Once the process begins, the main role of the Dept Chair is to maintain vigilance so that the process



stays on track. The forms and additional information is located the Vice Chancellor of Educational Services' web site at:

[http://www.peralta.cc.ca.us/apps/comm.asp?\\$1=437](http://www.peralta.cc.ca.us/apps/comm.asp?$1=437)

College Action Plan:

The timeliness and thoroughness of evaluating contract and part-time faculty continues to be a priority for the college. Classified professional evaluations will be back on track at the end of the fall semester 2009 as 95% (55/58) of all evaluations have been completed.

Regarding faculty evaluations, the College recognizes the critical role adjunct faculty play in providing quality education to our students and insuring the smooth operations of the institution, however, given the current budgetary restrictions many of the faculty that were here in the spring 2009 semester and were scheduled for evaluation were not provided a course load in the fall 2009. Because of the complex nature of adjunct evaluations, and the ever-evolving nature of part-time hiring, the following statistics provide a snapshot of the status of the efforts made by the college and the faculty to address the serious delinquency identified by the visiting team in its 2009 report. It should be noted that based upon guidelines prior to spring 2009, it was the responsibility of the administrators to developed evaluation teams with target dates for completion of evaluations. In spring 2009, a side letter was adopted which streamlined this process but required the Department Chairs, not the Deans, to assign faculty evaluators. Working with the Department Chairs substantial progress has been made to comply with this requirement.

The total number of instructional adjunct scheduled for evaluation is 130, of those 13 did not receive assignments; thereby reducing the number to 117.

Total Number of Adjuncts: 117

Total Number of Completed Evaluations: 49 (42%)

Total number of adjuncts in Preferential Hiring Pool: 22

Total number of evaluations in progress: 88 (75%)

Total number of evaluation that need to be started: 29

Total number of online evaluations: 5

Many of the in-progress evaluations are near completion and are missing the final report. It is anticipated that the in-progress evaluations will be completed prior to the end of February 2010. For the 29 evaluations that have not been started, the Instructional Deans are enlisting adjunct faculty to assist in complete those evaluations by March 15, 2010. It should be noted that five (5) of the evaluations that have not been started are online evaluations. And it was not until recently, that negotiations with the faculty bargaining unit was reached on online evaluations, and it requires more



than observations that the face-to-face classes. Additionally, in Students Support Services areas 75% of the faculty have received evaluations.

The administrative staff and faculty have been working diligently, both in Student Services and the Instructional Divisions, to provide the necessary resources to comply with this recommendations. It is anticipated that 78% of all evaluations will be completed by March 15, 2010.

Evidence:

- 1) *Part time rehire pool TA[1].pdf* <http://www.pft1603.org/>
- 2) Board Policy 3.31 PartTime Evaluation Procedures
<http://www.pft1603.org/>
- 3) Streamlined Evaluation Policy
- 4) Contract and Part-Time Evaluation Schedules – Division I & II
- 5) Classified Professionals Spreadsheet on Evaluations
- 6) Student Services Evaluations Update Report
- 7) Online Evaluation - email

College & District Recommendations

Recommendation 5

In order to meet the Standards, the team recommends that the college advance and refine the implementation of the district-wide computer information system (Standards 3C.1.a, 3C.1.c, 3C.1.d, 4B.3.b)

Overview

This section provides a brief overview of the steps to implementation and a brief explanation of the modules and functions in the district-wide computer information system, PASSPORT- Student Administration System, with reference to “student, human resources, and financial aid administration.”

Introduction: The decision was made in 2004 by the Board of Trustees to move to a new technology enterprise management system. The Board of Trustee adopted the then CIO’s recommendation to purchase PeopleSoft. While the Peralta Community College District (PCCD) went live with the PeopleSoft Financial Management System in 2005, PCCD did not go live with the Student Administration System, PASSPORT, until April 2008. The “kick off” for the student administration functions of the management system happened in February 2005. District administrators at that time were working with *CIBER* who left in January 2006 but returned a year later. One of the main functions *CIBER* provided was to do a full “Fit-Gap” analysis to show where there was a “fit” between PeopleSoft and district business practices and where there were “gaps”. It provided users an

opportunity to articulate needed process changes. The original projected “go live” date for the student administration system was November 2007, but that was moved to April 2008. In the meantime, the course catalog module went live in May 2007; summer/ fall scheduling in the PeopleSoft system began in November 2007; and student enrollment for summer 2008 and fall 2008 began on April 3, 2008. In an attempt to do the implementation process differently for PASSPORT (the student administration system), the District employed the consultant change management company of RWD Technologies to oversee implementation and to oversee communication and training regarding the new system.

Given the experience in moving from the Legacy Financial System to the PeopleSoft Financial Management System, it was evident that the management of change had not happened well. So with the move to PASSPORT (student administration) functions of PeopleSoft, the approach was to use RWD Technologies for change management assessment and to provide a change management strategy. On at least two occasions prior to January 2008, RWD Technologies trained administrators in the change management approach of Enterprise Resource Planning (ERP) Solutions. As they noted, Peralta was moving from a “data storage” system to a “process control” system and in making the move “there is a big difference between installing software and implementing a business solution.” RWD recommended that it was critical to define a clearer project governance structure, define leadership roles and expectations, hold leadership alignment sessions, structure leadership to own the project across the colleges, and to provide clearer reporting on project status. In the end, RWD proposed an Executive Steering Committee, a Project Integration Leadership Team, and a Project Implementation Team (PIT). This led to the development of Functional Project Teams (Business Readiness Teams: Admissions and Records; Campus Community; Portal & Self-Service; Schedule and Course Catalog; Financial Aid; and Student Finance). The primary purpose of these teams was to facilitate the business adoption of the change noting that a primary reason for failure with systems implementations is resistance to change within an organization. Key components to the process were communication, training, and support. It should be noted that the process recommended and facilitated by RWD was excellent, but the lack of adequate IT staff and programmers compromised the implementation process.

On January 15, 2008, at a Staff Development Day for the District, a “Project Overview” was presented to the entire District in an effort to begin the dialogue and process to “go live” in April 2008 with the PASSPORT system. The overview described the implementation process to date and the next steps in the process leading to an April 2008 “go-live” date.

The PASSPORT system supports the college functions of Admissions and Records, class schedule and course catalog, financial aid, and student finance. Unlike the Legacy system, PASSPORT is Web based and provides an integrated “Campus Community” database for all functions. Just to repeat, the reality was that the district was moving from a data storage Legacy system to a “process control” PASSPORT system. It needs to be noted that this shift in methodology alone caused significant issues and initially even resistance. Staff were being asked to make a process shift. There were many who had hoped that the Legacy system simply would be replicated in the PeopleSoft system.

On January 15, 2008, it was reported that the PASSPORT Application Architecture for the Human Resources and Student Administration database included: official payment/ credit card processing; high jump asset management; financial aid (Regent); SARS counselor scheduling; CCCApply application



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process, MIS reporting to the State; eBookstore; distance learning; library management; active directory network. Through this integrated solution all key business data could be shared across all functions, data is only entered once, and the database is accessible through the internet which is helpful to faculty and students.

As a part of the implementation process (as previously noted), district administration created Business Readiness Teams (BRT) in the following process areas: Admissions & Records; Campus Community; Self-Service, Schedule and Course Catalog, Financial Aid, and Student Financials. Further, Business Readiness Teams were created for the following impacted stakeholder groups: Counseling, Instructional Faculty, Student Government, and Classified Union (Local 1021). On each of the process teams (BRT), membership included a counselor, an appropriate representative from each of the four colleges, and other key personnel depending on the process area. These Business Readiness Teams met weekly, were part of the testing prior to the go-live date, and were charged with trying to find/ discover any possible problems with the system. A Project Process Scorecard was kept and some of the benchmark areas included: Business Readiness Team kickoff; configuration and setup; completion of business modeling; completion of training plan; infrastructure set-up; initial data conversion; ordering of PCs as required; security setup; infrastructure optimized; unit testing; system testing; completion of modifications; organization set-up; developing necessary contingency plans; defining of success criteria; “super users” named and trained; readiness assessment; and completion of training.

The overall purpose of the Business Readiness Teams was to design and validate changes to current business processes; conduct change impact assessment and change plans; test the application thoroughly to ensure operability; prepare “super users” within the organization; prepare for production cut-over and go-live; ensure post-go-live support was in place and was working; assess and resolve risks throughout the project; and be the voice or advocate of the business area. The teams were provided Project Scorecards and a timeline of activities and involvement.

As indicated in campus discussions, Project Integration Team (PIT) meetings, and Business Readiness Team (BRT) meetings, the process for implementation of the Student Administration System was the result of better planning and a serious effort to mitigate the experience of the implementation of the Financial Management System. Further, in the design process, a very detailed analysis of the PeopleSoft Student Administration System took place called a ‘Fit-Gap’ process. End users identified how the PeopleSoft system “fit” by providing needed functions and where there were “gaps” identified as to functions which would need to be added to the system.

Faculty and Student Self-Service Process Modules: In the initial implementation of PASSPORT, the Faculty Self-Service was intended for submitting grades online, viewing class rosters online, searching the schedule of classes and course catalog, posting attendance, viewing weekly schedule, viewing detailed information about courses (facility, available seats, meeting dates), and the ability to notify a student from the roster. Further, the goal was for faculty to be able online to track their vacation and sick time through their self-service page and to view paycheck information. Student Self-Service would allow a student to track financial aid progress, track grades, add/drop courses, access their account information, access “to do” lists, view holds, search the schedule of classes and course catalog, and communicate real-time with faculty and staff. In this process, students would be able to access



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their unofficial transcript and update their biographical information. It was clearly identified that most students would need to complete the matriculation process which includes working with a counselor to choose classes and clear prerequisites and students would still depend on Admissions and Records for accurate enrollment dates, as well as making sure faculty report grades accurately and on time. In terms of faculty, Program Specialists/Course Schedulers would have to keep course information up-to-date for faculty to view correct information and faculty would still depend on Admissions and Records for accurate rosters and to add students through the “add card” process.

Campus Community Process Modules: The Campus Community function and process was intended to provide an integrated database with one record per student/ employee. All business processes are shared throughout the modules in the system. It should be noted that in the Legacy system, accounts payable, HR, and student administration each had separate data bases and records for each student and/or employee. In this PASSPORT function, “search-match” prevents duplicate records. There are high-level description requirements for data entry, thus creating more accurate accounts.

Admissions and Records Modules: With the move to PASSPORT, the District moved from a paper application process to an online application process using CCCApply, a state-wide application process. The district also planned that for students with transcripts from other schools, transfer credit could be entered upon receiving the transcript from another college. This was viewed as at least a Phase II function. Continuing students could be notified of enrollment dates not only by “data mailers” but also through their Self-Service page and their Peralta e-mail.

Course Catalog and Scheduling Modules: The course catalog is a course database. The PASSPORT system provides a different method for scheduling lecture/lab classes; enforces all prerequisites; and does not provide for an online prerequisite waiver process (milestones) for students, but does for counselors, consistent with the process in the Legacy system. The system controls load assigned to part-time faculty. The system allows HR to enter an authorized discipline area(s) for each faculty in keeping with minimum qualifications.

Student Financials Process Modules: This process moved from using a student’s social security number to using a student ID. Therefore, all payments and transactions use the student ID. Student account data covers a student’s entire academic career and not just a semester at a time. The system gives the bursar the ability to view the financial aid awards and grants listed on a student’s account. End of Day daily balancing reports can be done at the college. Form 1098-T’s are issued with values and can be printed from the bursar’s office.

Training: As a part of the implementation process, various trainings were set up throughout the district. In the process, a Web site was created and all training materials have been stored on this Web site: <http://peralta.edu/apps/comm.asp?Q=510> and this link from the initial page <http://prompt.ad.peralta.edu:81/#ALL> . Trainings were provided in the following areas: Admission and Records; the Assessment Office; Counseling Services; Deans and Department Chairs; Instructional Faculty; Financial Aid; Librarians; and the Student Center, especially for student ambassadors who work in the college Welcome Centers. It should be noted that the Welcome Centers were added at the



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four colleges in August 2008 in order to provide assistance to students as they applied and registered/enrolled online.

During the trainings, every effort was made to address all questions to the point of documenting issues that needed to be resolved based on the user's experience and need. But what does need to be readily acknowledged is that while trainings were regularly scheduled and continue to be scheduled, many staff did not attend training sessions. As a result many who would need to use the system, such as part-time instructional faculty, did not attend training and as a result experienced functional issues and in some cases still experience functional issues. Further, the RWD trainings could not use "live" screens for training thus providing a "hands on" experience," but rather had to use a "canned" version of the screens and this was viewed as a serious limitation. This method in part was dictated by the district because of a lack of programmers who could clean up "actions" taken in the training.

Additional training has been provided every semester, especially for counselors and instructional faculty. Further, members from the Business Readiness Teams who were identified as "Super Users" have provided ongoing training and provided resolution to questions asked by their constituents. "Super Users" were responsible for the following areas: Admissions and Records, Scheduling, Financial Aid, Student Finance, Counseling, and Instructional Faculty. It should be noted that the Chancellor has provided a faculty member with a .5 release time to provide ongoing training semester by semester. Given that ongoing training is critical to the functionality issues with PASSPORT, district administration should review and evaluate the 15 hours per week (.5) assigned to training. District administration in conjunction with college administration should address developing a more comprehensive training plan.

Conclusion: A very different process was used for implementing the PeopleSoft Student Administration system, PASSPORT. That process included a "Fit-Gap" analysis, Business Readiness Teams (BRTs), use of a change management consultant, staff development day presentations, and regular and ongoing training. Many would agree that this more structured process led to far less issues and problems from those experienced in implementing the financial management system.

The next section of this response will describe the current functional areas available for Human Resources, Student Administration, Business Intelligence/ Data Warehousing and Financial Aid Administration.

Current PASSPORT Functionality and Response to Issues (Human Resources, Student Administration, Financial Aid, Business Intelligence/Data Warehousing)

Introduction: This section will provide a listing of available functionality within the PASSPORT system at the time of the writing of this response. Given the nature of this ACCJC recommendation, coupled with the fact that this report will be shared within the Peralta Community College District, it seems appropriate to apprise the reader of what the system currently can do. As will be noted, the current functionality is extremely robust and provides end users much more data and information than the Legacy system could ever provide. Upfront the reader should recognize that some of the functionality "deficiencies" individuals are experiencing are not related to lack of functions in the

system, but are for a variety of other reasons not limited to but including: not having gone through necessary training, lack of “security” clearance to access certain functions, lack of asking questions that might provide information about unknown functions and in many cases not even being aware to ask questions, and the need to accept that PeopleSoft is not intended to replicate the methodology of the Legacy system which some end-users used for 10 plus years – to name a few. However, it must also be acknowledged that changes in business practices often have not been communicated well with end users and end users have not been surveyed, until recently, for possible modifications which may in fact improve the PASSPORT system. What also will be noted and will need to be addressed through planning is the desire and need for additional functions within the system, as well as the need to make some current functions more “user friendly” (easier to use).

Human Resources: The following provides a listing of PASSPORT functions used by the Office of Human Resources staff:

- Personal Data (Biographical Data, etc. - for employees and students)
- Job Data (stores all data related to every job in the district)
- Position Management (which provides a link between HR and Finance)
- Job Code Table (for both permanent employees and hourly employees)
- Salary Grades/Tables
- COLA adjustment (which will do the function universally)
- Query Manager
- Function to add a new person
- Benefit Administration
- Paycheck History
- Employee Competencies (time of last evaluation; licenses; languages spoken)
- Necessary Health Information (i.e., time of last TB test)
- Function to monitor minimum qualifications for every faculty member
- Report processing (such as running a report on Comp Time)

The following lists specific functions that the Office of Human Resources staff would like to see added to the PeopleSoft system. From a Human Resources perspective these are some of the functionality issues this ACCJC recommendation is addressing.

- An Electronic Personnel Action Request (providing basic employee data, salary, budget account code, possible special assignment, etc.)
- Electronic Leave and Absence Reporting (Time and Labor)
- eRecruit (which provides a complete hiring and process tracking function; this has been approved by the Board of Trustees)
- Increased functionality in Benefit Administration
- A Data Element to Track Tenure Status
- A Data Element to Record Staff Development hours

It is important to note that for the past two years there have been monthly meetings of key human resources staff, benefits staff, and payroll staff with IT. The ‘charge’ of this group has been to provide



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human resources, payroll, and benefits a monthly check-in with IT regarding technical issues associated with the PeopleSoft system, as well as with the Legacy system. It is an opportunity for actual users to talk directly with IT programmers and resolve issues at the lowest level. The current Associate Vice Chancellor of IT now attends these meetings.

It is reported that these monthly meetings with IT have been productive. For example, at a recent meeting issues on the agenda included the following: two employees IDs within PeopleSoft; to set/show right balances for adjuncts (PCA/PRR/RCA) employees; Department of Labor- gender count to be added on Employee Count Report; PERS/STRS modifications; ProRata report; benefits and date of service; ING vendor discussion; and job data changes impact from the Position Management Control module. Further, there has been discussion of an interim solution for an ePersonnel Action Request Form and an eAbsence/Leave form. It is anticipated that the interim solution would be implemented before the end of 2009 and a full solution will continue to be explored and implemented as quickly as possible.

The approach of a monthly meeting between human resources, payroll, and benefits with key IT staff has been extremely helpful in resolving many key issues and these meetings continue. Minutes from these meetings always document the issue and a recommended resolution. If necessary a follow-up response is provided at the next meeting. This model in many ways is what RWD Technologies proposed with the creation of Business Readiness Teams (BRTs); however, success is dependent on the involvement of IT and their ability to provide the necessary staff to address the issues.

Student Administration: The following provides a listing of PASSPORT functions used by various departments/ units throughout the district, as well as students. The listing comes under the major headings of – Student Admissions, Records and Enrollment, Curriculum Management, Campus Community, Student Financials, Academic Advising, Reporting Tools, Peralta SA Customization, and SC Community College Data.

Student Admissions

- Application Entry
- Application Maintenance
- Application Evaluation

Records and Enrollment

- Enroll Students
- Student Term Information
- Career and Program Information
- Enrollment Summaries
- Term Processing
- Enrollment Reporting
- Enrollment Verifications
- Transcripts
- Graduation



- Transfer Credit Evaluation
- Transfer Credit Rules

Curriculum Management

- Course catalog
- Schedule of Classes
- Roll Curriculum Data forward
- Enrollment Requirements
- Combined sections
- Dynamic Dates (for scheduling dates that are not full semester)
- Facility Information (can query about room availability)
- Class Roster
- Grading
- Instructor/Advisor Information (Instructor schedule, Term Workload, Instructor Table [shows MQs])

Campus Community

- Student Services Center (Shows student general information, admissions, transfer credit, academics, and finances)
- Payroll Information (Student)
- Communications
- Services Indicators (such as holds, pre-requisites)

Student Financials

- Tuition and Fees
- Collections
- View Customer Accounts

Reporting Tools (provides reports and query functions)

Peralta SA Customization

- Student Records
- Student Administration Reports (i.e., DSPS, EOPS, etc.)
- Admissions and Records
- Includes data from MIS reports

SC Community College Data

- This reflects the “bolt on” to the PeopleSoft system to provide required MIS data. This “bolt on” for MIS reporting also responds to the Financial Management System recommendation which references MIS reporting.

Some functions which are being considered or should be considered to be incorporated into the system include the following (this particular list was gathered in an ad hoc manner):

- Wait lists for students interested in enrolling for a closed class
- Degree audit (which has been approved by the Board of Trustees)
- Electronic Roll Book (attendance roster)
- Facility and Event scheduling (to expand staff usage for facility, rooms, sites; also to ensure that the system does not allow for double booking of a room)
- Items to include on the faculty members portal: current term workload; dates to submit various documents such as census roster, grade roster;
- Clean up the Extract function for the printed class schedule
- Student Hold function: provide the student with a descriptor as to the nature of the hold
- Address the delay from student completion of CCCApply and the ability to enroll
- Address an “opt out” option for the financial aid portion of the student application
- Review security clearance since some staff made need information not currently provided him/her; review how security clearances are determined
- Provide a query to generate 1351 cost projection
- Provide a query to generate complete enrollment data plus class meeting times, rooms, and instructor
- Online tutorials for creating new queries and reports
- Need for an online glossary of terms and abbreviations used in queries and reports
- Need for an intuitive class search engine (schedule of classes)
- Address the interface for extracts to MOODLE (the DE management system)
- Accuracy of student, faculty, and staff data lists
- Need for seamlessness in the system
- Need a way to track routing (i.e., purchases, requisitions, etc.)
- Need for an ongoing student help desk
- Review whether students can easily access grades and transcripts
- The one non-function need – additional IT staff, especially programmers, who are in-house staff and not consultants
- Full implementation of the student e-mail system
- Accuracy of enrollment figures in concurrent enrollment classes
- Issues with “positive” attendance classes; COPED classes; “dynamically dated” classes
- Easy “one click” access to prepared reports

There is a Project Integration Team (PIT) which meets every Tuesday morning to address PASSPORT (PeopleSoft Student Administration) issues. This team was part of the original RWD change management design and was set up as a top-level team for action on the PASSPORT system to correct IT issues, to recommend additions to the system, or to review business practices. The team was comprised of student services administrators and staff and instructional services administrators and staff. Unfortunately, the PIT is now largely a student services group and until recently there has been no consistent attendance of an IT staff person at these meetings. In many respects, while issues of importance are raised, the lack of IT involvement has made resolution of those issues very difficult, if



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not impossible. The function of the PIT will need to be addressed in an action plan in order to address the process for resolving functionality issues which occur. It is hoped that the Associate Vice Chancellor of IT, who now attends PIT meetings, and the Associate Vice Chancellor of Student Services, who chairs the PIT, will work together to bring the PIT back to its original function as designed by RWD. Further, given past experience, the only way for the PIT to function effectively will require that IT take action on all recommendations and system priorities and widely communicate the work IT is doing. The November 3, 2009, PIT meeting will be devoted entirely to review the steps being taken to address this ACCJC recommendation. The ACCJC visiting teams would do well to meet with both associate vice chancellors to get an up-to-date report on the work of the PIT and the ability of IT to address functionality issues.

The Counseling BRT also has continued to meet and to address various issues which both impact counseling, as well as Admissions and Records. For example, one key issue is a degree audit system. However, there has been uncertainty in how to move their “issues” forward, to have them prioritized, and to have them acted upon by an IT programmer. Again, it suggests a need to look carefully at process and procedures and the need to re-establish clarity in this area. To this end, the Associate Vice Chancellor of IT met with the Counseling BRT on October 14, 2009. The BRT members apprised the Associate Vice Chancellor of their priorities and the need for resolution to those priorities. The Associate Vice Chancellor asked that the Counseling BRT facilitator, who is the Vice President of Student Services at College of Alameda, bring all issues from the Counseling BRT to the PIT.

Business Intelligence/ Data Warehouse: The district Office of Educational Services is working to finalize a Business Intelligence module or more commonly known as a Data Warehouse. The warehouse is being built by two (2) consultants, is Web based, and is easy to use. The warehouse provides reports on various kinds of data and does not require the use of queries. While initially the warehouse was set up for 40 users, it is now accessible to the entire Peralta community. One can access the warehouse through the use of one’s e-mail address and password. The warehouse provides information such as FTES, FTEF, productivity, enrollment figures, loads, as well as student success data which includes access, persistence, and transfer rates. In many respects, the warehouse is key to a review of institutional effectiveness.

Financial Aid: Functionality of financial aid needs to be addressed in a different manner, since the financial aid system is not a PeopleSoft function. As previously noted, the District moved from the Legacy system to the PeopleSoft Student Administration system in spring 2008. With that move, the function of Financial Aid had to be addressed since the system in use at the time involved the Legacy system and the SAFE system. Given the structure of the SAFE system (at that time) and the PeopleSoft system, it was determined that the two could not be interfaced. It also had been determined that for various reasons the PeopleSoft financial aid module would be difficult to implement. It is known that PeopleSoft is more aligned with processes and procedures at four-year institutions. Further, the four Peralta colleges’ financial aid departments work as a consortium of four separate but connected operations, and the PeopleSoft system could not readily accommodate four distinct operations rather than one centralized operation.



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In the end, the district chose to implement a newly developed and untested financial aid software system, Regent. Some of the reasons Regent was selected are as follows: (1) each of the four Peralta colleges has a Pell ID, and the district wanted to maintain the four identification numbers with the federal government; (2) many Peralta students attend more than one college in the district, so information must be shared amongst the colleges so that a student can't apply at more than one college; (3) from an IT perspective the goal was to have one student database and four college IDs, noting that most other financial aid systems offer one database and only a single Pell ID; (4) Regent offered new supervisor and aide workload assignment controls that were not available in SAFE; (5) SAFE would not interface with PeopleSoft and at that time SAFE was uninterested in responding to the PeopleSoft requirements; and (6) Regent provided a way for a student to see what information is needed to complete the financial aid request. However, satisfactory implementation was delayed due to Regent development issues. A compounding factor was that Regent was implemented without running the SAFE financial aid program as a parallel backup system.

As a result of the issues associated with implementing the Regent financial aid system, in fall 2008 all four Peralta colleges experienced a significant delay in processing and disbursing student financial aid. The delays resulted from file inaccuracy and a lack of interface between Regent and PeopleSoft.

Given the various issues and the need to disperse financial aid to students, a multilevel action plan was put in place for fall 2008 and spring 2009. In fall 2008 the following occurred:

- The district hired additional financial aid staff to address the processing issues;
- Financial aid staff, Regent representatives, and the district Office of Information Technology collaborated to address software issues, as well as interface issues between Regent and PASSPORT (PeopleSoft); and
- The district hired Evans Consulting to assist with processing financial aid checks and the Board of Trustees has continue to approve contract extensions with Evans given the absolute need to disperse financial aid checks to students in a timely manner.

Even with this effort, it was readily agreed that the outcomes were less than satisfactory and all pertinent parties continued evaluating and developing a plan of action to completely address the issues.

In spring 2009, the following were the action steps taken to address the financial aid issues:

- In January 2009, the district organized advanced training and planning sessions which involved a team made up of the Vice Presidents of Student Services, Deans of Student Support Services, district-wide financial aid staff, staff from the Office of Information Technology, *CIBER* consultants, Evans consultants, and Regent personnel. Those sessions culminated with the following:
 1. On time disbursement of financial aid awards action plan;
 2. Finalization of data elements for processing Satisfactory Academic Progress (SAP); and
 3. Testing was conducted to assess whether Regent could process files in an accurate and timely manner
- The district implemented the use of SAFE as a back up financial aid system to ensure processing of student financial aid awards and disbursement.

With the additional steps taken in spring 2009, the results were successful. All remaining eligible students with completed files received their fall 2008 disbursements in the first run of spring 2009 financial aid checks. Additionally, spring 2009 awards were disbursed on time to all eligible students with completed files. It should be noted that given the seriousness of this issue, the Vice Chancellor of Educational Services and the Associate Vice Chancellor of Student Services filed financial aid update reports at every Board of Trustees meeting.

On June 17, 2009, the Vice Chancellor of Educational Services made a proposal to the Board of Trustees in an effort to resolve the “functional issues” related to financial aid. The proposal is to implement a SAFE Web-based system. The proposal listed a five-year plan which is as follows:

2009-2010

- Migrate all four colleges from Regent to SAFE immediately
- SAFE (EMASS) to provide Web-based financial aid system
- Continue Regent as a back-up system

2010-2011

- Peralta SAFE database conversion and migration
- PeopleSoft data integration (one-time preparation)
- Integration to the current Custom PCCD check-writing module
- Staff operational training
- ESI EMAS managed services (two hour response time)
- DMAS data services (import load of Federal ISIRs, monitoring PeopleSoft import/export, provide scheduled auto-award packaging subject to staff review approval)

2011-2012

- Continue PeopleSoft data integration (maintenance and support)
- Continue staff proficiency training
- Continue ESI EMAS managed services (same as above)
- Continue EMAS data services (same as above)
- EMAS retention pro (new Web-based version)

2012-2013

- Continue the plan of action as in 2011-2012

2013-2014

- Continue the plan of action as in 2011-2012

With the Vice Chancellor of Educational Services proposal, all four colleges have migrated from the Regent system to the SAFE system. It is anticipated that the new system will be more efficient, thorough, and accurate in processing financial aid awards. Further, the Financial Aid Offices of all four colleges have document scanning systems in place for storing documents in PDF form. This automaton



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will allow the colleges to reduce the amount of paper that is stored as well as the possibility of losing, misfiling, or misplacing paper documents then used for verification and eligibility purposes.

At the time of the writing of this Follow-Up Report, there is discussion of centralizing some financial aid processes, specifically the evaluation process. The goals of a centralized evaluation process are (1) to simplify the notification and evaluation process; (2) to make the system user friendly and understandable for students and parents; (3) to ensure that the right students receive the right amount of money in the right time frame; (4) to reduce unnecessary and duplicate forms requested by colleges in determining a student's eligibility; (5) to produce documents that reflect a single mission and goals (i.e., Financial Aid Operational Policy and Procedure Manual, a District Financial Aid Handbook), for the purpose of distributing uniform and consistent information that can be placed in college catalogs, and (6) to reduce the number of non-compliance issues that "plague" the district.

The proposal is to create a centralized processing center where the District will be primarily responsible for evaluating all Institutional Student Information Records (ISIR), preparing and e-mailing/ mailing letters regarding missing information, making requests for additional information, sending overpayment letters when a student is required to make a refund, sending (R2T4) letters, assembling financial aid folders needed for funding decisions, and informing the colleges as to which students are ready for packaging of Title IV aid. At the same time the colleges will be responsible for developing aid packages for individual students including federal, state, and local aid, making Professional Judgment decisions, reviewing Satisfactory Academic Progress appeals and other college decisions. This proposal will be reviewed in the fall 2009 and the visiting team in 2010 can request an update from district office administration.

It should be noted that there is a business team for Financial Aid which meets weekly to continue to address issues and needs in the area of functionality. Further, the Project Implementation Team (PIT) weekly reviews the status of financial aid. Checks were distributed in August without problem and the October checks were likewise distributed without problem. FISAP and MIS reporting are moving forward successfully.

The ACCJC visiting teams can get an update on financial aid at the time of their visit by meeting with the Vice Chancellor of Educational Services, the Associate Vice Chancellor of Student Services, and the Associate Vice Chancellor of IT.

Conclusion: It should be readily noted that the entire process for implementing the student administration system of PeopleSoft was more systematic and process driven. A change management group was involved in guiding the change and implementing a new work structure. That process prior to implementation was discussed with administrators and key faculty in a variety of training opportunities. A "team" structure was created and a process scorecard was utilized. The process addressed all issues and "problems" immediately and a spreadsheet of issues and areas to be addressed were documented and a timeline was set and key personnel assigned to find solutions.

Some reasons for the current complaints about system functionality include:

- individuals not having been adequately trained in the system and the need for a comprehensive training plan;
- the method by which security and access to the system is determined;
- unawareness of functions available in the system which further suggests the need for a training plan;
- functions needed to be added to the system with no projected timeline for adding the functions or no method to decide if the requested function is reasonable;
- the need for additional queries and reports;
- the lack of follow-through on the change management process and team meetings once RWD Technologies contract was not renewed;
- the lack of sufficient district IT staff (non-consultants), especially programmers (for example, a key programmer left in August 2008 and has not been replaced);
- the lack of adequate Help Desk support for PeopleSoft;
- the need for a “structure” which is business process driven and which focuses on planning and setting priorities; and
- the need for ongoing effective communication.

What is clear is that there is a need to set a path for addressing the issues and to provide greater communication on how the issues are being addressed. For example, the Board of Trustees approved the hiring of a consultant to conduct an “Information Technology Review” and the consultant filed a report in January 2009. One of the recommendations in the report is as follows: “Establish a more formal information technology advisory structure to assist the District with planning, improving communications, developing standards, and setting priorities. The focus of the group should be on College needs and requirements related to PeopleSoft, other district-wide applications, and support services. Active College participation is fundamental and a prerequisite to its success.” “The committee should be co-chaired by the CIO and a faculty member or student services administrator. Agendas and notes from meetings should be posted on the Intranet and available to all staff throughout the District.”

Analysis of Results to Date: Seeking Resolution of Functionality Issues: Process, Procedure, Involvement, and Communication

Survey regarding functionality issues

In an effort to gain as much input as possible to address the functionality issues which end-users are experiencing, it was agreed that end-users should be surveyed. At the beginning of September 2009, an e-mail “blast” was sent throughout the district asking faculty, staff, and administrators to list three to five issues regarding the functionality of the PeopleSoft system. Seventy (70) individuals responded to that informal survey providing a variety of different issues that they determined needed to be resolved. Using the responses from those 70 individuals, an instructional dean at Laney College designed a survey using *SurveyMonkey*. That survey was reviewed by the Associate Vice Chancellor of Informational Technology and three classified staff technology analysts. The survey was then sent out on October 5, 2009, once again through an e-mail “blast” to all faculty, staff, and administrators in the district with a return date to be no later than October 21, 2009.



There were 310 respondents to the survey. The breakdown is as follows:

- 83 Full-time instructional faculty members
- 93 Part-time instructional faculty members
- 24 Student Services faculty members
- 91 Classified support staff members
- 7 Administrators.

In terms of the location of the respondents, the breakdown is as follows:

- 57 College of Alameda
- 54 Berkeley City College
- 104 Laney College
- 64 Merritt College
- 2 District Office
- 2 who did not identify their location.

Respondents also were requested to identify which functions of PeopleSoft they regularly used. That breakdown is as follows:

- 236 Student Administration (PASSPORT)
- 74 Financial Administration (PROMT)
- 56 Human Resources
- 65 Other

There were 28 questions regarding student administration functionality and required the respondents to answer – “not a problem,” “minor problem,” “urgent- needs immediate attention,” or “major or urgent.” Of the 28 items listed, 50% or more of the respondents identified 20 of the items as being “major or urgent.” Further, 106 respondents wrote in comment to the open-ended question, “Please state any additional problems or modifications for the PeopleSoft Administration System.”

There were seven (7) questions directly related to the Financial Administration system. The response options again ranged from “not a problem” to “major or urgent.” 50% or more of the respondents indicated that six (6) of the seven (7) items were “major or urgent” issues. 36 respondents wrote in comments to the open-ended question, “Please state any additional problems or modifications for the PeopleSoft Financial Administration system.”

Finally, there were four (4) questions directly related to Human Resources functionality. 50 % or more of the respondents indicated that all four (4) areas were “major or urgent” in importance. There were 34 respondents to the open-ended question, “Please state any additional problems or modifications for the PeopleSoft Human Resources functions.”

The full survey and survey responses will be available to the ACCJC visiting teams.



Prioritizing the Functionality Issues and Next Steps

The goal at the time of the writing of the district response to this recommendation is to have the PIT under the leadership of the Associate Vice Chancellor of Student Services and the Associate Vice Chancellor of IT to facilitate a process to document in a Log the issues identified in the survey. The Log used by RWD Technologies included the following: columns: #; Status; Update; Priority level; Project area [Passport, BI, PROMT, All]; Description; Owner; Due; Status/Resolution; Resolution Date. It is hoped that the Log can be published on the Web to facilitate communication with the end users.

It is further anticipated that the Associate Vice Chancellor of IT will work with appropriate college and district administrators to re-energize and re-focus the Business Readiness Teams (BRT): Counseling, A&R, Instructional Faculty, Schedulers, Financial Aid, Business Managers, and HR/Benefits/Payroll. The goal is to have these teams assist the PIT in prioritizing the functionality issues identified in the district survey, as well as to identify “issues” not covered in the survey.

Further, in order to make this process work, it is anticipated the district Office of Information Technology, under the leadership of the Associate Vice Chancellor of IT, will hire up to three (3) permanent in-house district programmers. As has been acknowledged before in this report, while it is possible to identify the functionality issues and while it is possible to prioritize those functionality issues, it is necessary to have IT programmers and staff who can resolve the functionality issues.

College Response:

The College of Alameda has taken steps to centralize the functions of the instructional computing department by organizing both the instructional and administrative computing staff under the Office of Instruction. The Vice President of Instruction has conducted monthly Technology Committee meetings with the campus and network computing technicians. Also included is the technician for the Adapted Computer Learning Center, through the Disabled Students Programs and Services (DSPS) and faculty recommended by the Academic Senate. These discussions allow for dissemination of information across divisional and institutional lines and allows for coordinated efforts and leveraging of limited resources.

Efforts have begun to develop a liaison with the District MIS staff and the new Chief Information Officer by formally implementing a District Technology Committee. Given the adoption of a new comprehensive management system, and the magnitude of fully implementing this process, this committee which has representatives from all four campuses, has begun to address these concerns and to move forward.

As part of the District Technology Committee, College of Alameda continues to address the needs of the college and the district-wide computer information system as it relates to functionality, security/access and system improvements. The college strongly recommends that the change management model as reflected in the Business Readiness Teams (BTRs) be re-instituted. And as the second level hiring of IT staff is completed, and further refinement of the PassPort software system

proceeds, it is expected that ongoing dialogue between the campus and the district IT department will increase as a necessary ingredient of successful implementation.

College/District Action Plan:

The Associate Vice Chancellor of IT will re-establish and re-energize the Business Readiness Teams (BRTs). The Associate Vice Chancellor of IT will work with each administrator who facilitates a BRT to move “issues” from the BRT to the PIT (Project Integration Team). Further, the Business Readiness Teams will provide input on the data from the district functionality survey, as well as identify other “issues” not identified in the survey.

The Associate Vice Chancellor of IT and the Associate Vice Chancellor of Student Services will reformulate the Project Integration Team and re-establish the link between the PIT and the BRTs. The two associate vice chancellors will facilitate review of the issues identified in the functionality survey and through the PIT and BRTs will not only document the identified issues, but also prioritize those issues. Further, the status of identified issues will be communicated throughout the district.

The Associate Vice Chancellor of IT, with the support of the district, will hire up to three (3) in-house programmers in order to insure that all functionality issues can be addressed and resolved.

The administrators of the four colleges will establish a communication process to inform all college constituencies as to action taken to identify and resolve PeopleSoft functionality issues.

Evidence:

1. PASSPORT front page with links to various PASSPORT Help pages and PASSPORT documents <http://www.peralta.edu/apps/comm.asp?Q=510>
2. PASSPORT Process Review presentation to the Strategic Management Team (January 17, 2007; October 4, 2007; December 6, 2007; February 7, 2008; February 21, 2008)
3. RWD Organizational Change Management presentations, September 20, 2007 and October 3, 2007
4. PASSPORT Student Administration Project, Readiness Assessment #1, January 7-14, 2008
5. Student Administration Production Schedule, November 30, 2008
6. PASSPORT Student Administration System Project, Board of Trustees Update, Communication Points, April 8, 2008
7. Project Integration Team Progress Reports, August 12, 2009 (sample)
8. Project Integration Team Minutes, July 28, 2009 (sample)
9. Business Teams and Functional Project Teams, RWD Documents; Business Readiness Team (BRT) Kickoff Meeting presentation, October 11, 2007
10. PASSPORT January 15, 2008 Staff Development Day presentations: Project Overview, Faculty and Student Self-Service, Campus Community, Admissions and Records, Student Financials.

11. Business Managers' Issues Log, August 19, 2009 (sample) and listing of accomplishments
12. Counseling Business Readiness Team – sample documents and work product
13. Evaluating PASSPORT System Success in the Post Go-Live Environment
14. HR/PR/BN Business Readiness Team minutes (sample)
15. Fit-Gap Analysis between Legacy and PASSPORT, 2005
16. PASSPORT – Change Readiness Assessment Survey
17. Printout of sample PASSPORT screens
18. Peralta Community College District: Information Technology Review, conducted by Mojdeh Mehdizadeh (CIO, Contra Costa Community College District), January 2009
19. Informal PeopleSoft/PASSPORT Functionality Survey Results, September 2009
20. Peralta PeopleSoft Functionality Survey, October 2009
21. Peralta PeopleSoft Functionality Survey Results, October 2009
22. Accounts Payable Training PPT
23. Overview of Purchasing Policies and Procedures, updated July 1, 2009
24. Strategic Management Team Charge and Resource Master Plan process.
25. College of Alameda Technology Committee Minutes
26. College of Alameda Technology Plan
27. Chancellor's Work Group
28. Planning and Budget Integration <http://eperalta.org/wp/pbi/>

Recommendation 7

The team recommends that the district take immediate corrective action to implement all necessary system modifications to achieve access to fully integrated computer information management system, including modules for student, financial aid, human resources, and finance. All corrective action and system testing should be completed within two years and the governing board should receive regular implementation progress reports until project completion (Standards 3D.1.a, 3D.1.b, and 3D.2.a)

Overview:

The Board of Trustees purchased a new enterprise management system, PeopleSoft, in 2005. The decision to purchase the PeopleSoft system came as a result of independent audit findings which found audit limitations directly related to the existing Legacy system. The Legacy system was a system built in-house and was based on a programming language that was no longer actively in use. Therefore, given the audit findings and the inability to “restructure” the existing Legacy system, the district decided to purchase a new enterprise management system, which eventually led to the purchase of the PeopleSoft system.

Introduction: Without providing an extensive and detailed narrative, the colleges and the district have experienced many “bumps in the road” in implementing the new system which include the time to implement and test the various modules of the system; the training of staff and dealing with noticeable

resistance to learning a new system with different functionality from the Legacy system; to trying to reconfigure PeopleSoft to work like Legacy; to the fact that PeopleSoft soon after it was purchased by the district, was acquired by Oracle, with the resultant effects of that change.

District administration is more than aware of the need to not only respond to the ACCJC recommendation, but understands that “all corrective action and system testing should be completed within two years and the governing board should receive regular implementation progress reports until project completion.” The district office has taken this issue seriously since the purchase of the system, has worked to resolve all issues, and will continue to work to full resolution by 2011, if not before.

In reading the four college Evaluation Reports written by the four ACCJC visiting teams and approved by the ACCJC commissioners, it is evident that the response to this recommendation needs to address the recommendation from two perspectives: (1) addressing the material findings in the 2007-2008 independent audit report [June 30, 2008] (many of which also were in the 2006-2007 independent audit report) since many findings are related to issues with the PeopleSoft system and the audit findings are commented on repeatedly in the four Evaluation Reports, and (2) specific issues with the PeopleSoft financial system which are being addressed and are not related to the independent audit findings. It should be noted upfront that in an April 2, 2009, Report from the independent auditor, “Independent Accountant’s Report on Applying Agreed-Upon Procedures,” the independent auditor determined that seven (7) of the 30 audit findings had been resolved and/or implemented. It is anticipated that the independent audit report to be filed by the end of 2009 will determine that at a minimum 14 of the remaining 23 findings have been resolved/implemented and that the action plans for the remaining nine (9) will resolve those findings before the end of 2010.

As noted, it is anticipated that the independent audit report for fiscal year 2008-2009 will be available at the end of December 2009. In view of timelines for completing this Follow-Up Report and submitting it to the Board of Trustees for review and approval, it is not possible to include the results of that audit report. However, this audit report will be electronically sent to the ACCJC visiting team members in advance of the site visit in March 2010.

For the purposes of the district response, this response will be divided into two sections in order to address each area. It should be noted that specific comment on the student, financial aid, and human resources is provided in the response to the *Management System*, Recommendation #5.

Status of Responding to the Independent Audit Report Findings

The following will address the 30 audit findings from the independent audit and documented in the 2007-2008 audit report filed on June 30, 2008. Those areas listed as “Material weakness”, “Significant Deficiency,” and the “Recommendation” are directly quoted from the independent audit report. The “Action to Date” is the district response or resolution for each audit finding. Further, included with each subject heading is the Vice Chancellor of Finance and Administration’s assessment of the status of response to date.



Accreditation Follow-Up Report

#1. Oversight and Monitoring

[Status: Implemented]

Material Weakness: Findings and recommendations noted in the prior years' audit reports have not been addressed through an implementation process. Material weaknesses and significant deficiencies have rolled forward through several years with no corrective action plan.

Recommendation: The district should establish a procedure to quickly identify an appropriate corrective action plan, assign individuals responsibility for the implementation, and provide updates to the (Board of Trustees) Audit committee and the staff of the District. The implemented correction action plan should be designed to address the issues noted and maintain the internal control structure of the District.

Action to date: Every carry-over item is included in this report/narrative. Specific corrective actions are delineated below and appropriate managers have been assigned to respond to and to implement each carry-over item. Ongoing updates and continuous improvements are taking place and will continue to take place since that is a given when using an enterprise system. Staffing and budget issues have caused the Office of Finance to be stretched in its ability to address issues in a timely manner. The Vice Chancellor of Finance and Administration's evaluation is that internal controls are strong and the district will continue to improve those processes.

On April 2, 2009, the independent auditor, VTD, agreed that the resolution has been implemented. VTD reported "the District Business Office has developed and provided to us a tracking system for all comments and recommendations for the past three years and has implemented a procedure to evaluate and review the status of all recommendations throughout the year. The tracking system includes a 'person responsible' and due date to ensure compliance has been reached."

#2. Oversight and Monitoring: Financial Accounting System Procedures [In process; customization]

Material Weakness: As noted in prior years' reports, the District implemented the PeopleSoft financial accounting system during the FY 2005-2006 in response to significant weaknesses and deficiencies in the prior financial reporting system. Inadequate support from the software vendor, as well as delays in the implementation of certain modules of the system, have resulted in continuing deficiencies in the ability to post, review, reconcile, report and monitor the financial activity of the District.

Financial reporting/ledger reports are not readily available to the users of the financial information to provide analysis and oversight of the financial activity and budget monitoring. Reports have not been developed that can provide transparency to the activity and review on a routine basis. Subsidiary ledger reports have not been developed that can be reconciled to the general ledger on a routine and timely basis.

The Information Systems Department has been given access to all process activities and report writing in an effort to obtain financial information on a more timely basis. The hierarchy of controls has been set so high that users cannot access the needed information and, in other instances, has been set too low to allow certain key individuals access to all segments of the transaction cycle.



Accreditation Follow-Up Report

A clear audit trail which allows for the timely review of transactions and approvals is not available with the accounts payable module.

Department managers have been unable to utilize the PeopleSoft financial accounting system to properly monitor their budgets related to personnel costs. Separate spreadsheets have been developed to reconcile, monitor, and control personnel costs during the year.

Reconciliations of the cash held in the county treasury to the general ledger was not completed on a monthly basis during the 2007-2008 fiscal year and, ultimately, was not completed until January 2009.

Recommendation: Continued training of the end users of the financial system on the functions, uses, and protocols of the PeopleSoft accounting software system must occur.

Reports on financial activity must be prepared and accessible to the appropriate levels of management on a routine basis to provide the ability to analyze and reconcile accounts.

Access by the Information Systems Department to process activity must be eliminated as soon as possible. Adequate internal controls over all modules which allow for the review, approval and monitoring of all activity must be reinstated to ensure that all transactions occurring during the accounting period have been properly posted in a timely manner to the proper account and program.

Action to date: Budget control errors have been corrected as a result of the Position Control Module programmed and implemented in December 2008 which now allows system users to view their budgets and expense reports. This module allows financial users to track and monitor their respective budgets.

The district Office of Finance continues to develop customized queries, which makes it easier for staff to access the information needed. These customized queries are mostly business management queries to help the staff manage their budgets by fund and cost center. Queries have been written to obtain details of various general ledger accounts and those are available.

Adequate internal controls are in place. Training is in place and will be on-going

The Vice Chancellor of Finance and Administration, the Assistant Vice Chancellor of Finance, and the Associate Vice Chancellor of IT are responsible for the ongoing action plans to address all facets of this recommendation.

On April 2, 2009, the independent auditor agreed that resolution of this audit finding is “in process” and made the following statement:

“Through inquiry and observation of the Vice Chancellor of Finance and Administration and the Information Technology Department, the District is utilizing the consulting services of *CIBER*, Inc. to implement necessary modules and programming to address the ongoing concerns with the PeopleSoft reporting system. Updates have been provided and installed and testing of new modules has begun.”



Accreditation Follow-Up Report

“Training sessions have been held with District and College Business Office personnel by *CIBER*, Inc. consultants on the ability to query information and general ledger accessibility.”

“Additional suggestion to the current training procedures was to post a training calendar for the various modules being implemented and include a sign-in process to take attendance and ensure participation by appropriate staff.”

“The District installed the Position Control Module in December 2008; however, the full implementation and capabilities of the module have not been integrated in the current practices and procedures from an operational standpoint.”

“The full implementation of the recommendation is dependent upon the continued successful implementation of the accounting modules and ability of District staff to properly record, review, and reconcile the accounting information.”

#3. Information Systems

[Status: In Process]

Material Weakness: The PeopleSoft financial accounting system operates and provides the following services through the Information Systems: Accounting (a financial, accounting, and budgeting system that processes all transactions for the District); Purchasing (vendor files and payment information); Payroll (the payroll processing for employees of the District).

Due to implementation issues associated with the PeopleSoft accounting system, these key areas have not been independently evaluated or tested to ensure the controls, approvals, procedures, and processes have been appropriately set up within the computer system and are functioning properly.

Recommendation: The controls in place within the software system should be reviewed and tested by an independent service provider and evaluated to ensure adequacy. This review should encompass the controls specific for the transactions processed through the system and should include the security settings. The review should provide recommendations to correct any weaknesses noted within the internal control environment.

Action to date: The Board of Trustees has hired a permanent Associate Vice Chancellor for Information Technology, who is skilled in PeopleSoft, and who will implement the final phase of PeopleSoft implementation, to include key financial and student administration modules (i.e., Business Intelligence/Data Warehouse module, Degree Audit module, the Project Cost module, etc.)

When the additional modules are fully operational, the district will hire an audit firm to complete a SAS 70 review to assess internal controls of the IT system. It could conceivably be another year before the SAS 70 review is completed.

The Vice Chancellor of Finance and Administration will coordinate the resolution of this finding.



Accreditation Follow-Up Report

On April 2, 2009, the independent auditor stated “the implementation of the recommendations is dependent upon the continued successful implementation of the accounting modules and ability of District staff to properly record, review, and reconcile the accounting information.”

#4. Retiree Health Benefit Investments

[Status: Completed]

Material Weakness: The District maintains investments from the issuance of Taxable 2005 Limited Obligation OPEB Bonds, which are held separately by an Investment Manager employed by the District.

The District recorded the initial proceeds from the sale of the bonds within a trust fund of the District; however, the activity subsequent to the initial investment has not been recognized with the system. During the year ended June 30, 2008, total investments recorded on the District’s general ledger amounted to \$171,981,823 which did not agree to the third party custodian’s confirmation of asset valuations of \$160,148,670.

Additionally, the Trust Fund has not recorded the corresponding debt related to the OPEB bonds which is required under generally accepted accounting principles.

Although the District has received and reported quarterly reports on the activity, including gains and losses of investment held through the bond, the actual financial reporting within the general ledger system did not properly reflect this activity.

Audit adjustments were proposed and accepted by management to account for the net decrease in the fair value of investments as of June 30, 2008, in the amount of \$11,833,153. An adjustment was proposed and accepted by management to include the long-term obligations of the fund in the amount of \$131,159,419. Additional adjustments to include current activity brought the reported ending balance of the trust fund from a positive \$138,102,639 to a negative \$4,993,364. These adjustments take into account all changes in fair value including purchases and sales, as well as realized and unrealized gains and losses that occurred during the year.

Recommendation: The District should review the requirements of the Trust Fund reporting in accordance with accounting principles generally accepted in the United States and the California Community College System’ Office *Budget and Accounting Manual*. All activity associated with the investments and obligations of the fund should be reported on a full accrual basis of accounting. The District should implement adequate accounting policies and procedures to account for and record all activity within the funds of the District in accordance with current standards.

Action to date: A memo journal entry to record the General Fund receivables for retiree medical benefits and the investment trust’s unrealized gains was posted in July 2008 for the prior fiscal year.

The auditor approved the memo entry to reflect district receivables and to record unrealized gains and losses. Testing will continue through the 2008-2009 annual audit and the final results will be reported within the findings and recommendations section of the District’s financial statements.



Accreditation Follow-Up Report

The coordinating responsibility for this area is the Vice Chancellor of Finance and Administration.

On April 2, 2009, the independent auditor reported “the accounting criteria for the OPEB bonds has been identified by the Vice Chancellor of Finance and Administration who has stated a journal entry to record the current year investment and account activity will be posted to the accounting records of the District through the closing process. Testing will continue through the 2008-2009 annual audit, and the final results will be reported within the findings and recommendations section of the District’s financial statements.”

The Vice Chancellor of Finance and Administration confirms that account activity was posted to the accounting records of the district as of July 2009.

#5. Capital Asset Accounting

[Status: Partially Implemented]

Material Weakness: The District has not implemented a previously purchased software program to account for the maintenance, addition and deletion of capital assets, and the related depreciation. Accounting records are incomplete and inadequate to provide sufficient support for an opinion on the fair presentation. The following areas are affected by this: Reporting; Construction in Progress Classification; Building/Site Improvements Classification; Equipment Physical Inventory; Disposals for Equipment; and Current/Accumulated Depreciation Expenses.

Recommendation: The implementation of a fixed asset accounting software program should be a high priority for the District. Written procedures should be developed and disseminated to all Colleges and departments providing the requirements for notification of additions and deletions of equipment assets owned by the District. Training should be conducted to provide for the application of the procedures. We further recommend that a reconciliation of construction project expenses to the work in process accounts be completed at least quarterly during the year. The results of the third-party inventory counts should be reconciled and incorporated into the fixed asset ledgers of the District.

Action to date: The District has a dedicated *CIBER* functional consultant working with senior accounting staff and has taken June 30, 2006 beginning capital asset balances and added the capital additions for 2007-2008 and 2008-2009. Further, in July 2008, the district implemented the PeopleSoft fixed asset module that will account for capital assets. The District has hired a local CPA to oversee the project and to make sure appropriate levels of detail and audit trail exist to eliminate the audit qualification for fixed assets. This project was completed prior to the FY2008-2009 closing. Full implementation of the controls and recommendation is dependent upon the success of the reconciliation process.

The project was completed prior to the June 30, 2009 Audit Report which the independent auditor intends to finalize by the end of December 2009. On September 8, 2009, the independent auditors started the audit and the district is providing them with the required information.



Accreditation Follow-Up Report

The Vice Chancellor of Finance and Administration, the Vice Chancellor of General Services, and a *CIBER* consultant are responsible for this area.

I should be noted that on April 2, 2009, the independent auditor stated “through inquiry of the Information Systems department personnel, the *CIBER*, Inc. consultant, and the Vice Chancellor of Finance and Administration, the fixed asset module of PeopleSoft has been brought online with the mapping of account codes from the expenditure reports to the fixed asset module under way. Additionally, the prior year balances are being reviewed with a new physical inventory of equipment being contracted to take place. The process for full implementation calls for a full reconciliation of the actual construction projects, buildings, equipment, and related depreciation to be conducted for reporting within the 2008-2009 annual financial statements. Full implementation of the controls and recommendation is dependent upon the success of the reconciliation process.”

Most recently the *CIBER* consultant reported that the “capitalized fixed assets [$> \$49,999.99$] for the last 3 fiscal years are done but need to be entered in module; low value fixed assets [$< \$50,000$] for last 3 fiscal years are entered on spreadsheets but need to be uploaded in module by October 31, 2009; CIP fro last 3 fiscal years will be complete by mid-October.”

#6: Accrual Accounts

[Status: In Process; partially implemented]

Material Weakness: As noted in the prior year’s audit report, poor implementation of cut-off procedures associated with the accrual accounts within the fund financial statement resulted in audit adjustments being proposed and accepted for accounts receivable, cash accounts, prepaid expense, and accounts payable. The oversight and monitoring of these accounts has also been impacted by the financial accounting software system as described in finding #2 above. The financial statements reported to the Board and the State System’s Office through the CCFS-311 did not reflect the proper accruals of both revenues and expenses.

Recommendation: The District should institute adequate controls over the year-end closing process to ensure that all valid accruals have been included within the financial activity for the year in accordance with accounting principles generally accepted in the USA. Training of District staff to recognize, record, and review the accruals should be a high priority to ensure accounting principles are followed as a routine within the Business Office.

Action to date: The Office of Finance is working closely with the Office of General Services to review construction invoices to determine that costs are entered into the correct fiscal year (2008-forward). The Vice Chancellor of Finance and Administration met with the Vice Chancellor of General Services to establish a work plan. The Vice Chancellor of General Services is monitoring to insure invoices are attributed to the correct year.

It should be noted that certain departments within the district withheld documents that were needed for a proper cut-off. Those departments were informed to forward necessary documents to assist the district in having an accurate closing.



Accreditation Follow-Up Report

At this time, queries have been developed to assist in reconciliation.

The independent auditor will determine the degree of compliance in the audit report to be filed at the end of December 2009.

The Vice Chancellor of Finance and Administration, the Assistant Vice Chancellor of Finance, and the Vice Chancellor of General Services are responsible for this area.

On April 2, 2009, the independent auditor reported “through inquiry of the Vice Chancellor of Finance and Administration and the *CIBER*, Inc. consultant, a query is currently being developed that will better allow the District Business Office staff to clearly identify transactions that should be part of the year-end closing process and reconcile the amounts accrued to the amounts paid. The full implementation of the recommendations is dependent upon the implementation of the query process and staff understanding of the necessary accrual adjustments. Testing will continue through the 2008-2009 year-end audit with full reporting of the status incorporated in the annual financial statements.”

#7: Enrollment Fee Revenue Reporting

[Status: In Process]

Material Weakness: Due to the District conversion to a new student accounting system, the College campus business offices have not been able to determine the amount of student enrollment fees received and earned subsequent to the implementation date of May 2008. In testing student enrollment fee activity, (the independent auditor) noted the system will back-date the activity to a prior period if a student requests a refund or other adjustment to their account.

Recommendation: The District must request a program update to the current student accounting system that will permit the College Bursar’s Office to identify the student enrollment fee revenue and forward to the District Business Office for posting to the financial accounting system. The ability of the College Bursar’s Office to track current revenue receipts, refunds, and adjustments and properly remit the revenues to the District Business Office should be a high priority of the information system’s programming of the new system.

Action to date: *CIBER* has completed the programming necessary for the student administration system information to be transferred through account code leads to the general ledger; the district completed April/May/June. *CIBER*’s work will generate the BC003 report.

The District posted the months of July, August, and September 2008 and ran the month of October 2008 (In FSUAT-test database). An appointed staff member continues to correct coding errors based on journal entries generated for each month directly into the production database.

The district ran November 2008 through March 2009 at the end of April 2009, thus allowing April 2009 to be run in early May 2009.

The new Associate Vice Chancellor of Information Technology confirms that this finding has been resolved which involves 400+ item types.



Accreditation Follow-Up Report

Business managers and bursars are reconciling with enrollment information and their college bank accounts.

The district Office of Finance reports that everything is in place and the Office of Finance is waiting for the independent audit review to be completed. It is anticipated the review will be filed by the end of December 2009.

The Vice Chancellor of Finance and Administration, the Assistant Vice Chancellor of Finance, the college Presidents, and the *CIBER* consultant are responsible for this area.

On April 2, 2009, the independent auditor stated “the District is currently working with the *CIBER, Inc.* consultant to develop a report which will identify the student fees received at the College locations and allow the College and the District to reconcile the fees to the proper period. The issue with the revenue accounts that existed at June 30, 2008, and did not allow for the proper recording of the revenue has been identified and the codes noting the revenue accounts have been identified. The District is now working on the reconciliation that will bring these codes forward for posting with the District’s cash and revenue accounts. Testing will continue through the 2008-2009 year-end audit with full reporting of the status incorporated in the annual financial statements.”

#8: Bursar’s Office and Trust Fund Activity Reporting [Status: Completed]

Material Weakness: Revenue has been received by the Laney College Bursar’s Office and recorded within the campus Trust Fund Accounts from Federal categorical programs. These funds have not been reported to the District Business Office to ensure compliance with the terms and conditions of the grant and have not been included within the District’s Schedule of Expenditures of Federal Awards. Expenditures of the funds received have been netted with the revenues, and a clear audit trail of the actual activity has been eliminated.

Recommendation: The Laney College Bursar’s Office should be trained on the types of funds to be deposited within the College Trust Funds... The Laney College Business Office should review the District’s policies and procedures related to the receipt of funds and follow appropriate practices.

Action to date: The district policy was restated to Laney college staff. Training was provided to insure this will not occur again. The training was specifically on how to account for Federal revenues.

The Vice Chancellor of Educational Services and the Laney College President are responsible for this area.

On April 2, 2009, the independent auditor agreed that the resolution had been implemented and stated “the District Business Office has instructed each College campus that all grant revenue (Federal, State, or local) must be forwarded to the District Office for recording within the books and records of the District. The instruction noted that the authority to bind the District through contracts with other agencies rests with Executive Management at the District Office. Through discussion with the College



Accreditation Follow-Up Report

Business Manager, this revenue was again received in 2008-2009, and the funds have been forwarded to the District Office for proper accounting. Continued testing at all College locations will occur within the 2008-2009 audit year.”

#9: College Trust Fund Accounting and Activity [Status: In Process]

Material Weakness: The financial accounting system used by the four College Bursar’s Offices for Trust Fund accounting does not provide the ability to separately identify revenues received and expenditures made. All activity for the Trust accounts is netted to show only the beginning and ending balance. ...A full accounting of the revenues and expenses of the trust accounts cannot be provided during the year or at year-end.

Recommendation: The accounting software utilized by the College Trust Funds should be reviewed and upgraded to an appropriate software package that will allow for the segregation of revenues and expenditures. Appropriate training of the College Business Officers charged with the oversight and management of the Trust Fund activities should be provided on an annual basis to ensure that the accounting is posted in accordance with accounting standards. A full accounting of the revenues and expenditures through the Trust Funds should be prepared and reviewed at least quarterly and provided to the District Business Office on an annual basis to ensure funds received that are the responsibility of the District are forwarded and accounted appropriately,

Action to date: A request was made of a consultant to see if it was possible to program the Legacy system to extract revenues and expenditures by month, which would provide the details this recommendation is requesting. The District tested the system as programmed by the consultant and noted that the reports show each trust fund and its deposits and expenditures (checks written) for any specified amount of time. The reports show journal entries and voided checks. While the reports are rudimentary and are printed using a dot matrix printer, it has been determined that they serve the purpose of meeting this audit finding. In this manner, major improvements have occurred and this function is not connected to PeopleSoft and is not required to be connected to PeopleSoft. In fact the new Associate Vice Chancellor of Information Technology has reported that it is not practical to put this function into PeopleSoft. At some point in the future, it is possible that this function will be moved to Quick Books.

The Vice Chancellor for Finance and Administration and the college business managers are responsible for this area.

On April 2, 2009, the independent auditor reported “the College Business Managers are currently reviewing two options to provide a solution to the accounting for the trust fund activities and provide transparency to the transactions including the use of QuickBooks or providing expanded accounts and queries under the current accounting system. As of March 27, 2009, the final determination has not been completed.”



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#10: Internal Audit Function [Status: In Process]

Significant Deficiency: As noted in the past several years' audit reports, the District's operations and functions are decentralized and take place at four College campuses, as well as the District Office. An internal audit function that provides an ongoing assessment of the District's accounting and financial operations is a valuable tool within the internal control function of the District.

Recommendation: An internal audit function should be established to provide assistance with monitoring and oversight of the approved policies and procedures throughout the year. A risk assessment of the various operations should be completed on an annual basis with review and testing of the key internal controls assessed and reported throughout the year.

Action to date: The district is discussing with the Board of Trustees' Audit and Finance Committee the option of hiring an experienced community college internal auditor. To date, no decision has been reached.

The Vice Chancellor for Finance and Administration and the Board Audit and Finance Committee are responsible for this area.

On April 2, 2009, the independent auditor reported "the District has not implemented the process to include an internal audit process or function."

#11: Accounts Payable/Purchasing Functions [Status: Completed]

Significant Deficiency: Accounts Payable Technicians have the ability to approve transactions within the purchasing module. This enables the "direct pay" of a vendor which effectively circumvents the purchasing function and eliminates the proper segregation of duties required by sound internal controls.

Recommendation: A review of the processes between the Accounts Payable and Purchasing functions should be made. Adequate segregation of duties should be re-established. A procedure manual for both departments should be written which provides guidance on the approved functions and responsibilities.

Action to date: The district reviewed the practices and determined that "direct pay" is only done for utilities, travel, and professional services and that all other purchases are routed through the purchasing department.

On April 2, 2009, the independent auditor determined that the recommendation had been implemented and reported "through inquiry observation and testing, we have verified the District's internal control over the accounts payable and direct pay processes. The District's accounts payable technicians verified they will not pay an invoice without a vendor invoice and approved 'Check Request Form.' Additionally, controls set within the PeopleSoft Accounting System will not allow the same individual to both enter a payment and process the payment. An additional control was suggested that the accounts



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payable supervisor print out a report of Direct Pays on a monthly basis and review supporting documentation on a random basis to ensure the payment is proper.”

#12: Written Business Office Procedures [Status: Completed]

Significant Deficiency: With the implementation of the software accounting system, many procedures and functions within the accounting, payroll, purchasing, and business office have significantly changed, and prior practices and procedures are no longer valid. There are no updated written procedures to support current practices and ensure all staff are aware of the approved practices related to the business office procedures.

Additionally, the practices and procedures for financial activity at the four College Business Officers are not written.

Recommendation: Written procedure manuals should be developed for all functions within the District Business Office, as well as the College Business Office to provide guidance as to the approved practices and procedures related to accounting, payroll, and other business office functions. This manual should be provided to all District Office and College Business Office departments to ensure procedures are followed and to allow for training of staff.

Action to date: The District Office and the College of Alameda have written procedures. A former PCCD business manager was hired to create a master business procedure manual. The consultant has completed a draft of procedures for bursars and cashiers. That draft is being reviewed by each college business manager and seems to be a workable document.

The next portion to be drafted is for Associated Students.

The college business managers are responsible for this area.

On April 2, 2009, the independent auditor reported that this has been implemented for the district office and that “procedures manuals were provided to the staff for review.” The independent auditor reported that resolution is in process for the college campus business offices stating “the procedures manuals at the college level are being developed through collaboration with all College Business Offices and the District Business Office.”

#13: Journal Entries [Status: Completed]

Significant Deficiency: Segregation of duties for processing transfers between funds and journal entries to post and correct activity has not been enforced. The creation and processing of transactions posted between funds through journal entries may rest with one individual with no documentation of additional review, approval, or reconciliation.



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Recommendation: The process of recording transfers and journal entries should be reviewed and evaluated for proper internal control. Segregation of duties to eliminate the possibility of one individual being responsible for an entire accounting transaction should be re-established with primary responsibility for review and reconciliation of the accounts maintained at the supervisory level. Written procedures should be established to provide guidance to staff on the proper controls and procedures.

Action to date: The Associate Vice Chancellor for Finance is the only person who can initiate fund transfers, journal entries, or budget set-up (District Office). A form is processed for each transaction and must be approved by the Vice Chancellor of Finance and Administration (CFO).

On April 2, 2009, the independent auditor reported that it was “unable to determine” the status of this finding “due to the unavailability of certain staff, this finding was not reviewed for current status.”

#14: Disaster Recovery and Strategic Planning

[Status: Completed]

Significant Deficiency: The District provided a draft of their Disaster Recovery Plan (DRP) for the Information Systems Department; however, the key components of the DRP could not be demonstrated that they have been implemented. In the event of a disaster, the District may not be in a position to take the necessary steps to mitigate the effects of such a disaster.

Recommendation: The District should continue to review and implement the draft DRP. The DRP should cover all operating systems and be tested on an annual basis. The DRP should also include procedures that will ensure recovery and restoration of all systems to normal functioning within a timely manner in the event of an unforeseen disaster.

A functional strategic plan (the Plan) is necessary to document future plans and changes to the Information Systems Department. The Plan should lay out individual procedures that are deemed necessary for the advancement of the IT Department as a unit including systems. Goals and objectives should be clearly stated within this Plan.

Action to date: The District has two systems of back up currently in place in the event of a disaster. Out-of-district storage exists through Iron Mountain in Phoenix. Another back-up system for all information is stored at Merritt College.

On April 2, 2009, the independent auditor determined that a resolution has been “partially implemented” noting “through inquiries and observations with the Information Technology Department, the DRP is continuing to be reviewed and updated. Funding for full implementation is included in the Board Packets for April 7, 2009.”

#15: CCFS-311 Reporting

[Status: Completed]



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Significant Deficiency: The CCFS-311 report is due on or before September 30 of each year. The CCFS-311 report provided to the auditors was incomplete. (There was additional backup information not submitted to the State.)

Recommendation: The District should ensure that all reporting requirements are included in the annual submission of the CCFS-311 report.

Action to date: The CCFS-311 report was issued with incomplete information due to programming issues. These programming issues have been corrected. Staff have determined that the system now works correctly to produce the required report.

On April 2, 2009, the independent auditor reported “the annual reporting on the CCFS-311 is not due until September of each year. Processes are being developed to meet the timelines and inform staff throughout the District of the necessity to report financial activity accurately and timely.”

#16: Schedule Expenditures of Federal Awards (SEFA) [Status: Completed]

Significant Deficiency: A complete SEFA was prepared by the District for both the Federal and State categorical programs; however, (the independent auditor) noted the following errors and omissions in the initial SEFA. Two of the Federal programs were reported on the SEFA as State Categorical Programs. On the State categorical page, they were missing four categorical programs. There were also some errors noted within the recordings of the total revenues and expenditures.

Recommendation: (The independent auditor) recommends that the District review its procedures over the collection of data to be included in the SEFA and also review its existing format of its SEFA to ensure that it includes all above noted required elements.

Action to date: As soon as the errors were discovered, staff made the necessary corrections. The independent auditor’s recommendation will be implemented.

On April 2, 2009, the independent auditor reported “the annual reporting on the SEFA is not due until the District has closed, reconciled, and reviewed the financial activity of each year. Processes are being developed to report financial activity accurately and timely on the required schedule.”

#17: Fund Balance [Status: Completed]

Significant Deficiency: The District did not post prior year audit adjustments to the General Fund, Capital Outlay Fund, or the Self-Insurance Fund. The Deferred Comp Trust (OPEB) balance was off a dollar, which indicates that the significant adjustment to this fund was posted.

Recommendation: The District must post all approved audit adjustments.



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Action to date: The District researched a method to post audit adjustments to the fund balance in a way that would leave a clear audit trail of the amount and purpose of the entries. The District knows how to post entries in PeopleSoft with a proper audit trail.

On April 2, 2009, the independent auditor was unable to determine if this finding had been resolved “due to the unavailability of certain staff, this finding was not reviewed for current status.”

#18: Merritt College Business Office Activity [Status: Completed]

Significant Deficiency: Each of the College Bursar’s Offices receives monies from students for enrollment fees and other assessments, as well as facilities rental fees and other amounts that are to be forwarded to the District Office on a timely basis. During (the independent auditor’s) testing of activity subsequent to June 30, 2008, the auditor reported that Merritt College had opened two accounts within the Associated Student accounts for deposit of facilities rental fees, as well as other receipts, without forwarding these to the District Business Office. Expenditures through these new accounts were also noted including a “loan” for a college-wide retreat in the amount of \$25,000.

Recommendation: The College should review the current guidelines for receipt and use of monies that are General Fund monies to be deposited within District accounts. All activity related to these types of receipts should be reconciled and provided to the District Office on a timely basis. Amounts currently held within the Student Organization funds belonging to the District should be forwarded immediately with a full reconciliation and accounting.

The Student Body Organization Advisor should review the *Budget and Accounting Manual* provided by the State System’s Office for the appropriate type of expenditures and activities to be included as part of the Student Body Organization.

The loan from the student fund should be repaid immediately and all supporting documentation for the conference should be forwarded to the District Office.

RESPONSE:

The following information was provided by the Merritt College Business Office.

The audit exception (2008-18) incorrectly referenced two accounts and a “loan” of ASMC funds. There exists only one Merritt College Trust Account with a number of sub-accounts supported by QuickBooks. These sub-accounts are intended to segregate and account for funds from student clubs, groups, projects, facility rentals, etc., and are reconciled monthly. The check for the college retreat was written from the Merritt College Trust Account that holds funds from the activities listed above, and as such was a valid college expense. Merritt College is in compliance with the guidelines for receipt of monies that are General Fund monies deposited within District accounts.

In accordance with the recommendation provided by the independent external auditor, college management has reviewed the *Budget and Accounting Manual* preparatory to providing training to staff



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who handle facility rental and other fees. Further, the Merritt College Business Office has developed and documented an administrative procedures manual for the Merritt College Bursar's Office regarding accounting for the campus handling of cash and ASMC funds. The manual has been submitted as a template for use throughout the Peralta Community College District. The Merritt College Business Office and the District Office of Finance have completed a detailed and full accounting of all transaction detail for the fiscal year.

The importance of properly accounting for all college/district revenues is acknowledged. The practices currently employed meet this requirement such that revenue deposited into the Merritt College Bursar's Office is accounted for in accounts under the purview of the Peralta Community College District.

The visiting team is encouraged to meet with the Merritt College administration if additional information is desired or if there are additional questions.

#19: Swap Risk Management

[Status: Completed]

Significant Deficiency: The District has entered into various financial agreements to the OPEB bond issuance. These agreements are sophisticated swap agreements with the purpose of minimizing the risks related to variable interest rates of the bonds. The District has hired outside consultants to provide for the management and direction of the swap agreements, however, has not accounted for the initial transaction or subsequent activity on the financial statements of the District. The ability of the District to properly report and manage the effect of the agreements was not demonstrated in the accounting ledgers. While the financial analysts have provided quarterly information to the Board for review, it is not clear that the ultimate transaction is transparent. Additionally, the District does not have in place a formal policy governing the use of derivatives.

Recommendation: Formal policies should be developed and approved. The District received a recommendation for the implementation of Board approved policies which will provide the guidance needed to include all elements such as objectives, authority, and approval mechanisms, including government code citations, provide for risk analysis, and include opportunities for competitive bidding for services.

Action to date: The District has no plans to issue any additional derivative investments. The District will consider development of a board policy relating to derivative transactions if there is a need in the future. However, since there are no plans to issue any additional derivative investments, a board policy is not needed at this time. Currently, swaps are monitored weekly by a former executive from the Bank of America.

On April 2, 2009, the independent auditor reported the current status to be "partially implemented" and reported "through inquiry with the Vice Chancellor of Finance and Administration and observation of the activity through the OEPB investments, it was noted the swap arrangements are being called and divested. The District has stated there is no intention of continuing with the swap arrangements in the



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future and has hired an individual with expertise in the specialization of the derivative markets to monitor the remaining account until it is due.”

#20: Student Financial Aid Eligibility Determination [Status: Implemented; centralization of specific functions is in process]

Significant Deficiency: Instances where aid was over-and under-awarded were found at all four campuses (Aid included: Pell, FSEOG, ACG, FFEL (subsidized), FFEL (unsubsidized); a sample was provided.)

The campuses each operate autonomously in that each has its own administration, policies, and procedures. We found that three of the four campuses have adequate policies and procedures, but may not have adequate staffing or resources to compensate for the volume of awards disbursed. One campus was in the process of correcting prior year conditions and was improved.

Recommendation: A report should be written within the student accounting system that would provide the registrars and the student financial aid office, the ability to ensure enrollment information recorded is correct and no changes have been made that would impact the student financial aid award as required by Title IV. Communication between the offices should be improved to ensure Federal awards are not inappropriately disbursed to ineligible students.

Action to date: The District Office has checked every file from Merritt College, College of Alameda, and Berkeley City College for academic year 2007-2008. A system has been instituted to prevent retro-active drops. The District is centralizing and standardizing the financial aid approval process at the district office.

The work in this area is being directed by the acting district Director of Student Services.

On April 2, 2009, the independent auditor was “unable to determine” the current status of resolution of this finding. They reported “the complete testing of the Student Financial Aid awarding and disbursement process will take place during the interim audit. Through inquiry with the College financial aid supervisors, they are aware of the issues and have committed resources to correct any deficiencies.”

#21: Student Financial Aid – EZ-Audit Filing [Completed]

Significant Deficiency: A significant deficiency exists within the reporting requirements of the EZ-Audit submission. EZ-Audit is a web application that provides colleges with a paperless, single point of submission for financial statements and compliance audits. Agencies receiving Federal student financial aid are required to access and submit the requested information within nine months of the fiscal year end. (The independent auditor) noted the EA-Audit information was not submitted for the 2007 fiscal year end until after the March 31, 2008 deadline.



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Recommendation: The District should implement procedures to provide the College student financial aid offices with the required information and timelines to submit the appropriate reports to the Department of Education. The College student financial aid offices should develop appropriate procedures to ensure the EZ-Audit is completed in a timely manner, reviewed, and submitted as required.

Action to date: The District is moving to centralize and standardize processes and procedures for the student financial aid offices. The district uses a single software program, SAFE. The appropriate reports have been filed in a timely manner with the Department of Education EZ-Audit filing for the fiscal year ending June 30, 2008.

On April 2, 2009, the independent auditor was “unable to determine” the current status of resolution of this finding. The auditor reported “the deadline for the filing of the EZ audit is March 31 of each year. Through inquiry, processes are being put in place to gather the data as of the agreed-upon procedures interview date of March 27. We will follow-up on this finding and the current status during our interim audit work.”

#22: Program Monitoring [Status: Completed]

Material Weakness: The District did not furnish evidence verifying that it effectively monitored the (Tech Prep Consortium) grant’s sub-recipient for compliance with program performance.

Recommendation: The District should provide the sub-recipients with a contract that includes all compliance requirements noted (in the audit report). Periodic monitoring of the activities and programs will assist in ensuring proper compliance. In some instances, a single audit of the award may be necessary for the sub-recipient, and a copy of that report should be provided to the District.

Action to date: The Memorandum of Understanding was revised by the District’s General Counsel to comply with the audit recommendations. Periodic review to ensure compliance has been initiated.

The General Counsel has responsibility for this area.

On April 2, 2009, the independent auditor determined the current status to be “implemented.” The independent auditor reported “through inquiry and observation with the District’s General Counsel has updated the contracts with sub-recipients and has a process in place to ensure the new contracts with agencies receiving Federal funds maintain compliance with the stated laws and regulations. The audit of the 2008-2009 year will again include this area for continued testing of the monitoring process.”

#23: Procurement Policies [Status: Completed}

Significant Deficiency: The District does not have policies and procedures in place for the certification of potential contractor or subcontractor relationships involving Federal program dollars. Contracts in excess of \$25,000 are subject to the compliance requirement that the status of the entity is verified



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against the suspension and debarment eligibility requirements. The District does not currently monitor the Federal contracts for these requirements, nor do the contracts allow a vendor to self-certify they have not been excluded from working with Federal program grants.

Recommendation: The District should implement a procedure to verify all vendors who are providing services to federally funded programs in excess of \$25,000. This verification may be accomplished by checking the *Excluded Parties List System (EPLS)* maintained by the General Services Administration (GSA). Additionally, the current contract language for such services should include a self-certification from the vendor that they have not been suspended or debarred as defined by the Federal program guidelines.

Action to date: The Memorandum of Understanding with the Tech Prep Grant was revised by the District's General Counsel to comply with this recommendation, particularly to cover rules monitoring sub-awards. Reviews to ensure compliance have been initiated.

The General Counsel has responsibility for this area.

On April 2, 2009, the independent auditor determined the current status to be "implemented." The independent auditor reported "through inquiry with the District's General Counsel, an MOU has been put in place to ensure that vendors being awarded more than \$25,000 from Federal funding sources will self certify they have not been suspended, debarred, or otherwise excluded from receiving Federal funds. Additionally, the District staff will review the Excluded Parties List on a regular basis to ensure no vendors have been excluded from receiving Federal funds.

#24: Equipment Purchase and Safekeeping [Status: In Process]

Significant Deficiency: The District has not maintained an inventory control system that satisfies the compliance criteria noted (in the audit report). Equipment purchased with CTEA Perkins IV – Title I, Part C funds have not been identified as being used within the program. A physical inventory has been taken within the past two years; however, that inventory listing has not been reviewed to determine if equipment purchased with CTEA Perkins IV – Title I, Part C funds remains in use within the program.

Recommendation: A process to ensure the complete inventory listing of equipment purchased with Federal program funds should be implemented. Written procedures should be prepared that provide the internal control of all equipment purchased through the Federal programs and to ensure the equipment remains exclusively in use within the program. A physical inventory of the federally purchased equipment should be taken on a bi-annual basis and reconciled with records of purchases of the equipment.

Action to date: In July 2008, the District implemented the PeopleSoft fixed asset module. This will allow the District to properly account for the capital assets and track the location of the assets. Further, the District plans to implement bar coding software which the district owns. This bar coding software is compatible with PeopleSoft Asset Management and can be used to enable Peralta to conduct periodic inventories on a regular basis.



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The actions necessary to correct this weakness are 75% complete. All data for three years is in place on spreadsheets and needs to be uploaded into the system and should be completed by the end of October 2009.

The Vice Chancellor of Educational Services, the Vice Chancellor of General Services, and the Vice Chancellor for Finance and Administration are responsible for this area.

On April 2, 2009, the independent auditor reported “the implementation of the monitoring of equipment purchased with Federal funds is closely tied to the implementation of Finding 2008-5. The District is in the process of fully implementing the fixed asset module of PeopleSoft and the reporting of the equipment purchased with Federal funds has been integrated in the reporting of all capital assets. We will continue to test and monitor the results of the implementation during the 2008-2009 annual audit.”

#25: Students Actively Enrolled

[Status: Completed]

Significant Deficiency: Apportionment may only be given to student actively enrolled in a course section as of the census date. Drop date rosters are not consistently received from instructors indicating the clearing of the roll prior to census date for each quarter. Students dropped as of census date are not segregated as “no shows” and, therefore, all students may be claimed for apportionment credit. There is not a current report that allows the registrars the ability to see who has not turned in the census rosters in a timely manner.

Additionally, instructors may back date student drops after census day with no additional supporting documentation being received by the registrar’s office.

Recommendation: A report should be written within the student accounting system that will provide the registrars at the four College campuses the ability to ensure all census date rosters have been completed and filed as required by the Title 5 requirements. Any drop date which is back dated on the student record should be supported by adequate documentation within the student’s file and signed as approved by the registrar.

Action to date: The District has implemented the online attendance system. The PeopleSoft correction automatically removes non-active students from class rosters.

On April 2, 2009, the independent auditor reported that a resolution to this finding has been implemented. The independent auditor reported “through inquiry with Admissions and Records staff and Vice Chancellor of Instruction, and observation of the new system, the District has implemented an online attendance system, which will alert the Admissions and Records staff of any rosters that have not been turned in. Additionally, communications have been sent out to instructors with instructions as to the proper procedures. Testing of the system will take place during the interim audit period as the implementation has occurred between reporting terms for the College campuses.”



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#26: Enrollment Fees

[Status: Completed]

Significant Deficiency: Community college districts are required to report the total enrollment fee revenue amounts for the purpose of calculating the components of the annual general apportionment. The enrollment fee revenue reported on the CCFS-311 report does not agree with the amount reported on the CCFS-323 report. There is a difference of \$47,089 under-recorded on the CCFS-323 report.

Recommendation: Care should be taken when completing the required reporting forms for the State System's Office. A reconciliation of amounts to be reported to the general ledger should be signed off by supervisory personnel prior to submitting the documents. (The independent auditor) noted the District had made the correction to the CCFS-323 report upon notification of the error.

Action to date: The *CIBER* consultant has completed programming necessary for the student administration system information to be transferred through account code leads to the general ledger. The Office of Finance corrected coding errors based on journal entries generated for each month directly into the PRODUCTION database.

The Vice Chancellor of Finance and Administration, the Assistant Vice Chancellor of Finance, college business managers, and a *CIBER* consultant are responsible for this area.

On April 2, 2009, the independent auditor reported "through inquiry with the Vice Chancellor of Finance and Administration and the Associate Vice Chancellor of Business and Finance, the District is currently working with *CIBER*, Inc consultants to ensure the coding of student enrollment fees is properly provided within the system. Additionally, the District Business Office is providing instruction as to the proper posting and reconciliation of the student enrollment fees for reporting on the CCFS-323 report."

#27: Concurrent Enrollment

[Status: Completed]

Significant Deficiency: The District does not have a procedure to determine if the principal of the K-12 school has verified that no more than five percent of the school's student enrollment has been recommended for entry at the College.

Recommendation: The College should work with the local K-12 school districts to ensure principals are properly completing and signing the appropriate documentation to allow K-12 students to attend classes within the District.

Action to date: The District drafted a letter to the superintendent of each school district within the District to advise them that they need to ensure that their schools are complying with state law regarding concurrent enrollment.

The Vice Chancellor of Educational Services is responsible for this area.



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On April 2, 2009, the independent auditor determined the status to be “implemented.” The independent auditor reported “through inquiry of Admissions and Records staff and observation of the District web site and printed materials, the online certification contains all elements necessary from the high school principal. Additionally, current printed materials also contain the required information. A notification will be sent to all high school campuses to use the updated correct forms and to destroy all previous copies as they are out of date. Continued testing of this area will take place during the interim audit period to ensure compliance and monitoring of the procedures.”

#28: CalWORKS – Expenditures Reports [Status: Completed]

Significant Deficiency: The year-end expenditure reports for the CalWORKS program were due August 31, 2008. None of the District’s four Colleges submitted their reports within the proper timeframe.... Also, the expenditures on the reports could not be verified to the general ledger amounts recorded for CalWORKS.

Recommendation: The annual cost report filed with the State Chancellor’s Office should be prepared and supported by appropriate ledger reports and by evidence of review by supervisory individuals within the accounting office.

Action to date: The budget control errors have been corrected as a result of the installation of the Position Control Module which now allows system users to view their budgets and expense reports. The District continues to develop customized queries, which makes it easier for staff to access the needed information. The changes to the PeopleSoft system now allow for timely reporting of the expenditures.

On April 2, 2009, the independent auditor reported “the College personnel do not have current access to budget reports which provide the detail accounting for the CalWORKS end of year reporting. Training by the *CIBER, Inc.* consultants has taken place on the query process of PeopleSoft. The District Business Office is continuing to work to provide accurate and timely data for the reporting process.”

#29: CalWORKS – Student Eligibility [Status: Completed]

Significant Deficiency: A sample of students receiving program services through the CalWORKS program was reviewed for each of the District’s four Colleges. The following student eligibility problems were noted: The established procedures for student eligibility verification at Berkeley City College is to complete an eligibility form on an annual basis. However, the form is not consistently used and program guidelines require the verification to be completed for each semester.

For the 25 student files reviewed at each campus (deficiencies were noted at each college).

Recommendation: The District should implement the prior year recommendation and develop procedures to adequately document eligibility status in accordance with State guidelines.

Action to date: The District will implement the recommendation.



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The Vice Chancellor of Educational Services is responsible for this area.

On April 2, 2009, the independent auditor reported “the Directors of the CalWORKS program at each of the four College campuses have met to determine how to better coordinate their efforts with regard to eligibility. These conversations and meetings are on-going; however, testing of this data cannot be completed until after the completion of the fiscal year.”

#30: Salaries of Classroom Instructors (50% Law Calculation) [Status: Completed]

Control Deficiency: As noted in the prior year audit, the District has established a separate fund account for the expenditures of lottery funds restricted for instructional materials; however, a separate account or sub-fund to account for the unrestricted revenue and related expenses of the unrestricted portion of the lottery funding has not been established. Expenses are designated as librarians and counselors salaries and benefits; however, the actual accounting in accordance with the Education Code (8880.5[k]) has not been maintained.

Recommendation: The District should establish a sub-fund program to segregate and account for expenditures of unrestricted lottery funds.

Action to date: The District implemented this technical recordkeeping requirement. A sub-fund was established.

The Associate Vice Chancellor of Finance is responsible for this area.

On April 2, 2009, the independent auditor reported “through inquiry with the Associate Vice Chancellor of Business and Finance, the current account coding within PeopleSoft will not allow for the record keeping component included within the Education Code in the near future.”

Reports to the Board: Audit Findings

Regular reports on the status of the financial management system and the status of resolving the various audit findings have been provided to the Peralta Community College District Board Audit and Finance Committee. Given the fiduciary responsibility of the governing board, the Board Audit and Finance Committee has taken the audit findings seriously and have had regularly reports made even prior to receiving the ACCJC recommendation.

On September 17, 2009, Heidi White, Engagement Partner for the independent auditor VTD, provided an “Update on Progress of 2008-2009 Annual Audit” to the Board Audit and Finance Committee.

Regarding the financial statement audit, it was reported that as of September 11, 2009, the fieldwork for the Risk Assessment and Internal Control testing is on-going. Open areas include:



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- Cash reconciliation and deposit procedures at the district office (prior year material weakness comment);
- Transmittal and accounting of student receipts from the colleges to the district office (prior year qualification of opinion); and
- Fixed asset accounting and reconciliations (prior year qualification of opinion).

It was reported that the independent auditor continues to follow-up and clear comments noted in the prior year's audit, including material deficiencies, significant deficiencies, and control weakness. Further, it was reported that comments related to current year testing have been provided to the applicable departments and managers to provide additional documentation to clear or mitigate comments. The final status of all comments will be provided to management for review by October 15, 2009. The planned timing of the final audit fieldwork is to occur November 9-25, 2009.

In terms of federal compliance audit, it was reported that as of September 11, 2009, the fieldwork for student financial aid compliance had been completed. Significant exception areas related to the implementation of the Regent software system were being reviewed and the results evaluated with the college student financial aid offices and management team for possible resolution. It was reported that additional determination and testing of major federal programs is ongoing and will be completed during the November fieldwork timeline.

Regarding the state compliance audit, it was reported that testing of the attendance reports (CCFS-320) is continuing. The final attendance report with all corrections and updates will be tested during the November fieldwork period. Further, it was reported that comments from the prior year related to concurrent enrollment and student enrollment fees appear not to be implemented; however, additional information was to have been provided. Other areas of compliance to be tested in November include CalWORKS and the 50% law calculation.

The independent auditor then reviewed the plan for the year-end audit fieldwork:

- During the November 2009 period to complete all areas that remain open
- Complete the audit of the district's final financial statement activity
- Provide comments to district management for review and response prior to November 10, if the areas have been finalized
- It is anticipated that a draft of the audit report will be available for the Board Audit and Finance Committee meeting in December and a finalized audit report for submission to the State Chancellor's Office by December 31, 2009.
- A presentation of the audit to the entire governing board is projected for January 2010
- The timelines are tentative and any changes will be communicated to the Chancellor immediately.
- Any deviations that affect the timely filing of the reports to the State should be communicated to the audit team as soon as possible so arrangements can be made.

The report concluded with "known information affecting the 2009-2010 fiscal year." The auditor noted that funding from state and federal sources continues to be at risk. Cuts related to enrolled students and

the funding of the students will continue to affect community college districts throughout the state. Cash flow issues related to deferred payments of scheduled funding will continue through 2009-2010 and beyond. The federal funding through the American Recovery and Reinvestment Act (ARRA) will be high profile with significant reporting and compliance criteria attached to the “unrestricted” dollars.

At the October 14, 2009, meeting of the Board of Trustees Audit and Finance Committee, Heidi White of VTD and the Vice Chancellor of Finance and Administration provided another update on the 2008 audit findings, the resolution of those findings, and the implications for the PeopleSoft system. VTD noted that they would resume their onsite work in mid-November 2009 and anticipated filing the 2008-2009 audit report by the end of December 2009. There weren't any significant comments made or updates since the September 17, 2009 meeting.

Strategy Meetings: College Business Managers and IT

In July 2006, the then Chief Information Services Officer using a programmers approach (solving some of the problems will solve other issues) decided to have IT meet twice monthly with the college business managers and the Assistant Vice Chancellor of Finance. It should be noted that the college business managers have continued to meet twice monthly with IT since that time.

The individual who was the Chief Information Services Officer in July 2006 reports that the purpose of the meetings and process was to do the following:

1. Set the college business managers as the central focal point and clearing house for all college PROMT (PeopleSoft financials). College personnel who had problems were to write the problem(s) down and forward to the college business managers at the business managers/ IT meeting.
2. Meet initially once a week until such time as meetings could be move to twice a month.
3. Then in November 2006, as per the plan, the CISO and IT consultants, with the assistance of the college business managers, met with the staff at the four colleges to discuss issues and solutions that the team had developed. This fostered a dialogue which either resulted in creating a list of additional issues to be considered or the IT consultants informed staff of the solutions and “short cuts” that were in place. Those issues collected from the meetings were placed into on a priority list for resolution by IT. When issues were resolved, that information was shared with the college business managers who were charged with sharing that information with their staffs. This process reinforced the role of the college business manager as the focal point.
4. In July 2007, because of the number of issues which had been resolved and the fact that fewer issues were being added to the issues logs/ priority list, meetings were scheduled for twice a month.
5. These meetings continue and have led to many improvements in the operating procedures of the PROMT system.

As noted, the college business managers continue to meet at the district Office of Information Technology twice a month. Generally, they meet with an IT consultant, but have been assured that the new Associate Vice Chancellor of IT will meet with them as needed. When asked to list the

accomplishments achieved within the last year because of these meetings, the IT consultant provided the following:

1. They have addressed and continue to resolve the process for moving student financial data from the Student Administration System (PeopleSoft) to the financials system
2. The Position Management module has been implemented for the PeopleSoft Human Resources and Student Administration system.
3. The PeopleSoft financials application has been upgraded to the latest version of the software.
4. The asset management module was implemented for the PeopleSoft financials application.
5. Many minor patches and upgrades have been applied to all PeopleSoft application modules. Oracle generally releases these small patches on a 3 or 6 month cycle.
6. All existing and useful “queries” have been identified and moved to FSPROD (the live production environment for the PeopleSoft financials application).
7. FSPROD has been used to address problems related to Requisitions.
8. A feature has been added to the Budget Transfer page enabling the end user to check the available balance in a budget before attempting a budget transfer.
9. A new Requisition Approval History page was created that keeps track of requisitions and informs the user as to where the requisitions are at any given point in time.
10. Customizations have been added to the Vendors page as per the request of the purchasing department.
11. Multiple PeopleSoft queries and Crystal reports have been developed and implemented into the production environments for all PeopleSoft modules.
12. Various requisition entry errors have been corrected in the FSPROD environment (often data was entered improperly).
13. The State MIS dare reports on student data have been fixed and are working properly.

The college business managers agree that these twice monthly meetings have been critical to resolving a number of issues and for making the new system work more effectively and efficiently. Also, IT and the college business managers would agree that at this point in time, issues that continue to surface and to be resolved are a mixture of issues that can be resolved by IT and issues that speak to the need for a financials procedural manual. A financials procedural manual, as the title says, would document the various district financial procedures and would allow for a broad understanding of what those procedures are, rather than being subject to interpretation.

Shortly after being appointed to his position, the new Associate Vice Chancellor of IT attended a meeting with the college business officers. In order to provide perspective on the quality of these meetings, it might be helpful to review the content of this specific meeting. The meeting began with a discussion of payroll adjustments and “combo” codes. At the end of the discussion, it was determined that the college business officers needed to recommend to the Office of Finance some guidelines in this area. The discussion moved to monthly posting of payroll and fringe benefits. Again the issue needs to be resolved through establishing procedural guidelines. The business officers were informed that there would be a short-term solution soon to the need for an electronic personnel action request form, as well as an electronic leave/absence form. There was considerable discussion about the need for specific types of reports. Various solutions were discussed including creating a reports list, as well as



researching whether “desired” reports would be part of the data warehouse currently being built. IT will look into the issue of “accounts receivable” as it pertains to collecting money from students at the colleges. There was discussion of the new Position Control system. There was agreement that a financials procedures manual would be of tremendous value to the college business officers and the end users at the college. The meeting was action oriented and it was clear that such ongoing meetings are important to the college business officers, since it gives them the opportunity to come together and address mutual needs with an IT representative. In some respects, this process is comparable to the RWD process of a Business Readiness Team regularly meeting to address action items and to be assured that not only were the items being placed on a written log, but that the resolution is being provided.

Next Steps

The Vice Chancellor of Finance and Administration and the Assistant Vice Chancellor of Finance will continue to work with the new Associate Vice Chancellor of Information Technology, the *CIBER* consultant, and the four college business managers to resolve all audit findings – some of which are related to corrective action in the PeopleSoft system and some of which address business practices. There is ongoing effort to “implement all appropriate controls and necessary MIS systems modifications to achieve access to a fully integrated computer information management system.” Further, there is a realization that customization of the system will be ongoing as additional functions are needed and required, and system upgrades also will occur.

The ACCJC visiting teams will be provided the independent audit report, which is expected to be completed by the end of 2009. Further, the ACCJC visiting teams are encouraged to meet with the college business managers and the Vice Chancellor of Finance and Administrators to gain up-to-date information regarding actions that have been taken after November 1, 2009 to address this recommendation.

College Response:

The College through its Business Services Manager will continue to provide input to the district on finance issues in order to improve financial accountability and insure the integrity of the computer management system.

Additionally, with the implementation of District Integrated Planning and Budget Council (IPBC) as discussed in Recommendation #2 should provide a means for communication, dissemination, sharing and resolution of financial issues that cross multiple boundaries, i.e. technology, financial and educational issues.

College/District Action Plan: The Vice Chancellor of Finance and Administration will continue to take “corrective action to implement all appropriate controls and necessary MIS systems modifications to achieve access to a fully integrated computer information management system in order



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to assure financial integrity and accountability.” In so doing, the Vice Chancellor of Finance and Administration and his team will resolve the independent audit findings. Further, the Vice Chancellor will see that all necessary training is provided.

Evidence:

1. Peralta Community College District Finance and Administration Web site
<http://peralta.edu/apps/comm.asp?%241=3>
2. Independent audit, Annual Financial Report, June 30, 2008
http://peralta.edu/Projects/403/Peralta_CCD_-_Annual_Financial_Report_2008.pdf
3. District logs documenting responses to the independent audit findings.
4. “Independent Accountant’s Report on Applying Agreed-Upon Procedures,” Vavrinek Trine, Day and Co., LLP (VTD), April 2, 2009.
5. “Update on Progress of 2008-2009 Annual Audit” for the Peralta Community College District (Board) Audit and Finance Committee Meeting, September 17, 2009 by Vavrinek, Trine, Day and Co., LLP (VTD).
6. Minutes of the October 14, 2009, Board Audit and Finance Committee meeting, which includes a progress update from VTD regarding the resolution of audit findings.
7. Bursar’s Office Policies and Procedures Manual



Appendices

Appendix I

GRANT PROJECTS that Further College Goals & Institutional Effectiveness

Over a four-year period, Title III planning grant discussions spawned five major grant projects. These projects provide strategies that seek to improve student learning as well as to provide programs and pathways for continued learning, new workforce initiatives and improved institutional effectiveness.

- EQUITY SCORE CARD (2004-2006): This was a Lumina Foundation grant project to establish baselines for measuring student access and success by race/ethnicity, gender and disability. The project resulted in two equity plans [circa 2005 and 2008] and a grant from the Lumina Foundation. The data with plans were circulated and discussed widely within the COA community during 2006 and in 2008.
- SSPIRE (2006-2009): This is a James Irvine Foundation grant project to create small learning communities for “at risk” students to prepare them for a certificate, degree or transfer. The core counseling and faculty SSPIRE group meets every other week to discuss either evaluation data or student progress in the program. Results of the first two-years were presented at the MDRC Conference in Fall 2008.
- Library Workshop Series Infusion (2005- Ongoing): This is an unfunded instructional program/project regarding the training of students in Information Literacy through a progressive series of three workshops directly linked to several English 1A classes. Cooperation of individual faculty is essential to this program. Results and analysis of SLOs for this project are shared with participating English faculty, and published in the Library Program Review (2003) and in annual unit plans.
- Basic Skills Initiative (2007-Ongoing): This was a California Community College Chancellor’s grant focused on assessing and improving COA basic skills programs by using quantitative and qualitative data. Results were shared with the Student Success Initiative/Basic Skills Initiative (SSI/BSI) Committee and college-wide during 2008 through forums/workshops and a “Back to Basics” Retreat held in May 2008.
- ATLAS (2008-2010): This is a recent California Community College Chancellor’s grant [2008] that focuses on improving transportation services within the East Bay as well as in- and out-bound destinations. The grant targets the vocational educational programs involving transportation (e.g., automotive, diesel, and aviation), business administration, and other new Computer Information System (CIS) programs. The grants initial focus will be on an entry-level warehousing certificate.



Appendix I continued

In addition to the aforementioned data and analysis, other reports shared with the COA's internal community and its district include the 2008 McIntyre Environmental Scan, the 2007 through 2009 Accountability Reports for Community Colleges (ARCC), and the 2007 & 2008 Community College Survey of Student Engagement (CCSSE). The ARCC and CCSSE reports were used in the Equity Plan, the COA Fact Book, and the Institutional Learning Outcome Measures. All of the aforementioned reports were all used in the 2007-2012 COA Educational Master Plan report.

Appendix II

COA ASSESSMENT TOOLS

COA collects a number of assessments. These assessments are as follows:

1. Departmental assessments include: Special evaluations on SSPIRE, Student and Faculty surveys of Library Instructional Programs and Services, and various Student Health surveys.
2. The Community College Survey of Student Engagement (CCSSE) measures institutional Learning Outcomes and benchmarks every other year [beginning Spring 2007].
3. The Equity Plan measures improvements in student course success and persistence, basic skills success and persistence, degree and certificate attainment, and transfer by students' age, gender, race/ethnicity, and disability.
4. The Accountability Report for Community Colleges (ARCC) is used in many different reports such as the Equity Plan and Fact Book.
5. Unit (discipline) plans including overall enrollments, FTES, and productivity used for measuring discipline progress. In Fall 2008 a new assessment will be introduced to the faculty that data about five fall terms of course enrollment, retention and success. The assessments are intended to narrow the discipline focus to determine what courses are succeeding or not. It is further intended that the assessments will assist in bridging the SLOs to overall course success.
6. The COA Fact Book was initiated in June 2008 and shared with the college members in August 2008. The book is designed to assess the success of the college in relation to enrollment as well as to students' personal backgrounds and aspirations and learning outcomes. The Fact Book also lists faculty and staff by age and ethnicity.



APPENDIX III

College of Alameda Standing Committees Regular Monthly Meeting Times

Academic Senate – 1st & 3rd Thursday, 12:30 p.m., L237

Accreditation Committee – As needed

Affirmative Action and Campus Climate Committee – As needed

Budget Committee – 2nd Monday, 12:00 p.m., A149

Classified Council – 3rd Friday, 2:00 p.m., F122

College Council – 4th Wednesday, 2:30 p.m., L237

Community Relations and Special Events Committee – (not active)

Curriculum Committee – 1st & 3rd Tuesday, 1:30 p.m., L237

BSI/SSI Committee – 3rd Wednesday, 1:30 p.m., A149

Facilities Committee – 4th Thursday, 3:00 p.m., A149

Financial Aid Advisory Committee – 2nd Monday, 1:30 p.m., A136

Learning Resources Center Advisory Committee – as needed

Matriculation Committee- 2nd Tuesday, 2:00 p.m., L237

President's Cabinet – 3rd Wednesday, 4:00 pm, A 144

Safety Committee – 4th Thursday, 2:00 p.m., A149

Staff Development Committee – 3rd Thursday, 12:30 p.m., D202A

Student Grievance Committee – As needed
(Including Allied Health Student Grievance Committee, Student Academic Grievance Committee, and College Grievance Committee)

Technology Committee – 2nd Thursday, 1:30 p.m., A149