



ACCJC

Follow-up Report



Submitted by:

College of Alameda
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Submitted to:

Accrediting Commission for Community and Junior
Colleges

September 14, 2016

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Statement of Report Preparation

Following a site visit by an external evaluation team that visited College of Alameda on March 9 –12, 2015, the Accrediting Commission for Community and Junior Colleges acted to issue a status of probation to the College in a letter dated June 29, 2015. The report and action letter were made available to the public on the College’s ACCJC Correspondence web page upon receipt. ACCJC required the College to complete a follow-up report by October 1, 2016, demonstrating resolution to the deficiencies in recommendations noted in the External Evaluation Report, followed by a visit of an evaluation team.

Immediately following the visit, the College began to address the recommendations by creating follow-up working teams that included administrators, faculty, and classified staff. Each team was requested to address specific recommendations from the External Evaluation Report. Working teams engaged appropriate committees to accomplish their work and complete the writing of the follow-up report for their areas.

To keep the campus and community informed of the accreditation process and follow-up report progress, the College developed multiple documents and resources guides, including:

- [Accreditation: Questions and Answers- June 2015](#)
- [Accreditation Response Booklet](#)
- [Blueprint for Excellence](#)
- [Blueprint for Excellence Sorted by Completion Status](#)
- [COA Accreditation Update Report Fall 2015](#)

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Copies of these resources were printed for distribution at key participatory governance committees and posted on the College's accreditation website at <http://alameda.peralta.edu/accreditation/>. Accreditation updates were a standing agenda item on participatory governance committees and the accreditation oversight committee met monthly during this process. The Accreditation Liaison Officer presented accreditation follow-up updates at the Open Day Convocation (Flex) in fall 2015, spring 2016, and fall 2016.

This report, along with supporting evidence and documentation, demonstrates that the College has significantly addressed the findings of the evaluation team and the sanction action issued by the Commission. The College hereby demonstrates with the submission of this report that it has met the requirements regarding why its accreditation should be reaffirmed and, therefore, why it should be removed from sanction.

The past year has been filled with a concerted effort of evaluating, revising, developing, implementing, and integrating plans to insure the College meets eligibility requirements and is in compliance with accreditation standards. The College has improved communication of integrated planning and continues to improve the evaluation tools that it uses to measure the effectiveness of planning, program review, resource allocation processes, and student learning outcomes and assessments. After a step-by-step process of planning, development, and improvement, the District has now completed and implemented the means to sustain integrated planning that comply with accreditation standards and eligibility requirements. The following report will demonstrate why College of Alameda's accreditation should be reaffirmed. The College has corrected the deficiencies noted in the 2015 action letter.

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The final version was presented to the Board of Trustees on September 13, 2016. The Follow-Up Report was shared with participatory governance committees at the District and the College levels, and by the PCCD Board in September 2016.

College of Alameda is proud to present to the ACCJC this Follow-Up Report to the 2015 Accreditation Self Evaluation. As noted, this report contains comprehensive responses to the twenty college recommendations and eight district recommendations. The contents of this report reflect the college's commitment to meeting and exceeding the Accreditation Standards and Eligibility Requirement.

Timeline to Address ACCJC Recommendations

Date	Group Responsible	Action
May 2015	Administrative Leadership Team	Accreditation: Questions and Answers
	Accreditation Liaison Officer	ACCJC Substantive Change Report for Science Annex accepted
June 2015	Administrative Leadership Team	Posted ACCJC Evaluation Report Posted ACCJC Action Letter
Summer 2015	Administrative Leadership Team	Campus Leadership Retreat Develop a timeline and plan to address recommendations Drafted Blueprint For Excellence
Fall 2015	CoA Accreditation Oversight Committee	Assigned recommendation leads and monthly reports and feedback
	Administrative Leadership Team	Posted Accreditation Update Report
	Participatory Governance Committees	PRIEC- Led ILO assessment, Institutional Set Standards assessment, revised integrated planning and budget diagram, Program Review Validation Budget- revised institutional planning and budget handbook, adopted integrated planning and budget calendar Enrollment Management- Drafted comprehensive enrollment management plan

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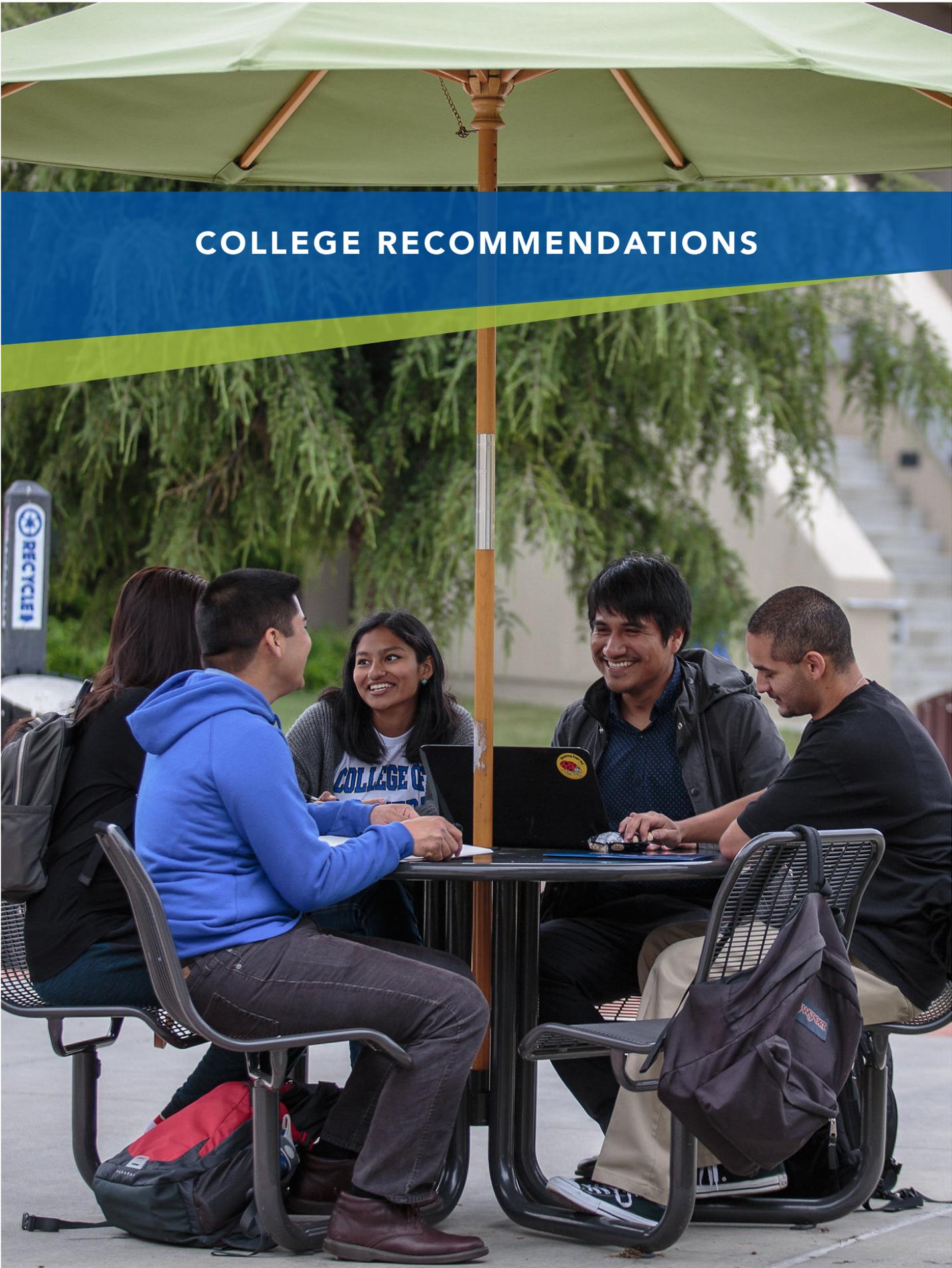
	Operational Groups	Division meetings- discussion of student learning and outcomes assessment, faculty evaluation cycle
	PCCD Accreditation Committee	Develop a plan to address District Recommendations
December 2015	Accreditation Liaison Officer	ACCJC Substantive Change Report for Distance Education accepted
Spring 2016	CoA Accreditation Oversight Committee	Assigned recommendation leads and monthly reports and feedback
	Participatory Governance Committees	PRIEC- Led Educational Master Plan development Enrollment Management- Implemented comprehensive enrollment management plan
	Accreditation Liaison Officer	Two drafts of follow-up report reviewed and discussed
	PCCD Accreditation Committee	Implement action items and document for follow-up report
Summer 2016	Accreditation Liaison Officer	Final draft of follow-up report reviewed and discussed Report discussed by College Leadership Group (Academic Senate president, Classified Senate President, Classified Senate President, Associated Student Body President, Collective bargaining Unit Representatives, Administration) Follow-up Report posted for campus review and feedback
Fall 2016	Accreditation Liaison Officer	All campus presentation , completed follow-up report submitted to PCCD Board of Trustees

LIST of ACRONYMS

A&R	Admission & Records
ACCJC	Accrediting Commission for Community and Junior Colleges
ADA	Americans with Disabilities Act
APU	Annual Program Update
ARW	Audit Resolution Work
ASCOA	Associated Students of College of Alameda
BAM	Budget Allocation Model
BAMTF	Budget Allocation Model Task Force
BI	Business Information Tool
CBT	College Brain Trust
CCC	California Community Colleges
CFT	Counseling Functionality Team
COA	College of Alameda
CTE	Career Technical Education
DFC	District Facilities Committee
EMP	Educational Master Plan
FA	Financial Aid
FTEF	Fulltime Equivalent Faculty
FTES	Full Time Equivalent Student
HEUG	Oracle Higher Education User Group
IEC	Institutional Effectiveness Committee (See PRIEC)
IEPI	Institutional Effectiveness Partnership Initiative
ILO	Institutional Learning Outcome
NSLDS	National Student Loan Data System
PASS	Peralta Accountability for Student Success
PBC	District Planning and Budget Council
PBIM	Planning and Budget Integration Model
PCCD	Peralta Community College District
PFT	Peralta Federation of Teachers
PRIEC	Planning, Research and Institutional Effectiveness Committee
PRT	Partnership Resource Team
RFP	Request for Proposal
RP	Research and Planning
SLO	Student Learning Outcomes
SLOAC	Student Learning Outcome and Assessment Coordinators
SSSP	Student Success and Support Program
TRC	Tenure Review Committee

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COLLEGE RECOMMENDATIONS



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COLLEGE RECOMMENDATION 1

Recommendation 1- In order to meet the Standards and the Eligibility Requirement, the team recommends that the College develop a process for regular and systematic review of its Mission statement through appropriate College governance processes, receive board approval of the Mission statement, and display it prominently in all College documentation, including the College website. (I.A.2, I.A.3, IV.A.3; ER 2)

DESCRIPTIVE SUMMARY

The College has a process for the regular and systematic review of its Mission Statement. The process is defined in the Institutional Planning Handbook, page 6. [CR.1.11]; as part of the College planning cycle, the Mission Statement is reviewed every three years. The Institutional Planning Handbook was revised in 2015-2016 academic year. The process as outlined in the Institutional Planning Handbook, page 6, is below:

Vision, Values, and Mission

A. Definitions:

1. Vision: involves a far-sighted vision of service to the students and to the community
2. Values: the strengths of the institution and the population it serves
3. Mission: the core direction of the institution, the district and the state

B. Timeline: Every three years, next in 2017

C. Accountability

1. Launcher: President. Joint consultation with the College Management Team, the College Council and the Academic Senate.
2. Resources: Review of accomplishments and desired outcomes, consideration of vision and values, feasibility of mission, studies, district-wide considerations
3. Collaborators: Shared governance: ASCOA, Academic Senate, Classified Senate

The most recent review and adoption of the Mission Statement commenced in 2013-14 at the College Flex (Opening) Day Convocation [CR.1.1] and campus consensus was reached at the August 2014 College Flex (Opening) Day Convocation [CR.1.2]. The College Flex (Opening Convocation) days each semester are part of the colleges planning and governance process. These days are used to provide campus wide communication, dialog, and feedback on strategic planning, governance, and accreditation items. In fall 2014 the renewal of the Mission Statement proceeded through the College participatory governance process. This culminated in the re-adoption of the Mission Statement by College Council in November 2014. [CR.1.3] The Peralta Board of Trustees approved the College of Alameda Mission Statement at their April 14, 2015 Board of Trustees meeting. [CR.1.4] The next revision cycle will occur in the 2017-18 academic year.

College of Alameda Mission Statement

The Mission of College of Alameda is to serve the educational needs of its diverse community by providing comprehensive and flexible programs and resources that empower students to achieve their goals.

The College has implemented several strategies to prominently display the Mission Statement. All College participatory governance committee agendas display the Mission Statement [CR.1.5]; College publications and communiques such as:

- Campus newsletter, Splash [CR.1.6], includes the Mission Statement;
- Mission Statement is displayed throughout campus on posters;
- Mission Statement is published in official College documents, such as the College Catalog, page 15 [CR.1.7; CR.1.8];

- Mission Statement is integrated into Program Review/Annual Unit Plan process [CR.1.9]
- College website was refreshed with the Mission Statement prominently displayed at <http://alameda.peralta.edu/>. [CR.1.10]

The Mission Statement is explicitly linked as part of the Program Review Process. The Program Review process underwent review and revision in 2014-2015. In Fall 2015 the new Comprehensive Program Review Handbook was implemented [see College Recommendation 5]. Programs and service are required to address the following prompt on page 7 of the Comprehensive Program Review handbook. [CR.1.12]

Please provide a mission statement or a brief general statement of the primary goals and objectives of the discipline, department or program. Include any unique characteristics, degrees and certificates the program or department currently offers, concerns or trends affecting the discipline, department or program, and a description of how the discipline, department or program aligns with the college mission statement.

The comprehensive program review is a systematic process for the collection, analysis, and interpretation of data concerning a program or department and its curriculum. It provides program and/or departmental accountability by collecting, analyzing and disseminating information that will inform integrated planning, resource allocation, and decision-making processes. Programs and services are given consistent data sets to reflected upon and measure alignment with student populations and achievement. An example form the comprehensive program review handbook, page 10, on student success is the following prompt: [CR.1.13]

Describe course completion rates (% of students that earned a grade “C” or better or “Credit”) in the discipline, department, or program for the past three years. Please list

each course separately. How do the discipline, department, or program course completion rates compare to the college course completion standard?

Further planning, budget and program development processes and procedures require a direct link of the College Mission, Vision and Values to decision and priorities. An example is the Peralta Accountability for Student Success (PASS) program. The PASS Program is an initiative designed to support creativity and innovation in the Peralta District. This process allows the campus community to propose ideas that will support the college's mission, vision and values. The planning cycles begin during the Spring semester with an application and announcement sent by the College President [CR.1.14]. The application [CR.1.15] requires the proposal to address "Relationship to College mission, vision and values". An example of one of the proposals from the Community Change and Urban Leadership Initiative [CR.1.16] illustrates the connection of the Mission, Vision and Values to serving identified populations.

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 1

The College of Alameda has accomplished the recommendation and meets associated Standards I.A.2, I.A.3, IV.A.3 and Eligibility Requirement 2.

The College has an established continuous process for regular and systematic review of its Mission statement through College governance processes; which leads to approval or re-adoption by the Board of Trustees. The next review cycle begins in the 2017-2018 academic

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year. The Mission statement, and display it prominently in all College documentation, including College Catalog and the College website.

Date	Action
Fall 2013 Flex Day	Mission Statement presented to College
Fall 2014 Flex Day	College reaches consensus on Mission Statement
September 2014	Institutional Planning Handbook updated
October 2014	Mission Statement approved at College Council
April 4, 2015	Mission Statement approved at Board of Trustees meeting
April 2015	Mission Statement posters distributed
May 2015	2015-2017 College Catalog printed
August 2015	Participatory Governance Committee Agendas
September 2015	Institutional Planning Handbook updated [CR.1.11]
October 2015	College publications, such as, CoA Splash Newsletter and Enrollment Management Plan
February 2016	College website refreshed
April 2016	Institutional Planning Handbook approved by Budget Committee and College Council

EVIDENCE: RECOMMENDATION 1

CR.1.1 Flex Day presentation 2014

CR.1.2 Flex Day presentation August 2014

CR.1.3 College Council Minutes- October 22, 2014

CR.1.4 Board of Trustees Minutes- April 14, 2015

CR.1.5 Sample Committee Agenda

CR.1.6 Sample Splash Newsletter

CR.1.7 College Catalog Cover

CR.1.8 College Catalog, page 15

CR.1.9 Sample Program Review

CR.1.10 College Mission Webpage

CR.1.11 COA Institutional Planning Handbook, page 6

CR.1.12 COA Institutional Planning Handbook, page 7

CR.1.13 COA Institutional Planning Handbook, page 10

CR.1.14 PASS Proposal Email from College President

CR.1.15 PASS Proposal form

CR1.16 PASS Proposal: Community Change and Urban Leadership Initiative

COLLEGE RECOMMENDATION 2

Recommendation 2- In order to meet the standards, the team recommends that the College ensure that the College mission and goals drive the planning and resource prioritization processes. (I.A.4, III.A.1, III.B.1, III.D.1)

DESCRIPTIVE SUMMARY

The College follows an integrated planning and resource allocation model. The model is outlined in the College's Institutional Planning handbook [CR.2.1] and budget and planning calendar [CR.2.] developed by the Office of Business and Administrative Services. Resource allocations are integral to the program review process and the Educational Master Plan (EMP). All units completing an Annual Program Review and/or unit plan may request resources for any new allocations. All budget requests submitted through program review are tied to the institutional mission, goals, and learning outcomes [CR.2.3]

The Integrated Planning and Budgeting process at the College is illustrated in a model [CR.2.4] that places the College mission, vision, values, and institutional goals as central to the cyclical nature of the model. The model demonstrates the cyclical nature of the process. In establishing priorities, college governance committees and program review task force members review resource requests to ensure alignment with College goals and priorities.

Peralta Colleges provide a template to prepare a unit's Comprehensive Program Review/Annual Program Update (APU) [CR.2.3]. The information gathered during the program review process provides the basis for informed decision making at the College and in the Peralta District. The Comprehensive Program Review/APU is intended to primarily focus upon planning and institutional effectiveness by requesting that everyone report upon the progress they

are making in attaining the goals (outcomes) and program improvement objectives described in the most recent program review document. The Comprehensive Program Review /APU is a document which reflects continuous quality improvement. Additionally, the Comprehensive Program Review/APU provides a vehicle for which to identify and request additional resources that support reaching the stated goals (outcomes) and program improvement objectives in the unit's program review.

When preparing the Comprehensive Program Review/ APU, one must tie the program's mission and goals to the College mission and District and strategic goals. Each type of unit (CTE, Instructional, Library Services, Counseling, Non-Instructional, Counseling, and District Service Center) has its own Annual Program Update template. Each of these templates requires the program/unit to align its mission and goals both to the College's mission and the College's Annual Goals. Further, College of Alameda is implementing a Budget Request form [CR.2.5] that will be used when a department or program requests funding. The form requires the requestor to tie their request to the College mission, the EMP Goals, and Annual Goals; ensure the request is included in the program review or unit plan; specifically identify the budget request using accounting codes used by the College and District, and submit an evaluation of the project goals and outcomes.

Programs use the Comprehensive Program Review/APU to request resources [CR.2.3; CR.2.5]. Once the comprehensive program reviews are completed (normally in December), a task force is convened to assess the validity and completeness of the comprehensive program reviews. Within the task force, small groups are formed and each group assesses comprehensive

program reviews on the basis of the overall assessment of the program review, including whether the narrative information is complete and all elements of the program review are addressed; the analysis of the data is thorough; conclusions and recommendations are well-substantiated and relate to the analysis of the data; planning goals are articulated in the report; and if the resource requests are connected to the discipline, department or program planning goals and are aligned to the college goals. If comprehensive program reviews are found to be complete, the unit's resource requests are moved forward. In some cases, if the comprehensive program reviews is found to be lacking some information, the unit has a chance to update and resubmit the comprehensive program review to the validation committee [CR.2.6]. In cases where a unit fails to do a comprehensive program review/APU, they are not eligible for any allocation of resources over the base allocation. [CR.2.7; CR.2.8]

Resource requests are compiled in January after the validation of comprehensive program reviews. Resource requests for new faculty are vetted and ranked through the Academic Senate and forwarded to the President who makes the final determination on new faculty ranking before submitting the lists to District Planning committees [CR.2.9]. Resource requests for all other requests are compiled before being forwarded to District Planning committees. Resource requests are forwarded to District level committees in March [CR.2.10]. As the College mission and goals are the basis for comprehensive program reviews/APUs and other funding requests, the College demonstrates that the mission and goals drive the resource allocation prioritization process.

Other integral planning documents reinforcing that planning is driven by the College mission and goals include the Educational Master Plan [CR.2.4], the SSSP Plan [CR.2.11], Institutional Effectiveness Partnership Initiative [CR.2.12], and the Equity Plan [CR.2.13].

The College of Alameda Equity Plan 2015-2016 was developed using the College mission and Districtwide strategic goals to bridge the equity gap for the population served by the College [CR.13]. The College mission is to serve the educational needs of our diverse community by providing programs and resources that empower students to achieve their goals. The Executive Summary of the Equity Plan states that “Diversity is valued at the College of Alameda through our institutional values and commitment to social justice and educational equity.” Each initiative of the Equity Plan ties to the College mission and strategic goals. For instance, Access is one of the initiatives of the Equity Plan [CR.2.14]. This initiative maps to the Districtwide goals of increasing enrollment for programs and course offerings in basic skills, English as a Second Language, CTE, and transfer. Another of the Districtwide goals is to address the achievement gap through fully implementing the student success and equity plans. By implementing the equity plan at CoA, the College is tying the mission and goals to planning and resource allocation.

The 2016-2021 College of Alameda Educational Master Plan demonstrates the College’s efforts to strengthen educational planning with the perspective of advancing integrated planning processes across the College, as well as the District as a whole [CR.2.4].

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 2

The College of Alameda has accomplished the recommendation and meets associated Standards I.A.4., III.A.1., III.B.1., III.D.1.

Date	Action
September 2014	Annual College Planning Handbook updated
October 22, 2014	College Planning Handbook approved by College Council [CR.2.15]
March 11, 2015	14-15 APU Prioritization for 15-16 allocations compiled [CR.2.8]
September 21, 2015	Budget Committee sets annual goals [CR.2.16]
September 21, 2015	Draft Budget Calendar presented to Budget Committee [CR.2.16]
November 16, 2015	Planning & Integration model updated & approved by Budget Committee [CR.2.17]
February 8, 2016	Planning & resource allocation integration calendar presented to and approved by Budget Committee [CR.2.18]
February 8, 2016	College of Alameda Institutional Planning 2016 draft presented to Budget Committee [CR.2.18]
February 24, 2016	Planning & resource allocation integration calendar presented and approved by College Council
April 2016	Integrated Planning document approved by Budget Committee and College Council [CR.2.19]

EVIDENCE: RECOMMENDATION 2

CR.2.1 Institutional planning document

CR.2.2 Planning and budget calendar

CR.2.3 Peralta Community College District Annual Program Update Template

CR.2.4 Education Master Plan, pages 12-13

CR.2.5 Budget request form

CR.2.6 Program Review Validation form and signature page, Math

CR.2.7 2014-2015 APU Prioritization

CR.2.8. 2015-2016 APU Prioritization

CR.2.9 CoA Faculty prioritization 2015

CR.2.10 CoA Prioritized Summary of New Resource Requests

CR.2.11SSSP Plan

CR.2.12 Institutional Effectiveness Partnership Initiative

CR.2.13Equity Plan

CR.2.14 Equity Plan, pages 26-41

CR.2.15 College Council Minutes, October 22, 2014

CR.2.16 Budget Advisory Committee Minutes, September 21, 2015

CR.2.17 Budget Advisory Committee Minutes, November 16, 2015

CR.2.18 Budget Advisory Committee Agenda, February 8, 2016

CR.2.19 Budget Advisory Committee Minutes, April 2016

COLLEGE RECOMMENDATION 3

Recommendation 3- In order to meet the Standards and U.S. Department of Education requirements, the team recommends the College adopt institutional-set standards that will adequately measure satisfactory performance of student achievement. The team also recommends that the College's governance process be involved in the determination of these standards and the methodology used to set the standards be explained to justify reasonableness of these standards. When the College falls below these standards, the team recommends institution-wide discussion of action, and documentation of such, to be taken to improve performance. (I.B.1-6, IV.A.3)

DESCRIPTIVE SUMMARY

The Institutional Set Standards are integral to the College community and the community plays a part in the adoption of said standards. To ensure institutional quality, the College adopts Institutional Set Standards and posts the standards on the website annually [CR.3.5]. As referenced in the self-evaluation, institutional set standards discussions were incorporated in the fall 2014 Flex (Opening) day presentation by the Vice-President of Instruction. The presentation included an overview of the institutional set-standard framework and the College set benchmarks [CR.3.1].

To demonstrate the college's commitment to review performance indicators, recommend remediation strategies, and ensure a continuous link to the mission and goals of the college, a comprehensive review of the institutional set standards assessment, findings and outcomes was completed in 2015-2016. The lead participatory governance committee was the Planning, Research and Institutional Effectiveness Committee (PRIEC). As a component of the College's cyclical review process, in fall 2015 a campus wide dialog began regarding the assessment of Institutional Set Standards. These discussions included presentations at Academic Senate,

Department Chair Council, Senior Leadership Team, Executive Council, and College Council.

The evaluation of set standards is linked to the College's three year planning and program review cycle. The Institutional Set Standards were adopted by College Council at its meeting on April 27, 2016 [CR.3.9].

The Planning, Research, and Institutional Effectiveness Committee (PRIEC) served as the oversight committee in reviewing and recommending revisions to institutional set-standards. PRIEC reviewed research regarding best practices and procedures followed by other California community colleges [CR.3.2]. After PRIEC committee discussion and feedback, metrics endorsed by the California Community College Chancellor's Office Research and Planning (RP) group were adopted as a research based framework to develop the College's institutional set standards. Based on these recommended metrics, the District Institutional Research Office developed queries to gauge College of Alameda data. The set standards are data-driven and follow the methodologies adopted by the California Community Colleges Research and Planning Group. After completing an analysis of the data and metrics, PRIEC forwarded a recommendation to College Council for seven institutional set-standards, using the adopted methodology framework [CR.3.3]. The standards cover the required two ACCJC institutional set-standard, United States Department of Education requirements, and additional college set-standards. The institutional set-standards benchmarked and assessed by the college are:

- Number of students who transferred to a 4 year institution
- Number of student completion of degrees per year
- Number of student completion of certificates per year

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- Student Retention (Percentage of students who are retained Fall to Fall)
- Course Completion (percentage of students who successfully complete a course)
- Career Technical Education Job Placement Rates
- Career Technical Education Licensure Exam Pass Rates

The recommendation was reviewed, discussed, and adopted by the Academic Senate, Department Chairs Council, Senior Leadership Team, Executive Council, and College Council in December 2015 [CR.3.4]. Information on the institutional set standards is posted on the college website and is available at <http://alameda.peralta.edu/planning-documents/institutional-set-standards/> [CR.3.5]. The results of relating to the seven set-standards were documented in the College's annual report to ACCJC in March 2016 [CR.5.16].

The college undertook a revision of the program review process and documentation in 2014-2015. The participatory governance committee, Program Review Taskforce [CR.5.17], reviewed and revised the comprehensive program review handbook. The revised handbook was adopted and launch in Fall 2015 [see College Recommendation 5]. Program and service areas are required to respond to specific student performance indicators. As an example, below are two of the prompts required of programs and service areas to respond to in the comprehensive program review handbook, page 12 [CR.5.18].

Which has the discipline, department, or program done to improve course completion and retention rates? What is planned for the next three years?

Which has the discipline, department, or program done to improve the number of degrees and certificates awarded? Include the number of degrees and certificates awarded by year, for the past three years. What is planned for the next three years?

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 3

The College of Alameda has accomplished the recommendation and meets associated Standards I.B.1-6, IV.A.3.

The College has adopted institutional-set standards required by the United States Department of Education and accreditation requirements. The College participatory governance process discusses student achievement and performance data to establish set standards. An evaluation methodology has been approved to measure College progress in meeting the institutional-set standards. The institutional-set standards and results are discussed at various levels of the participatory governance structure and published on the College website.

Date	Action
Fall 2014 Flex Day	Vice-President of Instruction presented institutional set-standards [CR.3.1]
Spring 2015 Flex Day	Updated College on institutional set-standard achievement [CR.3.6]
March 25, 2015	Vice-President of Instruction presented to College Council on institutional set-standards and institutional effectiveness indicators [CR3.7]
April 16, 2015	Vice-President of Instruction presented to Academic Senate on institutional set-standards and institutional effectiveness indicators [CR.3.8]
April 22, 2015	College Council accepted institutional set-standards and institutional effectiveness indicators [CR.3.9]

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May 7, 2015	Vice-President of Instruction continued conversation with Academic Senate on institutional set-standards and institutional effectiveness indicators [CR.3.10]
May 14, 2015	Academic Senate agreed on institutional set-standards and institutional effectiveness indicators [CR.3.11]
June 25, 2015	Vice-President of Instruction presented at Leadership Planning Luncheon [CR.3.12]
August 2015	Vice-President of Instruction presented at College of Alameda Management Retreat [CR.3.13]
September 17, 2015	Vice-President of Instruction presented revised framework to Planning, Research and Institutional Effectiveness Committee [CR.3.2]
October 1, 2015	Continued discussion about revised institutional set-standards framework to Planning, Research and Institutional Effectiveness Committee [CR.3.14]
November 5, 2015	Concluded discussion on revised institutional set-standards framework to Planning, Research and Institutional Effectiveness Committee. Passed recommendation to College Council [CR.3.15]
December 2015	College Council adopted recommendation from Planning, Research and Institutional Effectiveness Committee. [CR.3.4]
January 2016	Institutional Set-Standards webpage revised [CR.3.5]
March 2016	Institutional Set-Standards documented in ACCJC Annual Report [CR.3.16]
April 2016	Revised Institutional Set-Standards adopted by College Council

EVIDENCE: RECOMMENDATION 3

CR.3.1 Flex Day Presentation 2014

CR.3.2 Planning, Research, Institutional Effectiveness (PRIEC) Committee Minutes- September 17, 2015

CR.3.3 PRIEC Recommendation

CR.3.4 College Council Minutes- December 2015

CR.3.5 Institutional Set Standards Webpage

CR.3.6 Flex Day Presentation 2015

CR.3.7 College Council Minutes- March 25, 2015

CR.3.8 Academic Senate Agenda- April 16, 2015

CR.3.9 College Council Agenda- April 27, 2015

CR.3.10 Academic Senate Agenda- May 7, 2015

CR.3.11 Academic Senate Agenda- May 14, 2015

CR.3.12 Leadership Planning Luncheon

CR.3.13 College of Alameda Management Retreat

CR.3.14 Planning, Research, Institutional Effectiveness Committee Minutes- October 1, 2015; November 5, 2015

CR.3.15 Planning, Research, Institutional Effectiveness Committee Minutes- November 5, 2015

CR.3.16 Institutional Set-Standards documented in ACCJC Annual Report

CR.3.17 Program Review Taskforce Webpage

CR.3.18 Comprehensive Program Review Handbook, page 12

COLLEGE RECOMMENDATION 4

Recommendation 4- In order to meet the Standard, the team recommends that formal processes be put into place to document the discussion of student learning. (I.B.1)

DESCRIPTIVE SUMMARY

The discussion of student learning is continuous at the College. Dialog and discussion around student learning are captured at division and department meetings [CR.4.13; CR.4.16; CR.4.17; CR.4.19; CR.4.20; CR.4.23], participatory governance committees [CR.4.7; CR.4.14; CR.4.15], academic senate [CR.4.12] as well as workshops [CR.4.11; CR.4.24]. Student learning outcomes are a standing agenda item for discussion at each academic and student services division meetings. These discussions include assessment, analysis, and alignment with institutional outcomes and effectiveness.

Several College participatory governance committees have formal processes to discuss student learning. These committees include faculty, professional staff, students and administrators. In Fall 2015, the College evaluated the effectiveness of the single IEC/SLO Coordinator model and determined that a distributed coordination model would prove more effective than a consolidated coordination model. The distributed coordination model was adopted by the College creating an IEC/SLO coordinator for each division (Division I, Division II, and Student Services). This model strengthens the infrastructure, broadens the institutional knowledge through cross-training, and ensures consistent leadership regarding student learning.

The Planning, Research and Institutional Effectiveness Committee (PRIEC) Committee is the formal College body for discussions and recommendation regarding student learning. The committee charge is:

The mission of the Planning, Research and Institutional Effectiveness Committee (PRIEC) is to ensure that the College maintains a set of ongoing and systematic institutional processes and practices that include planning, the evaluation of programs and services, the identification and measurement of outcomes across all institutional units (including learning outcomes in instructional programs), and the use of data and assessment results to inform decision-making. All of these activities are accomplished with the purpose of improving programs and services and increasing student success and institutional quality.

Student learning was central to several recommendations made by PRIEC in 2015-16. In fall 2015, the College, through its participatory governance process, reviewed and revised its Institutional Set Standards [see College Recommendation 3]. After dialog on student learning, the PRIEC reached consensus that the implications to student learning are central tenants in setting institutional set standards. Student learning infuses all elements of our values and vision [CR.4.3; CR.4.4]. The College vision and value statements were discussed and recommended for reaffirmation to College Council [CR.4.1; CR.4.2]. As part of the three-year planning cycle, PRIEC reviewed and recommended reaffirmation of the College's Institutional Learning Outcomes [CR.4.5; CR.4.6]. PRIEC adopted an assessment rubric which was completed and recommended to College Council [CR.4.7].

College Council serves as the overarching participatory governance body at College of Alameda. The Council reviews and discusses recommendations from other participatory governance committees and determines recommendations to be sent to the College President for

review and approval. During the 2015-16 academic year, College Council received recommendations from PRIEC to adopt the revised Institutional Set Standards, ILOs, ILO Assessment Rubric, and the College value and vision statements. Following discussion, all of these items were adopted and forwarded to the College President for approval [CR.4.5; CR.4.6; CR.4.7].

Learning outcomes are approved for courses and programs through the curriculum approval process. Student learning addendums are stored and are available to the public through the College's curriculum inventory system, CurricuNET Meta [CR.4.8]. All courses and programs have ongoing assessment of learning outcomes. The College uses a technology solution, Taskstream, as the repository of learning outcomes, assessment data and findings. All learning outcomes (course, program, service area) are assessed within the three-year program review cycle [see College Recommendation 6].

Program review serves as the foundation for the planning and resource request processes for the College [see College Recommendation 5]. During the 2014-15 academic year, the program review process was evaluated and revised [CR.4.9]. Program review follows a three-year cyclical process, comprised of a comprehensive program review in year one, and followed by two annual program updates. Program and service areas are required to address specific questions relating to learning outcomes. The following examples are from page 8 of the comprehensive program review handbook [CR.4.31].

- How does your discipline, department or program ensure that students are aware of the learning outcomes of the courses and instructional programs in which they are enrolled?

- Briefly describe at least three of the most significant changes/improvements your discipline, department or program made in the past three years as a response to course and program assessment results.
- Briefly describe at least three of the most significant examples of your discipline, department, or program plans for course and/or program level improvement for the next three years as result of what you learned during the assessment process. Please state the course number or program name and attach the data from the “Assessment Findings and Action Plan” section for each example.
- Describe effective and innovative strategies used by faculty to involve students in the learning process.

After an assessment of the program review process, the Planning, Research, and Institutional Effectiveness Committee (PRIEC) facilitated a newly implemented validation procedure, where teams read, reviewed, and commented on all program reviews [CR.4.10].

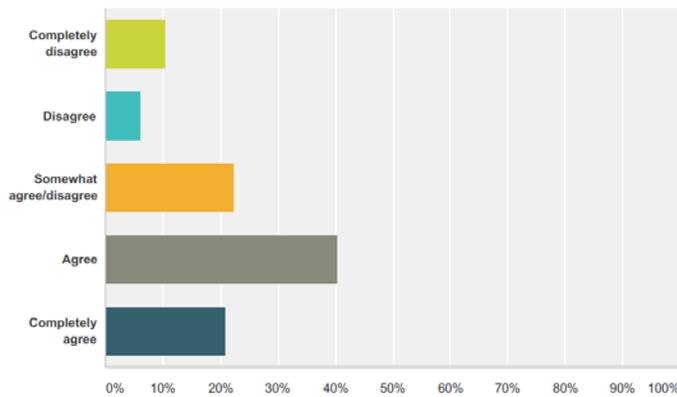
Student learning is linked to College resource requests through program review. Departments are required to link any request for resources to an Institutional Learning Outcome (ILO). The program review resource request form, page 17 [CR.4.32], and the program review goals alignment form, page 18 [CR.4.33], require programs and services areas to connect to the institutional learning outcomes and strategic goals.

To broaden the dialog and capture campus feedback regarding student learning outcomes and assessment, four targeted questions were included in the Employee Voice Survey. The survey was distributed to all College employees through email in February 2016. A

preponderance of the responses indicated employees feel the following: student learning is central to the College; employees have opportunities to participate in shaping student learning and there is widespread knowledge of the Institutional Learning Outcomes (ILO) [CR.4.25].

Q42 I believe that COA has made student learning outcomes and assessment a focus for the college.

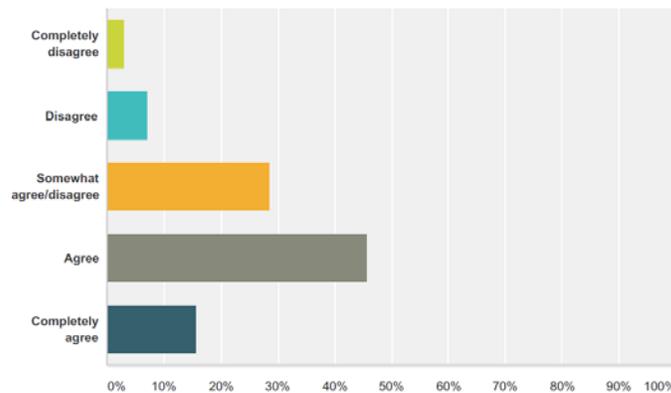
Answered: 67 Skipped: 21



Source: Employee Voice Survey [CR.4.25]

Q45 I am familiar with Institutional Student Learning Outcomes (ISLOs) and their purpose.

Answered: 70 Skipped: 18



Source: Employee Voice Survey [CR.4.25]

Formal processes for documenting the student learning discussion include professional development activities. Examples of professional development activities include the Breaking Barriers Lecture Series, Faculty First Fridays, Chair Seminars, and Spring 2016 Opening Day workshops [CR.4.27; CR.4.28; CR.4.29; CR.4.30]. During spring 2016, a team of faculty and administrators attended the ACCJC workshop: Taking Assessment to the Program Level [CR.4.11]. The information gathered at the workshop was shared with faculty through division meetings, the weekly campus bulletin (*CoA Splash*, Vol 6. March 11, 2016) [CR.4.26], and PRIEC.

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 4

The College of Alameda has accomplished the recommendation and meets associated Standard I.B.1.

The College has established multiple processes to have formal discussion of student learning. At the local level, student learning is an agenda item at Division meetings and student learning and assessment results are captured in program and service area program reviews. At the institutional level, participatory governance committees discuss student learning routinely and formally adopt and assess institutional learning outcomes as part of the three year College planning cycle.

Date	Action
September 3, 2015	Academic Senate discussion on student learning [CR.4.12]

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September 17, 2015	ILO Discussion Planning, Research, and Institutional Effectiveness Committee [CR.4.1]
September 22, 2015	Division I meeting; student learning agenda item [CR.4.13]
October 6, 2015	Curriculum Committee Presentations [CR.4.14]
November 2015	Curriculum Committee Presentations [CR.4.15]
October 1, 2015	ILO reaffirmation Recommendation Planning, Research, and Institutional Effectiveness Committee [CR.4.2]
October 23, 2015	College Council discussion and adopt ILO recommendation [CR.4.7] “Take Care of SLO Business Workshop”
October 27, 2015	Division I meeting; student learning agenda item [CR.4.16]
October 27, 2015	Division II meeting; student learning agenda item [CR.4.17]
November 11, 2015	Program Review/Annual Unit Plans due
November 19, 2015	Program Review validation meeting [CR.4.18]
November 24, 2015	Division I meeting; student learning agenda item [CR.4.19]
November 24, 2015	Division II Meeting [CR.4.20]
December 2, 2015	Program Review validation meeting [CR.4.21]
January 2016	PASS Projects summary document distributed [CR.4.22]
January 21, 2016	Joint Division meeting; student learning on agenda [CR.4.23]

January 22, 2016	Improving Student Success in Math workshop [CR.4.24]
February 2016	Distributed Employee Voice Survey [CR.4.25]
February 19, 2016	ILO Rubric and assessment discussed at Planning, Research, and Institutional Effectiveness Committee [CR.4.5]
March 17, 2016	ILO rubric and assessment results endorsed by Planning, Research, and Institutional Effectiveness Committee [CR.4.6]
March 3, 2016	the ACCJC workshop: Taking Assessment to the Program Level [CR.4.11]
April 27, 2016	College Council discussions and acceptance of ILO assessment and rubric [CR.4.7]

EVIDENCE: RECOMMENDATION 4

CR.4.1 Planning, Research, and Institutional Effectiveness (PRIEC) Committee Minutes- September 17, 2015

CR.4.2 PRIEC Recommendation on ILO

CR.4.3 PRIEC Recommendation on College Values/Vision

CR.4.4 College Council Minutes- October 28, 2015

CR.4.5 Planning, Research, and Institutional Effectiveness (PRIEC) Committee Minutes- February 18, 2016,

CR.4.6 PRIEC Recommendation on ILO Assessment Rubric

CR.4.7 College Council Minutes April 27, 2016

CR.4.8 Sample Curriculum SLO Addendum

CR.4.9 Sample Program Review Booklet

CR.4.10 Sample Program Review validation Form

COLLEGE of ALAMEDA

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[CR.4.11 ACCJC workshop: Taking Assessment to the Program Level](#)

[CR.4.12 Academic Senate Agenda- September 3, 2015](#)

[CR.4.13 Division I Meeting Minutes- September 22, 2015](#)

[CR.4.14 Curriculum Committee Minutes- October 6, 2015](#)

[CR.4.15 Curriculum Committee Minutes- November 3 2015](#)

[CR.4.16 Division I Meeting Minutes- October 27, 2015](#)

[CR.4.17 Division II Meeting Minutes- October 27, 2015](#)

[CR.4.18 Program Review Validation meeting \(PRIEC Minutes\) - November 19, 2015](#)

[CR.4.19 Division I Meeting Minutes- November 24, 2015](#)

[CR.4.20 Division II Meeting Minutes- November 24, 2015](#)

[CR.4.21 Program Review Validation meeting \(PRIEC Minutes\) - December 3, 2015](#)

[CR.4.22 PASS Project Summaries](#)

[CR.4.23 Joint Division Meeting Minutes- January 21, 2016](#)

[CR.4.24 Improving Student Success in Math workshop](#)

[CR.4.25 Employee Voice Survey Results: Questions 40-49](#)

[CR.4.26 CoA Splash, Vol 6. March 11, 2016](#)

[CR.4.27 Faculty First Fridays](#)

[CR.4.28 Breaking Barriers Lecture Series](#)

[CR.4.29 Spring 2016 Flex Workshops](#)

[CR.4.30 Chair Seminars 2015](#)

[CR.4.31 Program Review Handbook, page 8](#)

[CR.4.32 Program Review Handbook, page 17](#)

[CR.4.33 Program Review Handbook, page 18](#)

COLLEGE RECOMMENDATION 5

Recommendation 5- In order to meet the Standards and Eligibility Requirement, the team recommends that the College assess its planning and program review processes to ensure an ongoing and systematic cycle of evaluation, integrated planning, resource allocation, implementation, re-evaluation, and continuous improvement (I.B.6, I.B.7, II.A.2.f, and ER 19)

DESCRIPTIVE SUMMARY

The College is committed to continuous improvement and strives to exceed the Standards in order to achieve institutional effectiveness. The College assesses its governance structure and decision making processes through an ongoing and systematic cycle of evaluation. The systematic cycle includes dialog through the participatory governance committees, campus surveys, such as employee voice [CR.5.1] and institutional effectiveness [CR.5.2], and review of planning documents. Planning is guided by the Institutional Planning Handbook. The handbook is updated annually based on recommendations from participatory governance groups, such as Budget Advisory Committee [CR.5.3]. Recommendations are discussed in College Council for consideration for adoption and forwarded to the College President for approval on April 27, 2016 [CR.5.4]. The 2015-16 Planning Handbook [CR.5.5] was modified to reflect changes identified during the review cycle in 2014-2015.

The formal process of program review evaluation is facilitated in a collaborative process by a Districtwide program review taskforce. This committee provides guidance and recommendations to the District Education Sub-Committee of the District Planning and Budget Council (PBC) and the District Academic Senate. PBC presents considerations to Chancellor's Cabinet for adoption. As part of the program review process, the program review taskforce

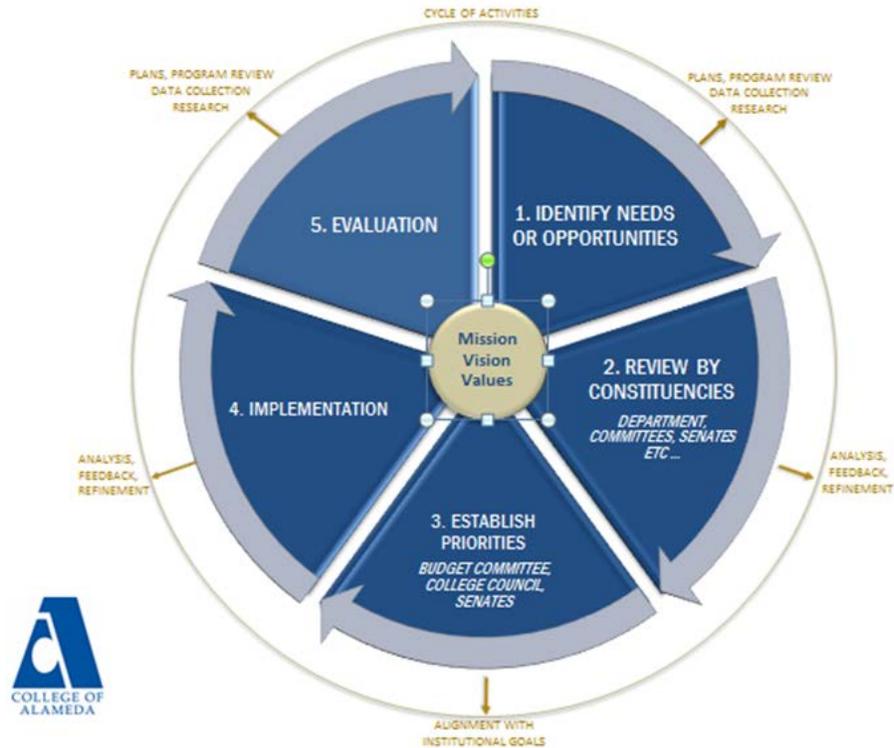
[CR.5.6] during the 2014-15 academic year reviewed and revised the comprehensive program review booklet [CR.5.7]. The updated comprehensive program review booklets for instruction [CR.5.8], non-instructional [CR.5.9], counseling [CR.5.10], library [CR.5.11], and CTE programs [CR.5.12] were implemented in 2015-16. In 2015-16 program review taskforce reviewed and revised [CR.5.13] the annual program update (APU) forms. The revised annual program update (APU) forms [CR.5.14] will be implemented in 2016-17 academic year. The College established a three year comprehensive program review cycle 2015-2023 [CR.5.15].

To provide a framework for continuous improvement and transparent communication related to College planning and accreditation, a series of publications and informational items have been produced and distributed to the campus. Documents are posted on the College webpages, such as accreditation [CR.5.16], program review [CR.5.17], and college planning [CR.5.18], for open access to planning processes.

To assess the resource allocation process, the College follows a five step integrated planning and budget framework. The integrated planning and budget framework includes:

- Identify Needs and/or Opportunities
- Review by Constituencies
- Establish Priorities
- Implementation
- Systematic Evaluation

Integrated Planning and Budget at College of Alameda



The resource allocation process follows the planning and budget calendar [CR.5.19]. The process includes the compilation and prioritization of program review resource requests (Instruction, Student Services, and Administration). Recommendations are reviewed and prioritized at the Executive Council level, indicating if/when the resource request was fulfilled and the funds to be allocated. As part of the systematic resource allocation process and continuous improvement, the program review process evaluates previous year expenditures to inform planning and budgeting during the 2016-2017 academic year. Examples include the analysis of spending trends by departments to allocate instructional supplies [CR.5.20] and

instructional equipment [CR.5.21]. Recommendations are brought to the College Budget Advisory Committee for consideration [CR.5.22; CR.5.23].

The Program review process is the foundation of the college resource allocation process and goal alignment between the college and the district. Programs and service area are required to link all resource requests (human, technology, supplies, equipment, facilities, and professional development) to the College learning outcomes and strategic goals [CR.5.24]. Furthermore, programs and service areas submit a goal alignment form, as part of program review, demonstrating the connection between program and service area planning and College institutional learning outcomes and strategic goals [CR.5.25].

CONCLUSION AND ACTIONS TAKEN TO RESOLVE 2015 COLLEGE

RECOMMENDATION 5

The College of Alameda has accomplished the recommendation and meets associated Standards I.A.4., III.A.1, III.B.1, and III.D.1.

In 2014-2015 the College, in conjunction with the other District Colleges, began the assessment and review of the program review process. This review led to the revision of the comprehensive program review handbook. The revised comprehensive program review handbook was implemented in Fall 2015. This coincided with the start of the three year program view cycle. During the 2015-2016 academic year the annual program update document was discussed and reviewed. A revised document will be implemented in Fall 2016. The College follows a continuous three year planning cycle. The current cycle began in Fall 2015 and will

COLLEGE of ALAMEDA

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conclude in Spring 2018. In the 2015-2016 through the participatory governance process the College reviewed and revised the Institutional Planning and Budget Handbook and an annual integrated planning and budget calendar.

Date	Action
September 2014	Annual College Planning Handbook updated [CR.5.24]
October 22, 2014	College Planning Handbook approved by College Council [CR.5.25]
March 11, 2015	14-15 APU Prioritization for 15-16 allocations compiled [CR.5.26]
September 21, 2015	Budget Committee sets annual goals [CR.5.27]
September 21, 2015	Draft Budget Calendar presented to Budget Committee [CR.5.28]
November 16, 2015	Planning & Integration model updated & approved by Budget Committee [CR.5.29; CR.5.30]
February 8, 2016	Planning & resource allocation integration calendar presented to and approved by Budget Committee
February 8, 2016	College of Alameda Institutional Planning 2016 draft presented to Budget Committee

February 29, 2016	COA Institutional Planning 2016 draft emailed to committee members
April 7, 2016	COA Institutional Planning 2016 draft approved by Budget Committee [CR.5.3]
April 27, 2016	COA Institutional Planning 2016 draft approved by College Council [CR.5.4]

EVIDENCE: RECOMMENDATION 5

CR.5.1 Employee Voice Survey- 2015

CR.5.2 Institutional Effectiveness Survey- 2015

CR.5.3 Budget Advisory Committee Meeting- April 11, 2016

CR.5.4 College Council Meeting- April 27, 2016

CR.5.5 Institutional Planning Handbook- 2016

CR.5.6 PCCD Program Review Taskforce Membership

CR.5.7 PCCD Program Review Taskforce Minutes Sample- April 8, 2015

CR.5.8 Instructional Programs Comprehensive Program Review Booklet

CR.5.9 Non-Instructional Programs Comprehensive Program Review Booklet

CR.5.10 Counseling Programs Comprehensive Program Review Booklet

CR.5.11 Library Programs Comprehensive Program Review Booklet

CR.5.12 Career Technical Education Programs Comprehensive Program Review Booklet

CR.5.13 PCCD Program Review Taskforce Minutes Sample- March 29, 2016

CR.5.14 Annual Program Update (APU) form

CR.5.15 College of Alameda 3 Year Program Review Cycle 2015-2023

CR.5.16 College of Alameda Accreditation Webpage

CR.5.17 College of Alameda Instructional Program Review Webpage

CR.5.18 College of Alameda Planning Documents Webpage

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[CR.5.19 College of Alameda Integrated Budget and Planning Calendar](#)

[CR.5.20 Instructional Supplies Budget Trends](#)

[CR.5.21 Instructional Equipment Budget Trends](#)

[CR.5.22 Instructional Supplies Recommendations to Budget Advisory Committee](#)

[CR.5.23 Instructional Equipment Recommendations to Budget Advisory Committee](#)

[CR.5.24 Institutional Planning Handbook-2014](#)

[CR.5.25 College Council Minutes- October 22, 2014](#)

[CR.5.26 2014-15 Annual Program Update Prioritization](#)

[CR.5.27 Budget Committee Goal- 2016](#)

[CR.5.28 Draft Budget and Planning Calendar- 2016](#)

[CR.5.29 Budget Committee Minutes- November 8, 2015](#)

[CR.5.30 Integrated Planning and Budget Model Graphic](#)

[CR.5.31 Budget Committee Minutes- February 8, 2016](#)

COLLEGE RECOMMENDATION 6

Recommendation 6- In order to meet the Standards and the Eligibility Requirement, the team recommends that the College document the systematic assessment of course-level, program-level, and institutional learning outcomes and use this assessment to direct College and program improvement. (I.B.1, II.A.2.b, II.A.2.e, III.A.1.b, III.D.4; ER 10)

DESCRIPTIVE SUMMARY

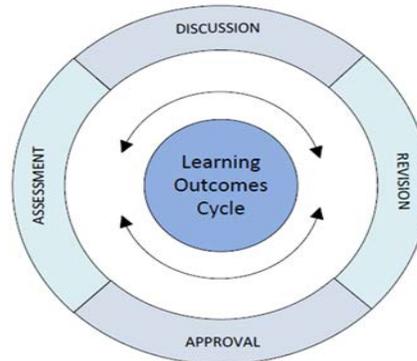
The College documents its systematic assessment of learning outcomes using the web-based enterprise system, Taskstream. Taskstream is a repository for course level, program level, service level, and institutional learning outcome assessments and findings.

To illustrate the cycle of continuous discussion and evaluation of student learning, the infographic below was created in collaboration with the College SLO coordinators and the Planning, Research and Institutional Effectiveness Committee (PRIEC).

Learning Outcomes (SLO, SAO, PLO, ILO) Assessment and Revision Cycle

The learning outcome assessment and revision process is an ongoing cycle that continuously improves course content and delivery methodologies and is a part of the larger 3 year program review cycle that the college is engaged in. It is a four part assessment cycle:

- 1: Learning outcomes are developed for new courses, program, and areas or established learning outcomes are revised based on assessment findings
- 2: Learning outcomes are approved or readopted through College integrated planning processes
- 3: Learning outcomes are assessed
- 4: Assessment findings are discussed to close the loop leading to continuation or revision of learning outcomes.



Previously, the College relied upon one faculty member to provide coordination for SLO activities. It was determined that a distributed coordination model would prove more effective than a consolidated coordination model. The adopted distributed coordination model comprises of an IEC/SLO coordinator for each division (Division I, Division II, and Student Services). This model strengthens the infrastructure, broadens the institutional knowledge through cross-training, and ensures consistent leadership regarding student learning.

To ensure campus-wide engagement with the assessment process, the three Student Learning Outcome and Assessment Coordinators (SLOACs) led a series of assessment seminars throughout the academic year, met individually with faculty members to discuss assessment strategies, and emailed follow-up reminders to faculty. SLOACs presented at division and department meetings, offered assessment tips, and made themselves available for questions and individual support. To foster the campus culture of assessment, SLOACs worked with the administration to distribute copies of *Barbara E. Wolvoord's Assessment Clear and Simple*. SLOACs also provided updates and offered assessment suggestions at Academic Senate meetings (March 17, 2016), attended ACCJC workshops on specific aspects of the assessment process (March 3, 2016), and disseminating effective practices to the campus [CE.6.24; CR.6.25].

Student Learning Outcomes

Course level outcomes assessment is stored in the Taskstream System. Departments document assessment results and findings in this system. These findings are the basis for changes to course level SLOs and broader discussions on student learning. The Taskstream System

enables departments to view all associated courses and their status on assessment and findings. [CR.6.26]. Taskstream enables departments to view individual courses. Additionally, stand-alone courses can be mapped to institutional learning outcomes.

Assessment, discussion of findings, and revisions to SLOs are integrated into the program review cycle. Program review follows a three-year cycle. Clusters of courses undergo assessment each academic year [CR.6.1]. [see College Recommendation 4]. Course assessments are tied to the three year program review cycle, which ensures continuous assessment and institutional effectiveness. Since student learning outcomes are a key component of program review, there is a direct impact on program and College improvement. To track progress of course level assessment and findings, the college regularly produces reports from Taskstream data elements illustrating compliance with continuous and systematic assessment, findings, and reflection of course level outcomes [CR.6.28].

The Program Review Handbook, page 8, requires that departments reflect and report on learning outcomes. Required items that are addressed include: [CR.6.2]

Please answer the following questions and attach the Taskstream “At a Glance” report for your discipline, department, or program for the past three years.

Questions:

- *How does your discipline, department, or program ensure that students are aware of the learning outcomes of the courses and instructional programs in which they are enrolled? Where are your discipline, department, or program course and program SLOs published? (For example: syllabi, catalog, department website, etc. If they are on a website, please include a live link to the page where they can be found.)*

- *Briefly describe at least three of the **most significant changes/improvements** your discipline, department, or program made in the past three years as a response to course and program assessment results.*
- *Briefly describe three of the **most significant examples** of your discipline, department, or program plans for course and /or program level improvement for the next three years as result of what you learned during the assessment process.*

All program review documents are validated and posted on the College website at <http://alameda.peralta.edu/planning-documents/>. Departments undergoing program review are invited to the Curriculum Committee to deliver a presentation regarding the curricular, student learning needs, and findings for their department [CR.6.3; CR.6.4]. Departments address any upcoming curricular changes to the discipline; identify areas for collaboration; and provide reflections on student learning.

The College adopted a systematic curriculum review process to identify and deactivate courses that have not been taught in more than six semesters. These courses are deactivated and removed from the SLO assessment inventory [CR.6.5]. Deactivation increases the accuracy of reports generated from Taskstream. To increase clarity of the inclusion of learning outcomes and assessment throughout the College planning cycle and resource allocation process, flowcharts were created for service areas and instructional programs/departments to illustrate the integration of learning outcomes into College planning and program review cycles [CR.6.30; CR.6.31].

Program Level and Service Area Outcomes

Program Level and Service Area Outcomes are posted in Taskstream. The College has 23 academic programs. The program level outcomes are assessed within the formal three-year program review cycle. All program level outcomes are mapped to institutional level outcomes

and provide continuous improvement and institutional effectiveness that impact career technical education and transfer programs. The College produces reports to track the assessment of program level outcomes within the three year program review cycle [CR.6.27] and similar reports are generated for search area outcomes [CR.6.29]. Most service areas exceed the three year cycle and assess outcomes and post findings on a yearly basis.

Institutional Learning Outcomes

Institutional Learning Outcomes are mapped to Program Level and stand-alone course outcomes. This ensures alignment with the institutional strategic goals and objectives and informs the planning and resource allocation process.

The College adopted five Institutional Learning Outcomes (ILOs),

- Problem Solving: Solve problems and make decisions in life and work using critical thinking, quantitative reasoning, community resources, and civil engagement;
- Communication and Technology: Use technology and written and oral communication to discover, develop, and relate critical ideas in multiple environments;
- Creativity: Exhibit aesthetic reflection to promote, participate and contribute to human development, expression, creativity, and curiosity;
- Diversity: Engage in respectful interpersonal communications, acknowledging ideas and values of diverse individuals that represent different ethnic, racial, cultural, and gender expressions;

- Civic Responsibility: Accept personal, civic, social, and environmental responsibility in order to become a productive local and global community member [CR.6.6].

Institutional Learning Outcomes (ILO) are reviewed every three years as part of the College planning process. The current review cycle began during the fall 2015 semester. The Planning, Research and Institutional Effectiveness Committee (PRIEC) reviewed the ILOs over the course of multiple meetings [CR.6.7]. A recommendation to reaffirm the ILOs was forwarded to College Council and approved at its October 28, 2015 meeting [CR.6.8].

Following the approval/reaffirmation of the ILOs, a second phase of the continuous planning and review process began with the assessment phase. PRIEC established an assessment rubric for the Institutional Learning Outcomes, which was recommended to College Council for adoption. [CR.6.9; CR.6.10] College Council approved the recommended evaluation methodology, rubric, and results in April 2016 [CR.6.11]. The ILO assessment rubric and results are posted on the College website at <http://alameda.peralta.edu/planning-documents/> [CR.6.20].

The College links ILOs to the allocation of resources. The main mechanism is through the program review process. All areas requesting funds must link the specific request to a College ILO. Below is an example from the Physics department [CR.6.12].

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ACCJC Follow-up Report, September 2016

College: Alameda

Discipline, Department or Program: Physics/(Astronomy)

Contact Person: Patti Tsai

Date: 11/23/15

Resource Category	Description	Priority Ranking (1 – 5, etc.)	Estimated Cost	Justification (page # in the program review narrative report)	District-College Goal & Institutional Learning Outcome
Human Resources: Faculty	Full-time physics (or physics/astronomy) faculty member, effective Fall 2016 or Spring 2017.	1		p. 8	#1-5
Human Resources: Classified	Physics instructional aide Coordinator for faculty evaluations	3 4	10 hours/week Unknown	p. 8	#1-5 #1-5
Human Resources: Student Workers					
Technology					
Equipment	Laboratory equipment for Physics 4B	2	\$4400.00	p. 8	#1-2

In addition to connecting resource requests to the College ILOs, departments map their goals to the College ILOs. Below is an example from mathematics [CR.6.13].

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ACCJC Follow-up Report, September 2016

College: Alameda

Discipline, Department or Program: Mathematics

Contact Person: Vanson Nguyen

Date: 11/13/15

Discipline, Department or Program Goal	College Goal	PCCD Goal and Institutional Objective
1. Hire 2 full-time faculty	ILO 1,2	A.1, A.3, A.4, B.2, D.1
2. Offer Math 206, accelerated pathway to statistics	ILO 1,2	A.1, A.3, C.2, D.1
3. Create Math Jam, preparation course for students before the semester begins and/or prepare for the assessment test	ILO 1,2	A.2, C.2, D.1
4. Introduce Supplemental instruction to basic skills courses	ILO 1,2	A.4, C.2
5. Activate and offer Math 1, Pre-Calculus, to accelerate students to Calculus	ILO 1,2	A.4, C.2
6. Improve hybrid offerings with technology	ILO 1,2	A.1, A.4, C.2
7. Offer accelerated 6 unit Algebra course as pathway to calculus for STEM majors.	ILO 1,2	A.1, A.4, C.2

ILOs guide program innovation and improvement through targeted projects. An example is the Peralta Accountability for Student Success (PASS) program. PASS is a program to foster innovation leading to improved student success. A competitive proposal process was used to select projects. Each funded project was mapped to the appropriate ILO. This mapping ensures that special projects funded by the College are aligned with the learning outcomes for the institution. Below is a snapshot of the PASS summary sheet [CR.6.15].

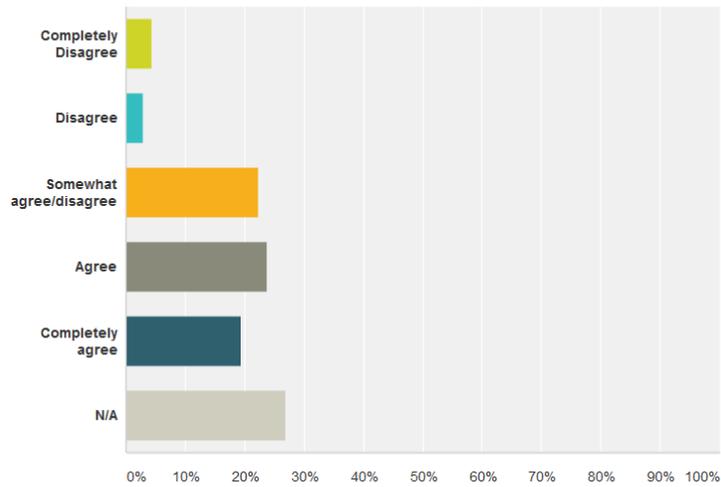
2105-16 PASS PRJOECTS SUMMARIES- Instruction

Project	District Goal	COA Institutional Learning Outcome
<p>MESA The Mathematics, Engineering, Science Achievement (MESA) Program supports students to successfully transfer to four-year universities in science, technology, engineering and math (STEM) majors.</p> <p>MESA at College of Alameda would provide our population of students the support needed to successfully transfer to a four-year university within a STEM Field. The program would positively impact the college’s persistence, retention and success rates and, has the potential to attract more students to the college.</p>	A4, B2, C2	1, 2
<p>Chemistry Rewrite a selection of experiments in the Chem1A and Chem30A/50 Laboratory Manuals for future use by all instructors. The current lab manuals used were composed years ago by Laney instructors, and need to be clarified both for students to comprehend, and for new instructors to use successfully.</p>	A1, E4	1

An Employee Voice Survey was conducted in February to document campus feedback and perceptions on central planning, resource allocation, student learning, and facilities. Several questions directly related to the use of student learning outcomes in college planning and improvement. College employees indicated student learning is integral to program improvement, planning and resource allocation [CR.6.19].

I engage other faculty in my department in dialogues about assessment results and subsequent action plans.

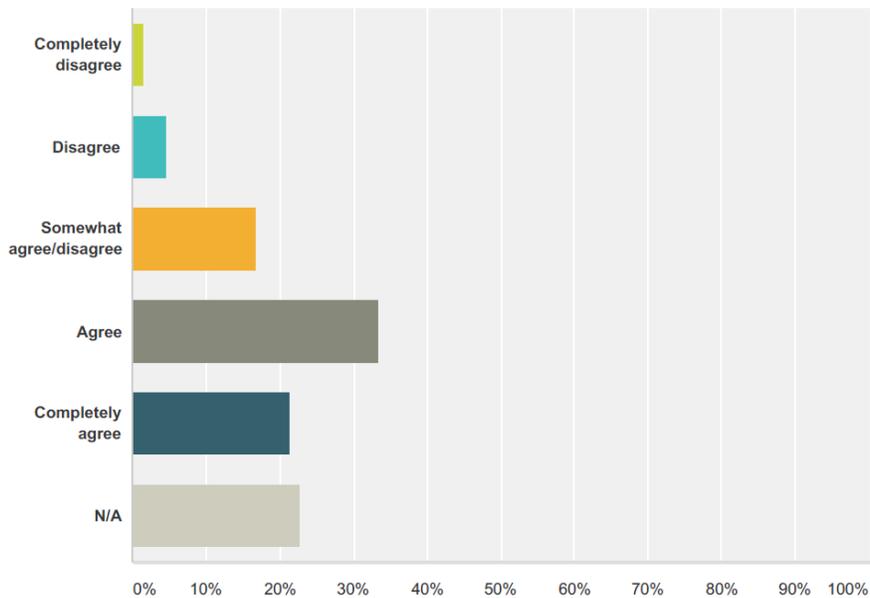
Answered: 67 Skipped: 21



Source: Employee Voice Survey [CR.6.19]

Q47 I use assessment results to inform subsequent plans.

Answered: 66 Skipped: 22



Source: Employee Voice Survey [CR.6.19]

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 6

The College of Alameda has accomplished the recommendation and meets associated Standard I.B.1, II.A.2.b, II.A.2.e, III.A.1.b, III.D.4; and Eligibility Requirement 10.

All levels of learning outcomes (course, program, and Institutional) are integrated into the College planning and budget cycle. Course and program level outcomes assessment are documented in a enterprise system call *Taskstream*. Taskstream functions as the central repository of learning outcomes, assessment, and findings. Courses and program learning outcomes are assessed as part of the College three year program review cycle. The program review handbook requires departments/area to reflect on assessment finding and to tie goal and resource requests to learning outcomes. Institutional learning outcomes are assessed using a rubric adopted through the College participatory governance process. The Planning, Research, and Institutional Effectiveness Committee lead the review, assessment, and dialog concerning institutional learning outcomes. The assessment rubric and finding are posted on the College website.

Date	Action
September 17, 2015	ILO Discussion Planning, Research, and Institutional Effectiveness Committee
October 1, 2015	ILO reaffirmation Recommendation Planning, Research, and Institutional Effectiveness Committee
October 20, 2015	Curriculum Committee Presentations [CR.6.3]
October 23, 2015	College Council discussion and adopt ILO

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	recommendation [CR.6.8]
October 23, 2015	Department Chair Seminar- Taskstream [CR.6.16]
November 11, 2015	Program Review/Annual Unit Plans due
November 17, 2015	Curriculum Committee Presentations [CR.6.4]
November 19, 2015	Program Review validation meeting [CR6.17]
December 2, 2015	Program Review validation meeting [CR6.18]
January 2016	PASS Projects summary document distributed [CR6.15]
February 2016	Employee Voice Survey [CR.6.19]
February 18, 2016	ILO Rubric and assessment discussed at Planning, Research, and Institutional Effectiveness Committee [CR.6.21]
March 17, 2016	ILO rubric and assessment results endorsed by Planning, Research, and Institutional Effectiveness Committee [CR.6.22]
March 17, 2016	Academic Senate student learning discussion [CR.6.24]
April 27, 2016	College Council discussions and acceptance of ILO assessment and rubric [CR.6.23]

EVIDENCE: RECOMMENDATION 6

CR.6.1 Program Review and Assessment 3 Year Cycle

CR.6.2 Program Review Handbook, page 8

CR.6.3 Curriculum Committee Minutes- October 20, 2015

CR.6.4 Curriculum Committee Minutes- November 17, 2015

CR.6.5 Curriculum Review and Deactivation Process

CR.6.6 Institutional Learning Outcomes

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CR.6.7 Planning, Research, Institutional Effectiveness (PRIEC) Committee Minutes- October 1, 2015

CR.6.8 PRIEC Recommendation ILO to College Council

CR.6.9 Planning, Research, and Institutional Effectiveness Committee Minutes- September 17, 2015

CR.6.10 College Council Minutes- October 28, 2015

CR.6.11 ILO Assessment Rubric and Results

CR.6.12 Sample Resource Request Form- Physics

CR.6.13 Sample Goal Alignment Form- Mathematics

CR.6.15 PASS Summaries

CR.6.16 Department Chair Seminar- Taskstream

CR.6.17 Program Review Validation meeting (PRIEC Minutes)- November 19, 2015

CR.6.18 Program Review Validation meeting (PRIEC Minutes)- December 3, 2015

CR.6.19 Employee Voice Survey

CR.6.20 College Planning Documents Webpage

CR.6.21 Planning, Research, and Institutional Effectiveness Committee Minutes- February 18, 2016

CR.6.22 Planning, Research, and Institutional Effectiveness Committee Minutes- March 17, 2016

CR.6.23 College Council Minutes- April 27, 2016

CR.6.24 Academic Senate Meeting- March 27, 2016

CR.6.25 ACCJC workshops

CR.6.26 Sample SLO Course Assessment and Finding Plan- Apparel Design and Merchandising

CR.6.27 Program Level Student Learning Outcomes Report

CR.6.28 Course Level Student Learning Outcomes Report

CR.6.29 Service Area Outcomes Report

CR.6.30 Service Area Learning Outcomes Flowchart

CR.6.31 Instructional Program/Department Learning Outcomes Flowchart

COLLEGE RECOMMENDATION 7

Recommendation 7: In order to improve institutional effectiveness, the team recommends that the College document and use the assessment of student support services to engage in thoughtful reflection and improvement. (I.B.1, II.B.1, II.B.3.a, II.B.3.c, II.B.3.d, II.B.3.e, II.B.4, IV.A.)

DESCRIPTIVE SUMMARY

Assessment of the Student Services Division is conducted through a variety of evaluations which include Student Learning Outcomes, Program Reviews, Annual Program Updates and integrated budget plans. College of Alameda documents and uses the assessment of student support services to engage in thoughtful reflection and improvement through the Program Review Process, through the Student Services Leadership Team meetings, the Student Services Council meetings, and various program-level meetings. In addition, assessment and reflection occurs at the District level in collaboration with other PCCD colleges in district level meetings.

The Student Services Division uses Taskstream to annually assess the Student Learning Outcomes (SLO) for each unit and/or program. In Fall 2015, the College evaluated the effectiveness of the single IEC/SLO Coordinator model and determined that a distributed coordination model would prove more effective than a consolidated coordination model. The distributed coordination model was adopted by the College creating an IEC/SLO coordinator for each division (Division I, Division II, and Student Services). This model strengthens the infrastructure, broadens the institutional knowledge through cross-training, and ensures consistent leadership regarding student learning. The Student Services SLO Coordinator

provides ongoing support for student services departments to effectively update and assess SLOs or SAOs [CR. 7.1].

The Student Services Division uses the completion of the Program Review and Annual Program Update to assess, reflect, and improve on services and also to define human resources, facilities and technology priorities. For example, in the 2015-16 Health Services Program Review documented that students were served in nearly 600 mental health appointments throughout the year and there is still unmet need in this area [CR 7.2]. At the time of the APU, the Health Services Coordinator served three primary roles: directly providing counseling and supervising mental health interns; coordinating wellness events; and assuring that students have access to health services such as dental/ eye vouchers and referring students to Health Services at the COA sister colleges. The PR requested additional campus facility space to expand services and to hire a part-time nurse to focus on physical health needs. Based on the documented need and outcomes of current services, the college has moved forward with advertising for a part-time nurse. Additionally, there are discussions and preliminary planning to use the health services fees to address an improved health services facility. In another example, in the 2014-15 Counseling Annual Program Update [CR 7.3] documented the increasing demand on the department based on the Student Success and Support Program mandates. Given that COA's student: counselor ratio exceeded the statewide media ratio by more than three-fold, the college prioritized and advertised two additional counseling positions.

In addition, the documents drive the dialogue and discussion around student learning at division and department meetings, as well as participatory governance committees. For

example, Student Learning Outcomes are a standing agenda item for discussion at Student Services Council meetings [CR.7. 4]. These discussions include assessment, analysis, plans for improvement, and alignment with institutional outcomes and effectiveness. Several College participatory governance committees have formal processes to discuss student learning.

In addition to formal documentation, assessment, and reflection of student support services, COA Student Services administrators, faculty and staff engage in ongoing dialogue, reflection, and improvement with its sister colleges. Shared reflection and efforts are crucial to improving the experience of students as over half of COA students attend COA and at least one other PCCD college during the semester. The constant “swirling” of students requires College of Alameda to coordinate closely with its three sister campuses to promote a seamless experience for students who attend multiple PCCD colleges per semester.

To promote student success and minimize the possible negative impact of swirling, COA and its sister colleges hold district-wide student service meetings regularly throughout the semester. At these meetings administrators, faculty, and staff engage in reflection and improvement in the delivery of student services. For example, the directors of student life meet monthly [CR. 7.5]. Discussions and efforts may focus on district-related items such as reviewing and revising policies and procedures regarding student elections to promote civic engagement. As another example, counseling faculty from each campus attend monthly Counseling Functionality Team (CFT) meetings [CR. 7.6]. A current project of the CFT is developing a district-wide online probation workshop which will include a quiz function to assess student learning.

To improve institutional effectiveness, student services faculty, staff, and administrators attend regular trainings and professional development [CR.7.7]. The purpose of professional development is to maintain current academic and technical knowledge and skills; retraining to meet changing institutional needs or regulations; and the development of innovation and program effectiveness. Whenever possible, faculty and staff attend trainings/ conferences in teams. Updates and new ideas are shared back in Student Services Council or department meetings [CR. 7.8] for further discussion and evaluated for possible implementation.

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 7

The College of Alameda has accomplished the recommendation and meets associated Standard I.B.1, II.B.1, II.B.3.a, II.B.3.c, II.B.3.d, II.B.3.e, II.B.4, and IV.A.

The College increased the documentation and dialog of student support service assessment to improve service delivery to the campus community. Assessments are formally conducted as part of the College program review process. The assessment finding and actions are stored in the *Taskstream* system used as the repository of learning outcomes assessment. Formal and informal assessments are discussed at the department level and the division level at Student Services Council. To coordinate efforts and provide robust service to students, the College meets regularly at the District level to discuss and implement system and service improvements. This is an ongoing continuous process of reflective dialog at the College regarding student services.

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Date	Action
Ongoing	Student Services administrators, faculty and staff attend ongoing trainings to maintain currency in practices that promote student success [CR.7.7]
September 17, 2015	PRIEC Committee decided to select three SLO coordinators – 1 for each instructional division and one for student services.
October 12, 2015	Vice President of Instruction Tim Karas sent an email with the following attachments: Program Review/APU Timeline [CR. 7.8]; Program Review Cycle [CR. 7.9]; 2015 Counseling Program Review Handbook [CR. 7.10]; 2015-2016 APU Template [CR. 7.11]
November 15, 2015	Student Services Program Reviews completed. Comprehensive Program Review for Assessment, Counseling Services, Student Activities, Transfer Center, and Veterans Services Completed [CR.7.13; CR.7.14; CR.7.15].
November 2015 –January 2016	Validation of Program Reviews completed by PRIEC [CR.7.16; CR.7.17]
February 2016	Student Services SLO Professional Development [CR.7.1]

EVIDENCE: RECOMMENDATION 7

CR.7.1 Email from Student Services SLO Coordinator to Student Services staff re: Professional Development

CR 7.2 2015-16 Health Services Program Review

CR.7.3 2014-15 Counseling Annual Program Update

CR.7.4 Student Services Council Sample Agenda

CR. 7.5 Sample of district-wide Associated Students Directors Minutes

CR. 7.6 District-wide Counseling Functionality Team Agendas and Minutes

<http://web.peralta.edu/cft/cft-agendas/>

CR. 7.7 Student Services Professional Development Matrix

CR.7.8 Program Review/ APU Timeline

CR. 7.9 Program Review Cycle

CR. 7.10 Counseling Program Review Handbook

CR. 7.11 APU Template

CR.7.12 2015 Assessment Program Review

CR.7.13 2015 Program Review for Counseling Services/Counseling Courses -

CR.7.14 2015 Student Activities Program Review

CR 7.15 2015 Transfer Program Review

CR 7.16 2015 Veterans Program Review

CR.7.17 Example of Program Review Validation- Student Life

CR.7.18 Example of Program Review Validation- Veterans

COLLEGE RECOMMENDATION 8

Recommendation 8- In order to meet the Standards, the team recommends that the College incorporate consistent and current data into the planning processes. (I.B.6, III.A.6)

DESCRIPTIVE SUMMARY

The College of Alameda practices a culture of inquiry and data informed decision making to support the planning process. The College relies on consistent and current data as a cornerstone of College planning in program review. While the Peralta Community College District has historically relied on a centralized district research office to provide data for the district colleges, through the assessment process it was determined that a College based research agenda would better achieve the culture of inquiry needed to drive equitable educational outcomes needed for institutional effectiveness. This resulted in funding to hire a campus based researcher, the new Dean of Research, Planning and Institutional Effectiveness. Prior to the appointing a new dean, intermediate solutions include hiring a research consultant and contracting with Educational Advisory Board [CR.8.1] to support the research agenda identified by the College. The College launched its research agenda at the fall 2015 Opening Convocation with a Keynote Address by educational sociologist Pedro A. Noguera, and the Executive Director of Institutional Research for the Foothill DeAnza Community College District [CR.8.2].

Each year data sets are created to inform the program review process. Departments and programs receive core data elements to inform reflection, analysis, and priority setting. The core data elements include:

- Total enrollment data for each discipline, department, or program (unduplicated) for the last three years disaggregated by age, gender, ethnicity, and special populations. [CR.8.3; CR.8.5; CR.8.6; CR.8.7]
- Enrollment data for individual courses, by time of day, fall, spring, and summer sessions, for the last three years. [CR.8.4]
- FTES per FTEF (productivity) by course and discipline, department, or program for the last three years. [CR.8.8]
- College productivity rates for the last three years. [CR.8.9]
- Productivity for comparable departments for the last three years. [CR.8.10]
- Degrees and certificates awarded, by discipline, department, or program disaggregated by age, sex, and ethnicity for the last three years. [CR.8.11]
- Total degrees and certificates awarded by the college, per year, for the last three years. [CR.8.12]
- Retention rates by course for the last three years. [CR.8.13]
- Overall college retention rate. [CR.8.14]
- Retention rates for discipline, department, or program for the last three years. [CR.8.15]
- Course completion (student success) rates, by course for the last three years. [CR.8.16]
- Course completion (student success) rates, by discipline, department, or program for the last three years. [CR.8.17]

- College course completion rates for the last three years. [CR.8.18]
- Faculty Demographics: Full-time/part-time, age, gender, ethnicity. [CR.8.19]
- Labor Market Information and Trends (CTE Programs). [CR.8.20]

Departments respond to specific data informed questions in the comprehensive program review handbook, pages 9-13[CR.8.21]. Examples include:

- Briefly discuss the enrollment trends of your discipline, department, or program.
- Describe course completion rates (*% of students that earned a grade “C” or better or “Credit”*) in the discipline, department, or program for the past three years. Please list each course separately. How do the discipline, department, or program course completion rates compare to the college course completion standard?
- Describe the discipline, department, or program retention rates (after the first census, the percent of students earning any grade but a “W” in a course or series of courses) for the past three years. How does the discipline, department, or program retention rate compare to the College retention standard?
- Are there differences in the retention rates when disaggregated by age, gender, ethnicity, or special population (current or former foster youth, students with disabilities, low income students, Veterans)? If so, please describe.
- What has the discipline, department, or program done to improve course completion and retention rates? What is planned for the next three years?

- What has the discipline, department, or program done to improve the number of degrees and certificates awarded? Include the number of degrees and certificates awarded by year, for the past three years. What is planned for the next three years?

Data and achievement metrics are an integral element to the annual faculty prioritization process. The faculty prioritization process begins each fall semester following the completion of annual program reviews and/or unit plans. Data elements used for program review are also applied to the faculty prioritization process. The Office of Instruction compiles a list of faculty requests from annual program reviews and/or unit plans and distributes an information sheet listing enrollment, faculty ratio, and productivity [CR.8.22].

The Academic Senate sends department chairs a faculty prioritization request form to complete. This request form includes multiple questions, some related specifically to data elements including: [CR.8.23]

- Enrollment trends (comparative FTES, retention, persistence, or other data relevant to the need)
- FT/PT comparative data

The Academic Senate and the department chairs convene a joint meeting to discuss faculty prioritization and submit recommendations to the College President. The recommendations are discussed and reviewed by the executive cabinet based on the following criterion: [CR.8.24]

- Productivity data and trends
- Enrollment data over past two years indicating the program is growing, is stable, or is declining

- Program has no full-time faculty
- FT/PT ratio
- Reliable pool of well-qualified associate faculty is unavailable
- Program Review/APU narrative justification demonstrates clear need for FT faculty in order to maintain program outcomes
- Program Review/APU narrative justification demonstrates clear need for FT faculty in order to achieve student learning outcomes
- Impact on other College programs
- Critical effects on overall program if the position is not filled
- Outside accreditation is at risk without FT hire
- Curriculum linked to general education requirements or degree/certificate programs

Based on these criteria, the College President creates the finalized faculty priority list and submits the prioritized list to the District Planning and Budget Committee [CR.8.25].

The College relies on research, surveys, and data from many sources in the decision making process. In addition to the enrollment, student achievement, and course data previously mentioned, the College conducts systemic surveys to collect information and gain feedback. The College conducted an annual institutional effectiveness survey in 2014-15 [CR.8.26] and 2015-16 [CR.8.27], an employee voice (campus climate) survey in 2015-16 [CR.8.28], an intensive brand discovery process in 2015-16 [CR.8.29], and the national Community College Survey of Student Engagement in 2014-15 [CR.8.30].

College-based plans, such as the Student Equity Plan [CR.8.31] and the SSSP Plan [CR.8.32], rely on data to determine benchmarks and establish areas of focus. The Student Equity Plan was written in a consultative process leading to a set of goals and activities based on multiple success measures: Access, course completion, basic skills English, basic skills math, basic skills ESL, degree and certificate completion, transfer, and Each goal and activity was based on data. Specific data reports produced to inform the decision making process were:

- Transfer gender by ethnicity December 2015 [CR.8.33]
- Access Foster Youth November 2015 [CR.8.34]
- Access Low Income November 2015 [CR.8.35]
- Access DSPS November 2015 [CR.8.36]
- Access September 2014 [CR.8.37]
- Access Veterans November 2015 [CR.8.38]
- Basic skills English Math ESL completion September 2015 [CR.8.39]
- Course completion DSPS September 2015 [CR.8.40]
- Course completion foster youth September 2015 [CR.8.41]
- Transfer from Scorecard September 2015 [CR.8.42]
- Transfer velocity September 2015 [CR.8.43]
- Top 10 Feeder High Schools October 2014 [CR.8.44]

Enrollment management decisions and strategies are based in data analytics such as daily monitoring of FTE and predictive modeling. The College adopted and implemented a comprehensive enrollment management plan [CR.8.45] in 2015-16 [see college recommendation

10]. Data informed strategies are discussed, reviewed and implemented each term to meet student needs [CR.8.46; CR.8.47].

Additional research data and resources are provided through the Education Advisory Board. The College employed an outside researcher to develop a College Factbook [CR.8.50] and specialized data reports. An internal and external scan of the College was fundamental to the Educational Master Planning process in 2015-16. These scans provided a basis for discussion, review, and strategic goal setting. The Education Master Plan [CR.8.48] for College of Alameda was approved by the PCCD Board of Trustees in June 2016 [CR.8.49]. [Linked to District Recommendation 5]

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 8

The College of Alameda has accomplished the recommendation and meets associated Standard I.B.6, and III.A.6.

Working in conjunction with the District Office of Research, the College has established a set of consistent data elements for the planning process. The College program review process is the central element in planning and resource allocation. As part of the program review revision process in 2014-2015, an agreed set of data elements was approved to be used Districtwide for program review. These data elements are produced annually and incorporated into program reviews and annual program updates.

EVIDENCE: RECOMMEDATION 8

CR.8.1 Fall 2015 Opening Convocation

CR.8.2 EAB Contract

CR.8.3 Enrollment

CR.8.4 Enrollment- Time of Day (Political Science)

CR.8.5 Enrollment- Age (African American Studies)

CR.8.6 Enrollment- Ethnicity (Aviation)

CR.8.7 Enrollment- Gender (Biology)

CR.8.8 FTEF

CR.8.9 Productivity

CR.8.10 Productivity- Department (History)

CR.8.11 Degrees Awarded-Ethnicity

CR.8.12 Degrees Awarded- Department

CR.8.13 Retention Rates- Course

CR.8.14 Retention Rates- College

CR.8.15 Retention Rates- Department (Communications)

CR.8.16 Completion Rates- Courses (Automotive Technology)

CR.8.17 Completion Rates- Department (Anthropology)

CR.8.18 Completion Rates- College

CR.8.19 Faculty Demographics

CR.8.20 Labor Market Information

CR.8.21 Program Review Handbook, pages 9-13

CR.8.22 Faculty Prioritization Information

CR.8.23 Faculty Prioritization Form

CR.8.24 Faculty Prioritization Executive Cabinet

CR.8.25 Faculty Prioritization to PBIM

CR.8.26 Institutional Effectiveness Survey 2014

CR.8.27 Institutional Effectiveness Survey 2015

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- CR.8.28 Employee Voice Survey 2015
- CR.8.29 Brand Discovery Report
- CR.8.30 CSSE 2014
- CR.8.31 Equity Plan
- CR.8.32 SSSP Plan
- CR.8.33 Transfer gender BY ethnicity Dec 2015
- CR.8.34 Access Foster Youth Nov 2015
- CR.8.35 Access Low Income Nov 2015
- CR.8.36 Access DSPS Nov 2015
- CR.8.37 Access 09-2014
- CR.8.38 Access Veterans Nov 2015
- CR.8.39 Basic skills English Math ESL completion Sept 2015
- CR.8.40 Course completion DSPS Sept 2015
- CR.8.41 Course completion foster youth Sept 2015
- CR.8.42 Transfer from Scorecard Sept 2015
- CR.8.43 Transfer velocity Sept 2015
- CR.8.44 Top 10 Feeder High Schools 10-2014
- CR.8.45 Enrollment Management Plan
- CR.8.46 Enrollment Strategies Fall 2015
- CR.8.47 Enrollment Strategies Spring 2016
- CR.8.48 Educational Master Plan
- CR.8.49 PCCD Board of Trustees meeting- June 2016
- CR.8.50 CoA Factbook

COLLEGE RECOMMENDATION 9

Recommendation 9- In order to meet the Standards, the team recommends that the College develop and implement a process for regular and ongoing evaluation and assessment of its governance and decision making structures and process, and use the results to broaden employee participation and improve institutional effectiveness. (I.B.1, IV.A.5)

DESCRIPTIVE SUMMARY

The College has developed and implemented a process for regular and ongoing evaluation and assessment of its governance and decision making structures and processes. The College uses the results to broaden employee participation and improve institutional effectiveness. Examples include the administration of three campus based surveys during fall 2015 used to evaluate campus climate and institutional effectiveness: [CR.9.1; CR.9.2] Institutional Effectiveness Survey, the Employee Voice-Campus Climate Survey, and the Brand Discovery Survey. As part of the continuous cycle, the annual Institutional Effectiveness Survey was administered again in late November 2015 [CR.9.3]. The two years of data were compiled to track response trends and provide information for College planning and decision making processes. A companion survey, Employee Voice-Campus Climate, was developed in fall 2015 and sent campus-wide in February 2016 [CR.9.4]. The Employee Voice-Campus Climate survey assessed progress made towards fulfilling the Mission, Vision and Values of the College and examined the environment and atmosphere for the staff and faculty who work, and teach at the College. The Brand Discovery and Brand Communications Audit broadened employee participation by assessing their feedback regarding the College. This assessment informs the

internal and external communication strategies of the College. The Brand Discovery and Brand Communications Audit was conducted to address the following questions:

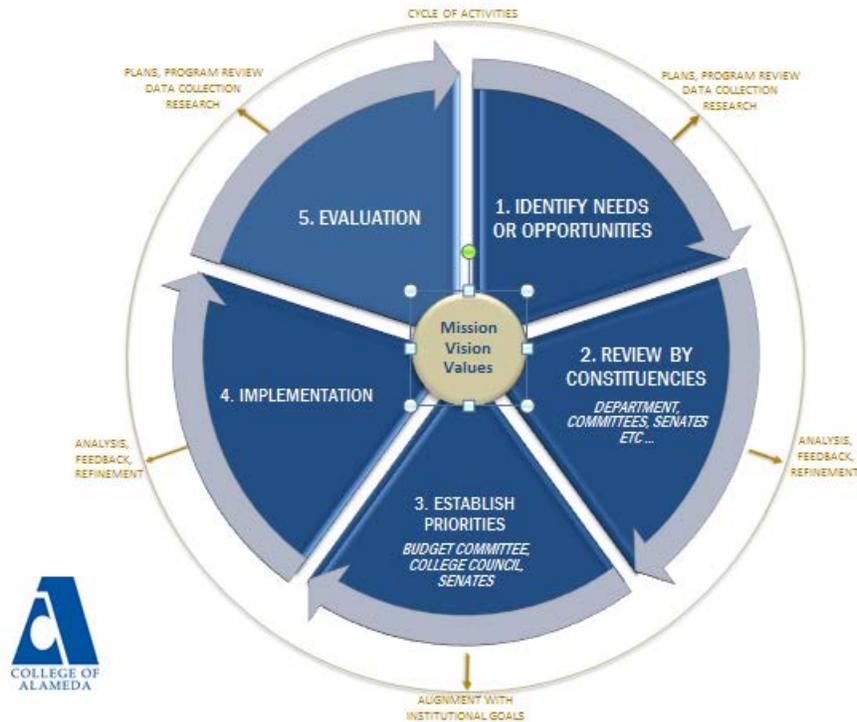
- How is College of Alameda currently perceived by its key audiences?
- How well are these perception aligned with the current reality of the College?
- What is CoA's current brand identity, according to its key audiences?
- What is the language that people use to talk about CoA?

With these finding, CoA leadership and communication staff then addressed the following issues:

- What do we want CoA's brand identity to be?
- How close to or far from it is CoA now?
- What are the key operational issues CoA needs to address?
- Where are the opportunities to strengthen CoA's story and improve its image in an authentic way that reflect the truth of who CoA is and what it has to offer?

As part of the College three-year planning cycle, the process was reviewed by the Planning Research Institutional Effectiveness Committee (PRIEC) and the accompanying integrated planning diagram was modified [CR.9.5; CR.9.6]. The modified diagram is included in the updated Institutional Planning Handbook along with an integrated College and District planning and resources allocation calendar [CR.9.7; CR.9.8].

Integrated Planning and Budget at College of Alameda



Program review functions as the cornerstone of planning and resource allocation decisions. In 2014-2015 a District taskforce reviewed the existing program review model and made recommendations for improvement. A revised program review form and process was implemented in August 2015 [CR.9.9]. At the completion of the process, the College conducted a survey [CR.9.10] to gather feedback on the form, directions, and overall process. The feedback was brought to the District taskforce. A key element of the revised process was the addition of a formal validation step. A separate survey was conducted to provide focused feedback on this discreet step. One hundred percent of responses agreed that the directions provided for program validation were clear and 83% agreed that the validation rubric was clear [CR.9.11].

In summer 2015, the College applied to the Institutional Effectiveness Partnership Initiative (IEPI). The application was accepted in July 2015 and a Partnership Resource Team (PRT) was formed. The goal of this initiative is to help advance California Community Colleges' institutional effectiveness [CR.9.12]. The College submitted four focus areas:

- Development of a robust culture of assessment for student learning and service area outcomes.
- Establishment of a transparent integrated planning and budget process that includes linkages to program review, assessment, and resource allocation.
- Development and implementation of a communication strategy to ensure all internal and external constituents engage in the participatory governance process.
- Establishment of a clear delineation of responsibilities between the District and College services.

The PRT came to campus for the first of three visits on October 21, 2015. [CR.9.13] The focus of this visit was to meet with campus groups, have dialog and discussion, and collect information. The PRT compiled a list of considerations for the College and submitted them to the College for review on February 21, 2016 [CR.9.14].

Based on the information provided, the second PRT visit on March 16, 2016 focused on the completion of the College Innovation and Effectiveness Plan [CR.9.15]. The plan outlines four areas of focus:

- Development of a robust culture of assessment for student learning and service area outcomes.

- Development and implementation of a communication strategy to ensure all internal and external constituents engage in the participatory governance process.
- Establishment of a transparent planning and budget process that includes linkages to program review, assessment, and resource allocation.
- Establishment of a clear delineation of responsibilities between District and College services.

A crosswalk was developed to articulate the linkage between District accreditation recommendations and College accreditation recommendations to ensure seamless assimilation of actions, data, and interventions [CR.9.16].

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 9

The College of Alameda has accomplished the recommendation and meets associated Standard I.B.1 and IV.A.5.

To meet this College Recommendation and Standards, the College reviewed processes and procedures for ongoing evaluation and assessment of its governance and decision making structures and process to improve institutional effectiveness. Based on the review, the College applied for an Institutional Effectiveness Partnership Initiative Resource Team to work with the College to improve decision making procedures and processes. Based on the finding and recommendations, the College is implementing a College Innovation and Effectiveness Plan. Furthermore, the College increased communication with the campus community through

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institutionalizing the annual Institutional Effectiveness Survey administered in the Fall semester and adding an Employee Voice Survey administered in the Spring semester. Survey results are provided and discussed as part of the participatory governance structure.

Date	Action
July 18, 2015	Institutional Effectiveness Partnership Initiative (IEPI) accepted [CR.9.12]
September 24, 2014	College Council discussion on integrated planning CR.9.17]
October 21, 2015	Partnership Resource Team (PRT) first visit to campus [CR.9.13]
October 22, 2014	College Council approves Institutional Planning Handbook [CR.9.7]
February 25, 2015	College Council discussion on participatory governance [CR.9.18]
November 5, 2015	Planning Research and Institutional Effectiveness Committee discussion on modified planning cycle diagram [CR.9.5]
November 16, 2015	Budget Committee endorses modified planning cycle diagram[CR.9.6]
November 2015	Annual Institutional Effectiveness Survey administered [CR.9.3]
December 2, 2015	College Council approves modified planning cycle diagram [CR9.19]
December 2015	Program Review Survey [CR.9.10]
December 2015	Program Review Validation Survey [CR.9.11]
February, 18, 2016	Campus Climate-Employee Voice Survey administered [CR.9.4]
February 21, 2015	Partnership Resource Team (PRT)

	consideration submitted to campus [CR.9.14]
March 16, 2016	Partnership Resource Team (PRT) second visit to campus [CR.9.15]

EVIDENCE: RECOMMENDATION 9

CR.9.1 Institutional Effectiveness Survey 2014

CR.9.2 Community College Survey of Student Engagement- 2014

CR.9.3 Institutional Effectiveness Survey 2015

CR.9.4 Employee Voice Survey 2015

CR.9.5 Planning Research and Institutional Effectiveness Committee Minutes- November 5, 2015

CR.9.6 Budget Advisory Committee Minutes- November 16, 2015

CR.9.7 Planning Handbook

CR.9.8 Integrated Budget Calendar

CR.9.9 Program Review Timeline 2015

CR.9.10 Program Review Survey

CR.9.11 Program Review Validation Survey

CR.9.12 Institutional Effectiveness Partnership Initiative (IEPI) Letter

CR.9.13 Institutional Effectiveness Partnership Initiative (IEPI)

CR.9.14 Institutional Effectiveness Partnership Initiative (IEPI) List of Primary Successes and Menu of Options

CR.9.15 Institutional Effectiveness Partnership Initiative (IEPI) College Innovation and Effectiveness Plan

CR.9.16 Accreditation Recommendation Crosswalk between College and District

COLLEGE RECOMMENDATION 10

Recommendation 10- In order to meet the Standards, the team recommends that the College develop, implement, and assess a comprehensive enrollment management strategy based on qualitative and quantitative information that allows the College to clarify its identity while meeting its mission and the varied educational needs of its students, as well as ensuring that resources are allocated in a manner that effectively supports the direction of the College. (I.B.1, I.B.2, I.B.3, II.A.1.a, II.A.2)

DESCRIPTIVE SUMMARY

The College has developed, implemented, and assessed a comprehensive enrollment management plan based on quantitative and qualitative data. The enrollment strategy aligns with the College mission to meet the diverse educational needs of students and ensures that resources are allocated to effectively support the strategic direction of the College. An immediate action was the formation of a College Enrollment Management Committee. A draft committee charge was taken to the Academic Senate and the Planning, Research and Institutional Effectiveness Committees for review. The final recommendation was submitted to College Council for discussion and approval [CR.10.6]. The Enrollment Management Committee began meeting during the fall 2015 semester [CR.10.7; CR.10.8]. The Enrollment Management Committee reached consensus on the approach for 2015-2016 at their November 5, 2015 meeting [CR.10.16].

The College produces enrollment management strategy reports each semester [CR10.1; CR.10.2; CR.10.3]. These reports document the strategic approaches the College has implemented to achieve enrollment goals. As part of a comprehensive enrollment management framework, the College of Alameda management team attended The Claremont Colleges

Enrollment Management Institute to begin the process of drafting a comprehensive enrollment management plan. This was fortified by additional professional development opportunities.

Faculty and administrators attended a multi-day workshop provided through the Association of California Community College Business Officers to broaden campus participation and support the development of a comprehensive enrollment management plan [CR.10.4; CR.10.5].

A key deliverable of the Enrollment Management Committee is the College of Alameda Enrollment Management Plan. The plan includes eight strategic areas of focus. The focus areas for 2015-16 are:

- One: Systems and Data
 - Activate Waitlist for Dynamic classes
- Two: Planning and Reporting
 - Planning timeline (schedule production, program review)
 - Develop 2- year plans for degree/certificate
- Three: Facilities
 - Complete risk assessment plan of College including ADA
 - Maintain physical appearance of buildings
 - Refresh fading COA sign
- Four: Technology
 - Recommendation to technology committee to include enrollment management as an integrated part of technology planning
 - Institute permission codes after first day of instruction

- Five: Student Services
 - Online Orientation
 - Associate Degree for Transfer campaign
 - Pilot Early Alert
- Six: Instructional Innovation
 - Accelerated transfer planning
 - Identify academic pathways (ex CSUEB)
 - Accelerated weekend college
- Seven: Professional Development
 - BI tool access (faculty, administrators)
 - BI tool training
- Eight: Communication
 - Update content on website for instructional divisions
 - Local visibility/events
 - Update website

The draft Enrollment Management Plan was distributed at the College's fall 2015 Opening Convocation. Subsequently, it was presented to the Academic Senate and Planning, Research and Institutional Effectiveness Committee for feedback. The final draft plan was adopted by College Council in October 2015 [CR.10.9; CR.10.10; CR.10.11; CR.10.12].

In April 2016 an annual enrollment management plan status report was presented to College Council. College Council discussed the findings and accepted the status report. The

status report highlighted the actions taken in 2015-16 to achieve plan objectives. The annual status report provides a uniform tool to discuss progress and identify priorities for the 2016-2017 academic year [CR.10.13; CR.10.14].

Enrollment information and data is broadly shared with the campus community. College and course enrollment information is distributed through the Office of Instruction daily during the beginning of a term and weekly during the remaining weeks. Elements reported include term over term enrollment statistics and FTES, year over year enrollment statistics and FTES, and cancelled class list. An analysis of enrollment data is conducted regularly by the Senior Leadership Team, the Deans' Council, and the Student Services Council. Overall enrollment trends are discussed with the Department Chair Council.

Key College participatory governance committees review, discuss, and recommend enrollment items on a regular basis. Each term enrollment strategy is developed and shared with College and District committees. The Office of Instruction posts each term's strategies on its webpage, <http://alameda.peralta.edu/office-of-instruction/>.

Additionally, the College has access to on-demand enrollment data through an information analytics tool, called the Business Information (BI) Tool, supported by the District Research Office. The College offers training to faculty and staff on using the BI Tool to analyze department enrollment and student achievement data. An example was a training was held especially for department chairs in October 2015 to review data available through the BI Tool [CR.10.15].

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 10

The College of Alameda has responded to the recommendation and meets associated Standard I.B.1, I.B.2, I.B.3, II.A.1.a, and II.A.2.

To enhance the work previously completed per semester on enrollment management strategies, the College began a formal process of developing a comprehensive enrollment management plan in Summer 2015. College employees attended multiple workshops and trainings in Summer 2015 to gather information and strategies to produce a comprehensive enrollment management plan. The College created a dedicated enrollment management committee in fall 2015 as part of the participatory governance structure. The enrollment management committee created a draft comprehensive enrollment management plan; which was approved by College Council in December 2015. The College completed the first year of objectives and actions. A year-end document was submitted and approved by College Council in April 2016. The College will begin implementation of year-two in September 2016. The table below outlines the institutional process developed and implemented for a comprehensive enrollment management strategy.

Date	Action
2014	Enrollment Management Strategies for Fall 2014 distributed [CR.10.1]
February 4, 2015	Enrollment Management Strategies for Spring 2015 distributed [CR.10.2]
April 10, 2015	Enrollment Management Strategies for

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	Summer and Fall 2015 distributed [CR.10.3]
July 2015	College Representatives attended weeklong Enrollment Management Institute [CR.10.4]
August 2015	College Representatives attended two day Enrollment Management Workshop [CR.10.5]
August 2015	Draft Enrollment Management Plan presented to College [CR.10.9]
September 23, 2015	Enrollment Management Committee charge approved by College Council [CR.10.8]
September 17, 2015	Draft Enrollment Management Plan presented to Academic Senate [CR.10.10]
September 2015	Draft Enrollment Management Plan presented to Planning, Research and Institutional Effectiveness Committee [CR.10.11]
October 2015	Department Chair Seminar on BI Tool [CR.10.15]
November 2015	Enrollment Management Committee adopts focus areas [CR.10.16]
December 2015	Enrollment Management Committee approves Enrollment Management Plan [CR.10.17]
December 2015	Final Enrollment Management Plan adopted [CR.10.12]
February 2016	Enrollment Management Strategies for Spring 2016 distributed [CR.10.13]
April 2016	Annual Status Report- Enrollment Management Plan [CR.10.14]

EVIDENCE: RECOMMENDATION 10

CR.10.1 Enrollment Management Strategies – Fall 2014

CR.10.2 Enrollment Management Strategies Summer and Fall 2015

CR.10.3 Enrollment Management Strategies Spring 2015

CR.10.4 Enrollment Management Institute

CR.10.5 Enrollment Management Workshop

CR.10.6 Enrollment Management Committee Charge

CR.10.7 Sample Enrollment Management Meeting Minutes

CR.10.8 College Council Minutes- September 23, 2015

CR.10.9 Draft Enrollment Management Plan presented to College

CR.10.10 Academic Senate Agenda- September 17, 2015

CR.10.11 Planning, Research and Institutional Effectiveness Committee Minutes- September 2015

CR.10.12 College Council Minutes- December 2016

CR.10.13 Enrollment Management Strategies Spring 2016

CR.10.14 Annual Status Report- Enrollment Management Plan

CR.10.14 College Council Minutes- April 27, 2016

CR.10.15 Department Chair BI Tool Training

CR.10.16 Enrollment Management Committee Minutes- November 5, 2015

CR.10.17 Enrollment Management Committee Minutes- December 3, 2015

COLLEGE RECOMMENDATION 11

Recommendation 11- In order to meet the Standard, the College should develop online tutoring for its distance education students. (II.B.1; II.c.1.a; II.C.1.c)

DESCRIPTIVE SUMMARY

The College of Alameda has developed online support services, including online tutoring for all students. The Library and Learning Resources are actively engaged in improving services and programs based on the assessment of learning outcomes to enhance student learning and achievement. Students attending classes, regardless of location or means of delivery, have 24/7 access to robust information resources and tutoring services. Information resources include access to comprehensive full-text journal databases, e-Books, tutorials, tutoring, and online reference services.

To assist distance learners specifically, the Library created a dedicated website, the Library Online Service page, (<http://alameda.peralta.edu/library/library-online-services/>) as a single point of access for all digital materials, online tutorials and learning aides, and links to services [CR11.1]. The Library collaborated with the College Distance Education Coordinator to create a direct link for all instructors from online courses in Moodle to the Library. The College is committed to enhancing its learning resources across all possible locations and delivery methods.

Students enrolled in distance education classes have access to robust information resources and comprehensive full-text journal databases, e-Books, tutorials, and online reference

services [CR.11.2]. All students, including distance education students, have 24/7 access to online tutoring, research, and skill building resources [CR.11.3; CR.11.4].

To enhance and broaden tutorial services to students regardless of location or means of delivery, the College began reviewing solutions to provide 24/7 access to tutors during the summer of 2015. The College examined several online integrated solutions. Students have access to synchronous online tutorial services 24/7 in a breadth of disciplines, including English, mathematics, and the sciences. After a thorough discussion and review of products with faculty and staff that included demonstration and testing, the College chose a robust solution to provide a platform to assist online and face-to-face tutorial sessions. The College of Alameda online tutoring portal is <https://alameda.upswing.io/>. The service was launched in January 2016 to all students. Students receive one-on-one tutorial assistance from any internet capable device. The system has reporting capabilities such as time of day usage statistics, number of student sessions, subjects requested, and feedback on tutors. These reports are used to evaluate the effectiveness of the online tutorial services [CR.11.5].

CONCLUSION AND ACTIONS TAKEN TO RESOLVE 2015 COLLEGE RECOMMENDATION 11

The College of Alameda has accomplished the recommendation and meets associated Standards II.B.1, II.C.1.a and II.C.1.c.

The College makes available through the Library and Learning Resource Center webpages comprehensive listing of outside resources, tutorials, and information related to tutorial and assessment. Students are able to use these open access resources to practice skills

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and concepts taught throughout the curriculum. To enhance service to students, regardless of location, the College explored several online 24/7 tutorial options in 2015. Based on vendor demonstration and employee recommendations, the College chose to implement 24/7 online tutorial services through a platform offered by UpSwing. The platform facilitates online tutorial and on-site tutorial services. Students have access to 24/7 live tutorial services. The service was launched in January 2016. The table below outlines the process to deliver online tutoring for students.

Date	Action
Spring 2015	Reviewed current tutorial website for clarity on online tutorial recourses available to students
May 2015	Revised tutorial website based on analysis [CR.11.4]
June 2015	Met with UpSwing to learn about 24/7 online tutorial service
July 2015	Presentation by vendors NetTutor and UpSwing
August 2015	Focused presentation, including faculty and staff, with UpSwing
September 2015	Second focused presentation with UpSwing and tutorial center faculty and staff
September 2015	Distance Education Substantive Change Report Submitted [CR.11.6]
October 2015	UpSwing selected to provide online tutorial platform and 24/7 tutorial service
November 2015	Contract completed [CR.11.7]
November 2015	ACCJC Accepted Distance Education Substantive Change Report [CR.11.8]

December 2015	Implementation and IT system integration
January 2016	New Service launched [CR.11.5]

EVIDENCE: RECOMMENDATION 11

CR.11.1 Library Online Services Webpage

CR.11.2 Library Online Articles databases

CR.11.3 Learning Resource Center Webpage

CR.11.4 Online Tutorial Services Webpage

CR.11.5 24/7 Online Tutorial Webpage

CR.11.6 Distance Education Substantive Change Report

CR.11.7 Upswing Contract (online tutorial)

CR.11.8 ACCJC Accepted Distance Education Substantive Change Report

COLLEGE RECOMMENDATION 12

Recommendation 12- In order to meet the Standard, the team recommends that all personnel performance evaluations be made current according to the approved cycles. (III.A.1.b)

DESCRIPTIVE SUMMARY

College of Alameda has a rigorous and inclusive evaluation process for all personnel. The College, in collaboration with District Human Resources, ensures all personnel evaluations are current according to the approved cycles. The College evaluates all employees based upon collective bargaining agreements and employee contracts. The College maintains master spreadsheets in the Office of Business and Administrative Services indicating the evaluation due dates for each classified and administrative employee. Reminders are provided to supervisors at regular intervals to ensure compliance.

The College created a supplementary employee evaluation tracking process to monitor and ensure adherence to evaluation cycles for faculty, staff and administrators [CR.12.2; CR.12.3; CR.12.4]. Once the classified staff and administrator evaluations are completed, the President's Office logs the information prior to sending the completed evaluation packet to District Human Resources.

The Vice-President of Instruction, in collaboration with the Vice-President of Student Services, works closely with the Peralta Federation of Teachers (PFT), prior to the start of each semester to discuss all faculty evaluations for the upcoming semester [CR.12.5]. At the first division meeting of the semester, department chairs receive packets of information including a listing the full-time and part-time faculty required to be evaluated, evaluation forms, and a

timeline for completion [CR.12.6; CR.12.7; CR.12.8]. Twice during the semester the Vice-President of Instruction submits a memorandum to the President on the status of faculty evaluations [CR.12.9; CR.12.10; CR.12.11; CR.12.12; CR.12.13].

To ensure compliance with the evaluation process for faculty undergoing tenure review, the College, Academic Senate, and PFT, appoint a College Tenure Facilitator. The complete duties of the College Tenure Facilitator are outlined in PFT Faculty Evaluations Handbook (pages 14-15) [CR.12.14]. A key element of this position is monitoring the Tenure Review Committee's (TRC) implementation of the tenure review process. Monitoring includes a meeting each term with each TRC, the candidate's peer advisor, and the College Vice President of Instruction, to review the TRC's activities including whether recognized standards are being applied in the evaluation process, and whether the TRC is following the tenure review process, procedures, and timetables. The TRC Coordinator provides for faculty on the evaluation process.

CONCLUSION AND ACTIONS TAKEN TO RESOLVE 2015 COLLEGE RECOMMENDATION 12

The College of Alameda has accomplished the recommendation and meets associated Standard III.A.1.b.

The College implemented a tracking system for part-time and full-time faculty evaluations. Each semester departments are notified of the required evaluations with an excel file tracking sheet. Departments are required to submit progress at regular interval during a semester. At the end of each semester a document is submitted by the Vice-President of Instruction to the

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College President indicating the status of all faculty evaluations. Classified and administrative evaluations follow a timeline sent from District Human Resources. All completed classified and administrative evaluations are sign by the College President and forwarded to Human Resources.

Date	Action
January 2015	Spring 2015 Part-Time and Full-Time Faculty Evaluation Timeline [CR.12.6]
May 2015	Spring 2015 Memorandum for Part-Time Faculty Evaluations [CR.12.9]
August 2015	Fall 2015 Flex Day Workshop Tenure Process [CR.12.15]
August 2015	Fall 2015 Part-Time and Full-Time Faculty Evaluation Timeline [CR.12.7]
December 2015	Fall 2015 Memorandum for Part-Time Faculty Evaluations [CR.12.10]
December 2015	Fall 2015 Memorandum for Tenured Faculty Evaluations [CR.12.11]
January 2016	Spring 2016 Flex Day Workshop Tenure Process [CR.12.16]
January 2016	Spring 2016 Part-Time and Full-Time Faculty Evaluation Timeline [CR.12.8]
May 2016	Spring 2016 Memorandum for Part-Time Faculty Evaluations [CR.12.12]
May 2016	Spring 2016 Memorandum for Tenured Faculty Evaluations [CR.12.13]

EVIDENCE: RECOMMENDATION 12

CR.12.1 External Evaluation Team Report page 59

CR.12.2 Copy of classified staff email reminder

CR.12.3 Classified Staff Evaluation Cycle Listing

CR.12.4 Administrator/Management Evaluation Performance Evaluation Timeline

CR.12.5 Sample Email to PFT regarding beginning of term evaluation meeting

CR.12.6 Spring 2015 Part-Time and Full-Time Faculty Evaluation Timeline

CR.12.7 Fall 2015 Part-Time and Full-Time Faculty Evaluation Timeline

CR.12.8 Spring 2016 Part-Time and Full-Time Faculty Evaluation Timeline

CR.12.9 Spring 2015 Memorandum for Part-Time Faculty Evaluations

CR.12.10 Fall 2015 Memorandum for Part-Time Faculty Evaluations

CR.12.11 Fall 2015 & Spring 16 Memorandum for Tenured Division I Faculty Evaluations

CR.12.12 Spring 2016 Memorandum for Part-Time Faculty Evaluations

CR.12.13 Fall 2015 & Spring 2016 Memorandum for Tenured Division II Faculty Evaluations

CR.12.14 PFT Faculty Evaluations Handbook (pages 14-15)- TRC Facilitator

CR.12.15 Fall 2015 Flex Day Workshop Tenure Process (District)

CR.12.16 Spring 2016 Flex Day Workshop Tenure Process

COLLEGE RECOMMENDATION 13

Recommendation 13- In order to meet the Standard and the Eligibility Requirement, the team recommends that all faculty evaluations require the integration and analysis of the assessment of student learning outcomes. (III.A.1.c; ER 13)

DESCRIPTIVE SUMMARY

College of Alameda incorporates in all faculty evaluations the analysis of student learning outcomes. Formal evaluations standards, procedures, and processes are negotiated between the District Office of Human Resources and the Peralta Federation of Teachers. Procedures, including an assessment of student learning outcomes as a component of faculty evaluations, are required in all faculty evaluations. Faculty members are expected to describe their involvement with student success and assessment of student learning outcomes in the faculty member's Self Evaluation Report. Question number five of the faculty self-evaluation form states:

“In terms of classroom instruction, including the assessment of student learning outcomes, what have you learned about student needs, issues, and your own teaching? How will you implement what you have learned?” [CR.13.1; CR.13.2; CR.13.3; CR.13.4; CR.13.5; CR.13.6; CR.13.7]

The requirement of student learning outcomes in faculty evaluations is a Districtwide process established through the District's collective bargaining process. All four Colleges in the District (Berkeley City, Merritt, and Laney) consistently adhere to the District faculty evaluation procedures.

The College has satisfied this recommendation and meets the standard. Student learning outcomes are measured using a variety of criteria. Faculty are required to discuss student learning outcomes and the assessment of those outcomes as a part of program review, as a component of curriculum development, and as part of the faculty evaluation process in the self-evaluation section. In the College of Alameda External Team Report, page 56, it was noted *that faculty are asked to address and consider student learning outcomes in both the Comprehensive Program Review and Annual Program Updates documents which are completed by faculty in the discipline* [CR.13.8].

The College has also established an addendum to the official course outline of record as the location for listing student learning outcomes and assessment methods. Faculty members in the discipline are responsible for keeping this addendum current. Faculty members are evaluated on whether they follow the course outline of record, and evaluators may review syllabi and sample assessment tools to make this determination [CR.13.9].

Additionally, assessment of student learning outcomes is directly addressed and considered in the Program Reviews and Annual Program Updates completed by faculty in the discipline. College of Alameda is committed to an ongoing assessment of student learning and its impact on institutional planning and effectiveness [SEE RECOMMENDATION 4] [CR.13.10].

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 13

The College of Alameda has met the recommendation and Standard III.A.1.c and Eligibility Requirement 13.

The College adheres to the faculty evaluation process and procedures agreed upon by the Peralta Community College District and the Peralta Federation Teachers. The collective bargaining agreement sets forth the mechanism all faculty are evaluated. The faculty evaluation process integrates student learning outcomes into the process.

EVIDENCE: RECOMMENDATION 13

CR.13.1 Part Time and Tenured Faculty Self Evaluation Form

CR.13.2 Articulation Officer Self Evaluation

CR.13.3 Classroom Faculty Self Evaluation

CR.13.4 Counseling Faculty Self Evaluation

CR.13.5 Learning Assistance Faculty Self Evaluation

CR.13.6 Librarian Self Evaluation

CR.13.7 Nurse Self Evaluation

CR.13.8 College of Alameda External Team Report, page 56

CR.13.9 Sample Curriculum SLO Addendum

CR.13.10 Sample Program Review Booklet

COLLEGE RECOMMENDATION 14

Recommendation 14: In order to improve institutional effectiveness, the team recommends the College collaborate with the District General Services Department of Risk Management to conduct a risk management assessment of College facilities and make recommendations to the College Facilities or College Health & Safety Committees that inform the College Maintenance and Repairs Priority Needs List. (III.B.).

DESCRIPTIVE SUMMARY

College of Alameda collaborated with the District Department of Risk Management to conduct a risk management assessment of College facilities and made recommendations to the College Facilities or College Health & Safety Committees that inform the College Maintenance and Repairs Priority Needs List. The College of Alameda, as part of its commitment to student learning and safe working conditions for all employees, consistently accesses facilities and mitigates any identified deficiency. To continue to meet this standard the College identified, as an actionable improvement plan, the completion of a risk management assessment of College facilities. As part of the College's planning framework this process began in spring 2015 in collaboration with District General Services Department. An example of that strengthened collaboration includes the creation of the new collaborative Leadership Team meetings, which consist of leadership from both the College and the District service centers, like General Services, as delineated by function to ensure accountability. The collaborative leadership team reviews and assesses progress on work orders, procurement, timelines, and project deliverables.

[CR.14.1]

As part of the continuous health and safety assessment of facilities, a Request for Proposal (RFP) to conduct an Americans with Disabilities Act (ADA) *Self Evaluation and Transition Plan* was posted for companies to bid on the scope of work initially in February 2015 and March 2015 (PCCD Bid No. 14-15/16) [CR.14.2; CR.14.3; CR14.4], and then again in June 2015 (PCCD Bid No. 14-15/42) [CR.14.5; CR.14.6; CR.14.7; CR.14.8; CR.14.9; CR.14.10]. Bids for the second RFP were due On July 23, 2015 and then an addendum was issued extending the deadline to July 30, 2015. On July 1, 2015, a mandatory pre-proposal meeting was held in the District Boardroom with nine bidders attending. During the fall semester of 2015, members of the College Facilities and Health and Safety Committees met with District General Services Department members to evaluate RFP bids for ADA evaluation vendors [CR.14.11]. Evaluated score sheets for each vendor were submitted to the DGS Department November 2015. The Peralta Community College District Board approved the selection of a vendor at their December 8, 2015 meeting [CR.14.12] and updated this approval, noting a correction in the selected vendor, at their January 5, 2016 meeting [CR.14.13].

The College of Alameda's Health and Safety Committee and Facilities Committee regularly discuss items related to risk management and make recommendations to the College President. [CR.14.14]. College of Alameda's District Facilities Committee (DFC) representatives regularly report back on campus updates at DFC meetings [CR.14.15; CR.14.16; CR.14.17; CR.14.18].

On June 16, 2016, MIG, the vendor approved at the January 5, 2015, held its kick off meeting with representatives from Merritt College, College of Alameda, and the District General

Services attending. They reported that they had already reviewed parking lots and paths of travel at both campuses. During the summer 2016, staff from MIG evaluated all areas at the College of Alameda, including classrooms, labs, libraries, sports facilities, parking, campus paths of travel, and other areas where members of the public participate in the programs, services and activities of the Colleges. The intent of the evaluation is to identify accessibility barriers as defined by the federal ADA standards and the California Building Code. Follow up reports will identify the barrier, suggest a feasible solution for removing the barrier including a planning level cost estimate, and the specific code and standard references. Once the reports are complete, MIG will work with Campus staff to prioritize the removal of barriers [CR.14.19].

CONCLUSION AND ACTIONS TAKEN TO RESOLVE 2015 COLLEGE RECOMMENDATION 14

The College of Alameda has addressed this recommendation and meets associated Standards III.B.1

In collaboration with the District General Services Department the College began the request for proposal process in 2015 to conduct a comprehensive ADA assessment of campus. The assessment should be completed in Fall 2016.

Date	Action
February 27 & March 6, 2015	DGS Request for Proposal for Architectural Services to Conduct an ADA Self Evaluation and Transition Plan for College of Alameda and Merritt Colleges (RFP 14-15/16) [CR.14.2; CR.14.3; CR.14.4]
June 19 & June 24, 2015	Second posting of DGS Request for Proposal for Architectural Services to Conduct an

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	ADA Self Evaluation and Transition Plan for College of Alameda and Merritt Colleges (RFP 14-15/42) [CR.14.5; CR.14.6; CR.14.7; CR.14.8; CR.14.9; CR.14.10]
September 24, 2015	COA Health and Safety Committee Meeting minutes reflect update on ADA Self Evaluation Project and discussion of campus safety concerns. [CR14.11]
October 14, November 5, 2015	ADA Vendor selection evaluation meetings with DGS Department
October 22, 2015	COA Safety Committee Meeting report ADA Self Evaluation Bid review process update [CR.14.14].
November 16, 2015	College of Alameda representatives' evaluations of RFP bids submitted to DGS Department
December 8, 2015	PCCD Board of Trustee approval of Pacific Access Consulting to conduct an ADA Self Evaluation Survey and Transition Plan and Prioritize Implementation at College of Alameda. [CR.14.12]
January 5, 2016	PCCD Board of Trustee approval of MIG, Inc. as the winning consultant to Provide Architectural Services to conduct an ADA Self Evaluation Survey and Transition Plan and Prioritize Implementation at College of Alameda. Pacific Access Consulting was incorrectly identified in the December board report. [CR.14.13]

EVIDENCE: RECOMMENDATION 14

CR.14.1 Sample Collaborative Leadership Team Agenda

CR.14.2 Bid No. 14-15/16 Architectural Services to Conduct an Americans with Disabilities Act Self Evaluation and Transition Plan for College of Alameda Advertisement

CR.14.3 Bid No. 14-15/16 Architectural Services to Conduct an Americans with Disabilities Act Self Evaluation and Transition Plan for College of Alameda Request for Proposal

CR.14.4 Bid No. 14-15/16 Architectural Services to Conduct an Americans with Disabilities Act Self Evaluation and Transition Plan for College of Alameda Pre Proposal Sign-in Sheet

CR.14.5 Bid No. 14-15/42 Architectural Services to Conduct an Americans with Disabilities Act Self Evaluation and Transition Plan for College of Alameda: Advertisement

CR.14.6 Bid No. 14-15/42 Architectural Services to Conduct an Americans with Disabilities Act Self Evaluation and Transition Plan for College of Alameda: Request for Proposal

CR.14.7 Bid No. 14-15/42 Architectural Services to Conduct an Americans with Disabilities Act Self Evaluation and Transition Plan for College of Alameda: Bid Sign-in Sheet

CR.14.8 Bid No. 14-15/42 Architectural Services to Conduct an Americans with Disabilities Act Self Evaluation and Transition Plan for College of Alameda: Addendum 1

CR.14.9 Bid No. 14-15/42 Architectural Services to Conduct an Americans with Disabilities Act Self Evaluation and Transition Plan for College of Alameda: Addendum 2

CR.14.10 Bid No. 14-15/42 Architectural Services to Conduct an Americans with Disabilities Act Self Evaluation and Transition Plan for College of Alameda: Addendum 3

CR.14.11 College of Alameda Health & Safety Committee Minutes, September 24, 2015

CR.14.12 PCCD Board Meeting Minutes December 8, 2015

CR.14.13 PCCD Board Meeting Minutes January 5, 2016

CR.14.14 College of Alameda Health and Safety Committee Minutes- September 2015

CR.14.15 District Facilities Committee Minutes- September 4, 2015

CR.14.16 District Facilities Committee Minutes- October 2, 2015

CR.14.17 District Facilities Committee Minutes- February 5, 2016

CR.14.18 District Facilities Committee Minutes- March 15, 2016

CR 14.19 ADA Status Report

COLLEGE RECOMMENDATION 15

Recommendation 15: In order to meet the Standard, the team recommends that the College comply with the recommendation in the Department of Education Program Review dated January 5, 2015 in response to audit findings on data submitted to the NSLDS. (III.D.2.a, III.D.2.b, III.D.3.b, III.D.3.f)

DESCRIPTIVE SUMMARY

The College has complied with the recommendation in the Department of Education Program Review dated January 5, 2015, in response to audit findings on data submitted to the National Student Loan Data System (NSLDS). Since January 2015, College of Alameda has submitted timely data to NSLDS [CR. 15.1]. District analysts in Admissions and Records, Financial Aid, and IT have worked collaboratively through the Audit Resolution Team to address ensure timely and accurate enrollment data to NSLDS.

In December 2014, the District convened an emergency meeting of personnel representing Finance, Educational Services, Information Technology, and Student Services to address audit findings related to financial aid reporting and other deficiencies. [CR. 15.2, CR. 15.3] This group met and subsequently reconvened as the Audit Resolution Work (ARW) Team in January 2015. The ARW began its cross-functional collaboration of reviewing business processes, identifying process gaps in service delivery, and developing sustainable solutions. This group meets regularly throughout the year in order to monitor and address fiscal and reporting findings [CR. 15.2, CR. 15.3].

Based on an assessment, it was recommend by ARW that National Student Clearinghouse reporting transition from the Financial Aid (FA) analyst to the Admission & Records (A&R) analyst to delineate duties with enrollment and program reporting in fall 2015

[CR. 15.4]. The FA analyst collaborates with the A&R analyst to continue to work on analyzing data discrepancies. Analysts work closely together and also consult with Oracle Higher Education User Group (HEUG) to troubleshoot errors.

Since the convening of the Audit Resolution Team, 21 Help Desk tickets related to NSC/NSLDS reporting have been successfully closed to help facilitate the reduction of errors in data [CR. 15.3; CR15.4]. A business process has also been created to guide timely and accurate submission of enrollment & program data [CR. 15.5].

While analyzing error reports, the analysts have found areas in the PeopleSoft system to reconfigure and have also identified areas in which errors are due to changes or data made manually by District and/or College staff. Therefore, in addition to reconfiguring PeopleSoft, the District also implemented regular training for campus Admissions & Records staff [CR. 15.6]. These trainings familiarize A&R staff with changes in the system and re-train staff in areas such as Program Plan updates and Special Enrollments.

As of June 30, 2016, the Department of Education issued its Final Program Review Determination that all possible resolvable findings have been resolved [CR. 15.7].

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 15

The College of Alameda has addressed this recommendation and meets associated Standards III.D.2.a, III.D.2.b, III.D.3.b, III.D.3.f

Since January 2015, College of Alameda has submitted timely data to NSLDS [CR. 15.1]. The technical issues related to timely and accurate reporting has been resolved through

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collaborative effort with District analysts in Admissions and Records, Financial Aid, and IT. This is evidenced by the Final Determination Report regarding the federal Program Review and also a clean external financial aid audit for 2015-16.

Date	Action
December 2015	Audit Resolution Work Team convenes. Meets weekly and scales back to monthly meetings as tickets are closed.
January 2015, ongoing	Enrollment Data submission to NSC/ NSLDS
March 2015	AR/ FA/ IT Analysts attend Peoplesoft Higher Education User Group (HEUG) for additional training
March 2015	COA submits response to US Department of Ed Program Review
Fall 2015	NSC data transmission transitions from FA Analyst to A&R Analyst.
September 2015	Admissions and Records Training
November 2015	Audit Resolution Work Team Summary Report [CR.15.8]
January 2016	Admission and Records Training
March 2016	AR/ FA/ IT Analysts attend Peoplesoft Higher Education User Group (HEUG) for additional training
June 2016	USDE Sends Final Program Review Determination that the NSLDS finding has been resolved

EVIDENCE: RECOMMENDATION 15

CR. 15.1 NSC/ NSLDS Enrollment Reporting Summary

CR. 15.2 A&R/ Financial Aid Audit Finding Work Team

CR. 15.3 Audit Resolution Workgroup

CR. 15.4 Audit Resolution Minutes 4.12.16 (Summary of Closed Tickets)

CR. 15.5 NSC Enrollment Report Setup

CR. 15.6 A&R Training Agendas

CR. 15.7 Federal Program Review Final Determination Report (excerpt)

CR. 15.8 Audit Resolution Work Team Status Summary Report

COLLEGE RECOMMENDATION 16

Recommendation 16 – In order to meet the Standards, the team recommends that the Budget Allocation Model be assessed for effectiveness to provide fair distribution of resources that are adequate to support the effective operations of the College. (III.D.2.a, IV.B.3.c)

DESCRIPTIVE SUMMARY

College of Alameda and the District Office, through the Budget Allocation Model Task Force, has assessed the Budget Allocation Model (BAM) for effectiveness to provide fair distribution of resources that are adequate to support the effective operations of the College. In 2010 / 2011 the Peralta Community College District, through a participatory governance process, created a Budget Allocation Model that was guided by California Senate Bill 361. The Budget Allocation Model was most recently updated on December 17, 2014. This Budget Allocation Model can be found at the following link: Budget Allocation Model – [CR.16.1]

<http://web.peralta.edu/business/files/2011/09/BAM-12-17-14.pdf>

The BAM represents the cumulative work of the Planning and Budgeting Council during the 2010-11 academic year which included regularly scheduled monthly meetings, two budget allocation model workshops, and the subcommittee work of the facilitators and Vice Chancellor of Finance. Subsequently, the BAM was improved during each academic year (2011-12, 2012-13, 2013-14, and again during 2014-15).

The Guiding Principles for the Budget Allocation Model are as follows:

- Simple and easy to understand
- Provides financial stability

- Provides for a reserve in accordance with PCCD Board policy
- Provides clear accountability
- Provides for periodic review and revision
- Utilizes conservative revenue projections
- Maintains autonomous decision making at the College level
- Provides some services centralized at the District Office
- Is responsive to the District's and Colleges' planning processes

The Peralta Community College District 2015-2016 Strategic Goals and Institutional

Objectives include the following: [CR.16.2]

D: Strengthen Accountability, Innovation and Collaboration.

D.3.: Institutional Effectiveness: Evaluate and update the Planning and Budget Integration Model (PBIM) participatory governance structure and the Budget Allocation Model (BAM)

Peralta Community College District Planning and Budget Integration Council 2015-2016 Goals include Goal #1: [CR.16.3]

Evaluate the Budget Allocation Model (BAM), consider recommendations with respect to improvements, and create a three-year plan for full implementation.

In fall 2015, the Vice Chancellor of Finance and Administration, with the approval of the Planning and Budgeting Council, established the *Budget Allocation Model Task Force*. This

Task Force is charged with reviewing the Peralta Community College District's current budget allocation model and making recommendations to the Planning and Budgeting Council to enhance the equitable distribution of resources to the four Peralta Colleges.

At their first meeting on October 16, 2015, the *Budget Allocation Model Task Force* (BAMTF) set the following goals: [CR.16.4]

- Become conversant with current BAM
- Share an understanding of budgeting language
- Determine if BAM is the right model for the district
- Identify disparities/ inequities in current model
- Identify level of understanding across District of BAM.

During October 2015 the *BAM Task Force (TF)* Administered a BAM Opinion Survey throughout the Peralta Community College District. During the November 3, 2016 [CR.16.5], BAM TF meeting the following survey summary was provided.[CR.16.6]

“125 responses, nearly 70% of which were from faculty. Good representation from all Colleges and District office. TF identified major themes from survey results: [CR.16.7]

- More communication/ education/ understanding of model needed district wide
- Model is perceived as inequitable across Colleges
- Model does not account for high cost instructional programs (e.g., CTE)
- Model does not distribute international students' revenues fairly
- District Office share of \$\$ should be validated in relation to other CCCs

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- Model does not recognize the difference in facilities' age and size
- Model does not take into account (lack of) achieving productivity goals
- Model does not include an accountability component"

As part of the continuous evaluation and dialog concerning budget planning a Budget

Allocation Model (BAM) a workshop was held on November 19, 2015 [CR.16.8], the Planning and Budget Committee presented year end budget presentation [CR.16.9], and the Budget Allocation Model Taskforce provided a year-end report and recommendation in May 2016 [CR.16.10]. The College of Alameda Budget Committee includes the assessment of the BAM model in the 2015-2016 Committee Goals [CR.16.11].

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 16

The College of Alameda has addressed the recommendation and meets associated Standards III.D.2.a, IV.B.3.c.

The assessment of the Budget Allocation Model commenced in 2015 with the creation of the Budget Allocation Model Taskforce. The College participated on this Districtwide Taskforce; which produced a set of recommendations to improve the Budget Allocation Model to increase institutional effectiveness. The recommendations were presented to the District Planning and Budget Committee in May 2016.

Date	Action
September 21, 2015	CoA Budget Committee Presentation Identifying BAM Assessment as a FY 2016 priority. [CR.16.12]

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October 16, 2015	Formation of Budget Allocation Model Task Force – First Meeting[CR.16.4]
October 2015	District Wide BAM Opinion Survey [CR.16.6]
November 3, 2016	BAM Task Force Meeting [CR.16.5]
November 16, 2016	CoA Budget Committee Agenda – Evaluate and Update the BAM (CoA Integration of Budget and Planning) [CR.16.11]
November 19, 2016	BAM Task Force Meeting [CR.16.12]
December 9, 2016	BAM Task Force Meeting [CR.16.13]
January 7, 2016	BAM Task Force Meeting [CR.16.14]
February 26, 2016	PBIC – BAM Task Force Membership revised to reflect employment transitions
March 15, 2016	BAM Task Force Meeting [CR.16.15]
April 5, 2016	BAM Task Force Meeting [CR.16.16]
April 26, 2016	BAM Task Force Meeting [CR.16.17]
May 2016	BAM Task Force Report [CR.16.10]

EVIDENCE: RECOMMENDATION 16

CR.16.1 Budget Allocation Model

CR.16.2 Peralta Community College District 2015-2016 Strategic Goals and Institutional Objectives

CR.16.3 Peralta Community College District Planning and Budget Integration Council 2015-2016 Goal #1:

CR.16.4 BAM TF Minutes- October16, 2015

CR.16.5 BAM TF Minutes- November 3, 2015

CR.16.6 Budget Allocation Model Survey Themes

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CR.16.7 BAM Survey Results

CR.16.8 BAM Workshop- November 19, 2015

CR.16.9 PBC Year End Report

CR.16.10 BAM Taskforce Year End Report and Recommendations- May 2016

CR.16.11 College of Alameda Budget Committee- November 16, 2015

CR.16.12 BAM TF Minutes- November 19, 2015

CR.16.13 BAM TF Minutes- December 9, 2015

CR.16.14 BAM TF Minutes-January 7, 2016

CR.16.15 BAM TF Minutes-March 15, 2016

CR.16.16 BAM TF Minutes-April 5, 2016

CR.16.17 BAM TF Minutes-April 26, 2016

COLLEGE RECOMMENDATION 17

Recommendation 17- In order to meet the Standards and the Eligibility Requirement and to comply with the ACCJC Policy on Distance Education and Correspondence Education and the Policy on Substantive Change, the team recommends that the College submit substantive change reports to the Commission as soon as possible and receive approval to offer its programs through distance education and at the off-site science and laboratory building. (IV.A.4, ER 21)

DESCRIPTIVE SUMMARY

In order to meet the Standards and the Eligibility Requirement and to comply with the ACCJC Policy on Distance Education and Correspondence Education and the Policy on Substantive Change, the College of Alameda submitted and received approval of the Substantive Change Reports for distance education and at the 860 Atlantic Science Annex, an off-site science and laboratory building. In July 2014 the College of Alameda contacted the ACCJC staff to determine the need to submit a Substantive Change Report for the Science Annex 860 Atlantic. ACCJC confirmed the need to submit a substantive change report for the Science Annex. The College began an internal process to complete the substantive change report for the Science Annex. The internal participatory process included consultation with all College stakeholders (i.e., Academic Senate, College Council, and Department Chairs). The Substantive Change Report for the Science Annex was finalized in December 2014. In accordance with ACCJC policy “Institutions may not submit a Substantive Change Proposal in the six-month period preceding a comprehensive evaluation team visit;” (*ACCJC Substantive Change Manual, Pg. 27*) therefore; the College was unable to submit a report between September 2014 and March 2015 [CR.17.1].

Upon completion of the College's comprehensive site visit in March 2015, the College forwarded the Substantive Change Report for the Science Annex to the Board of Trustees in April 2015 [CR.17.2]. The Substantive Change Report for the Science Annex was approved at the April 4, 2015 Board of Trustees meeting [CR.17.3]. The approved Substantive Change Report for the Science Annex was reviewed and accepted at the May 2015 ACCJC Substantive Change Committee meeting [CR.17.4].

In spring 2015, the College initiated the process to complete the Substantive Change Report for programs offered 50% or more via distance education. Through a comprehensive evaluation of College curriculum, it was determined that 20 degrees and 4 certificate programs could be completed 50% or more via distance education. Following the College consultation process, key College participatory governance committees (i.e., Academic Senate, College Council, and Department Chairs) reviewed and accepted the report. The completed Substantive Change Report for Distance Education was forwarded to the Board of Trustees and approved in September 2015 [CR.17.5]. The approved Substantive Change Report was submitted for the November 2015 ACCJC Substantive Change meeting [CR.17.6]. The report was reviewed and accepted at the December 2015 ACCJC Substantive Change Committee meeting [CR.17.7].

Information and documents related to both substantive change reports are accessible on the College's accreditation website at <http://alameda.peralta.edu/accreditation/> [CR.17.8].

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 17

The College of Alameda has accomplished the recommendation and meets associated Standard IV.A.4 and Eligibility Requirement 21.

To comply with ACCJC Standards, Eligibility Requirement and the ACCJC Policy on Distance Education and Correspondence Education and the Policy on Substantive Change, the College began work on the substantive change report for the Science Annex in 2014. The substantive change report for the Science Annex was completed in April 2015 and submitted to ACCJC. The substantive change report for the Science Annex was accepted by ACCJC in May 2015. Upon completion of the Science Annex Report the College began work on a substantive change report for distance education. This report was completed and approved by the Board of Trustees in September 2015. ACCJC accepted the substantive change report for distance education at their October 2015 meeting.

Date	Action
Fall 2014 Flex Day	Accreditation Update- Substantive Change Process Presented [CR.17.9]
Spring 2015 Flex Day	Accreditation Update- Substantive Change Progress Presented [CR.17.10]
March 26, 2015	Vice-President of Instruction presents Substantive Change Report- Science Annex to Academic Senate [CR.17.11]
April 4, 2015	Board of Trustees approves Substantive Change Report- Science Annex [CR.17.3]
April 2015	Substantive Change Report- Science Annex

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	submitted to ACCJC [CR.17.2]
April 22, 2015	College Council Update- Science Annex and DE Substantive Change Reports [CR.17.12]
May 2015	ACCJC Letter Substantive Change- Science Annex [CR.17.4]
September 3, 2015	Vice-President of Instruction presents Substantive Change Report- DE to Academic Senate [CR.17.13]
September 8, 2015	Board of Trustees approves Substantive Change Report- DE [CR.17.5]
October, 2015	Substantive Change Report- DE submitted to ACCJC [CR.17.6]
December 2015	ACCJC Letter Substantive Change- Distance Education [CR.17.7]

EVIDENCE: RECOMMENDATION 17

[CR.17.1 ACCJC Substantive Change Manual, Pg. 27](#)

[CR.17.2 Substantive Change Report- Science Annex](#)

[CR.17.3 PCCD Board of Trustees Agenda- April 4, 2015](#)

[CR.17.4 ACCJC Letter May 2015: Substantive Change Report- Science Annex](#)

[CR.17.5 PCCD Board of Trustees Agenda- September 8, 2015](#)

[CR.17.6 Substantive Change Report- Distance Education](#)

[CR.17.7 ACCJC Letter December 2015: Substantive Change Report- Distance Education](#)

[CR.17.8 College of Alameda Accreditation Webpage](#)

[CR.17.9 Fall 2014 Flex Day Presentation- Accreditation](#)

[CR.17.10 Spring 2015 Flex Day Presentation- Accreditation](#)

[CR.17.11 Academic Senate Agenda- March 26, 2015](#)

[CR.17.12 College Council Agenda- April 22, 2015](#)

[CR.17.13 Academic Senate Agenda- September 3, 2015](#)

COLLEGE RECOMMENDATION 18

Recommendation 18- In order to improve institutional effectiveness, the team recommends that the College establish a means to clearly identify and communicate recommendations made through the College governance structure and operational processes to the College president, and how those recommendations improve student learning programs and services. The outcomes of committee work and actions of the president in response to recommendations should be widely and effectively communicated to the College. (IV.A.1, IV.A.2, IV.A.3)

DESCRIPTIVE SUMMARY

The College established a means to clearly identify and communicate recommendations made through the College governance structures and operational processes to the College President, determining how those recommendations improve student learning programs and services. The outcomes of committee work and actions of the President in response to recommendations are widely and effectively communicated to the College. In consultation with the senior management team, Academic Senate, Classified Council, Associated Students and collective bargaining units, it was determined that the communication protocols and reporting of outcomes made through the governance structure and operational processes should be evaluated. This included both recommendations made to the President and the actions of the President in response to those recommendations.

A quantitative and qualitative approach was taken to evaluate the communication process. A quantitative methodology, using a campus survey (Institutional Effectiveness Survey), was used to measure processes and procedures that are operationalized to improve student learning programs and support services [CR.18.1]. The qualitative approach included meetings with key stakeholder groups to gather perceptions about processes and procedures.

After a thorough assessment of the communication processes and governance structures, the follow gaps were identified:

- The divisions were not holding regularly scheduled meetings to keep the departments abreast of pertinent campus information related to committee work and outcomes.
- Committees held meetings with limited agenda items and minutes that did not accurately communicate issues, recommendations, and action taken; neither agendas nor minutes were posted on committee websites to provide open access to decision-making processes, recommendations and actions taken, and there was not a meeting management system in place to serve as a historical repository of recommendations, action taken by the President, and operational processes.

The results of the assessment of the communication protocols were shared with the constituent groups through the governance structure. Recommendations were made to the President and the following actions were taken:

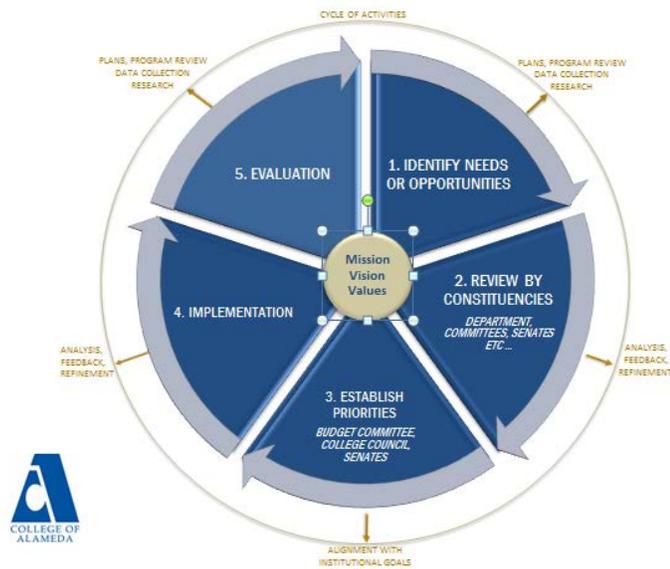
- Monthly division meetings will be held by the instructional and student service deans.
- All meetings will have agendas, minutes, and supporting documents that will be housed in Dropbox [CR.18.2].
- Agendas and meeting minutes will be posted on the committee website for open access to the campus community [CR.18.3].

College Council is the overarching participatory governance body at the College. Recommendations are made to College Council from the various other participatory governance committees. College Council discusses the roles and responsibilities in a participatory

governance environment [CR.18.4]. Recommendations to form new committees or revise committee charges are submitted to College Council for adoption. An outcome of the dialog was documented in the College of Alameda Compendium of Committees, which outlines the roles and responsibilities of each constituency group and a directory of College committees [CR.18.5]. Recommendations from College committees are brought to College Council for discussion and action [CR.18.6; CR.18.7; CR.18.8].

As part of the College three year planning cycle, the process was reviewed by the Planning Research Institutional Effectiveness Committee (PRIEC) and the accompanying integrated planning diagram was modified [CR.18.9; CR.18.10]. The modified diagram is included in the updated Institutional Planning Handbook with an integrated College and District planning and resources allocation calendar [CR.18.11; CR.18.12] [See Recommendations 3, 4, 5].

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In addition to the formal structure of posting committee meeting minutes, a weekly campus newsletter was created to disseminate information to the campus community to inform them of initiatives, activities, decisions, and actions taken on campus related to accreditation, budget, and governance issues [CR.18.13]. Marketing materials were created for two separate constituencies: A fact book for the external community, *Connecting to the Community* [CR.18.20], which presents the College to a broad range of stakeholders; and a fact book for Students, *A Community of Excellence* [CR.18.21], which provides an introduction to College of Alameda and the opportunities available for engagement. The President published an Annual Report that provides campus highlights for the year in review. To use a multimedia approach, a campus video, <https://vimeo.com/173114184/1ba773eaeec>, was produced that showcases College of Alameda Programs and Services. Also, social media platforms represent an additional opportunity for engagement and information dissemination which is expanding outreach and engagement [CR.18.19].

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 18

The College of Alameda has accomplished the recommendation and meets associated Standard IV.A.1, IV.A.2, and IV.A.3.

The College identified several threads to enhance communication of recommendations and information from the College President to the campus community. New initiatives, projects, and recommendations are highlighted in the campus newsletter, *Splash*. To frequency of the

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newsletter varies from monthly during the summer to weekly during the primary semesters. To facilitate communication with the greater community, the College President established a Presidents Roundtable comprised strategic community organizations, for example Chamber of Commerce and Superintendent of the Alameda Unified School District.

Date	Action
September 24, 2014	College Council discussion on integrated planning [CR18.14]
October 22, 2014	College Council approves planning handbook [CR.18.15]
February 25, 2015	College Council discussion on participatory governance [CR.18.4]
March 17, 2015	Academic Senate discussion concerning Institutional Learning Outcomes [CR.18.15]
March 25, 2015	College Council discussion on Institutional Set Standards and Institutional Effectiveness Performance Indicators [CR.18.16]
September 17, 2015	Academic Senate discussion on program review and compendium of committees [CR.18.17]
October 30, 2015	Inaugural Issue of College of Alameda Splash Newsletter [CR.18.18]

EVIDENCE: RECOMMENDATION 18

CR18.1 Institutional Effectiveness Survey- 2015

CR.18.2 Screen Capture of Dropbox

CR.18.3 College Council Agenda/Minutes Webpage

CR.18.4 College Council Minutes- February 25, 2015

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[CR.18.5 Compendium of Committees](#)

[CR.18.6 Sample Recommendation to College Council](#)

[CR.18.7 Sample Recommendation to College Council](#)

[CR.18.8 Sample Recommendation to College Council](#)

[CR.18.9 Planning Research and Institutional Effectiveness Committee Minutes- November 5, 2015](#)

[CR.18.10 Budget Advisory Committee Minutes- November 16, 2015](#)

[CR.18.11 Planning Handbook](#)

[CR.18.12 Integrated Budget Calendar](#)

[CR.18.13 Sample Splash Newsletter](#)

[CR.18.14 College Council Minutes- September 24, 2014](#)

[CR.18.15 College Council Minutes- October 22, 2014](#)

[CR.18.16 College Council Minutes- March 25, 2015](#)

[CR.18.17 Academic Senate Agenda- September 17, 2015](#)

[CR.18.18 College of Alameda Splash- October 30, 2015](#)

[CR.18.19 College of Alameda Twitter page](#)

[CR.18.20 Connecting to the Community](#)

[CR.18.21 A Community of Excellence](#)

COLLEGE RECOMMENDATION 19

In order to meet the Standards, the team recommends that the College president establish a collegial process that sets values, goals, and priorities; ensure that evaluation and planning rely on high quality research and analysis of external and internal conditions; ensure that educational planning is integrated with resource planning and distribution to achieve student learning outcomes; establish procedures to evaluate overall institutional planning and implementation efforts; and effectively control budget and expenditures. (IV.B.2)

DESCRIPTIVE SUMMARY

The College President has established a collegial process that sets values, goals, and priorities; ensures that evaluation and planning rely on high quality research and analysis of external and internal conditions; ensures that educational planning is integrated with resource planning and distribution to achieve student learning outcomes; has established procedures to evaluate overall institutional planning and implementation efforts and effectively control expenditures. During the Summer 2015 Senior Leadership Retreat [CR.19.1], the management team reviewed the processes to determine their effectiveness and strategy to ensure processes are in alignment with values, goals, and priorities and effectively allocate and manage resources. The team identified five areas that needed to be streamlined and strategies to integrate budget and planning:

- Modification of program review cycle;
- Realignment of the integrated planning and budget calendar;
- Synchronization of the planning and budget calendar with the District planning and budget calendar;

- Maintenance of spreadsheets of budget priorities identified through the unit plans and annual program reviews; and,
- Creation of budget request process for one-time funds that are linked to values, goals, and priorities.

These processes were discussed with all constituent groups on campus through the governance committees.

To establish a collegial process that sets values, goals, and priorities, the College implemented a process for the regular and systematic review of its Mission Statement. The process is defined in the Institutional Planning Handbook, page 6 [CR.19.2]. As part of the College planning cycle, the Mission Statement is reviewed every three years. The most recent review and adoption of the Mission Statement commenced in 2013-14 at the College Flex (Opening) Day Convocation [CR.19.3] and campus consensus was reached at the August 2014 College Flex (Opening) Day Convocation [CR.19.4]. In fall 2014 the renewal of the Mission Statement proceeded through the College consultation process. This culminated in the re-adoption of the Mission Statement by College Council in October 2014 [CR.19.5]. The Peralta Board of Trustees approved the College of Alameda Mission Statement at their April 14, 2015 Board meeting [CR.19.6]. In the spring of 2016, the College contracted with the College Brain Trust (CBT) to facilitate campus engagement to develop revisions to the College Educational Master Plan (EMP), which chronicles the College values, goals, and priorities in a campus-wide planning effort that will direct College planning during 2016-2021. The first meeting of the EMP

Working Group was on February 22, 2016. The CBT worked with the campus March 29-30, 2016 [CR.19.7], and May 12, 2016 as follows:

- EMP Working Group/PRIEC March 29, 2016 [CR.19.8]
- College Council March, 30, 2016 [CR.19.9]
- Campus Forum March 29, 2016 in conjunction with division meetings
- Follow up meeting with EMP Working Group May 12, 2016 [CR.19.10].

The Educational Master Plan process was finalized on May 26, 2016 [CR.19.11]. The final College of Alameda Educational Master Plan [CR.19.12] was approved by the PCCD Board of Trustees on June 14, 2016 [CR.19.13].

To ensure that evaluation and planning rely on high quality research and analysis of external and internal conditions, the College is participating in the State's **Institutional Effectiveness Partnership Initiative (IEPI)**. IEPI is a year-long collaborative effort to help advance the institutional effectiveness of California Community Colleges (CCC). The California Community Colleges Institutional Effectiveness Partnership Initiative (IEPI) makes technical assistance available to colleges through Partnership Resource Teams (PRTs) [CR.19.14].

The IEPI PRT visited the College three times [CR.19.15], to understand the issues thoroughly; provided a menu of option and considerations [CR.19.16]; help the College develop an improvement plan (called the **Innovation and Effectiveness Plan**); and provide follow-up support as needed. The College of Alameda Innovation and Effectiveness Plan was adopted in spring 2016 [CR.19.17]. The plan identified four areas of focus for the College, one of which

related directly to Recommendation 20: Establishment of a clear delineation of responsibilities between District and College Services.

The President has assessed and identified areas that may need to be redefined as the responsibility of the College and the District. This past year the District, in a pilot process, began shifting the following responsibilities to the College:

1) Campus-Based Research:

The President of CoA launched the CoA Research Agenda at Opening Convocation for the 2015-2016 academic year. Convocation included a featured researcher that showcased the role of research in both identifying educational outcomes and designing strategies to improve institutional effectiveness using data informed decision making. [CR.19.18] CoA is working with the *Education Advisory Board* to access best practice research, data analytics, technology, and consulting services, to support the launch of the CoA Research Agenda [CR.19.19]. CoA has identified the need for a Dean of Institutional Research and Institutional Effectiveness, recruited for the position, established interview committees and scheduled interviews [CR.19.20].

2) Campus Specific Marketing And Public Information Strategies:

Responsibility for communications, marketing, and public relations has historically been centralized at the District level. However, CoA hired a communications consultant to research the CoA Brand, identify issues and opportunities, develop communication strategies, and document the need for a Public Information Officer at CoA. Specific deliverables included: Refresh of the CoA Website, Development of CoA specific

marketing materials, and the production of a report on the brand of CoA. A comprehensive brand audit and brand discovery document was finalized in November 2015 [CR.19.21; CR.19.22].

The College relies on current data to guide the decision making process. The cornerstone of college planning is the program review. Each year data sets are created to inform the program review process. The revised comprehensive program review process began in fall 2015 [CR.19.23]. Each area receives core data elements to inform reflection, analysis, and priority setting [see College Recommendation 8]. Departments respond to specific data informed questions in the comprehensive program review handbook [CR.19.24].

Data and achievement metrics are an integral element to the annual faculty prioritization process. The faculty prioritization process begins each fall semester following the completion of program review or annual unit plans [see College Recommendation 8].

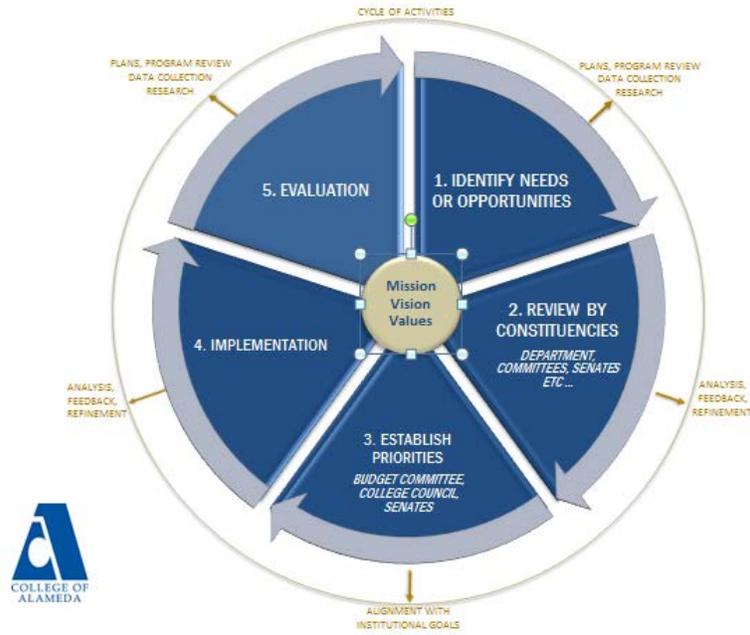
The College relies on research, surveys, and data from many sources in the decision making process. The College conducted an annual institutional effectiveness survey in 2014-15 [CR.19.25] and 2015-16 [CR.19.26], an employee voice (campus climate) survey in 2015-16 [CR.19.27], an intensive brand discovery process in 2015-16, and the national Community College Survey of Student Engagement in 2014-15.

Enrollment management decisions and strategies are based in data analytics. The College adopted and implemented a comprehensive enrollment management plan [CR.19.28] in 2015-16 [see College recommendation 10]. Data-informed strategies are discussed, reviewed, and implemented each term to meet student needs.

To ensure continuous improvement and transparent communication related to College planning, the President has implemented a framework to communicate to the campus community. This includes a series of publication and informational items related to accreditation (*Blueprint for Excellence* and *Accreditation Update Report*) and planning were produced and distributed to the campus community. All documents are posted on the College website under accreditation and college planning documents [CR.19.29]. To provide the widest breadth of communication, the College newsletter, *Splash*, provides regular information to the campus community.

As part of the College three year planning cycle, the process was reviewed by the Planning Research Institutional Effectiveness Committee (PRIEC) and the accompanying integrated planning diagram was modified [see College Recommendation 9]. The College updates its planning handbook based on improvement and revisions to the processes. The Institutional Planning Handbook was modified to reflect changes identified during the review cycle in 2014-2015. The modified diagram is included in the updated Institutional Planning Handbook along with an integrated College and District planning and resources allocation calendar [CR.19.30; CR.19.31]. To establish procedures to evaluate overall institutional planning and implementation efforts, the College is committed to continuous improvement and strives to exceed the Standards. The College participated in a review and revision of comprehensive Program Review documents and began the ongoing 3 year cycle in 2015-2016 [CR.19.32].

Integrated Planning and Budget at College of Alameda



The College effectively controls budget and expenditures through the participatory governance process. The College Budget Committee is co-chaired by the Director of Business and Administrative Services and appointees of the Academic Senate and the Classified Council.

The Committee represents stakeholders from all constituent groups of the College. The Committee provides recommendations to the President regarding expenditures, budget allocation and budget control, and the integration of planning and budget to ensure institutional effectiveness. Information from the Budget Committee is shared with College Council.

Additionally, the Director holds town hall budget meetings each semester with the District Vice Chancellor of Finance and Administration to disseminate state, district, and campus budget updates. The Director of Business and Administrative Services serves on the Executive Council

and Senior Leadership Team and provides regular updates on fiscal matters. Additionally, the Director meets with the College President weekly to review planning and budgeting priorities and updates. Finally the Director represents the College on the district-wide Budget Allocation Model Task Force.

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 19

The College of Alameda has addressed this recommendation and meets associated Standard IV.B.2

The College revised the program review documents in 2014-2015 and launched the revised procedures in Fall 2015. As part of program review all departments/area tie goals and resource requests to learning outcomes and strategic goals. Institutional planning is evaluated annually through the Institutional Effectiveness Survey. The survey responses are reviewed by participatory governance committees. The Institutional Planning and Budget handbook is reviewed and revised accordingly. In Fall 2015 the College embarked on a comprehensive review of its Educational Master Plan. The planning and coordination of the process happened throughout the 2015-2016 academic year. The lead participatory governance committee to facilitate the process was the Planning, Research, and Institutional Effectiveness Committee. The Educational Master Plan includes a detailed assessment of internal and external data; mapping and integration of other College plans; and the identification of strategic directions for the College. The final 2016-2021 College of Alameda Educational Master plan was approved by the Board of Trustees in June 2016.

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Date	Action
Fall 2013 Flex Day	Mission Statement presented to College
Fall 2014 Flex Day	College reaches consensus on Mission Statement [CR.19.4]
September 2014	Annual College Planning Handbook updated
October 2014	Mission Statement approved at College Council [CR.19.5]
February 25, 2015	College Council discussion on participatory governance [CR.19.33]
April 4, 2015	Mission Statement approved at Board of Trustees meeting [CR.19.6]
April 2015	Mission Statement Posters Distributed
May 2015	2015-2017 College Catalog Printed
September 2015	Annual College Planning Handbook updated [CR.1.11]
October 2015	College publications, such as, Splash Newsletter and Enrollment Management Plan
February 8, 2016	Planning & resource allocation integration calendar presented to and approved by Budget Committee [CR.19.34]
February 8, 2016	College of Alameda Institutional Planning 2016 draft presented to Budget Committee [CR.19.34]
April 2016	COA Institutional Planning 2016 draft approved by College Council

EVIDENCE: RECOMMENDATION 19

CR.19.1 Senior Leadership Retreat- Summer 2015

CR.19.2 Institutional Planning Handbook, page 6

CR.19.3 Fall 2013 Flex Day Presentation

CR.19.4 Fall 2014 Flex Day Presentation

CR.19.5 College Council Minutes- October 4, 2014

CR.19.6 PCCD Board of Trustee Meeting Minutes- April, 14, 2015

CR.19.7 Educational Mater Plan Planning Visit Agenda

CR.19.8 Planning, Research and Institutional Effectiveness Committee Minutes- March 29, 2016

CR.19.9 College Council Minutes- March 30, 2016

CR.19.10 Education Master Plan Workgroup Meeting- May 12, 2016

CR.19.11 Education Master Plan Workgroup Meeting- May 26, 2016

CR.19.12 CoA Educational Master Plan

CR.19.13 PCCD Board of Trustee Meeting- June 14, 2016

CR.19.14 IEPI Proposal Acknowledgement

CR.19.15 IEPI Visit- October 2015

CR.19.16 IEPI Options for Consideration Documents

CR.19.17 CoA IEPI Plan

CR.19.18 Fall 2015 Flex Day

CR.19.19 Education Advisory Board Agreement

CR.19.20 Dean of Research, Planning and Institutional Effectiveness Announcement

CR.19.21 CoA Brand Audit

CR.19.22 CoA Brand Discovery Document

CR.19.23 Program Review Timeline- 2015

CR.19.24 Sample Program Review Handbook

CR.19.25 Institutional Effectiveness Survey- 2014

CR.19.26 Institutional Effectiveness Survey- 2015

CR.19.27 Employee Voice Survey- 2015

COLLEGE of ALAMEDA

ACCJC Follow-up Report, September 2016

[CR.19.28 CoA Enrollment Management Plan](#)

[CR.19.29 Accreditation Webpage](#)

[CR.19.30 Institutional Planning Handbook](#)

[CR.19.31 Budget and Planning Calendar](#)

[CR.19.32 Program Review Cycle](#)

[CR.19.33 College Council Meeting Minutes- February 25, 2015](#)

[CR.19.34 Budget Committee Agenda- February 8, 2016](#)

COLLEGE RECOMMENDATION 20

Recommendation 20 - In order to meet the Standard, the team recommends that the College and the District collaborate to clearly delineate and communicate the operational responsibilities and functions of the District from those of the College and consistently adhere to this delineation in practice; and regularly assess and evaluate District role delineation and governance and decision-making structures and processes to assure their integrity and effectiveness in assisting the College in meeting educational goals. (IV.B.3)

DESCRIPTIVE SUMMARY

The College and the District collaborated to clearly delineate and communicate the operational responsibilities and functions of the District from those of the College while consistently adhering to this delineation in practice; and to regularly assess and evaluate District role delineation and governance and decision-making structures and processes to assure their integrity and effectiveness in assisting the College in meeting educational goals. The College President and campus stakeholders reviewed the delineation of operational responsibilities and functions of the District and those of the College. An interactive function chart of District Service Center Units and the functions they perform for colleges was developed [CR.20.1]. In January 2016 and CoA participated in a *District Service Centers Customer Satisfaction Survey* designed to evaluate services provided by District. Those results were analyzed and reflected in District Service Area Program Reviews [CR.20.2]. Specifically, on page 8 of the District Service Area Program Review Handbook [CR.20.3], District Service Areas are required to describe the primary functions of your administrative unit as they relate to District-wide operations and the goals of the colleges. All District Service Centers Program Reviews and validation forms are posted on the District website.

The Peralta Community College District (PCCD) has a clear organizational chart that illustrates the delineation of functions between the District and the College [CR.20.6]. PCCD governance and decision making structure is called Peralta's Planning and Budgeting Integration Model (PBIM). The PBIM utilizes a participatory committee structure for operational planning and budgeting that integrates planning, budgeting, and resource allocation District-wide. This model (PCCD Administrative Procedure 3250) [CR.20.7] defines and clarifies district-wide processes for developing recommendations leading to decision-making. The PBIM was first implemented in August 2009 to improve the effectiveness of District-wide advisory committees. Development of the PBIM is a response that the colleges and District offices collectively establish a coordinated planning and budgeting system, which delineates functional responsibilities and provides a clear process for decision-making. The PBIM overview document, page 2 [CR.20.8], codifies PBIM goals as:

The PBIM process has these key goals:

- Integrate planning and budgeting across the four colleges and District service centers
- Bring the expertise of the four colleges together to focus on trends, best practices, and student learning and success
- Support a culture of collaboration
- Streamline decision making among the colleges and District service centers by providing a transparent process of collaboration and recommendations leading to decisions
- Provide a mechanism for implementing the District's Mission, Strategic Goals and Institutional Objectives

PBIM distributes and posts online [CR.20.9] a PBIM flowchart illustrating the District governance and committee structure [CR.20.10]. Each academic year begins with a PBIM Summit in August [CR.20.11] that bring together District and College faculty, staff, and administrators to establish strategic goals [CR.20.12] and evaluation the governance process. All documents related to PBIM summits (presentations, goals, and evaluations) are posted online to facilitate open and transparent communication [CR.20.9]. To strengthen communication of District and College functions, actions, and program updates, the PCCD Chancellor established as regular communication tool, called *C-Direct* [CR.20.14], which is sent to the entire College community. The College President established a similar communication tool, called *Splash Newsletter* [CR.20.15], which is sent to the College weekly.

The College is participating in the State's **Institutional Effectiveness Partnership Initiative (IEPI)** [CR.20.16]. IEPI is a collaborative effort to help advance the institutional effectiveness of California Community Colleges (CCC). The California Community Colleges Institutional Effectiveness Partnership Initiative (IEPI) makes technical assistance available to colleges through Partnership Resource Teams (PRTs).

The IEPI PRT visited the College three times, beginning in October 2015 [CR.20.17] that included meetings with all participatory governance groups, and ended in March 2016. The College President asked the PRT to include the following areas [CR.20.18]:

- Development of a robust culture of assessment for student learning and service area outcomes.

- Establishment of a transparent integrated budget and planning process that includes linkages to program review, assessment and resource allocation.
- Development and implementation of a communication strategy to ensure all internal and external constituents engage in the participatory governance process.
- Establishment of a clear delineation of responsibilities between the District and College Services.

After meeting to understand the issues thoroughly, the IEPI PRT provided the College with a menu of considerations in March 2016 [CR.20.19]. Based on these consideration a final College Innovation and Effectiveness Plan was developed [CR.20.20]. The College Innovation and Effectiveness Plan was reviewed and adopted by College Council in April 2016 [CR.20.21].

In 2015-2016 all four Peralta Colleges (Alameda, Berkeley, Laney, and Merritt) began their Educational Master Planning process. College Council discussed the process at multiple meetings [CR.20.22; CR.20.23] prior to the launch. In March 2016 there was an all campus meeting and targeted committee and individual meetings related to the Education Master Plan [CR.20.24]. College Council charged the Planning Research and Institutional Effectiveness Committee (PRIEC) has the lead participatory governance body guiding the Education Master Planning process. PRIEC meet over several months [CR.20.25; CR.20.26; CR.20.27; CR.20.28] to provide feedback and recommendations regarding the draft Educational Master Planning document. The final Education Master Plan 2016-2021 [CR.20.29] was completed in May 2016. The PCCD Board of Trustees approved the plan at their June 14, 2016 meeting [CR.20.30].

CONCLUSION AND ACTIONS TAKEN TO RESOLVE

2015 COLLEGE RECOMMENDATION 20

The College of Alameda has addressed this recommendation and meets associated Standards IV.B.3

The College and the District have established a delineation of function. To increase communication and collaboration, the College established regular collaborative leadership team meetings between College administration and District Service Areas. These meeting focus on projects the affect both the College and District. Priorities and timelines are reviewed, discussed, and revised. The overall District governance structure and process is evaluated annually. Each year is started with a District Planning and Budget Summit. This year’s Summit is August 26, 2016.

Date	Action
August 2015	PBIM Summit [CR.20.11]
August 2015	2015-2016 PCCD Strategic Goals and Objectives Approved [CR.20.12]
September 2015 – January 2016	District Service Centers Complete Program Reviews
October 2015	IEPI PRT Visit [CR.20.17]
January 2016	College Council discussion on Education Master Plan [CR.20.22]
February 2016	College Council discussion on Education Master Plan [CR.20.23]
February 2016 – March 2016	District Service Center Program Review Validation Process [CR.20.31]
March 2016	IEPI PRT Visit
March 2016	College wide and participatory governance meetings on Educational Master Plan

	[CR.20.24]
March 2016	Planning, Research and Institutional Effectiveness Committee (PRIEC) discussion on Educational Master Plan [CR.20.25; CR.20.26]
April 2016	College Council adopts Innovation and Effectiveness Plan [CR.20.21]
April 2016	Planning, research and Institutional Effectiveness Committee (PRIEC) discussion on Educational Master Plan [CR.20.27]
May 2016	Planning, research and Institutional Effectiveness Committee (PRIEC) discussion on Educational Master Plan [CR.20.28]
June 2016	PCCD Board of Trustees approves CoA Educational Master Plan 2016-2021 [CR.20.30]

EVIDENCE: RECOMMENDATION 20

[CR.20.1 District Functions Chart](#)

[CR.20.2 District Service Area Program Review Handbook](#)

[CR.20.3 District Service Area Program Review Handbook, page 8](#)

[CR.20.4 District Service Area Program Review Webpage](#)

[CR.20.5 District Service Area Program Review Validation Forms Webpage](#)

[CR.20.6 District Organizational Chart](#)

[CR.20.7 PCCD Administrative Procedure 3250](#)

[CR.20.8 PBIM Overview Handbook, page 2](#)

[CR.20.9 PBIM webpage](#)

[CR.20.10 PBIM Flowchart](#)

[CR.20.11 2016 PBIM Summit](#)

COLLEGE of ALAMEDA

ACCJC Follow-up Report, September 2016

[CR.20.12 2015-2016 PCCD Strategic Goals and Objectives](#)

[CR.20.13 2014-2015 PBIM Evaluation](#)

[CR.20.14 Chancellor's C-Direct Webpage](#)

[CR.20.15 President's Splash Newsletter Webpage](#)

[CR.20.16 IEPI Confirmation email](#)

[CR.20.17 IEPI PRT October 2015 Agenda](#)

[CR.20.18 IEPI PRT Menu of Options and Observations](#)

[CR.20.20 College Innovation and Effectiveness Plan](#)

[CR.20.21 College Council Agenda- April 27, 2016](#)

[CR.20.22 College Council Minutes- January, 27, 2016](#)

[CR.20.23 College Council Minutes- February 24, 2016](#)

[CR.20.24 Educational Master Planning College wide Meeting Agenda- March 2016](#)

[CR.20.25 Planning, Research and Institutional Effectiveness \(PREIC\) Minutes- March 17, 2016](#)

[CR.20.26 Planning, Research and Institutional Effectiveness \(PREIC\) Minutes- March 29, 2016](#)

[CR.20.27 Planning, Research and Institutional Effectiveness \(PREIC\) Minutes- April 8, 2016](#)

[CR.20.28 Planning, Research and Institutional Effectiveness \(PREIC\) Minutes- May 12, 2016](#)

[CR.20.29 Final Educational Master Plan 2016-2021](#)

[CR.20.30 PCCD Board of Trustees Meeting Agenda- June 14, 2016](#)

[CR.20.31 District Service Center Validation Summary Report- May 2016](#)

DISTRICT RECOMMENDATIONS



SECTION TWO

PERALTA COMMUNITY COLLEGE DISTRICT:

DISTRICT RESPONSES TO EIGHT ACCJC 2015 TEAM RECOMMENDATIONS

1 OCTOBER 2016

1 September 2016 copy

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Statement of Report Preparation

Accreditation teams visited the District Office and four Colleges of the Peralta Community College District during the week of March 9-12, 2015. In a letter dated July 20, 2015, the ACCJC Team cited two commendations and eight Recommendations for the Peralta District to address.

In July 2015, a new Chancellor was selected. In September the new Chancellor recommended that a consultant be brought in to assist the District Leadership to respond to the eight ACCJC District Recommendations. Over the course of Fall semester 2015, District Leadership Teams were formed, a consultant was hired, and each Team drafted a Plan of Action for each District Recommendation. By January 2016, all Teams had “leads” in place for the eight Recommendations. A District Accreditation calendar, Accreditation Guidelines, and a District Accreditation Web page were created and regularly updated. The consultant assisted the “leads” to collaborate to collect evidence and to write responses to the eight District Recommendations and convened a group of Accreditation “leads” from each College to ensure that all accreditation Recommendations were being addressed District wide. To ensure broad dialogue pertaining to the District responses, presentations pertaining to the District responses were given monthly at the Peralta’s shared governance Planning and Budgeting Council (PBC) meetings, District Academic Senate (DAS) meetings, and Chancellor’s Cabinet. Additionally, frequent written reports were disseminated in the Chancellor’s weekly newsletter, C Direct. District responses were discussed also with the Student Body Council, the Governing Board, Union Leadership, District Classified Senate leadership, and all constituent groups on an “as needed basis” and were featured in District Flex activities. In April 2016, a comprehensive draft of all eight District responses was

distributed to PBC and in August 2016 and September 2016, revised drafts were distributed to all four Colleges. Finally, College leads and the District consultant worked together to combine the District Responses and the College responses into the College Follow Up Reports. On September 13, 2016, the four College Follow-Up Reports, including the District responses, were presented to the PCCD Governing Board for approval.

Recommendation 1:

In order to meet the Standards, the team recommends that the District follow the 2014 audit recommendations and develop an action plan to fund its Other Post-Employment Benefits (OPEB) liabilities, including associated debt service (III.D.1.c, III.D.3.c).

I. Introduction:

Recommendation 1 addresses the need for the District to follow the 2014 audit recommendations and develop an action plan to fund its Other Post-Employment Benefits (OPEB) liabilities, to include its associated debt service.

II. Plan of Action:

The 2014 Audit Report finding related to OPEB stated: “The long term planning for the continued financial stability of the District should continue to include attention to obligations that will be coming due in the future, such as the postemployment health care benefits and the annual line of credit repayments, which impact the District both at the operating fund level and the entity-wide financial statement level.” [DR1.1].

Respecting the 2014 Audit Report recommendation, PCCD has developed a long-term plan to fund its Other Post-Employment Benefits (OPEB) liabilities, including its associated debt

service (i.e., the principal and interest due on the OPEB bonds). The District has also taken short-term actions to mitigate the impacts of the OPEB debt service on District finances.

A. Short Term Actions:

The District has actively managed its OPEB Bond program over the past twenty-four months. In September 2014 the District issued a request for proposal (RFP) to establish an underwriter pool in anticipation of financing the OPEB Bond program and General Obligation Bond program [DR1.2]. The Interim Vice Chancellor for Finance and Administration and the District's Municipal Financial Advisor performed a semi-annual review of the OPEB bond program in anticipation of the automatic conversion of the next series, or tranche, of bonds from "capital appreciation" (where fixed rate bonds' interest is calculated and added to the principal amount every six months but deferred in payment) to the "auction rate" securities (variable interest bonds subject to auction every five weeks) [DR1.3]. The timing of this transaction was critical and was determined by the original structure of the OPEB bond program. As per program documents, the District was required to restructure the B2 tranche of bonds by August 15, 2015 or potentially pay investors a default interest rate of 17%, due to the failure of the auction rate market in 2008 [DR1.4].

Recognizing the importance of the August 2015 conversion date for the B2 tranche, and its potential impact on the District's finances, a plan of finance and an associated timeline were developed. This plan included the analysis of various financing options and risks associated with those options [DR1.4].

In January 2015, the District's OPEB Finance Team was formed, consisting of members with expertise in the areas of OPEB, Letters of Credit (LOC), swaps, variable rate bonds, and credit. The Team included the District's Interim Vice Chancellor for Finance and

Administration, District Counsel, District Bond Counsel and the District's Municipal Financial Advisor. An RFP was circulated to the District's underwriter pool with the intent to select a firm for the August 2015 transaction and Barclay's Bank was added to the Team, given its ability to provide a letter of credit or LOC. [DR1.5].

Working diligently over the next seven months, the OPEB Finance Team developed a conservative bond structure that provided the District the lowest interest rates possible at the time [DR1.6]. As part of due diligence, the original bond financing documents were reviewed, as were the initial financial assumptions and program goals. The objectives were to verify all data and to insure the indentures and covenants were legal and being practiced. At this point the District engaged a law firm, with expertise in retiree health benefits programs, to provide advice to the Retirement Board of Authority (RBOA) as well as to review and update essential legal documents related to it and the OPEB program. (This OPEB Counsel was added to the OPEB Finance Team). This work was arduous, methodical, and necessary to accomplish the B2 tranche remarketing. These initiatives benefitted the District by providing clarity and transparency related to the transaction and its governing structures, i.e. the RBOA and Governing Board [DR1.7].

In August 2015, the District successfully converted \$38,450,000 of Convertible Auction Rate Securities (CARS) to variable rate bonds with a LOC from Barclays Bank [DR1.8]. This action saved the District approximately \$17 million in debt service payments over the life of the bonds, assuming a failed auction rate of 17% against a current assumed taxable variable rate of 4.5% [DR1.9]. The bonds carry Barclays' short term rating of A-1 (Moody's Investors Service) and A-2 (Standard & Poor's). The District elected not to terminate the swap associated with this tranche because the termination value of the swaps approximated

the expected cash flows for termination over time. The conversion and structure of subsequent tranches, the next one maturing in 2020, could mirror this approach.

B. Long Term Plan

Since August of 2015, the newly-appointed Vice Chancellor for Finance and Administration, the District's Financial Advisors, and District Counsel and OPEB Counsel have focused on OPEB program management, cash flow modeling, and funding options to reduce existing and future debt service over the long term. Moreover, in Fall 2015 the District received two legal opinions that impacted this OPEB planning:

1. Bond Counsel opined that the extant OPEB Trust, Fund 94, could not be converted into an irrevocable trust [DR1.10].
2. OPEB Counsel opined that the District's intent with respect to the extant OPEB Trust, Fund 94, was to service only those District retirees hired *prior to* July 1, 2004 retirees [DR1.11].

After receiving opinion #2, the District commissioned its actuary to recalculate the OPEB liability associated with each of the two groups: "pre-July1, 2004" and "post-July 1,2004" retirees. Subsequently, the revised liability as of November 2014 for *pre-2004* retirees was actuarially determined to be \$150,325,680, down from \$152,429,020. OPEB liability for *post-2004* retirees as of November 2014 was actuarially determined to be \$4,166,272. The District will commission its next actuary study in November 2016 as required by GASB 43/45 (the Governmental Accounting Standards Board) with respect to OPEB accounting treatment. This new actuarial study will refine further the liability associated with the District's OPEB program.

Predicated on the two recent legal opinions, the following objectives have been identified for a Long Term OPEB action plan:

1. Develop a ten-year cash flow analysis, across all District funds, with respect to servicing the OPEB bond debt and meeting obligations to the District's *pre-2004* retirees.
2. Create an Irrevocable Trust in order to mitigate the OPEB liability on the District's financial statements and to service the District's *post-2004* retirees.
3. Commit annually 5% of general fund revenues – specifically, the State Apportionment Computational Revenues-- to OPEB bond debt service and the establishment and maintenance of an Irrevocable Trust.
4. Strategically re-fund OPEB bonds and/or SWAPS as required by subsequent tranches.
5. Reduce the District's overall OPEB liability.
6. Update the District's Substantive Plan on an ongoing basis as per GASB 43/45.

This plan was shared with the District's Planning and Budget Council on April 29, 2016 [DR1.12] and endorsed by the Board of Trustees at its workshop on July 12, 2016 [DR1.13].

C. Cash Flow Planning

In Fall 2015 current and future OPEB cash flows were modeled, reviewed, and refined under the direction of the Vice Chancellor for Finance and Administration who provided more precise fiscal and programmatic assumptions [DR1.14]. As a result, a Cash Flow Model sought to facilitate a working cash flow of all OPEB-related revenues and expenditures, including interest rate assumptions and future expenditures. Working with the District's OPEB Finance Team, revenues and expenditures are updated quarterly, based on actual costs

and/or returns, and compared against estimates. The Model also enables the District to monitor and reduce program expenses when possible.

The Cash Flow Model's variables include:

- Precise revenue and expense projections through 2025, including swap offsets.
- Five percent (65 of the District's Computational Revenue received from the State annually dedicated to OPEB service.
- OPEB charge calibrated to meet required annual coverage.
- Interest rates and structure to determine refunding of future series.
- Integration of eligible trust funding for future debt service.
- Financial options to establish an irrevocable trust to service *post-2004* retirees.

The Cash Flow Model is predicated on the fact that any surplus funds in the OPEB Trust, i.e.- assets over and above the actuarial liability created by the *pre-2004* retirees, can be utilized to diminish debt service, i.e., principal, on the OPEB bonds. This use is provided for in the foundational documents of the OPEB bonds [DR1.15]. The Model also includes the continuation of the OPEB charge against payroll expenditures as well as the establishment of a new, irrevocable trust [DR1.16]. This Model gives the District the financial flexibility to develop realistic future scenarios and accurately monitor current cash flows as necessary for debt service management to progress. A summary of this Cash Flow Model was shared with the District's Planning and Budget Council on April 29, 2016 and endorsed by the Board of Trustees at its workshop on July 12, 2016.

While the aforementioned Model will provide guidance for the District in the nearer long-term, the District's longer-term goal is to implement a model that will allow the District to

quantify reasonable approaches to reducing the OPEB program's overall debt service.

Starting in Fall 2016, the District's OPEB Finance Team will commence with an analysis to evaluate possible restructuring options to achieve this goal. This is a complicated analysis, but one that will serve as an important roadmap for OPEB program planning through the next ten to twenty years. One objective of this new process would be to determine the efficiency of a purchase of some or all of the outstanding bonds from investors. If successful, this maneuver would reduce the District's overall debt service and reduce the length of the existing program.

Given the number of external variables, it is difficult to set a precise deadline for a completed analysis (and, of course, interest rates represent a significant factor). To initiate this process, in March 2016 the District issued a Request for Qualifications for investment banking firms with an emphasis on experience and knowledge of complex pension programs. Citi and RBC (Royal Bank of Canada) were identified as key partners in the District's undertaking of this important first step to move forward with the OPEB program and both have been added to the Team.

III. Conclusion

The District has developed a comprehensive long term plan to fund its OPEB liability and associated debt service. With conservative fiscal assumptions, it has modeled precise cash flow projections through 2025, and general projections through 2050, the final maturity date of the *pre*-2004 program. The *post*-2004 OPEB program, with significantly less liability, has also been addressed. As is evident, all District funds impacted by the OPEB program—Funds 1, 69, and 94—have the capacity to support the plan as developed including the establishment of a new irrevocable trust fund. In addition, the District continues to look

forward and has been actively assessing options to restructure the current OPEB program to reduce both long-term liability and annual costs, in full recognition of the importance and impact of the OPEB program management in years to come. The District's OPEB Finance Team will provide continual assessment of the OPEB program and report to the Planning and Budgeting Council and Board of Trustees periodically.

As evidence of its continued work in the area of bond and debt management, the District revised its Board Policy and Administrative Procedures with respect to Debt Management; these policies and procedures were reviewed with the District's Planning and Budgeting Council in May 2016 and approved by the Board of Trustees in at its July 2016 Board meeting. In addition, the Peralta Community College District received an AAA rating, the highest credit rating possible on general obligation bonds, in May 2016. The District was the first community college district in the state to receive this stellar credit rating. The District has followed the 2014 audit recommendations and developed an action plan to fund its Other Post-Employment Benefits (OPEB) liabilities, including associated debt service and is confident that we have met Standards (III.D.1.c, III.D.3.c) and will continue to do so.

RECOMMENDATION 1: DISTRICT RESPONSES	
Evidence	Title of Evidence Document
DR1.1	PCCD Financial Audit Report 2014 Excerpt
DR1.2	2014 RFP to Acquire OPEB Bond Program & General Obligation Bond Program
DR1.3	Definitions taken from Indenture of Trust
DR1.4	PCCD Board Presentation June 2, 2015 Bonds
DR1.5	Letter for RFQ 2015 OPEB
DR1.6	OPEB Refinancing Options Example
DR1.7	OPEB Trust Indenture Amendment
DR1.8	B-2 Tranche Official Statement
DR1.9	Maximum Rate ARS Savings at 4.5%
DR1.10	Memo regarding Irrevocability of OPEB Trust
DR1.11	Memo regarding Scope of OPEB Trust Coverage for Pre-2004 Retirees
DR1.12	PCCD PBC Agenda, Apr. 29, 2016
DR1.13	PCCD Board of Trustees Workshop, July 12, 2016
DR1.14	PCCD OPEB Cash Flow Plan
DR1.15	Use of Trust Funds pages 21 and 22
DR1.16	RFQ Investment Banking and Underwriting Services Feb 2016

Recommendation 2:

In order to meet the Standards, the team recommends that the District resolve comprehensively and in a timely manner the ongoing deficiencies identified in the 2013 and 2014 external audit findings (III.D.2.b, III.D.3.h).

I. Introduction:

Recommendation 2 addresses the need for the District to resolve ongoing audit findings/deficiencies identified in 1.) 2013, and, 2.) 2014.

II. Explanation of Audit Findings:

The District has resolved all ongoing deficiencies identified in the 2013 and 2014 external audit findings.

Audit findings represent conditions that external auditors have determined that involve specific deficiencies in internal controls. These deficiencies may result in material misstatements in the District's Financial Statements and/or in certain reporting gaps that may result in non-compliance with the requirements of the funding source, usually Federal or State.

Audit findings are classified in terms of severity, either as a Material Weakness (most severe) or a Significant Deficiency (least severe). According to the District's external auditing firm, *a material weakness in internal controls over compliance results in the reasonable possibility that material noncompliance with a type of compliance requirement of a Federal program will not be prevented, or detected and corrected, on a timely basis. A significant deficiency in internal controls over compliance is less severe than a material weakness yet important enough to merit attention by those charged with governance [DR2.1].*

III. Number, Type, and Classification of Peralta Community College District Audit Findings:

The table below illustrates an overview of the number, type, and classification of the Peralta Community College District audit findings reported over the past three years:

Type of Audit Finding	FY 2012-13 (2013)	FY 2013-14 (2014)	FY 2014-15 (2015)
Financial Accounting & Reporting	3	3	2
Single Audit Findings (Federal)	6	5	2
State Compliance Findings	5	2	0
General Obligation Bond Performance Findings	0	2	0
Total Audit Findings	14	12	4
Classification of Audit Finding			
Material Weakness	4	1	2
Significant Deficiency	10	9	2
Not Applicable (Bond Performance Findings)	0	2	0
Total Audit Findings	14	12	4

External auditors identified a total of fourteen findings in 2013 [DR2.2]; a total of twelve in 2014: the Annual Financial Audit (10 audit findings) and the Bond Audit findings (2). [DR2.3 and DR2.4]. Furthermore, there were four audit findings in the Annual Financial Audit 2015 [DR2.5]. District Recommendation 2 requires resolving *ongoing deficiencies*, referring to those deficiencies specifically noted as findings in 2013 and then again in 2014. Of the twelve 2014 findings noted, six were ongoing, having been noted in 2013 audits as well [DR2.6].

Each of the six ongoing deficiencies was classified by the external auditors as a “significant deficiency,” as opposed to the more severe “material weakness.” These six ongoing deficiencies have been resolved, evidenced primarily by the fact that they were

acknowledged as such by auditors in the District's 2015 Financial and Bond Audit Reports [DR2.7].

Furthermore, in the "Schedule of Findings and Questioned Costs" section of the District's 2015 Financial and Bond Audit Reports there is a subsection entitled "Summary Schedule of Prior Audit Findings for the Year Ended June 30, 2015." As is standard practice, the auditors note the District's success at having implemented corrective actions to mitigate the deficiencies noted in the prior year audits, in this case in 2014.

In ten of the twelve prior audit findings, i.e., those reported in 2014, the auditors assessed the "Current Status" of each as "Implemented" [DR2.8, DR2.9]. Here the auditors validated evidence that the District had implemented corrective actions which resolved these particular deficiencies. Consequently, there were no reported findings for those (corrected) deficiencies in the current year audit.

In two of the twelve prior audit findings, the auditors noted "Current Status" as "Partially Implemented [DR2.10]" The first of these two findings pertains to long-term fiscal planning/OPEB and is addressed at length in the Response to District Recommendation 1, which delineates how the Other Post-Employment Benefits (OPEB) finding has been resolved. (See also Rec. 1).

In the second finding, the District implemented corrective actions necessary to resolve the deficiency halfway through the fiscal year. So while sample testing in the first half of the year resulted in examples of non-compliance, samples in the latter half demonstrated compliance. The auditors state this fact clearly: "While it was noted that the District did implement a new process during the Spring (2015) semester, thereby addressing the issue,

several instances of noncompliance were noted during the Fall (2014) semester. The District should continue to monitor the procedures surrounding the COD reporting at all Colleges *to ensure continued compliance* (italics added) [DR2.11].”

To summarize, all twelve 2014 findings have been resolved, to include the six ongoing deficiencies from 2013 and 2014.

IV. Summary of the Resolution of Ongoing Deficiencies:

The District tracks its progress in resolving audit findings on its Corrective Action Matrix [DR2.12]. This living, dynamic document is adapted regularly to reflect progress in correcting gaps in District business processes, reporting processes, etc. that may result in inadequate internal controls. In addition to monitoring progress, the Corrective Action Matrix also enhances accountability and responsibility by assigning the implementation of corrective actions to specific District managers. Below is a summary of the six ongoing deficiencies taken from the Corrective Action Matrix:

2014-002: Reporting- Common Origination and Disbursement (COD)

Condition (1): Disbursements were not being reported within the 30-day requirement.

Resolution: A cross-functional team consisting of Finance, Financial Aid, and IT developed a file transfer submittal process to ensure compliance with Federal requirements. Instructions and training have been disseminated to the Colleges and the District's Financial Aid Policy & Procedures Manual has been updated to reflect this new process [DR2.13]. Additionally, Merritt College's data were resubmitted [DR2.14 and DR2.15].

Status: Resolved.

2014-003: Special Tests and Provisions – Return to Title IV

Condition (2): Identification/ calculations of Pell Grant returns were not being completed.

Resolution: Corrective actions have been implemented at the Colleges to ensure R2T4 calculations are performed and that funds are returned as applicable in a timely manner. The District’s Financial Aid Policies and Procedures Manual has been updated to reflect these revised procedures [DR2.16] and training was provided to all Colleges [DR2.17]. The District’s Financial Aid team meets monthly with the Colleges to offer continued support and ensure compliance [DR2.18].

Further, key vacancies in the Financial Aid departments at the two Colleges cited have been filled as of November 2015 [DR2.19].

Status: Resolved

2014-004: Special Tests and Provisions – Direct Loan Reconciliations

Condition (3): Loan records, data files and College records were not reconciled monthly.

Resolution: The District has implemented policies and procedures to verify that the School Account Statement (SAS) data file and the Loan Detail records included in the DOE’s Common Origination and Disbursement (COD) system are reconciled with the District’s financial records regularly. The District has provided training for College Financial Aid Office personnel and management to more efficiently perform the COD reconciliation process [DR2.20, DR2.21, and DR2.22].

Status: Resolved

2014-006: Equipment Management

Condition (4): Lack of tagging and protecting of assets purchased with Federal funds.

Resolution: Administrative procedures have been developed by the Purchasing Department, reviewed by the Internal Auditor, endorsed by the Planning and Budgeting Council and approved by the Chancellor to ensure appropriate controls over the safeguarding of assets and the recording of equipment inventory. Training was provided to the storekeepers and Business Directors at each college [DR2.23, DR2.24, and DR2.25]. In addition, the Purchasing Department has implemented quarterly audits at the Colleges and District Office to ensure compliance [DR2.26].

Status: Resolved

2014-007: Time and Effort Reporting

Condition (5): Time Certifications for employees working within Federal programs were not completed and/or submitted in a timely manner.

Resolution: The District Grants Coordinator has established a Compliance Assurance Program (CAP) that includes site training in time and effort reporting as well as regular communications to responsible college management. The District Grants Manual has been updated and distributed. A new Grants Administration Team (GAT), consisting of representation from the Colleges, Ed Services, Finance, and Student Services, has been formed and meets monthly to monitor grant compliance. Members visit the Colleges

periodically to check on status of time and effort certifications and provide additional training as needed [DR2.27, DR2.28, DR2.29, DR2.30, DR2.31, DR2.32].

Status: Resolved

2014-009: Residency Determination for Credit Courses

Condition (6): Lack of thorough residency verification process performed at Colleges.

Resolution: Implementation of the following procedures: a query identifying students whose residency changed from their applications was created to generate a list that is provided to each College so each can conduct self-audits. Colleges verify the residency change and ensure that proper documentation was collected and that comments were entered into the system. The District requires that each College submit documentation of any changes to the District for record keeping. The District’s Admissions & Records Team held compliance-training sessions for each of the Colleges and continues to provide ongoing support [DR2.33, DR2.34].

Status: Resolved

V. Audit Resolution Work Team:

In December 2014, the District convened an emergency meeting of Finance, Ed Services, IT, and Student Services personnel to address audit findings related to Financial Aid reporting and other deficiencies [DR2.35]. This group met and then reconvened as the Audit Resolution Work Team the following month (January 2015) when it began its cross functional collaboration of reviewing business processes, identifying root causes of process shortcomings, and developing sustainable solutions to these from a ‘ground level’

perspective [DR2.36]. This group met as needed, throughout the year, and continues to meet, in order to address fiscal and reporting challenges identified by or submitted to the team [DR2.37 and DR2.38].

At the October 20, 2015, Board of Trustees meeting the newly-appointed Vice Chancellor for Finance and Administration presented a user-friendly version of the Corrective Action Matrix to report on the work of the Work Team and, more generally, on the District's progress in resolving its 2014 audit findings [DR2.39 and DR2.40]. The presentation included a Corrective Action Plan Summary, as well as progress slides on the twelve audit findings, that is, the six ongoing deficiencies and the six non-recurrent findings.

Each slide detailed the Corrective Action required; the Status to date of developing and implementing the action; the Evidence for such action; and the Responsible/point person for the continued monitoring of the action. Below is an example of one slide representing audit finding Number 002.

PERALTA COMMUNITY COLLEGE DISTRICT
 CORRECTIVE ACTION PLAN 2014-15
 2014-002 Common Origination & Disbursement

Corrective Action	<ul style="list-style-type: none"> • Implement procedures to ensure student data is reported on a timely basis to the U.S. Department of Education's Common Origination & Disbursement (COD) website within the required 30 days. (Repeat finding for Merritt College) • Accreditation District Recommendation #2 (Standard III.D.2.b, III.D.3.h)
Responsibility/Point	<ul style="list-style-type: none"> • Responsible: College President; Associate Vice Chancellor of Student Services; Associate Vice Chancellor of Information Technology • Point: Financial Aid Director
Status	<ul style="list-style-type: none"> • Under the supervision and guidance of the District Financial Aid Director, reports are now transmitted to the Federal Department of Education on a timely basis • To ensure compliance with Federal reporting deadlines, a file transfer submission process & instructions have been developed & disseminated to the Colleges • The District's Policy & Procedures Manual for Financial Aid has been updated
Evidence of Correction	<ul style="list-style-type: none"> • 2014 Peralta Community College District Financial Aid Policies and Procedures Manual • Merritt College Transmission Activity Log

In November 2015, the Audit Resolution Work Team presented a Status Summary Report to District Management recounting their collaborative accomplishments over the past calendar year [DR2.41]. In the conclusion to the Report, the group recommended ongoing staff, faculty, and management training – with associated documentation—to ensure continued compliance. Additionally, the District’s Internal Auditor has been working closely with other District management to schedule regular, relevant trainings [DR2.42].

VI. Continual Improvement:

A significant cause of the historical internal control deficiencies at the District has been turnover in leadership in the District’s Office of Finance and Administration. Over the past five years, for example, the District has employed three Vice Chancellors for Finance and

Administration. Lack of consistent and permanent leadership in this area has challenged the District's ability to effectively develop and implement sustainable business process improvements.

In addition, the Office of Finance and Administration has lacked appropriate staffing to ensure a concerted and consistent focus on internal controls and operational business processes. Under the leadership of the current Vice Chancellor for Finance and Administration, who was hired in August 2015, the Office of Finance and Administration has reworked its organizational structure to include two new, critical positions: a senior accountant and a payroll manager [DR2.43]. Both of these positions will provide additional support and guidance to the Colleges as well as to provide for enhanced internal controls monitoring and continued improvement.

The District's commitment to strengthening its internal controls and enhancing its business processes is evidenced by the marked decrease of audit findings over the past three years. Given the work of the Audit Resolution Work Team and other collaborative District efforts, the District has reduced completely its number of findings: the four findings noted in 2015 (See also DR2.2; DR2.3; DR2.4) the fourteen findings noted in 2013, and the twelve findings noted in 2014.

The District is confident that the number of subsequent recurrent audit findings will continue to be minimal, if not non-existent. As the Audit Resolution Work Team and other cross-functional groups—such as the Grants Administration Team—continue their collaborative efforts, District operations and compliance mechanisms are only strengthened. The re-

organization of the Finance Division, and ongoing leadership stability, will provide the requisite resources to support this crucial work of audit reform.

VII. Conclusion:

The District has resolved all ongoing deficiencies identified in the 2013 and 2014 external audit findings and meets the Standards **(III.D.2.b, III.D.3.h)**.

Now that the ongoing deficiencies have been resolved, and the non-recurrent audit functions that are considered key to its operational efficiency, fiscal integrity, and educational services delivery capacity have been addressed, the District is focusing its attention on other business processes identified as needing improvement, e.g., debt issuance/management and purchasing/contracting processes, thereby ensuring a model for ongoing improvement as PCCD strives to exceed ACCJC Standards. The PBC shared governance body provides an ongoing forum for discussion and evaluation. [DR2.44].

RECOMMENDATION 2: DISTRICT RESPONSES	
Evidence	Title of Evidence Document
DR2.1	PCCD Annual Financial Report June 30, 2015 (excerpt): Auditor's Definition of Types of Control Deficiencies, page 85.
DR2.2	PCCD Annual Financial Report June 30, 2013 (excerpt), pages 70-100 total 14 findings
DR2.3	PCCD Annual Financial Report June 30 2014 (excerpt) pages 95-111, 10 findings
DR2.4	PCCD Measure A General Obligation Bonds Election 2006 Audit Report June 30, 2014 findings
DR2.5	PCCD Annual Financial Report June 30, 2015 (excerpt) Pages 94-99 (4) findings
DR2.6	PCCD Annual Financial Report June 30, 2014 (excerpt) Pages 100-106, (6) ongoing findings
DR2.7	PCCD Annual Financial Report June 30, 2015 (excerpt) Pages 103-111, (6) ongoing findings resolved
DR2.8	PCCD District Annual Financial Report June 30, 2015 (excerpt) Pages 103-111, (8) ongoing findings resolved (Evidence 8 & 9: 10 total findings)
DR2.9	PCCD Measure A General Obligation Bonds Election 2006 Audit Report June 30, 2015 Status FY2014 Findings 2 Findings resolved. Page 6-7
DR2.10	PCCD Annual Financial Report June 30, 2015 (excerpt) Pages 101-103, (2) findings partially resolved
DR2.11	PCCD District Annual Financial Report June 30, 2015 (excerpt) Page 103, COD finding partially resolved
DR2.12	PCCD Corrective Action Matrix 2014-15 Audit Updated July 27, 2016
DR2.13	PCCD Financial Aid Policy and Procedures Manual, Pages 1-73
DR2.14	Merritt Transmission Activity Log- Part 1
DR2.15	Merritt Transmission Activity Log - Part 2
DR2.16	PCCD District Financial Aid Policy and Procedures Manual, Pages 1-73
DR2.17	PCCD District Financial Aid Training Schedule
DR2.18	PCCD Financial Aid Supervisors Meeting Minutes
DR2.19	PCCD Financial Aid Supervisor Job Description
DR2.20	PCCD Direct Loan Reconciliation Procedures
DR2.21	Laney Direct Loan Reconciliation
DR2.22	Merritt Direct Loan Reconciliation
DR2.23	District Fixed Asset Training Presentation Material
DR2.24	College Federal Asset Tag Training Session Notice
DR2.25	Revised AP 6551 Inventory of Property and Equipment Maintenance
DR2.26	Example of Email Notification of Equipment Inventory Audit
DR2.27	Compliance Assurance Program (CAP) for Grant Management
DR2.28	PCCD Revised Draft Grant Manual
DR2.29	Grants Administration Team Organization Chart and Charter
DR2.30	Revised Time and Effort Certification Form
DR2.31	Grants Training Schedule for Colleges
DR2.32	Sample Notification to College of Time and Effort Certification Follow-up Monitoring and Training

RECOMMENDATION 2: DISTRICT RESPONSES

Evidence	Title of Evidence Document
DR2.33	A&R Training Meeting Agenda July 10, 2014
DR2.34	A&R Training Meeting Agenda July 7, 2015
DR2.35	PCCD Emergency Financial Aid Meeting Minutes Dec.19, 2014
DR2.36	Audit Resolution Meeting Minutes Jan. 23, 2015
DR2.37	Audit Resolution Meeting Minutes Apr.12, 2016
DR2.38	Links to Audit Resolution Workgroup Meeting Minutes
DR2.39	Board Document Audit Resolution Progress Oct. 20, 2015
DR2.40	Corrective Action Plan 2014-15 Board Presentation October 20, 2015
DR2.41	Audit Resolution Work Group Status Report to Management November 29 2015
DR2.42	Grants Training Schedule for College Grant Administration
DR2.43	Finance Department Organizational Chart July 2016
DR2.44	PBC Meeting Minutes April 29, 2016

Recommendation 3

In order to meet the Standard, the team recommends that District General Services (DGS) work with college personnel to implement a plan to address total cost of ownership for new facilities and equipment, including undertaking critical deferred maintenance and preventive maintenance needs at the Colleges in order to assure safe and sufficient physical resources for students, faculty and staff (III.B.1, III.B.1.a, III.B.2.a).

I. Introduction:

Recommendation 3 addresses the need for District General Services (DGS) to work with College personnel to implement a Total Cost of Ownership (TCO) Plan for new facilities and equipment, to include critical deferred maintenance needs and preventive maintenance needs to assure safe and sufficient physical resources for students, faculty, and staff.

II. PCCD's Action Plan for TCO:

In response to Recommendation 3, an Action Plan to address Peralta's Total Cost of Ownership (TCO) was created by the Department of General Services (DGS) and the District wide Facilities Committee (DFC) and presented at PCCD's Planning and Budgeting Implementation Model (PBIM) August Summit meeting 2015 [DR3.1]. At that time, the Plan included the following elements:

1. A list of New and Modernization Facilities Projects, to include funding resources.
2. An action plan for addressing Equipment Needs (and Technology acquisition) and Critical Deferred Maintenance Needs.
3. An action plan for addressing Preventive Maintenance Needs: The Peralta Community College District is responsible for ninety-eight (98) buildings throughout the District, including the District Administrative Center (DAC) with a total area of 1, 596, 887 gross square footage.

In early October 2015, the TCO District Team Committee was formed to examine the TCO needs of all four Colleges and to continue to revise existing TCO Guidelines. The Committee membership includes: a Recorder, the Facilities Planning & Development Manager, the Chief Stationary Engineer for Maintenance and Operation (M&O), the Facilities Project Coordinators, the Director for Facility Maintenance and Operations, and the Vice Chancellor for General Services.

This Committee began its work by meeting with each College to address the TCO elements that are College specific and the resources needed to achieve College objectives. A list of Capital Projects and scheduled and deferred Maintenance Projects was then generated.

[DR3.2]. The initial meetings with each College were as follows:

1. Oct. 9, 2015 - Meeting with Merritt College stakeholders [DR3.3]
2. Nov. 4, 2015 – Meeting with Laney College stakeholders [DR3.4]
3. Nov. 24, 2015- Meeting with College of Alameda stakeholders [DR3.5]
4. Nov. 23, 2015 – Meeting with Berkeley City College stakeholders [DR3.6]

Furthermore, a Town Hall meeting was held at BCC to encourage additional dialogue pertaining to new facilities for Total Cost of Ownership planning [DR3.7]

In November 2015, the Department of General Services presented a revised Total Cost of Ownership (TCO) document to Peralta’s Planning and Budgeting Council so as to establish and document institutionally agreed upon, systematic procedures for evaluating facilities and maintenance needs at all four Colleges. In this document, the term “total cost of ownership” was explained as a financial projection to help identify direct and indirect costs of facility and equipment needs, to include the total economic value of the physical property

investment, scheduled and deferred maintenance needs of the Colleges, custodial maintenance, and costs of technology acquisition and replacement. [DR3.8].

III. Meeting Outcomes with the Four Colleges Regarding the Implementation of TCO:

A. Berkeley City College (BCC):

BCC opened the doors of its new campus in September 2006. While issues of preventive maintenance are always relevant, no major repairs were then necessary.

1. New Acquisition: On May 7, 2015, the District and the College procured new property for BCC (located on 2118 Milvia Street, Berkeley, CA) so as to provide more areas for student services, to deploy technology laboratories and “smart classrooms,” and to decongest the single building College. The TCO operational expenditures for the new BCC site were outlined in a TCO Plan presented to the Board of Trustees on April 28, 2015. [DR3.9]
2. Indirect Costs: The College has expressed a need for additional indirect costs to be budgeted annually to meet its basic obligations. For example, because BCC is located in an urban site, parking for staff and faculty has to be rented, as compared to sister Colleges with their own parking spaces. Additionally, the College has to pay for Security Guard services on an annual basis, whereas the District pays for security by hiring and contracting with the Alameda County Sheriff’s Office. Currently, BCC is now being funded directly for Parking and Security Guard services; the funding for parking is derived from the District Fund 59 and Security Guard services from the District General funds.

3. Other Resources as identified by the College are listed below and to date, have been funded by the District:

- Sheriff to patrol the College as a demonstration of security visibility.
- New Technology
- Instructional Equipment
- Library Supplies
- Classrooms Supplies
- Lab Equipment

B. Merritt College:

In early October 2015 DGS met with Merritt College stakeholders to discuss TCO as it impacts the teaching and learning environment at the College. Most of Merritt College's buildings and infrastructures were built in the early 1970's when the College moved from its historical site on Martin Luther King Blvd. to its present location in the Oakland Hills.

The need to update Educational and Facility Master Plans was a major discussion item as was the need for DGS to revise its Integrated Educational Facilities and Technology Master Plan (DGS is currently reviewing bids for this undertaking). Other topics included:

1. Preventive Maintenance: About 50% of the College work orders were for preventive maintenance such as fire drill testing, according to District Wide Work order requests [DR3.10]. Other work orders were for adequate and proper lighting, hot water leaks, and uneven pavement hazards and plumbing. To date, all hot water leaks have been repaired.

2. Weed Abatement: Weed abatement is also a major requirement, not just for campus aesthetics, but is required by the City of Oakland Fire Department. There are three Grounds workers/gardeners assigned to the campus year round, but the District contracts out to vendors to assist with major weed abatement every summer. All weed abatement was completed in August 2015 and again in August 2016.
3. Maintenance Software: Merritt stakeholders argued that the District should be more responsive to deferred maintenance conditions. The District explained that it was acquiring maintenance software which is “user friendly” and will enable the College work order originators to know the ongoing status of their requests (the software called “Maintenance Connection” was implemented in May 2016 and will be evaluated in December of 2016). [DR3.11].
4. Keys and Electronic Key cards: The College leadership stated that the demand for keys is a major issue, e.g., some keys are not returned, not issued in a timely manner, and custodians note that they have to spend about 25% of their time opening doors. The crux of the issue here is the District and College’s ineffective key/card management process. Plans to develop a new Key/Card procedure District wide are ongoing and this issue should be resolved in Fall 2016. [DR3.12]
5. Equity: Merritt College asked for more equity in the distribution of maintenance resources to the Colleges, the main issue being the claim of the inequitable distribution of custodians. The equity concern was discussed at the DFC with a recommendation to the PBC for consideration of their equity request [DR3.13]. Currently, advertising is underway to hire two additional custodians which will diminish Merritt’s concern for equity.

6. Safety Issues: The DFC unanimously agreed that issues of human safety should take priority over all College project requests [DR3.14]. For example, the College raised the issue of security cameras that were not operable. In response, the DGS staff indicated that a vendor had been hired to fix and maintain all cameras District wide. The District hired a vendor and all cameras are now operational. [DR3.15].
7. Re-lamping: The issue of re-lamping the College sidewalks and other dark areas was raised at the March 2016 DGS Task Force meeting [DR3.16:]. In response, the District has implemented the following:
 - By March 2016, Parking lot C lighting was restored as this parking lot has been dependent on solar, and solar lighting accounts for only 42% of the total lighting usage.
 - Portable lighters were rented to serve areas that were not well lighted.
 - The lighting manufacturing company that installed most of the existing sidewalk lighting was contracted to replace the units that have burned out or give poor illumination. This project was completed in August 2016.
8. Staffing Needs: An assessment of personnel determined that Maintenance Stationary Engineers with licenses to maintain HVAC and mechanical, electrical, and plumbing (MEP) were needed. These new staff will not only serve Merritt College, but their sister Colleges as well. Because the College opened a new Science building in September 2015, the Barbara Lee Science and Allied Health Center, with a total square footage of approximately 104,000. This building received a LEED Gold award [DR3.17]. An additional Stationary Engineer was hired and advertising is

- underway for hiring an additional Custodian. Also, existing Stationary Engineers from all of the Colleges were cross-trained for electrical, HVAC work, and preventive maintenance work for the Barbara Lee building by the end of August 2016.
9. Training of existing staff: Extended training of existing staff is vital to the success of any maintenance program as modern building technology requirements are constantly changing. The Director of Facilities & Operations has been given the charge to ensure that existing maintenance personnel get additional training from their Local 39 Union. Subsequent meetings to plan and implement training are on-going and are reflected in the DGS Program Review [DR3.18].
 10. New facility: The College plans to build a new Child Development Center that will house the current Child Development Program on the southeast end of the campus. The TCO Guidelines are being considered as the College moves forward on this project. The Center will be paid for with District Capital Bond Outlays and leveraged with the State of California Chancellor's Office funds (contingent upon the passage of state-wide Capital Outlay Bond initiatives scheduled for the November 2016 election). The total cost of the Project is approximately \$18 million dollars [DR3.19]

C. College of Alameda (COA)

1. Repairing or Replacing the Infrastructure: College of Alameda opened in 1970. After 46 years, the infrastructure needs repairs and/or replacement, while existing buildings need modernization.
2. Maintenance Personnel: Discussions centered on hiring. Initially, DGS hired an hourly Assistant Chief Stationary Engineer. In January 2016, a regular employee

assumed this position. An Assistant Grounds Supervisor has been hired and an additional grounds worker has been hired.

The Alameda College leadership is committed to creating an inviting and welcoming campus for everyone. Areas of improvements addressed in COA's Action Plans include:

- Elevators (replacement to meet ADA requirement)—An elevator design company has been contracted to do the work.
- Light fixtures (LED lighting for the Library)—A Contract has been established to replace all lighting.
- Additional space—The College cancelled this request.
- Building a new Theater—This project is included in the ongoing Facilities Master Planning.
- Bookstore renovation—This project has been completed.
- Health Services (renovation of space)—A Contractor has been hired and is now working on the design of this project.
- New Fence for Auto and Diesel Building—Project is ongoing.
- Chemistry Hoods project to offer additional classes on the main campus—This project was completed in March 2016.
- Completion of the Veteran Center—The project was completed in November 2015.
- Landscape contracting—In August 2015, phase one was completed and the remainder of the project was completed in August 2016.

- External painting of all the Buildings along Webster Street and Appezzato Memorial Parkway—Contractor was hired for this project.
 - Internal painting of selected doors—Project completed in 2015.
 - Mechanical HVAC project for the Library—The design is ongoing.
 - Ergonomic furniture for DSP—All furniture has acquired.
3. New construction: The District and the College are planning a New Building C that will house general classrooms and Administration. In keeping with this Educational Master Plan requirement, the Administration sold a portion of the Measure A Capital Outlay Bond (\$50,000,000 dollars) in summer 2016 to construct this building. A Steering Committee of the District and the College was formed to continue planning for this project. [DR3.20]

D. Laney College:

Laney College, adjacent to the Peralta District Offices, is the largest of the four Colleges that comprise the Peralta Community College District. About 43% of all Peralta students attend school at Laney College. This urban academic institution is situated in 60 acres of land.

A plan for the on-going collaboration of the District and College leaders was established as part of efforts to improve institutional effectiveness. The areas of discussions included:

- Capital Projects
- Scheduled Maintenance
- Differed Maintenance
- Life Safety related projects
- Outstanding work orders and plans to implement these requests

1. Personnel Needs: The DGS recruited two maintenance staff that will assist the College to deal with MEP related repairs. The Assistant Chief Engineer has been hired and the Director of Facilities & Operations position is anticipated to be filled by November 2016. Laney has also hired two additional Stationary Engineers and one Grounds worker/Gardener.
2. Work Orders and Maintenance Software: As mentioned in the Merritt discussion, the Laney stakeholders were concerned also with the District's ability to stay abreast of work orders. The new "Maintenance Connections" software is sophisticated in terms of functionality and will store data in the cloud while providing stakeholders the status of their work orders via email. This new software system should improve the execution of deferred maintenance project lists. DGS, Stationary Engineers, and Grounds maintenance personnel (including custodians) have reduced outstanding work orders from 1,200 in August 2015 to 105 in August 2016.
3. Action Plans to Implement Work Orders: The DGS is conducting a formal bid to contract with outside vendors in the areas of MEP. These vendors will undertake the implementation of those work order requests that cannot be accomplished by the College Stationary Engineers due to their complexity and sheer volume. All work contracted for Laney (outside vendors) was completed by summer 2016. Future contracting with outside vendors will assist all four Colleges.

Laney College has articulated its concept of a TCO, which consists of:

- Alignment with the College Mission and Budget Planning Principles
- Importance of TCO

- Objectives of TCO as it relates to the facility
- Cost of utilities
- Establishment of ownership guidance
- Building Modernization and Maintenance
- Guiding Principles for TCO in Strategic Planning

[DR3.21]

4. New Projects and Modernization:

- A. Elevator Replacements: Vendors have been contracted for a total of 1, 200, 000 to replace the elevators at the Tower and Building E.
- B. Women’s & Men’s Locker Room Modernization: There is an urgent need to relocate the students’ locker rooms in the main campus as the distance between the LC Athletic Field House and the women’s and men’s locker rooms does not meet Title IX requirements. An architect was hired to design the project.
- C. BEST Center (also known as the Zero New Energy building): The Building Environmental Sustainability for Tomorrow (BEST) Center will allow additional student training, especially in the Career Technical Education (CTE) for Solar and Environmental Control Technology. The District broke ground in February 2016 for a Zero New Energy building for community education, the local economy, and environmental sustainability Construction is ongoing and anticipated to be completed by summer 2017 [DR3.22].

- D. Swimming Pool Heating and Chlorination: Chlorination machines and commercial heaters will replace the existing units that often breakdown and impact swim lessons, as these units were not commercial by design. The final project design has been completed.
- E. Student Center: New construction is being planned to replace the existing Student Center. Swing space has been designed.
- F. Laney Parking Lot Overflow: This project will add additional parking to accommodate College parking needs. This parking lot will be situated across the Highway 880 overpass. Striping has been done and the parking lot was used by students at the beginning of fall 2016 semester.
- G. Laney Library Learning Resource Center: This will be the biggest new construction project in the District and is expected to cost over \$70 million. This proposed four-story building will provide study access to over 16,000 students that attend the College.

IV. Implementing TCO Guidelines: Addressing Deferred Maintenance, Capital Projects, and Safety Needs Across the Colleges (Summary)

1. College Facilities' Committees Scheduled and Deferred Maintenance Needs:
Each College's Facilities Committee works with the President, Departmental chairperson, Business Director and the College Assistant Chief Engineers to develop a list of Scheduled and/or Deferred Maintenance needs. Furthermore, work orders are sent to the DGS on a daily basis and the DGS publishes this list of the Colleges' deferred maintenance needs. All annual scheduled and Deferred Maintenance items

(which may require outside contractors) are sent to the District wide Facility Committee (DFC) for evaluation and planning. The Vice Chancellor for DGS and a faculty usually co-chair this Committee which prioritizes project proposals and ranks them using the California Community College Chancellor's Office's (CCCCO) three broad criteria as follows:

- To protect the safety of students and campus staff,
- To prevent the disruption to instructional programs,
- To avoid increased repair or replacement costs in the future.

Specific deferred maintenance projects include (in order of priority):

- Roofs
- Utilities
- Mechanical
- Exterior
- Other projects

Capital projects include (in order of priority);

- Classrooms and Labs
- Library/LRC
- Faculty and Administrative Offices
- Cafeterias
- Theater and Physical Education
- Roadways and Walkways

- Warehouse and Maintenance facilities

[DR3.24]

The DFC Committee then finalizes the ranking of these Scheduled and Deferred maintenance categories (above) and forwards them to the PBC by April of every fiscal year.

2. Deferred Maintenance and Scheduled Maintenance Projects' funding:

During the 2014-2015 and 2015-2016 fiscal years, the District made approximately \$3,800,000 available for various deferred maintenance projects. In 2016-2017 funding was also made available for deferred maintenance in the amount of \$1,256,881.00 District wide. Additionally, the State Chancellor's Office, through a one-time Physical Plant and Instructional Support Block Grant, allocated funding to contribute to the District's College-identified scheduled maintenance items.

This year, the PBC recommended that the Chancellor fund projects utilizing the State allocation of \$1.9 million with a caveat of giving priority to life safety projects. Those projects that are in excess of this amount are deferred to the following fiscal year.

Presently, there is an estimated deferred maintenance need of over \$8 million dollars District wide. The cumulative average number of work order requests and preventive maintenance requests has been up to 1,000 in any given week. This dire backlog occurred during the State of California budget crisis (2009) and the District utilized most of its funding for classroom instruction. In 2009, all PCCD stationary engineers' positions were vacant due to resignations and retirements and were not filled. The

State of California Scheduled Maintenance allocations to the Colleges were also suspended between 2009 through 2013 due to the State of California Budget shortfall.

3. Progress in Addressing Deferred Maintenance Needs:

To date, the District has made significant progress in addressing deferred maintenance projects across the Colleges: for example, there were 1,270 work orders in August 2015 and by the end of August 2016, there remained 105 outstanding work orders— only approximately 8% of deferred maintenance projects had not yet been addressed [DR3.25].

Additionally, there are plans to hire a one-time outside Stationary Engineering service for HVAC and MEP that will address applicable back-logged work orders. The understanding is that the remaining requests will be managed by the existing Stationary Engineering staff.

4. Addressing Safety Needs and Providing Safety Training

In addition to attending to ongoing safety needs already discussed such as lighting and broken windows, Peralta has distributed 250 digital radios District wide. These 2 way radios bridge communication between law enforcement officers and all PCCD constituents and ensure safety at the Colleges and the District. In July 2016, a 40-hour District wide safety training was conducted at Merritt College. Topics included: parking lot security, reporting incidents, emergency preparedness, etc. At the end of the training, participants were awarded a certificate to enable them to work as Safety Aids [DR3.26].

5. Capital Project Programs and Instructional Equipment

The District sold \$50 million in Measure A bond monies in July 2016 in order to begin the design and building of the College of Alameda building C (general purpose Humanities building). The money will also enable the Laney Library and Learning Resource Center project to be implemented. Planning is underway to build a new Student Center at Laney College. Additionally, all the Colleges received \$100,000 each in 2014-2015; \$160,000 each in 2015-2016. \$1,885,321 dollars (total) will be allocated to the Colleges during the 2016-2017 fiscal year for Instructional Equipment.

A. Berkeley City College

Modernization of New Facilities

Stakeholders have voted to recommend the demolishing of the 2118 Milvia building and expressed their desire to build a new College facility to house new programs, Student Services and faculty housing.

Technology Acquisition

The Information Technology Department has upgraded Voice Over IP (VOIP).

Critical Deferred Maintenance

The District has contracted with Netronix to fix and maintain gateway access controls for classroom locks in rooms 224, 218, and 227 at BCC.

B. Laney College

Elevators

A contract has been secured for a vendor to replace elevators in Laney's nine story Tower building as well as Building E that houses the Laney Culinary Academy.

Theatre Flooring and Rigging

This project has been completed.

Welding Lab

This contract has been awarded and 98% of the construction was completed by the beginning of fall 2016.

Broken Windows and Glass Doors

A contract has been secured to replace broken windows and doors resulting from vandalism campus wide.

L.E.D. Lighting

L.E.D. lighting has been utilized to replace exterior lighting in the quad and other outdoor areas at Laney. This project will be completed by November 2016.

Cafeteria Modernization/ Construction

Construction is ongoing.

B.E.S.T Center (or Zero New Energy Building)

This project is under construction.

Upgrading Restrooms

Laney College restrooms have been painted; graffiti resistant mirrors, as well as paper (toilet and towel) dispensers, were replaced.

HVAC air intake filters are being replaced at Laney and District wide.

C. Merritt College

The following projects were completed by August 2016:

- The replacement of sidewalk lighting
- Parking lot striping and curbside painting
- Deep cleaning in the quad area and terrain, Chemistry and Biology Labs

D. Alameda College

The following projects were completed by August 2016:

- The Building D Elevator
- Pruning of trees and removal of dead, diseased trees
- Deep cleaning and window washing
- Plumbing, deep cleaning and electrical work completed at College of Aviation.

V. PCCD's Revised Total Cost of Ownership (TCO) Guidelines:

A. The Inclusion of IT Considerations into the TCO Guidelines:

In May 2016, DGS called together a “brainstorm” meeting of IT leadership, the Vice Chancellor of General Services, the Project Manager of Maintenance and Operations, the Director of Energy and Environmental Sustainability, the Executive Assistant of General Services, and the Facilities Project Coordinator to examine current revisions to the TCO Guidelines and to ensure that additional revisions needed would be embraced to inform

ongoing work during the summer of 2016. At the meeting, the participants brainstormed ways to refine TCO Guidelines to best suit PCCD. Specific steps were outlined to expand participation to guide continued revisions to the document [DR3.27].

Because major changes in leadership to IT occurred in 2015-1016, the renewed interest in the urgency of including an IT Plan as an integral element of PCCD’s TCO Guidelines became possible and a separate IT section was added wherein a more detailed action plan for TCO could be addressed. In the TCO Guidelines, IT leadership determined that the cost of acquiring technology and equipment was key to the network infrastructure across the Colleges and must be expended to attract and retain student, faculty, and staff.

Currently, the Colleges have both (FF/E) and IT funding allocations from the Measure A & E Bond Measures. The Colleges have been procuring computers, printers and other network infrastructure needs utilizing these allocated funds [DR3.28].

Instructional Equipment/ Instructional Technology Broken down by College

College of Alameda	\$345,202.00	As per BAM %
Berkeley City College	\$420,992.00	As per BAM %
Laney College	\$738,669.00	As per BAM %
Merritt College	\$380,458.00	As per BAM %
TOTAL	\$ 1,885,321.00	

Each College now develops a list of priority technology requests that is vetted through the College shared-governance process and submitted to the District Technology Committee (DTC) and PBC Planning Budget Council (See also Recommendation 4 for an explanation of PCCD’s shared governance). During the 2015/16 fiscal period, the District IT unit was

allocated \$1.8 million which is equivalent to 1.5% of the District's total adopted budget [DR3.29].

It should be noted that while some Colleges (Laney, COA and Merritt) have adequate Bond funding for equipment procurement from Bond Measure A, Berkeley City College has depleted its Information Technology (IT) allocations and thus needs to have budgeted annual IT allocations. Plans to update the 2008/2009 Road Map that utilized Bond Measure A and E monies will be undertaken once the Education Master Plans District wide are completed [DR3.30]. It is anticipated that the updated Road Map will be completed in the 2016-2017 academic year and the IT Plan will include, but not be limited to:

- A. IT Security and Assessment.
- B. Continued work with consultants and the California Security Program to implement security, to include Perform penetration tests to the server room and Wide Area Network (WAN).
- C. Review assessment report(s) and address improvements to ensure secured storage of students, faculty, and staff data residing in the District wide systems.
- D. Upgrade and replace dated Network switches such as devices, which are 8-15 years old; devices which are "end-of-life" and "end-of-support," as well as those devices that cannot support the use of high speed network circuit.
- E. Business Continuity/Disaster Recovery plan - Determine which systems are deemed business critical; Investigate a Cloud Disaster Recovery Solution with replication that leverages a colocation offsite facility.

F. It is expected that there will be continued expansion of Web and cloud based solutions that will have a tendency of eliminating additional load on the District's WAN infrastructure.

Technology acquisitions on a District wide basis go beyond network and personal computer purchases. Other critical elements include PeopleSoft Enterprise deployment for student registration, modules for instruction, and the infrastructure necessary for the Colleges to communicate, such as VOIP. Additionally, the District established standards for the deployment of Smart Classrooms in 2009 that are currently under revision. [DR3.31]. Some standards were further developed during the construction of the Barbara Lee Science Center and Allied Health Center at Merritt College.

Additionally, the Colleges received \$100,000 each for Instructional Equipment and Library Materials during 2014-2015 for a total of \$400,000 as part of the 2014-2015 Physical Plant and Instructional Support Block Grant from the State of California Chancellor's Office, in addition to the Bond measures [DR3.32]. During 2015-2016, each College also received the sum of \$150,000 for Instructional Equipment and Library Materials from the Physical Plant and Instructional Support Block Grant (California Chancellor's Office) for a total sum of \$600,000. Though these are expressly one-time funds, there is a possibility that funding from the State may continue in the future [DR3.33].

The funding resource allocations per College for Information Technology District wide are as follows:

<u>Name of College</u>	<u>Beginning Balance Allocation (2009)</u>	<u>Available Balance 2016</u>
*BCC	\$3,067,376	\$658,457
COA	\$6,953,287	\$3,860,973
Laney College	\$12,504,868	\$2,452,038
Merritt College	\$7,494,026	\$1,366,534
District wide IT	\$12,000,000	\$1,455,421
District Adm. Center	\$2,759,278	\$1,116,649
TOTAL	<u>\$44,778,836</u>	<u>\$10,910,069</u>

*It should be noted that the above funding figures were utilized to assess equipment and furniture needs, which explains why BCC, a newer campus (built in 2006) with newer equipment, received a lessor allocation.

B. Adoption of TCO Guidelines

The TCO Guidelines were reviewed by DGS in April and PBC in May 2016. A special TCO Workshop was held during the PCCD August 2016 Flex Day [DR3.34]. 2016 PCCD's year-long work to revise TCO Guidelines incorporated many collaborative projects to include: 1.) Meetings with each College to determine TCO needs and expectations 2.) the inclusion of IT in PCCD's revision TCO Guidelines, and 3.) Continued efforts to implement TCO Guidelines while, at the same time, working to revise and to improve the existing TCO Guidelines.

It is anticipated that the new TCO Guidelines will be adopted by the DTC and the PBC in September 2016 and that the District and the Colleges work especially to implement the suggestion to more closely align funding resources with College requests [DR3.35].

VI. DGS Action Plan for Hiring:

A. Hiring Additional Maintenance Staff:

A proposal to hire additional maintenance staff for all the Colleges has gone through the shared governance process and a recommendation was sent to the Chancellor for implementation [DR3.36]. The staffing needs require the recruitment of competent electricians, plumbers and Mechanical (HVAC) engineers that have licenses in their various trades.

The PBC also recommended that the Chancellor allocate 1.5% or \$1,800,000 of the District adopted General Fund budget to the DGS with a view that outside contractors will be hired to undertake some of these work orders especially those that cannot be done in-house due to a lack of relevant skills.

Custodial Staff: The summaries per College relative to custodian needs and aligned with APPA Industry Standards for Facilities maintenance are as follows [DR3.37]:

- BCC: 6 custodians, calculated standard 31,969 square feet per custodian (casual inattention)
- COA: 6 custodians, calculated standard 37,142 square feet per custodian (casual inattention)
- District: 6 custodians, calculated standard 20,111 square feet per custodian (ordinary tidiness)
- Laney: 15.5 custodians, calculated standard 35,120 square feet per custodian (casual inattention)

- Merritt: 9 custodians, calculated standard 51,529 square feet per custodian, (moderate to dingy and borderline for unkempt).

This analysis indicates that Merritt College, for example, with a total square footage area of about 463,765 and only 9 custodians, needs to hire 3 more custodians in order to attain equity with the other Colleges. The District and the College plans to hire additional custodians for Merritt College especially given that the New Science and Allied Health facility alone, with approximately 104,000 square feet, opened in 2015 [DR3.38].

The overall need for custodial staff is critical. In this year's evaluation of PCCD's existing Budget Allocation Model (BAM) presented at the District's PBIM August 2016 Summit, the Task Force recommended that the District "allocate the appropriate level of staffing to all Colleges, based on industry best practices and an acceptable level of facility cleanliness. Analysis reveals that some Colleges are staffed appropriately and others fall short." [DR3.39]

Director of Facilities and Operations is currently being filled with an Interim. A regular position is being advertised to hire the full time position by October 2016.

A Project Manager for Maintenance and Operations is expected to begin duties in October 2016.

A Director of Capital Projects was hired to deal with modernization and new construction.

An Interim Staff Services Specialist for M and O was hired in July 2016 to deal with Colleges' requests for work orders and to support the Project Manager for implementing projects. It is anticipated that the interim position will be replaced by a regular hire by September 2016.

Three Stationary Engineers were hired to undertake both scheduled and deferred maintenance (mechanical, electrical, and plumbing MEP). One began work in July 2016 and two began in August 2016.

Groundskeepers: An assistant groundskeeper was hired in June 2016 to coordinate maintenance of grounds and to assure that the College environments are more inviting.

Two Assistant Chief Engineers for COA and BCC, responsible for day to day supervision of Stationary Engineers, were hired at the end of August 2016.

VII. Facility Conditions Assessment Study (FCA)

The District conducted a Facility Conditions Assessment Study (FCA) in collaboration with the California Community Colleges in 2013. As part of the Colleges 5-year plan, the Colleges conduct this assessment every five years. Another update, Facilities Assessment Index (FCI) is due to be completed by the Foundation for the California Community Colleges at the end of September 2016 and will help to determine ongoing Facilities and Maintenance planning. The study will include the use of the California Community College's Facilities Utilization Space Inventory Options Net (FUSION), a web-based application used by all 72 Community College Districts and the Chancellor's Office facilities staff will submit, plan, review, approve, and track facility activities [DR3.40] Finally, one suggestion of the TCO Guidelines is to establish an in-house Task Force to monitor the implementation of the FCA recommendations.

VIII. Conclusion

The Team recommended that District's General Services work with College personnel to implement a plan to address Total Cost of Ownership for new facilities and equipment, including undertaking critical deferred maintenance and preventive maintenance needs at the

Colleges, in order to assure safe and sufficient physical resources for students, faculty, and staff.” Accordingly, the District constructed a DGS Action Plan for creating new TCO Guidelines. The TCO Guidelines were then reviewed by DGS in April and PBC in May 2016, and a special session on TCO held at PCCD August 2016 Flex Day. It is anticipated that the new TCO Guidelines will be adopted by the DTC and the PBC in September 2016. Furthermore, the District is currently soliciting bids for the revision of the 2009 Integrated Educational Facility and Technology Master Plan.

At the same time, in 2015-2016, the District continues to make significant progress in addressing and satisfying deferred maintenance needs at the Colleges, “in order to assure safe and sufficient physical resources” for all members of the Peralta community. Beginning in summer 2016, the Chancellor’s C-Direct featured DGS reports that detailed progress on deferred maintenance. These reports have improved communication District wide to implement TCO objectives [DR3.41]. By listening to, and collaborating with the Colleges, concerted efforts to work together have resulted in tangible results in meeting Standards (III.B.1, III.B.1.a, III.B.2.a).

RECOMMENDATION 3: DISTRICT RESPONSES

Evidence	Title of Evidence Document
DR3.1	DGS Action Plan, Aug. 28, 2015
DR3.2	DGS Team: TCO Meeting Minutes, Oct. 2, 2015
DR3.3	Merritt Team: TCO Meeting Minutes, Oct. 9, 2015
DR3.4	Laney Team: TCO Meeting Minutes, Nov. 4, 2015
DR3.5	COA Team: TCO Meeting Minutes, Nov. 24, 2015
DR3.6	BCC Team: TCO Meeting Minutes, Nov. 23, 2015
DR3.7	BCC Town Hall Meeting, April 13, 2016
DR3.8	TCO Action Plan, Introduction, page 1: Nov. 2015
DR3.9	Total Cost of Ownership and Operational Expenditures 2118 Milvia Property, Apr. 28, 2015
DR3.10	Weekly Work Order July 21, 2015
DR3.11	Maintenance Connect Executed Agreement
DR3.12	PCCD Draft Administrative Procedures – Key Control
DR3.13	PBIM DFC Meeting Minutes, Feb. 5, 2016, pages 9-10
DR3.14	PBIM DFC Meeting Minutes, Mar.4, 2016, pages 4-5
DR3.15	OJO Technology Contract
DR3.16	DGS Task Team Meeting, Mar. 22, 2016, page 3
DR3.17	USGBC LEED Gold Letter, Jan. 12, 2016
DR3.18	DGS Program Review, Fall 2015
DR3.19	FUSION, JCAF-32, Child Development Center Project Details, 2016, 2009 COA Integrated Educational and Facilities Master Plan excerpt, pages 46-50
DR3.20	Bond Measures A & E:
DR3.21	Laney Total Cost of Ownership Mission and Planning Principles
DR3.22	Laney College Facilities Master Plan, 2012, pages 3 and 18
DR3.23	Road Map to the Future, 2009, page 39
DR3.24	CCCCO Deferred Maintenance Criteria, 2014-2015
DR3.25	Work Order Report, Aug. 12, 2016
DR3.26	Campus Safety Aide Training Schedule Aug 2016
DR3.27	TCO Brainstorm Meeting Notes, May 17, 2016
DR3.28	Bond Measures A & E: Equipment IT and FF/E Procurement, June 2008
DR3.29	IT Allocation and PCCD Adopted Budget, Sept. 8, 2015
DR3.30	Road Map to the Future, 2009, page 37
DR3.31	Standards for Smart Class Rooms, 2009
DR3.32	2014-15 Physical Plant & Instructional Support Block Grants Certification for Expenditures, 2014, page 3
DR3.33	2015-16 Physical Plant & Instructional Support Block Grants Certification for Expenditures, 2015, page 3
DR3.34	District Flex Agenda, Aug. 17, 2016
DR3.35	TCO draft Guidelines, Aug. 2016
DR3.36	Facility Maintenance and Operations: Proposed Reorganizational Structure,
DR3.37	Custodial Standards for Colleges
DR3.38	Action Plan ACCJC, District Recommendation #3, Aug. 28, 2015
DR3.39	What is the BAM Task Force?

RECOMMENDATION 3: DISTRICT RESPONSES	
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Evidence	Title of Evidence Document
DR3.40	FCI 2016 Timeline
DR3.41	C-Direct, Aug. 24, 2016

Recommendation 4

In order to meet the Standards, the District should clearly identify the structures, roles and responsibilities, and document the processes used to integrate human, facilities, technology, planning and fiscal planning in support of student learning and achievement and regularly evaluate the process in order to fairly allocate resources to support the planning priorities. (Standard III.A.6, III.B.2, III.C.2, III.D.4, IV.B.3.g)

I. Introduction:

Recommendation 4 addresses the need for the District to: 1.) Identify the structures, roles and responsibilities used to integrate human, facilities, technology, planning and fiscal planning in support of student learning and achievement, 2.) document the processes used to integrate human, facilities, technology, planning and fiscal planning in support of student learning and achievement, and, 3.) regularly evaluate the process in order to fairly allocate resources to support the planning priorities.

II. Peralta's Planning and Budgeting Integration Model (PBIM):

Peralta's Planning and Budgeting Integration Model (PBIM) includes two major components to support integrated planning and resource allocation: (1) the District Strategic Plan and, (2.) Program Review which is conducted every three years, with an Annual Program Update (APU). The original PBIM Model was created in 2009 and continues to function as the central mechanism in providing the shared governance structure for oversight of the PCCD Strategic Plan. The purpose of the PBIM is to provide a clear process for planning and budgeting decision-making throughout the District. The specific functions of the PBIM are to: (1) Integrate planning and budgeting across the four Colleges and the District Service Centers; (2) Bring the expertise of the four Colleges together to focus on trends, best practices, and student learning and success; (3) Support a culture of collaboration; (4)

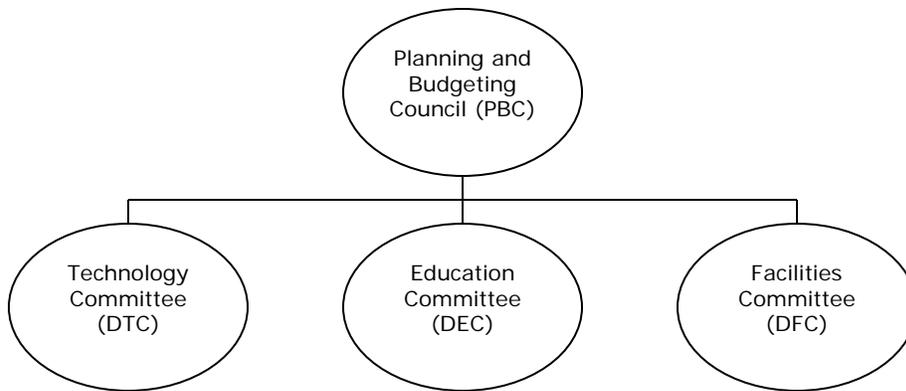
Streamline decision making among the Colleges and District Service Centers by providing a transparent process of collaboration and making recommendations leading to decisions; (5) Provide a mechanism for implementing the District's Mission, Strategic Goals, and Institutional Objectives, and (6) Guides the PBIM membership in recommending shared governance decisions to the Chancellor [DR4.1].

In looking at the overarching purpose of the PBIM, the following considerations are key:

1. Educational planning is the foundation of all District decision-making
2. A structured participatory governance process must be transparent and coherent
3. The PBIM is the official guide for all decision-making recommendations
4. Integrated planning, budgeting, and resource allocation has multiple cycles:
 - a. Strategic Planning (6 years)
 - b. Program Review (3 years)
 - c. Annual Program Updates (in non-Program Review years)
5. All planning is integrated with the District's Strategic Goals and Institutional Objectives.

III. District wide Advisory Committees

Integral to the PBIM is a District wide planning and budget advisory system consisting of three broad subject-matter Committees that review and recommend decisions that build on District Service Center Functions, College Program Reviews, and annual Institutional plans, goals, and objectives. These Committees are the District Technology Committee (DTC), the District Facilities Committee [DFC], and the District Education Committee (DEC). Each District Committee reports to the Planning and Budget Council (PBC).



Specifically, the DTC, DEC, and DFC are charged to:

1. Stress the use of Program Reviews and Annual Program Updates in making decisions.
2. Seek collaborative solutions that utilize resources on a District wide basis.
3. Assist in developing District wide strategies that are acceptable to all Colleges.
4. Provide feedback to the Colleges on decision making.
5. Provide technical reviews of College priorities.
6. Ensure consistency between College requests and existing approved projects and identify opportunities for College-to-College collaboration where resource sharing could be useful and economical.
7. Make recommendations based on long-term Strategic Goals, annual Institutional Objectives, and Program Reviews (and Annual Program Updates).
8. Forward recommendations to the Planning and Budgeting Council (PBC).

[DR4.2]

IV. Planning and Budgeting Council (PBC)

The Planning and Budgeting Council (PBC) receives and reviews recommendations from the three District subject matter Committees (DTC, DEC, and DFC described above) and makes final recommendations to the Chancellor regarding educational and resource priorities, Board Policies and Administrative Procedures, and new initiatives. For some issues, the PBC recommends resolutions where there is not agreement regarding issues between the Colleges and District Service Centers or among the Colleges.

The PBC performs the following specific functions:

1. Affirms consistency in Strategic and educational plans
2. Recommends a coordinated, District wide planning approach
3. Recommends a prioritization of plans across subject areas and Colleges
4. Identifies funding approaches to support priorities.
5. Focuses on educational and resources priorities, Board policies and administrative procedures, and integrated planning and budgeting.
6. Critically reviews recommendations from the subject area Committees.
7. Makes final recommendations to the Chancellor.

The PBC is also responsible for oversight of the District's and Colleges' Strategic Plans.

Oversight includes tracking various recommendations and determining whether the recommendations are implemented. If particular recommendations are not implemented, the PBC documents a rationale for its decisions. Finally, the PBC ensures accountability in planning deliberations by determining whether agreed upon steps in the PBIM process are followed.

V. PBIM Annual August Summit

Each year the District holds its annual PBIM Summit (referred to as the August Summit) as the “kick-off” event for initiating dialog that will inform the PCCD goals and objectives for the new academic year. In attendance are Senior staff, participatory governance Committees, and other College and District leaders. The August Summit assists to inform annual work plans, provide accountability and help the leadership to identify where progress needs to be made. This event serves as a valuable planning tradition for the District.

The August Summit is generally held offsite and PBIM members are expected to attend and participate. The Chancellor provides a brief overview of the State of the Peralta Community College District. The 2015 August Summit included 10 presentations that were intended to reveal a broad understanding of the PBIM to the new Chancellor [DR4.3]. In November 2015, a PBIM Workshop training was held for all Committee members, the goal being to provide more in-depth training for those who serve on the PBIM Committees, especially for those new Committee member [DR4.4].

VI. Implementation of the Strategic Plan Under PBIM:

The PCCD Strategic Plan—prepared every 6 years-- is implemented to ensure the participatory process of the organization and the autonomy of the four Colleges.

Furthermore, the Plan provides the broad direction from which the Colleges can develop their own strategic and operational plans in responding to the populations they serve; the Plan is aligned with the 2013 California Community Colleges System Strategic Plan. [DR4.6]. The Strategic Plan has sections that include:

Section I, Introduction: provides an overview, articulates the purpose of the Plan and describes the process used in creating the Strategic Plan.

Section II, Guiding Framework: presents the mission, principles, and values that serve as the foundation for the Plan.

Section III, Strategic Planning Context: summarizes major issues and trends affecting District wide planning beginning with mega trends that are expected to have the greatest-impact on the District, and also provides data on demographic changes, student success measures, and job projections in Alameda County.

Section IV, Goals and Institutional Objectives: presents the overarching Strategic Goals of the Peralta Community College District and the Institutional Objectives which are the framework for achieving and assessing student success.

Section V, Implementing the Strategic Plan: describes planning cycles and the approach for ensuring that the Plan will serve as the driver for institutional planning, budgeting, and resource allocation.

Section VI, Appendix: contains sources utilized in completion of the Plan. [DR4.7]

The 2015 Strategic Plan set forth the following 2015-2016 Strategic Goals: (A.) Advance Student Access, Equity, and Success; (B.) Engage and Leverage Partners; (C.) Build Programs of Distinction; and, (D.) Strengthen Accountability, Innovation and Collaboration, and states specific Institutional Objectives to align with each Goal [DR4.8]. The Strategic Plan serves as a foundation reference document for all PCCD Planning and is approved by the Governing Board.

In September of each academic year, the PCCD Governing Board approves also the Institutional Planning Budget (IPB). The IPB works to address the Strategic Goals and Institutional Objectives. In 2015-2016, the IPB was approved at the September 8, 2015 Governing Board meeting [DR4.9].

VII. PBIM Annual Calendar for Planning, Program Review, and Annual Program

Updates

PCCD provides a yearly Planning and Program Review calendar, developed by the Vice Chancellor for Finance and Administration and used by the PBC. This calendar includes a timeline to develop research, District and College-wide planning, and budget development for use in the evaluation of Strategic Goals and Institutional Objectives. The PCCD Planning and Program Review calendar is a useful reference document for integrated planning for the District [DR4.10].

VIII. PBIM Resource Allocation Processes

There are four Resource Allocation processes which affect the Colleges that are formed at the District level through the PBIM structure. These processes pertain to the distribution of:

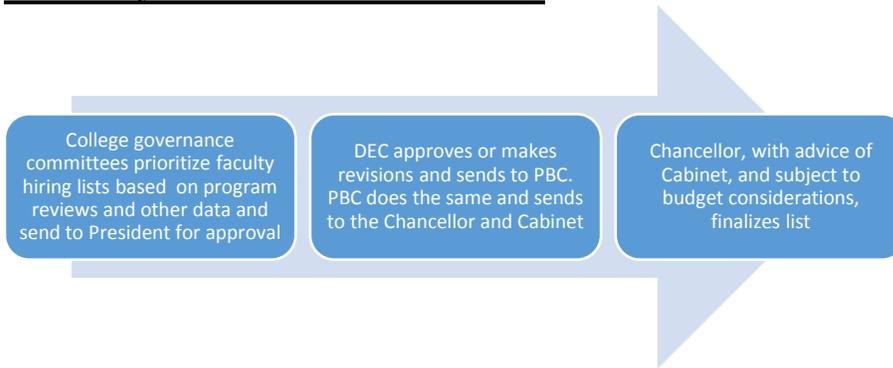
- Faculty Resources
- Staff Resources
- Technology Resources
- Facilities Resources

The Resource Allocation processes originate at the Colleges and at the District Service Centers, where each College, through its respective Governance Committee, and each District Service Center, prioritizes its resource needs as part of their Program Reviews. The prioritized resource requests are then moved forward to the appropriate District PBIM Committee, PBC, and eventually, to the Chancellor.

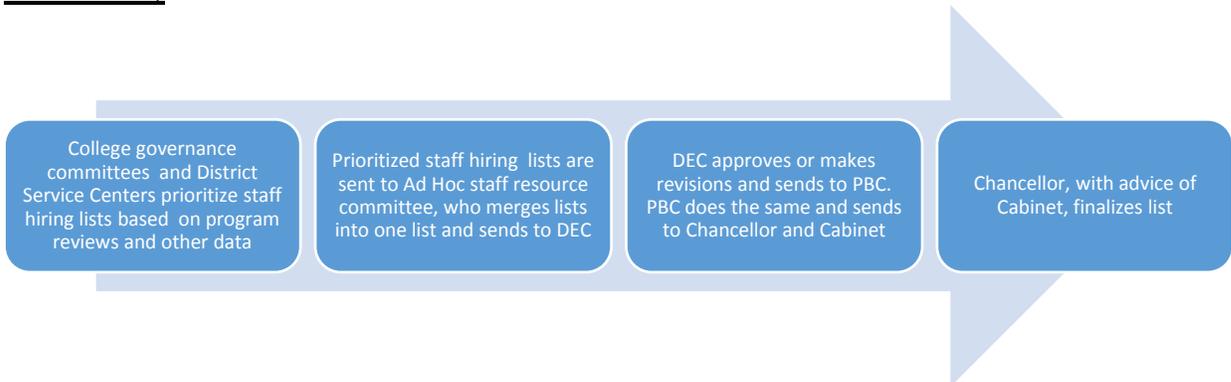
In March 2016, the PBC approved a mechanism for the appointment of any Ad Hoc Committee. The first Ad Hoc Resource Allocation Task Force to be appointed was the Resource Allocation Taskforce for Classified Staff (RATF-CS), a task force formed to provide more equitable distribution of resources and to strengthen Human Resource Planning by providing a structure for requesting classified staffing that are not under the purview of review by the DTC, DEC, or DFC [DR4:11].

The following diagrams illustrate the PCCD PBIM resource allocation processes:

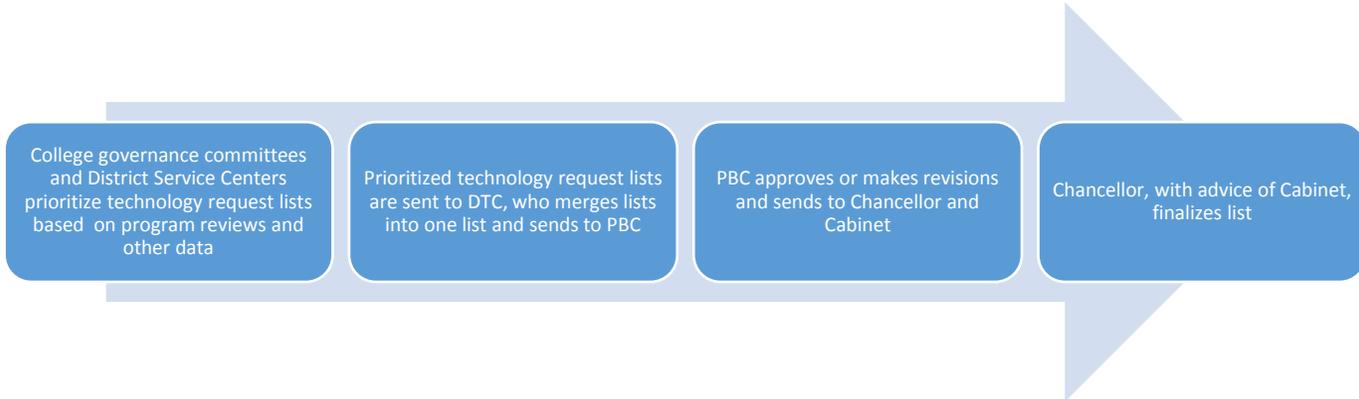
A. Faculty Resource Allocation Process



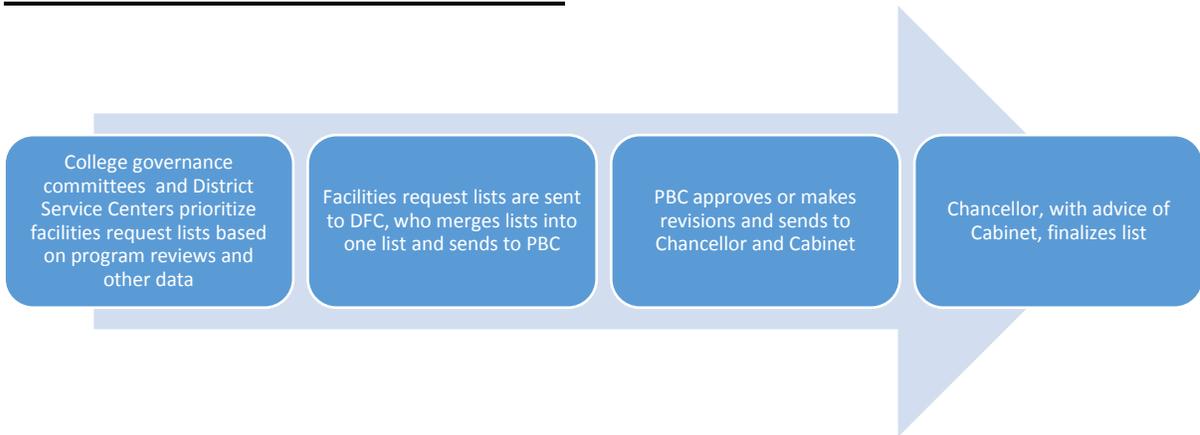
B. Staff Resource Allocation Process (includes addition of Ad Hoc Staff Resource Committee)



C. Technology Resource Allocation Process



D. Facilities Resource Allocation Process



IX. Planning and Budget Collaboration in Shared Governance

Regular and ongoing budget updates are provided at the Planning and Budgeting Council and it is the expectation that information from the three subordinate Committees will be taken back to the Colleges by Committee members. Information is widely shared at College planning committees as well as posted on the District website. Historically, the Vice Chancellor for Finance and Administration and a faculty member have served as co-chairs. In 2015-2016, The Vice Chancellor for Finance and Administration and the District

Academic Senate President served as co-chairs of PBC assuring that reports regarding planning were regularly addressed and answers to questions regarding the budget were answered. The latter two will co-chair PBC again in 2016-2017 providing planning and budget continuity and leadership from the previous academic year.

The PBC forwards recommendations regarding resource allocation and funding to the Chancellor by April 30 of each year. The Chancellor and Chancellor's Cabinet then review PBC recommendations and reconciles them against May Revise budget information. The Chancellor's Cabinet advises the Chancellor who determines the final resource allocations for the upcoming Tentative Budget. The Vice Chancellor for Finance and Administration then conducts College budget forums on State budget, as needed, and addresses questions pertaining to the PCCD budget development process.

X. 2015-2016 Revisions to Refining PBIM Resource Allocation Structures.

As discussed in Recommendation 8, an ongoing revision of the District's BAM promises to improve the equitable distribution of resources in overall PCCD budget planning, as will the proposed IT Tactical Plan seek to refine and better integrate the role of technology in District wide planning at PCCD. Finally, the Human Resources Staffing Plan which was introduced to PBC in May 2016 [DR4.12] and presented as a "Q and A" Session at the District August 2016 Flex Day, should frame the much needed structure for providing the data to ensure sufficient staffing [DR4.13].

XI. District Program Review:

In addition to the District Strategic Plan, the second component of PBIM is Program Review. Every three years, Comprehensive Program Reviews are conducted (and Annual Program

Updates in the off years). The Program Review provides a structure and process for resource allocation based on data. Throughout these planning cycles and activities (yearly, every three years, and every six years), the collective results aim to achieve the strategic goals of the Peralta Community College District.

In the 2015-2016 academic year, the District conducted a Program Review of each of its Service Areas and a web site was created. On this web site, the following documents can be found:

- 2015 Planning and Program Review Calendar
- PCCD Calendar for Planning and Program Review
- 2105 CTE Program Review Handbook
- 2015 Instructional Program Review Handbook
- 2015 Library Services Program Review Handbook
- 2015 Counseling Program Review Handbook
- 2015 Non-Instructional Program Review Handbook
- 2015 District Service Center Program Review Handbook
- Annual Program Update Template (May 2016)
- 2014-2016 Program Review Task Force Summary Report
- Validation of the District Service Center's Program Review Reports

The Peralta Community College District Program Review provides Program and/or Department accountability by collecting, analyzing, and disseminating information that will inform integrated planning, resource allocation, and decision-making processes.

The primary goals for Program Review aim to:

1. Provide a mechanism for demonstrating continuous quality improvement, producing a foundation for action.
2. Strengthen planning and decision-making based upon current data.
3. Identify resources needs.
4. Develop recommendations and strategies concerning future directions and provide evidence to support plans for the future, within the department, at the College and at the District level.
5. Inform integrated planning at all levels within the College and the District.
6. Ensure that educational programs reflect student needs, encourage student success, and improve teaching and learning, which includes the assessment of student learning outcomes (SLOs).

The District Program Review process of 2015-2016 began with a Program Review Task Force that met frequently beginning in Fall 2014, with the ongoing purpose of updating all Program Review Handbooks [DR4.14]. The Colleges and District Service Centers completed their Program Reviews at the end of January 2016. In February 2016, the Task Force validated all Program Reviews and created a matrix of all results using the validation rubric that is listed in the appendix to the District Service Center Program Review Handbook [DR4.15]. All Program Reviews have sections for Human Resource Needs, Equipment and Technology Needs, Facility Needs, Professional and Organizational Development Needs, as well as sections to include “Other” Needs. Each of these areas require the linking of requests to an Administrative Unit Outcome and a Program Improvement Objective, and the provision of a specific reason and/or evidence of the need.

In May 2016, 13 recommendations developed by the Program Review Task Force were distributed to the District Academic Senate (DAS) and the District Education Committee (DEC). Specific recommendations included the creation of a permanent District wide Program Review Committee, the revision of the College Program Review Handbooks, the recommendation to conduct more training opportunities for researchers on data collection, the recommendation to provide specific training for faculty and staff, and a recommendation to require each College to provide annual summaries and lists that address all components of Program Review and Annual Program Unit (APU) documents [DR4.16].

XII. PBIM Annual Assessment:

At the end of each academic year, a PBIM assessment survey is conducted. The goal is to assess what worked well and what could be improved. The results are reviewed by the PBIM Committees at the next academic year's August Summit and during the first PBC meeting of the academic year. Setting annual objectives and reporting progress in attaining those objectives are critical tools for managing the District and the Colleges. The 2015-2016 Strategic Goals and Objectives will be assessed and results discussed at the first PBC meeting in September.

In 2015, based on the assessment of goals, there were revisions made to the PBIM process.

The four primary areas of improvement were:

1. The revision of the composition of all Committees
2. The sharpening of existing definitions and overall processes
3. The addition of planning related actions that ensure accountability (e.g., annual committee goal setting and annual assessment of those goals).

4. The alignment with PCCD Strategic Goals and Institutional Objectives [DR4.17].

A. 2015-2016 Assessment of PBIM:

The PBIM 2015-2016 assessment revealed that there are areas where PBC is well received. For example, survey comments included: “good engaged participation,” “having a forum for people across the District to get informed,” “The PBIM process is good for promoting communication across the District...,” “meeting regularly,” etc., Other comments indicated dissatisfaction, e.g., “not clearly defining task...,” “downsize the group...too many people,” “Too many agenda items,” “too often the District perspective is lost and College-level discussions take over meetings...,” etc. Additionally, at the May 2016 meeting of PBC, the Chancellor addressed the PBC and distributed a draft plan that envisions a restructure of PBC for the membership to consider in the 2016-2017 academic year, his reasoning being that restructuring could improve PCCD’s overall existing planning and budget decision making model based upon the current PBIM and the District reorganization [DR4.18]. Finally, discussions in PBC in Spring 2016 revealed that missing in the charge of the PBC is more collaborative consultation with the Chancellor. Also the system to address the Chancellor regarding outcomes of PBC recommendations should be strengthened as PBC has now created a form to document recommendations forwarded to the Chancellor, thus reducing the potential for miscommunication.

XIII. PBIM Summit: August 2016

The 2016 PBIM August Summit was held on August 28, 2016. The agenda reflected suggestions from the PBIM May 2016 Assessment such as “create protocols for all communication streams,” “communication should be task oriented,” “provide budget,

planning, and/or policy info at the first meeting of the year...” [DR4.19:]. The principle focus of this year’s PBIM was to strengthen the shared governance process by including more specific training for the PBC members, e.g., familiarizing participants with the Brown Act and Robert’s Rules of Order, and addressing the need to create more uniform Agenda and Minute taking protocols.

Additionally, activities ensured that all PBIM members understood their roles and offered opportunities to progress in meeting 2015-2016 goals and objectives, to collaborate to create more uniform systems to enhance communication between the District and Colleges, and to brainstorm ways in which all District and College constituents could assist in expanding student success. The District PBIM Committees convened to initiate dialogue in consideration of developing Goals and Objectives for the academic year. These suggestions will be brought forward to PBC where 2016-2017 goals will be determined. As PBC has now created a mechanism to develop Ad Hoc Committees, the PBIM Committees should be able to accomplish more in between the monthly PBC meetings so as to streamline PBC agendas and to be more productive and efficient [DR4.20].

XIV. Conclusion:

The PCCD’s Planning and Budgeting Integration Model’s strategic goals and objectives identifies and provides structure to: (1.) the overall District Strategic Plan, and (2.) the Program Review of human resources, facilities, technology, and fiscal planning continues to be assessed and refined. The PBIM links program review, planning, and the equitable

distribution of resources with the goal of reordered planning priorities to support student learning and achievement.

The District is fully engaged in the ongoing assessment of PBIM and changes are being discussed and implemented, with plans to further refine the entire structure and to address more innovative considerations to shared governance planning and budgeting in 2016-2017.

The District has met Standards III.A.6, III.B.2, III.C.2, III.D.4, IV.B.3.g and will continue its work to improve identify and document the structures that lead to the improvement of student success.

RECOMMENDATION 4: DISTRICT RESPONSES	
Evidence	Title of Evidence Document
DR4.1	PBIM Overview Aug. 14, 2014
DR4.2	PBIM Overview Aug. 14, 2014 Roles and Responsibilities
DR4.3	PBIM Summit Agenda Aug. 28, 2015
DR4.4	PBIM Workshop Nov. 19, 2015
DR4.5	PCCD Board Agenda Sept. 8, 2015 Budget Approval
DR4.6	2015 Strategic Plan Appendix
DR4.7	2015 Strategic Plan Apr. 29, 2015 page 3
DR4.8	2015 Strategic Plan Apr. 29, 2015 page 39
DR4.9	PCCD Governing Board Agenda, Sept. 8, 2015, p 4
DR4.10	PCCD Planning and Program Review Calendar, Nov. 2015
DR4.11	RATF-CS May 2016 Minutes
DR4.12	PBC May 2016 Minutes
DR4.13	District Flex Agenda, August 2016
DR4.14	PR Task Force May 10, 2016 Meeting Minutes
DR4.15	Appendix: District Service Center Program Review Handbook /
DR4.16	PCCD 2014-2016 Program Review Task Force Summary Report, pages 4 and 5
DR4.17	PBC September 2015 minutes
DR4.18	Chancellor's Draft PBC Plan
DR4.19	PBIM Assessment Survey, May 2016, p. 39
DR4.20	PBIM August Summit Agenda 2016

Recommendation 5:

In order to meet the Standards, the team recommends that the District ensure the retention of key leadership positions and that adequate staffing capacity is available to address the demands of three critical areas reflected in the accreditation standards: Institutional Effectiveness and Leadership, Institutional Research, and Financial Accountability and Management (III.A.2, III.A.6).

Overview:

Recommendation 5 addresses the need for the District to: 1.) Retain key leaders, and, 2.)

Ensure that adequate staff is available to meet the demands of three critical areas:

Institutional Effectiveness and Leadership, Institutional Research, and Financial

Accountability and Management.

I. Retention of Key Leadership and Adequate Staffing Capacity for Institutional Effectiveness and Leadership, Research, and Financial Accountability and Management:

A. Introduction:

The Peralta District is a four College and District Office institution with over 2,100 full-time and part-time employees. Peralta, not unlike many other districts, has experienced a number of key leadership vacancies at the District office and the four Colleges due to retirements, the desire for personnel to relocate out of the area, for family or personal reasons, and the desire to pursue other professional opportunities.

In response to Recommendation 5 and to meet Standards III A.2 and III A.6, the PCCD Governing Board took action to appoint a new Chancellor who would work to assure adequate staffing capacity for the District and Colleges and to institute an ongoing plan to ensure the retention of key leadership.

B. Appointment of New Chancellor:

In January 2015, the extant Chancellor announced his intent to retire effective July 2015.

The Board of Trustees initiated a national search for the next Chancellor and instructed the Human Resources Office to begin the search. Through a public and competitive process, the Board selected a search firm from the California Community College Search Service [DR.5:1.].

In February 2015, the PCCD Governing Board then utilized a Survey Monkey to solicit public input in the community regarding what characteristics and attributes were desired in the next Chancellor. [DR.5:2].

Highlights from the survey included desirable leadership attributes such as the ability to:

- Address accreditation issues
- Engage in strong fiscal and operational leadership
- Build a strong and effective management team
- Focus on student success
- Create an enrollment management plan to deal with declining enrollment
- Obtain data driven results for District and College improvement
- Make lasting internal changes
- Lead strong Strategic planning efforts

Additionally, in February 2015, the Board conducted a public forum with the search consultant to discuss the Survey Results and to finalize the Chancellor's profile [DR5.3].

Following a successful national search, the Board appointed a new Chancellor who assumed his post on July 1, 2015.

The Chancellor's Opening Address at the Districtwide Flex Day in August 2015 reflected his commitment to strengthen Institutional Effectiveness and to make changes that would include professional development opportunities to retain key leadership. At this time, the "New Peralta Way" was introduced, a District initiative calling for changes to strengthen and retain leadership and to redouble efforts to provide better District Support Services to the Colleges and to improve student success. [DR5.4]. In February, the Chancellor announced plans for a Reorganization, which would be ongoing throughout the academic year [DR5.5]. After only one year, the Reorganization has been gradually implemented, to include the addition of new positions or the reassignment of in-house personnel to reflect the Chancellor's pledge to ensure that staffing and leadership are more stable and centered on student success.

II. PCCD's Reorganization of Select Administrators and Staff

In a continuing effort to provide support to the Colleges for furthering student success, some key leadership positions were developed. Other existing positions were evaluated and reconfigured to best fit the needs of the District and the Colleges.

A. Vice Chancellor for Finance and Administration:

A new Vice Chancellor for Finance and Administration was hired in August 2015 [DR5.6]. Since the new Vice Chancellor for Finance and Administration assumed the post, much of the initial focus has been to resolve the District's financial audit findings, some of them recurring, to address a plan for the District's OPEB Program, and to lead a cross functional Task Force to evaluate and refine the existing Budget Allocation Model (BAM) for the District [DR5.7].

The new Vice Chancellor for Finance and Administration also recognized the need for some additional staffing to enhance the District's internal controls and to improve support service levels to the Colleges. Two new positions were created and filled: a Payroll Manager (filled in June 2016) and a Senior Accountant (filled in March 2016). [DR5.8]. In November 2015, a new Budget Director was hired to replace the interim [DR5.9]. Further refinement of the staff is planned for the future to ensure succession planning and strengthening of the Finance and Administrative operation.

One employee of the General Services Department handling general obligation bond budgets/ expenditures was reassigned to the Finance and Administration team given a recommendation from the District Office Reorganizational Plan. This employee now reports directly to the Vice Chancellor for Finance and Administration, allowing for more effective monitoring and planning for resource needs related to bond projects and construction and increased financial accountability.

B. Special Assistant to the Chancellor and Chief of Staff (new):

As the District reassessed its needs and determined how best to effectively provide District level support to the Colleges regarding institutional research and institutional effectiveness, the District decided to eliminate the position of Deputy Chancellor and developed, in its place, the position of Special Assistant to the Chancellor and Chief of Staff. [DR5.10]. In addition, under the District's reorganization, the Chief of Staff was assigned responsibilities for the Institutional Research Office, Child Development Centers and District Policy and Procedure Coordination, which were previously under the office of Educational Services. The Chief of Staff also provides supervisory support of the Coordinator of Contracts and Legal Affairs in liaising with external legal counsel.

C. Vice Chancellor for Student Services (reestablished)

The Vice Chancellor of Student Services position was eliminated in 2013 and at that time, the Associate Vice Chancellor position was developed. However, under the Chancellor's Reorganization, the Vice Chancellor position was re-established in July 2016 to provide a higher level of leadership to Student Services and to replace the departing Associate Vice Chancellor for Student Services. Because many PCCD students attend more than one College, reestablishing this position should ensure greater interaction among the Colleges, the District, and Student Services' staff [DR5:11].

D. Executive Vice Chancellor for Strategic Partnership and Advancement (new)

The Executive Vice Chancellor (EVC) position was developed to provide support for strategic direction, develop partnerships, build community, and to provide government and corporate advocacy. The EVC will lead efforts to foster innovation in the District [DR5:12].

E. Vice Chancellor for Academic Affairs (new)

As part of the District's reorganization and to provide additional support to the Colleges for strengthening student success, the District developed the position of Vice Chancellor Academic Affairs; an interim was appointed to this position and began work on August 1, 2016 [DR5:13].

F. Associate Vice Chancellor for Workforce Development Continuing Education (WDCE) (new)

The District-- with a renewed commitment to lead efforts to expand contract education, to develop noncredit education and to expand contact to the business community--developed

the position of Associate Vice Chancellor for WDCE. The Interim Vice Chancellor began work on July 1, 2016 [DR5.14].

G. Assistant Vice Chancellor for Enrollment Management (new)

To increase the four Colleges' outreach efforts to their respective high schools, the communities we serve, and faith based institutions, the District developed the position of Assistant Vice Chancellor for Enrollment Management. An interim was appointed and began duties on July 1, 2016. [DR5.15]

H. Interim Director of Human Resources:

The Director of Human Resources is responsible for providing technical support and advice to the Colleges regarding recruitment and employment, retention, classification, compensation and performance management, staff training, employee relations and employee health and welfare benefits. Since 2013, this position has experienced major turnover and an insufficient pool of diverse, qualified applicants. In February 2016, the PCCD Governing Board ratified the Chancellor's appointment of an Interim Director [DR5.16]. The new Interim Director has extensive experience in Human Resources and brings a wealth of knowledge and experience, which has enhanced the Human Resource support and services to the District and Colleges.

I. Risk Manager (reclassified):

The office of Risk Management provides support and training to the Colleges regarding worker's compensation, hazardous materials, health and safety training for employees, and emergency preparedness. In November 2015 the District Director for Risk Management accepted another position in private industry. To ensure that the Colleges maintained the

support provided by the Risk Management office, the District engaged its insurance JPA (Joint Powers Agreement) and leveraged the services provided under this Agreement to augment and provide risk management training and support services to the Colleges.

[DR5.17]. In addition, the risk management function was removed from the Office of the General Counsel and returned to the administrative oversight of the Vice Chancellor for Human Resources and Employee Relations. The District then reassessed the Director position and determined that it would not be filled at the “Director” level, and, instead, the position was reclassified to that of Risk Manager. This position is expected to be filled by December 2016.

J. Director of Facilities and Operations

The current Director of Facilities and Operations (interim) provides support to the Colleges regarding physical facilities and resources; the position is expected to be filled on a regular basis again by November 2016. [DR5.18]

K. Budget Director for Workforce Development and Continuing Education (new)

This position was developed to support and provide fiscal oversight to the Workforce Development and Continuing Education Program. The District appointed an interim Director who will began duties on August 3, 2016. [DR5.19]

L. Director of Capital Projects was hired in August 2016 and will provide much needed support to Maintenance and Operations. [DR5.20]

M. Director of College Operations (under consideration)

The Director of College Operations is now being considered and will be brought to PBC in

Fall 2016 for discussion. The intent of this position is to provide additional support for Facilities and IT, with special consideration to strengthen safety and security functions.

N. Associate Deans of Educational Success (new)

The Associate Dean of Educational Success, allowing for one Associate Dean at each College, was developed to provide additional support to the Colleges' Student Success Programs. The positions are grant funded and will be filled on an interim basis beginning Fall 2016. This position fulfills a need to integrate services provided to special populations that are normally scattered among the Colleges. Furthermore, the position is designed to strengthen support and to ensure continuity to Programs that address the achievement gaps among various student groups. [DR5.21]

III. Administrative Support For Enhanced Institutional Effectiveness at the Colleges:

The District has sought to provide the necessary Human Resources' support and budget allocations to the four Colleges to continue to ensure leadership retention and adequate staffing positions that address institutional effectiveness and enhance institutional research. New positions and reassigned positions have included the following key personnel changes at each College:

A. Laney College:

1. Laney College President:

In February 2016, the President of Laney College accepted the new position of Executive Vice Chancellor for Strategic Partnerships and Advancement at the District Office. The District ensured continuous leadership and support to Laney College through the appointment of an experienced college president (retired) as Interim President who began on

March 1, 2016, and an anticipated start date of January 2017 for the new President.

2. Dean of College Research and Planning (new)

In February 2015 the College initially established the position of Vice President of Strategic Planning and Institutional Effectiveness, which was filled as an Interim, as the College wanted to assess whether a Vice President or a different administrative classification (e.g., Dean) was most effective to meet its needs. The assessment determined that the creation of a new Dean of College Research and Planning would provide sufficient outreach and planning to support both Laney and Berkeley City Colleges [DR5.22]. On July 1, 2016, the District appointed an interim Dean of Research and Planning to provide 50/50 support to both Laney and Berkeley City College.

B. Berkeley City College:

1. President, Berkeley City College:

In December 2015, the President of Berkeley City College who had served for (4) years accepted the Chancellorship at another community college district. A new President of BCC assumed the position on July 18, 2016.

2. Vice President, Planning and Institutional Effectiveness (new).

In July 2015, the College established the position of Vice President, Planning and Institutional Effectiveness to serve through June 30, 2016. The BCC Vice President of Student Services was temporarily reassigned to this position [DR5.23].

3. Vice President Student Services and Dean(s) for Student Services:

Currently BCC has an interim Vice President of Student Services with the position expected to be filled on a regular basis in January 2017. Moreover, to provide additional support and leadership to the College, the District, at its July 2016 Board meeting, appointed on a one-

year interim basis, one additional Dean for Student Services, for a new total of two Deans. The one-year assignment will provide the College the opportunity to evaluate the effectiveness of a second Dean position.

C. Merritt College:

1. President

The President of Merritt College served for two years. However, in June 2016 the President, with a strong background in student services, was reassigned to serve as the District's Vice Chancellor of Student Services (this position had been eliminated in 2013). The District then appointed an interim President for Merritt, who assumed the position on August 2, 2016. The District will recruit to fill the regular position with an anticipated start date of July 2017.

2. Vice President of Instruction:

In April 2016, Merritt College appointed a Vice President of Instruction who assumed duties on May 2, 2016.

3. Researcher (reassessed position):

In assessing its staff needs to support institutional research, Merritt College determined that a classified full-time position best met this need. In November 2015, the College hired a full-time classified employee in the position of Researcher.

D. College of Alameda:

1. President

On June 30, 2016, the College President resigned to accept the position of Superintendent/President with another district. The District then appointed an experienced Interim President (retired).

2. Vice President of Student Services

The Vice President of Student Services assumed full-time duties on July 26, 2016.

3. Dean: Planning and Institutional Research (new)

After careful assessment, College of Alameda determined that the position of Dean, Planning and Institutional Research best met its needs. This position is currently under recruitment and has been re-advertised. It is anticipated to be filled in December 2016 or before.

[DR5.24]

IV. Human Resources Support for Faculty Hiring And Evaluation:

A. Hiring:

During 2014-2016, and without an augmentation in regular staffing, Human Resources handled approximately 100 recruitments, including 41 new faculty positions for Fall 2015, which resulted in Human Resources receiving and processing over 1,500 applications for 41 vacancies. For the Fall 2016 hire, during the Spring 2016 semester, the District recruited and filled an additional 14 faculty vacancies.

B. Evaluations of Part-time Faculty:

Since the ACCJC Team visit in 2015, the Colleges have made considerable progress to complete all outstanding part-time faculty evaluations on time. In order to ensure all evaluations due were completed by the end of the Spring 2015 semester, each College developed an Evaluation Action Plan. As a result, Merritt College, Berkeley City College, and College of Alameda achieved their goals. Laney College did not achieve its goal in completing timely evaluations for all part-time faculty for the following reasons:

- The sheer quantity of part time evaluations. Over 100 part-time evaluations due to be completed by Fall 2015 were not completed.
- Lack of effective management oversight at the Colleges to ensure evaluations were on schedule
- Turnover in the administrative leadership of the College, in particular Student Services (vacancy in November 2015), and the reassignment of the Vice President of Student Services.

In Fall 2015, release time was assigned to a faculty member to provide support to Laney to schedule and coordinate the part-time faculty evaluation cycle. Nevertheless, several grievances were filed by the Peralta Federation of Teachers (PFT) for the College's failure to comply with the former grievance resolution to evaluate timely all part time faculty. As of the Spring 2016 semester, however, Laney College has made significant progress and attained an 85 % evaluation completion rate. Furthermore, grievances have been resolved. Additionally, the three other Colleges have evaluated all part time faculty within the contracted timeframe, i.e., Merritt College has completed 100% of all evaluations in Fall 2015 and Spring 2016; Berkeley City College completed 84 of 89 evaluations and is scheduled to complete all evaluations in Fall 2016; College of Alameda will be completing 100% of all evaluations in Fall 2016.

V. PCCD Commitment to Retain Key Leadership

Since the March 2015 accreditation visit, the District has made a commitment to ensure the ongoing retention of key leadership. "Strengthen accountability, innovation and collaboration" was a stated Strategic Goal for the PCCD 2015-2016 Academic Year and

enhancing leadership to support student success was a primary focus [DR.5.25]. Given this focus, the following activities were emphasized:

A. Enhanced Professional Development Opportunities

In addition to the new Chancellor's District Reorganization to respond to the institutional goals to "strengthen institutional effectiveness and leadership," "to advance student success," and "to engage and leverage partnerships in the community and abroad," another District goal in 2015-2016 was to enhance professional development opportunities to encourage retention of high caliber leaders and to encourage innovation.

In Spring 2016, a PCCD Management Leadership Development Academy Peralta (MLDAP) was instituted by the Chancellor. MLDAP was developed to develop leaders within the existing PCCD faculty and staff, to provide greater depth to the organizational structure, and to reduce administrative turnover. The MLDAP participants engaged in an intensive three-day training program that was centered on the enhancement of professional goals. All were asked to design and implement innovative projects that will improve the District's services to the Colleges. For example, one such project "On-Boarding Cohort" was initiated by the District's Benefit coordinator, along with six other colleagues. This project is comprised of a "cross-section of District managers from a breadth of administrative and student service professions who will collaborate to deliver a streamlined, efficient and transformative opportunity to the new Peralta employee." The project has four phases focusing on 1.) new employee orientations, 2.) training, 3.) professional development, and 4.) employee recognition and appreciation. [DR5.26]

B. Leadership Retreats

The District has held the following leadership retreats, organized by the new Chancellor, in December 2015 and July 2016 (Board Retreats) and in January 2015 (Management Retreat). The focus of these retreats was to provide mentoring and professional growth opportunities for all PCCD leaders and to strengthen leadership stability. [DR5.27: DR5.28: DR5.29:].

C. Leadership Evaluation

During the 2014-2015 evaluation cycles, with very few exceptions, all managers were evaluated. In those cases where an evaluation was not conducted, turnover in supervision was sometimes the cause. At the time of the last Team visit, some senior level evaluations had not yet been completed by the retiring Chancellor and therefore, could not be located. However, all senior level evaluations are now up to date.

During the 2015-2016 Management Performance Evaluation cycle, which began on July 1, 2015 and ended on June 30, 2016, all evaluations were conducted and placed in the Human Resources personnel file. As part of the ongoing efforts to improve assessment and to ensure that management goals are better defined and tracked for results, the Chancellor has added a component to the Management evaluation instrument applicable to the members of the Chancellor's Cabinet. The performance indicators will be assessed in the 2016-2017 year.

VI. Creation of a Human Resources Staffing Plan and Exit Interviews

For the first time in the Peralta District's history, the Human Resources Office developed a Staffing Plan that was reviewed in Chancellor's Cabinet and presented to Planning and Budgeting Council (PBC) at their May 2016 meeting.

Specifically, the Staffing Plan will:

- Forecast the recruitment needs by assessing employee's potential retirement date
- Establish an objective method to assess the need for replacement and recruitment based on the Colleges and District's needs
- Develop a vacancies prioritization process to identify the most critical vacant positions and to expedite the recruitment process of vital positions, within budget constraints
- Include an Evaluation mechanism

At the end of the 2016-2017 academic year, the District will evaluate the effectiveness of the Staffing Plan. [DR5.30]

Furthermore, the Interim Director of Human Resources created an "Exit Interview" form, with the purpose collect of collecting specific data pertaining to employee satisfaction. [DR5.31].

Finally, the Vice Chancellor of Human Resources and the interim Director of Human Resources participated in the District's August 2016 Flex Day in an effort to provide an opportunity for all College and District constituents to make suggestions and to ask questions about the new Staffing Plan and the Exit Interview form. Here, the forum for dialogue was central to the ongoing evaluation of the new documents. The Exit Interviews were conducted beginning August 1, 2016. Both the Exit Interviews and the Staffing Plan will be evaluated in April 2016.

VII. CONCLUSION

Under the leadership of the new Chancellor, PCCD leadership has been significantly re-evaluated to ensure adequate staffing capacity, and to introduce new measures to retain key

leadership. Additionally, the expertise of the new Vice Chancellor for Finance and Administration has fulfilled a critical need at Peralta for strengthening financial accountability and stability. With increased emphasis on sharpening institutional effectiveness, enhancing financial accountability, and advancing a more strategic approach to the development of institutional research, PCCD has improved its overall educational focus and meets Standards III A.2 and III A.6.

RECOMMENDATION 5: DISTRICT RESPONSES	
Evidence	Title of Evidence Document
DR5.1	Special Board Meeting Minutes, Feb. 3, 2015: New Chancellor Search
DR5.2	Survey Monkey for Selection of Chancellor, Feb. 2015
DR5.3	Public forum summary for Chancellor's Profile
DR5.4	Speech Chancellor's Address, August 2015
DR5.5	Chancellor Reorganization Memo, March 1, 2016
DR5.6	Governing Board Minutes, July 2014: appointment of Vice Chancellor For Finance & Administration.
DR5.7	Budget Allocation Model (BAM)
DR5.8	Governing Board Minutes, June 14, 2016 Payroll Manager and District Senior Accountant appointments. : JDs and Board Minutes
DR5.9	Governing Board Minutes, Nov. 10, 2015: Budget Director's appointment
DR5.10	JD for Special Assistant to the Chancellor and Chief of Staff
DR5.11	JD for Vice Chancellor of Student Services
DR5.12	JD for Executive Vice Chancellor for Strategic Partnerships
DR5.13	JD for Vice Chancellor of Academic Affairs
DR5.14	JD for Associate Vice Chancellor for Workforce Development Continuing Education (WDCE)
DR5.15	JD for the Assistant Vice Chancellor of Enrollment Management
DR5.16	February 23, 2016 Report of Closed Session Actions regarding the Interim Human Resources Director's appointment
DR5.17	Joint Powers Agreement
DR5.18	Approved ePAF #21211 for the Interim Director of Facilities and Operations and Job Description: Joint Powers.
DR5.19	JD for Budget Director for Workforce Development and Continuing Education
DR5.20	JD for Director of Capital Projects
DR5.21	JD for Associate Dean of Education Success
DR5.22	Letter to Dr. May Chen regarding re-assignment to Vice President of Institutional Effectiveness-Planning, Research and Evaluation for Student Success and job description
DR5.23	June 14, 2016 Report of Closed Section Actions Regarding Interim Dean for Student Services

RECOMMENDATION 5: DISTRICT RESPONSES

Evidence	Title of Evidence Document
DR5.24	Dean of College Research and Planning Job Posting Details
DR5.25	Strategic Goals & Institutional Objectives 2015-2016
DR5.26	(MLDAP) agenda for June 1-3, 2016 Sessions
DR5.27	Agenda for Dec. 17, 2015 Leadership Retreat
DR5.28	Announcement Regarding Nov. and Dec. Workshops for Classified Employees
DR5.29	July 12, 2016 Board Retreat
DR5.30	Districts Staffing Plan
DR5.31	Exit Interview Form

Recommendation 6

In order to meet the Standards, the team recommends that the District clearly delineate and communicate the operational responsibilities and functions of the District from those of the Colleges and consistently adheres to this delineation in practice; and regularly assesses and evaluates the District role and delineation and governance decision-making structures and processes to assure their integrity and effectiveness in assisting the Colleges in meeting educational goals. (IV.B.3)

I. Introduction:

The substance of Recommendation 6 urges the District and Colleges to attend to the following five key components: 1.) Delineate functions and responsibilities between the District and the Colleges. 2.) Effectively communicate the functions of the District and the Colleges. 3.) Regularly assess the respective functions and responsibilities of the District and the Colleges, and, 4.) Create a plan to implement assessment findings and to monitor progress.

II. Creation of a PCCD Strategic Goal to respond to Recommendation 6:

In August 2015, the District held its annual participatory governance Summit meeting, one of its primary purposes being to construct Strategic Goals for 2015-2016. In response to Recommendation 6, Strategic Goal D, “Strengthen Accountability, Innovation and Collaboration,” has, as one of its objectives: “Evaluate and update policies and administrative procedures, the overall PCCD organizational structure, and functional responsibilities within the District.” [DR6.1]. The Summit attendees determined that one method of more clearly delineating the functions and responsibilities between the District and the Colleges was to conduct a more comprehensive District Program Review, work which was initiated in late Fall 2014.

The Vice Chancellor of Educational Services, in consultation with faculty and District Service Center leadership then developed an Action Plan to address the following tasks to:

- Design and implement a District Service Center Customer Satisfaction Survey (follow-up from the 2013 Survey) as a means to more finely evaluate the services provided by the District to the Colleges.
- Continue the work of the District Program Review Task Force to refine the existing District Program Review process.
- Create a series of Delineation of Function Charts to more clearly articulate the operational functions of the District as compared to the Colleges.

[DR6.2].

III. Refining District Program Review

PCCD defines its Program Review as a “Systematic process for the collection, analysis, and interpretation of data.....providing accountability....to inform integrated planning, resource allocation, and decision-making.”

- Ensure quality and excellence of academic programs.
- Provide a standardized methodology for review of instructional areas.
- Provide a mechanism for demonstrating continuous quality improvement, producing a foundation for action.
- Identify effective and exemplary practices.
- Strengthen planning and decision-making based upon current data.
- Identify resource needs.

- Develop recommendations and strategies concerning future directions and provide evidence supporting plans for the future, within the department, at the college and at the District level.
- Inform integrated planning at all levels within the College and the District.
- Ensure that educational programs reflect student needs, encourage student success, and improve teaching and learning.

The District recognized that in order to really attend to better articulate the delineation between the District and the Colleges that Program Review was indeed the mechanism by which that improvement could be made. In fact, the District really began its reform of Program Review in the Fall of 2014 with the appointment of a Program Review Task Force comprised of appointments from the District Academic Senate and appointments from the administration.

As discussed in District Recommendation 4, the purpose of the Program Review Task Force is to evaluate the District Program Review process. The Task Force continued to meet in Fall 2015 and Spring 2016 to examine and to validate all District Office Service Center Program Reviews. [DR6.3].

The District Service Centers and sub-units who completed the Program Review were: Educational Services (which includes Admissions and Records, Institutional Research, Financial Aid, International Education, and Childcare Centers); Department of General Services; General Counsel and Risk Management; Human Resources; Finance and Administrative Services; Public Information, Media, and Communication; and, Information Technology. All Program Reviews have sections for Human Resource Needs, Equipment

and Technology Needs, Facility Needs, Professional and Organizational Development Needs, as well as a section to specify “Other” needs. Each section requires linking requests to an Administrative Unit Outcome, a Program Improvement Objective, and providing a reason and/or evidence of a specified need.

The Program Review Task Force determined that in order to more effectively evaluate the delineation of functions between the District and the Colleges, a new component was needed.. The new component “section 4,” addresses services provided from the District to the Colleges and reads as follows:

“Please describe the primary functions of your administrative unit as they relate to District wide operations and the goals of the colleges. Include the relationship and engagement with other District Service Centers and /or administrative units, the services that are provided the Colleges versus the District Office, and the effect these relationships have on the ability of the administrative unit to meet its previous goals and objectives.” [DR6.4]

In addition to adding the new section to Program Review, the Program Review Task Force determined that the District’s Service Center Administrative Unit Program Review Handbook needed to be evaluated and revised [DR6.5].

In November 2015, training was provided for the leadership of all District Office Service Centers to review the new requirements for Program Review. At the training meeting, a revised Program Review Handbook was distributed to all [DR6.6].

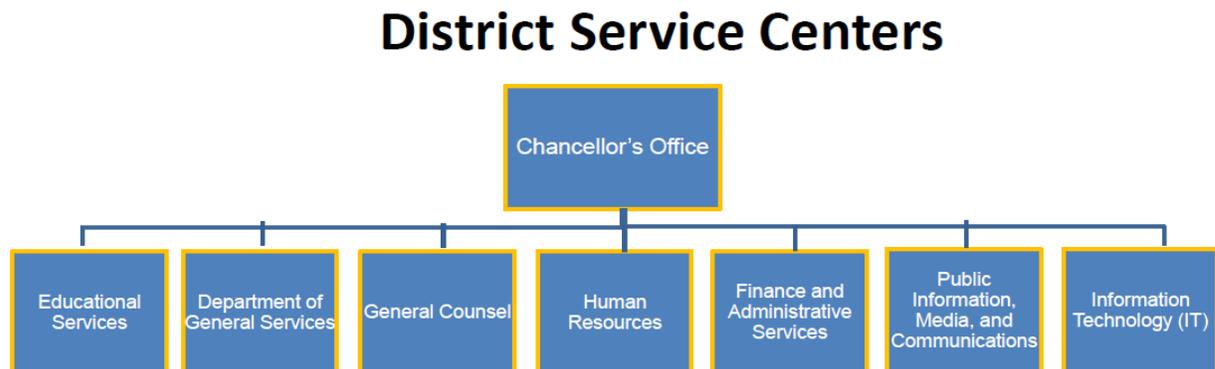
After Program Reviews were completed, they were submitted to the Program Review Task Force for review and validation. Once the Program Reviews were validated, the Program Review Task Force compiled resource requests and sent them to the various PBIM Committees for prioritization, i.e., DEC, DFC, and the DTC. Finally, a list of all requests were forwarded to the PBC for review and recommendation to the Chancellor [DR6.7].

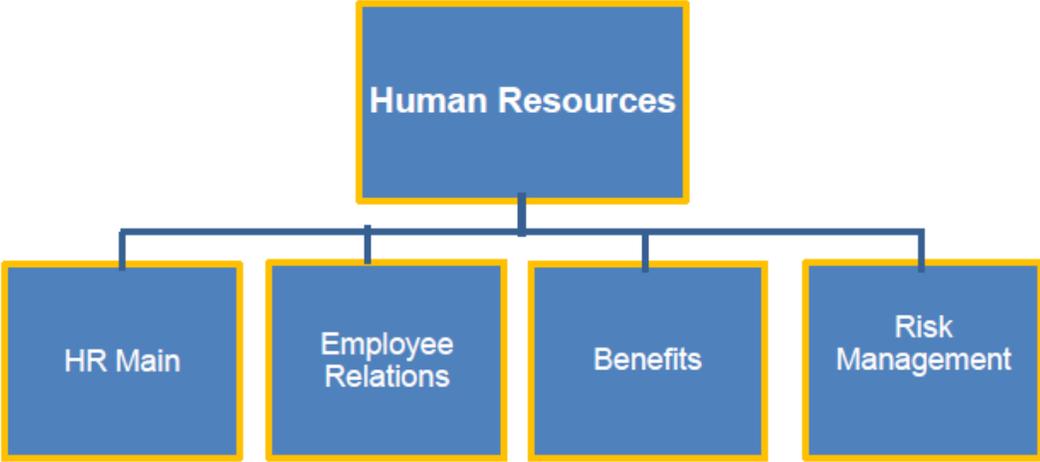
In February 2016, the Task Force conducted a survey of Program Review for the District and the Colleges. The survey included questions pertaining to the timeline, data collection methodology, and training efforts. Common concerns across the District pertained to the r: utilization of data and program review timeline, in addition to the fact that the distribution of data was incomplete and training was often inadequate [DR6.8]. As reported in Recommendation 4, in May 2016 recommendations developed by the Program Review Task Force advocated for a permanent District wide Program Review Committee to continue to refine Program Review functions.

IV. Development of Interactive District Functions Charts

In December 2015, the Vice Chancellor of Educational Services prepared an initial draft of the District Function Charts to provide details of the operational responsibilities and delineation of functions that the District Service Centers provide to the Colleges. The Functions Charts, when viewed online, allow the user to navigate among the different District Service Centers and their sub-units to see the functions provided for the Colleges.

There are three levels of charts: District Service Centers, Service Center Sub-Units, and Functions of Service Center or Sub-Units. The following screen shot provides an example:





District Functions

Human Resources Employee Relations

Conduct complaint investigations relating to harassment, unlawful discrimination, complaints, and employee conduct.

Provide advice and assistance to managers/supervisors related to employer-employee relations and interpersonal conflict.

Provide guidance and counsel to managers on matters related to employee disciplinary actions and the implementation of the progressive disciplinary process.

Develop, recommend, and implement district-wide procedures regarding EEO, nondiscrimination, sexual harassment awareness and prevention, and Title IX compliance.

Develop and provide initial and on-going district-wide training related to all aspects of EEO and diversity for purposes of compliance and enhancing awareness and sensitivity.

Coordinate and implement the District's diversity program and activities.

Implement plans to increase workforce diversity, and develop initiatives to enhance and promote diversity district-wide.

Provide guidance and direction to managers/supervisors on the collective bargaining grievance process and the resolution of grievances.

The Functions Charts were sent to the District Educational Committee, the PBC, the Deans and Vice Presidents, the District Academic Senate, the District Classified Senate, and the Chancellor's Cabinet and posted to the Web for all constituents to review and make suggested edits, as needed [DR6.9]. The revisions to the District Functions charts are particularly valuable as the District has initiated a reorganization and constituents continue to provide feedback to perfect the understanding of District/College functions.

V. District Organization Charts:

In addition to function charts, Organization Charts were created to better understand the delineation of function between the District and the Colleges. The Organization Charts show the personnel positions for each District Service Center and the hierarchy of each position whereas the Function Charts show the responsibilities inherent in each position at the Center level, thus the two charts complement each other. The Organization charts complement the Function Charts. Organization Charts for all the District Service Centers are included as a single document in this report. Both are necessary to understand the workings of the District Service Centers and are essential to understanding the structure and dynamics of a work environment with its numerous independent units. Again, as the District has engaged in reorganization, the Organization Charts have needed much revision to complement the Functions' Charts and the District will continue to evaluate both documents [DR6.10].

VI. District Functions Matrix

The Vice Chancellor of Education Services and Vice Chancellor of Institutional Planning and Advancement collaborated to revise a District Functions Matrix, originally created in 2014, that provides a comprehensive narrative of the delineation of functions provided by the District. The Matrix details indicators that depict College/District responsibilities labeled as primary, secondary, shared, or not applicable, and organized around Accreditation Standards. The most recent version of the Functions Matrix was completed in May 2016 and brought to the PBC for distribution to the Colleges, Cabinet, and Presidents' Meeting, for review and discussion, published in C-Direct, and posted on the Accreditation Web page [DR6.12, DR6.13]. As the Colleges and District continue to review the District Functions Matrix,

revisions will be made. The District views the District Functions Matrix as a “living document.”

VII. 2015 District Service Center (Customer Satisfaction) Survey:

In November 2015, the Vice Chancellor of Educational Services developed and administered a District Service Centers Customer Satisfaction Survey to evaluate services provided by the District Service Centers. This survey was a follow-up survey to a similar one administered in 2013.

The aim of the 2015 Customer Satisfaction Survey was to determine if, in fact, the District Service Areas put into practice their stated goals and to evaluate the effectiveness of the Service Center operations. The Customer Satisfaction Survey stated: “we ask your opinion about experiences you have had with each of the District Service Centers during the past year.” The survey was available to complete online through November 24, 2015. Those Service Centers addressed in the satisfaction survey were:

District Admissions and Records (A&R)

Chancellor’s Office

Educational Services

Finance

District Financial Aid

General Counsel

General Services

Human Resources (HR)

Information Technology (IT)

Institutional Research (IR)

International Education

Public Information

Risk Management

A. Comparison of Fall 2015 and Fall 2013 District Service Centers Survey Results:

To assess whether the utilization of and satisfaction with the services provided by the District Service Centers had changed between Fall 2013 and Fall 2015, the results for the 10 Service Centers that were evaluated for both periods were compared.

In Fall 2013, 286 respondents completed the survey, about 19.6% of the population (N = 1,459; data from Fall 2013 MIS report). Approximately 12% of the participants were from Berkeley City College, 14% from College of Alameda, 27% from Laney College, 17% from Merritt College, and 22% from the District Office. For positions at PCCD, approximately 46% were faculty, 39% were staff, 14% were administrators, and 1% were contractors.

Similar to Fall 2015, Human Resources had the highest utilization rate (66.1%), followed by Information Technology (61.7%), Admissions and Records (58.8%), Finance (47.1%), and General Services (40.2%) in Fall 2013. The utilization rates for all 10 Service Centers in Fall 2013, however, were lower than for Fall 2015. Human Resources, Information Technology, Finance, General Services, and Chancellor's Office exhibited over 10% increase in the utilization rates in Fall 2015. [DR6.14]

B. Customer Satisfaction Survey Summary: 2013-2015 Comparative results:

Overall, the utilization of 10 District Service Centers has increased from Fall 2013 to Fall 2015; over 10% for Human Resources, Information Technology, Finance, General Services, and Chancellor's Office.

A majority of the District Service Centers provided satisfactory "accommodation" and "timeliness" of services. Four District Service Centers were below the standard for accommodation and timeliness in Fall 2015: Risk Management, General Services, Finance, and Information Technology. Risk Management, General Services, and Information Technology evidenced substantial decreases in the satisfaction level for accommodation and timeliness over the two survey periods.

In their comments, the respondents provided a mixture of positive and negative feedbacks for the 13 Service Centers. For accommodation and timeliness, positive feedbacks included "There have been many improvements...", "Outstanding staff, accessible Vice Chancellor good teamwork," and "Receive needed information in timely manner." However, a few of the Service Centers received a greater number of negative than positive feedbacks (e.g., Finance, General Service, HR, IT, and Risk Management). Some examples included, "It is very hard to get answers," "Request responses take too long," and "My issues have not been resolved yet."

For the specific type of services provided, many of the Service Centers received negative feedback for communication : "It is difficult to communicate with staff as the phones are not answered," "So difficult to reach a real person for resolution;" technology-related issues: "The current system doesn't provide an updated information...", "problems with Passport

and its portals persist...,” policies and processes: “processes are unclear,” “constant rule changes and procedural difficulties cause problems;” and student-related issues: “not given clear information to convey to students,” “student issues take a long time to resolve.”

The most positive feedback for all categories of responses involved the competency of staff. In general, staff in most Service Centers received more positive than negative evaluations. For instance, “good competent staff” “...went out of her way to help me” or “the staff in Educational Services are amazing and responsive!”

Finally, the most common suggestion was a need for additional staff in A&R, HR, and IT; the three most utilized service centers. For example, “HR needs additional staff and/or more active processes to handle hiring in a timely manner” and “IT is understaffed.”

Given the results of the 2015 Customer Satisfaction Survey, as compared with the results of the 2013 Survey, it seems that the District’s need for improvement centers on issues pertaining to clear and timely communication and the need to recruit staff in a more timely manner and to provide more staff in some Service Centers [DR6.15].

C. District Responses to Service Center Survey:

Since the District Service Center Survey was conducted, the District has taken steps to respond to strengthen District Service Centers’ ability to meet the needs of the Colleges.

Specific responses include the following:

1. The Chancellor in his December 9, 2015 C-Direct, stated:

“...To address several issues, the service centers are going through a program review process. I encourage you to participate in these surveys. The qualitative will consist of focus

groups to further understand what we should do to continue or improve services we receive...in terms of resource allocations and delineation of duties between the District and the Colleges. One step we will endeavor to take is to strengthen the relationships between like units at the District and the Colleges.” [DR6.16].

2. Human Resources designed a comprehensive staffing plan that was presented to the Presidents, Cabinet, and finally to the PBC. Included in the Plan was the recent addition of the PBC approved Staffing Resources Staff Ad Hoc Taskforce, its purpose being to assure that staffing needs are addressed and resources allocated equitably (See Rec. 4).
3. The District, under its new Reorganization Plan, has added key leadership positions to provide better oversight and collaboration with the Colleges. The additions of key leadership positions and the reassignment of duties for some of the existing leadership include the following:
 - A Vice Chancellor of Academic Affairs has been added to provide District leadership in assisting the Colleges to improve efforts to continue to establish and communicate expectations of educational excellence.
 - The Vice Chancellor of Student Services position (a position that had been eliminated) was reestablished in order to provide continuous leadership to that Service Area.
 - A Vice Chancellor of Work Force Development and Continuing Education has been added to coordinate College CTE work and the business community.

- The Vice Chancellor of Education has assumed the leadership of Distance Education (DE) to strengthen DE across the Colleges.
- The Chief of Staff (new position) has assumed oversight and coordination of Institutional Research.
- A new Vice Chancellor of IT will strengthen IT leadership

Recommendation 5 also addresses the District's response to the assertion that PCCD needs additional staff to better coordinate District/College functions.

VIII. Conclusion:

By taking seriously the task of more clearly identifying the Delineation of Functions (District and Colleges) and by assessing the services provided by the District to the Colleges, PCCD has met Standards IV B.3. Furthermore, the Chancellor's Management Leadership District Academy Peralta (MLDAP) was developed to enhance internal leadership skills and to encourage in-house managers to develop innovative programs to meet the needs of the District Service Centers as they strive to better serve the four Colleges.

The Program Review Task Force continues to refine Program Review, as discussed, and it is anticipated these renewed efforts to make Program Review more meaningful will strengthen the reciprocal responsibilities between the District Service Centers and the Colleges. The addition of new leadership positions within the District should enhance District support to the Colleges.

At the PBIM Summit in August 2016, the Executive Vice Chancellor of Strategic Partnership and Advancement described a new project that will be undertaken, under the direction of the Chancellor, that is, to evaluate all Program Review outcomes and resource requests from

2015-2016 by October 1, 2016, and to present the various requests to the Chancellor's Cabinet for review and action. Activities or recommendations that cannot be funded through the General Fund will be considered for outreach to corporate and governmental funding. This move to more strengthen accountability for District Program Review outcomes is designed to enrich support services to all four Colleges and to ensure that outcomes are meaningful.

RECOMMENDATION 6: DISTRICT RESPONSES	
Evidence	Title of Evidence Document
DR6.1	PCCD 2015-2016 Strategic Goals and Institutional Objectives
DR6.2	Education Services Action Plan
DR6.3	PR Task Force May 10 2016 Meeting Minutes
DR6.4	2015 District Service Center Program Review Handbook
DR6.5	PR Task Force Meeting Notes December 1 2015
DR6.6	Program Review 2015
DR6.7	PCCD PBC May 2016 Minutes
DR6.8	Program Review Evaluation Summary, June 2016
DR6.9	E-mail - Revised Version of Functions Charts August 22 2016
DR6.10	District Organization Charts Revised August 25 2016
DR6.11	District Organization Charts Revised August 25 2016
DR6.12	PCCD Functions Matrix May 16 2016 Revision
DR6.13	2013 Customer Satisfaction Survey Summary
DR6.14	District Service Centers Survey 2015
DR6.15	District Service Centers Satisfaction Survey Fall 2015 Report Compares with 2013 Survey
DR6.16	C-DIRECT December 9 2015

Recommendation 7

In order to meet the Standards, the team recommends the Governing Board adhere to its appropriate role. The Board must allow the Chancellor to take full responsibility and authority for the areas assigned to District oversight (IV.B.1, IV.B.1.a, IV.B.1.e, IV.B.1.j).

I. Introduction:

When the visiting Team conducted its review of the Peralta Community College District in Spring 2015, there appeared to be a Chancellor and the Governing Board disagreement over the Board's role, vis-à-vis the Chancellor's role, pertaining to various governance matters, to include the hiring of District administrators, as well as other personnel concerns. While Peralta's Board Policy 2200 [DR7.1] defines Board duties and responsibilities, some Team interviews at the District and Colleges suggested that members of the Governing Board had engaged in activities that did not always conform to the Trustees' explicit roles. It appeared that there needed to be a clearer understanding of the Trustees' --as well as the Chancellor's-- governance roles.

II. Selection of a New Chancellor:

When the Chancellor announced his retirement in January 2015, the Governing Board initiated a recruitment for a new Chancellor; a key consideration was that the Contract would include provisions for the new Chancellor to assume more demonstrable responsibility and authority for the areas assigned to District oversight, thereby allowing for the Board to adhere more effectively to its appropriate role. The Governing Board then worked with a search consultant to begin the recruitment process and at the February 24, 2015 Special Workshop of the Governing Board, the Trustees discussed a District Survey which had

solicited feedback from the community identifying desirable characteristics for the next Chancellor [DR7.2]. This information included an emphasis on Board/Chancellor roles, and was used to develop the new Chancellor's job description. When the new Chancellor was selected, the Contract provisions clarified Chancellor/Board roles. [DR7.3] The new Chancellor assumed his position on July 1, 2015.

In his August 2015 Flex Address to all PCCD constituents, the Chancellor introduced what he called "The New Peralta Way," an initiative intended to reform Peralta's leadership through the strengthening of competence, passion, integrity, and intimacy—a leadership focused on enhancing student success. He stated: "We must commit to support an impeccable and dedicated Governing Board practicing trusteeship at its best...I am pleased to say it seems that we are working well from the same vibe." At the Flex event, the Board President spoke of the confidence the Board has in its choice of the new Chancellor [DR7.4]

III. Renewed Collaboration between the Governing Board and the Chancellor in

Setting Goals:

In September 2015, the Chancellor arranged a "Team Building" Retreat for the Governing Board. The purpose of the Retreat was to discuss the establishment of a new set of goals based on a foundation of trust and mutual support between Board and Chancellor [DR7.5]. At the Retreat, a performance evaluation process was created that included the formation of formal goals, expected outcomes, and timelines. The Governing Board and the Chancellor agreed that evaluations of both parties would be conducted in Summer 2016.

At the December 8, 2015 Board meeting, the Governing Board and the Chancellor formally adopted goals to support the effective operation of the District to ensure that their respective roles would be adhered to. These goals included:

1. Resolve District deficiencies affecting Colleges Accreditation status specified in Recommendation Seven.
2. Explore the role of Trustees in student achievement and closing the student achievement gap.
3. Review and approval of the College's work in strengthening the financial structure of the District.
4. Review and sanction the technology evaluation and resulting action.
5. Review and accept the plan for improvement of Student Services.
6. Review and accept the Student governance review.

[DR7.6].

With the establishment of written goals to improve the respective performances of the Chancellor and the Governing Board, additional protocols were developed for sharpening clear communication between all parties based on a "no surprises" principle. Included in these protocols was the stipulation that the Chancellor writes a weekly report (C-GRAM) to keep the Governing Board informed of important District activities. This weekly communication vehicle diminishes the potential for unwelcome surprises and misunderstandings and helps to continue to build trust between the Chancellor and the Board. [DR7.7]. Furthermore, the Chancellor, the Governing Board President and Vice President, Legal Counsel, and the Chief of Staff meet one week prior to each regularly scheduled Board meeting, to ensure that all parties are fully aware of the business being presented at the

Board. Finally, a weekly agenda review of the Chancellor's activities invites Board members' input and participation, thereby ensuring that the Board is fully informed of issues going on at the District level. In addition, the Chief of Staff supports the Chancellor in following up on outstanding items to ensure issues are addressed in a timely manner.

IV. More Effective Handling of Citizens' Complaints

It should be noted that a particular difficulty regarding Board/Chancellor relations ensued when some community constituents, apparently frustrated over perceived College administrative inaction on certain issues, began to appeal directly to Trustees for redress. And with the advent of electronic communications, public access to individual Board members was only facilitated, threatening not only Board unity, but causing potential friction in Board/Chancellor functions.

In response to the perceived Board "extra curricular" issue above, the new Chancellor has pledged that all public issues will be satisfactorily attended to so that constituents will not have to appeal to individual Trustees; most importantly, it is understood that each Trustee who is privately contacted on any issue will refer those individual issues first to the Chancellor's Office and/or the Chancellor's Chief of Staff.

V. Building Leadership Through Self-Assessment

In December 2015, the Chancellor arranged for a joint retreat with the Governing Board, high level administrators, and student leaders to formally introduce his ideas to strengthen leadership. At this retreat, the participants were introduced to an improved leadership model—"the New Peralta Way"—to enhance educational governance. This leadership

model embraced these values: competence, passion, integrity, intimacy, and democracy.

[DR7.8]. Participants engaged in a self- assessment of leadership competency and created an individual action plan committed to cultivate leadership skills [DR7.9].

In July 2016, another Board of Governor’s Retreat was held. At this retreat, the Governing Board discussed PCCD priorities such as the newly instituted efforts to refurbish IT Services, Enrollment Management Planning, a review of newly Master Plans for all Colleges, an Accreditation Progress Report, and an update on Financial Planning. Additionally, the Governing Board and PCCD Leadership, along with the Chancellor, engaged in the exchange of ideas, lead by a facilitator, to build on Trustee and Chancellor complementary goals and to evaluate their progress to date. [DR7.10]. Following the July Governing Board Retreat, the Chancellor sent a Survey to the Trustees to evaluate the July Retreat. The Retreat facilitator reported:

“Board clearly recognizes the progress that the Chancellor has made and respects and supports his goals and objectives for the District under his leadership. The results of the self-evaluation of the Board--a good practice for all Boards to engage with--demonstrates that there is strong agreement on the Board that they are working well with one another and with Chancellor Laguerre and that there is consistent and constructive communication and coordination between the Chancellor and the Board. The Board feels appropriately engaged and supported and has a good working relationship with the Chancellor and his team.” [DR7.11].

Prior to the July Retreat, the Governing Board and the Chancellor had evaluated the mutual goals that had been established in December 2015. The summary revealed that Board/Chancellor relations had definitely improved and that clearer avenues of communication are being established and respected. [DR7.12].

Another Board Retreat is planned for December 2016. At this Retreat, the Governing Board, PCCD leadership, and the Chancellor will continue to build on their efforts to work collaboratively and to examine PCCD's needs to improve student success.

VI. Regular Review of All Board Policies and Procedures:

Board policies are reviewed and vetted through PBC and the Chancellor's Cabinet. To facilitate policy and procedure revisions, the District has given reassigned time to a faculty member over the past few years to create and/or revise Board policies and procedures. The faculty member reviews the Community College League of California (CCLC) updates. After policies are adopted, a PCCD announcement is electronically sent to all Peralta stakeholders so that everyone is aware of new policies. [DR7.13]

At the time of the ACCJC Team visit, members of the Team noted that they could not locate a formal schedule for an ongoing, regular review of all Board policies and administrative regulations. In the past, PCCD has reviewed Board policies and administrative procedures, as needed, but beginning in Fall 2016, the District will publicize a calendar to ensure that all Governing Board policies are, in fact, scheduled for review and to ensure that the Colleges participate more routinely in expressing policy and procedure needs. The new schedule includes a timeline for reviewing all existing policies and continued attention to the CCLC policy review calendar, thereby ensuring that PCCD policies remain current.

The draft review schedule for 2016-2018 addresses a comprehensive review of policies. In Fall 2016, Board Policy series 1000, 2000, and 3000 are slated for review. The renewed focus on policy review is in keeping with the 2015-2016 Strategic objective: "D.2:

Institutional Leadership and Governance: Evaluate and update policies and administrative procedures, the PCCD organizational structure, and functional responsibilities within the District.”

One policy that pertains to Recommendation 4, is Board Policy 2715, Code of Ethics, which was revised in April 2015, [DR7.14]. The Governing Board and the new Chancellor will review BP 2715 in Fall 2016 semester pending CCLC’s recommended revisions, as both acknowledge that adhering to the Board’s Code of Ethics adds clarity and expectations for effective trusteeship. Furthermore, the Governing Board will engage in a Code of Ethics training session in Fall 2016 lead by Legal Counsel.

On August 17, 2016, the Chancellor’s addressed the PCCD community at Flex and reiterated that “many aspects of the District, including the Governing Board, are functioning well.” The emphasis on his newly launched PCCD Leadership Academy will further substantiate the goal to create a “New Peralta Way,” and to continue to build the strong working relationship between the Board, the Chancellor, and PCCD [DR7.15].

VII. Summary and Conclusion

Recommendation 7 addressed a perceived governance issue that existed at the time of the former Team visit, one that has now been resolved with the hiring of a new Chancellor and the emergence of a more effective working relationship between Board and Chancellor, along with the adoption of more intensive leadership training. The Governing Board and the Chancellor have addressed Recommendation 7 by adhering to their clarified respective roles and Standards (IV.B.1, IV.B.1.a, IV.B.1.e, IV.B.1.j) have been met.

With the arrival of a new Chancellor, the Peralta Community College District evinces a continued sense of optimism regarding Board/Chancellor leadership effectiveness based on:

1. The bona fides of the New Chancellor.
2. A renewed determination to focus on the good of the whole and not be caught up in the clamoring of special interests.
3. The agreement of a “no surprise” approach to Board and Chancellor relationships.
4. The adherence to Board policies, e.g., BP 2430 (Delegation of Authority to the Chancellor); BP 2715 (Code of Ethics and Standards and Practices); and BP 2200 (Board Duties and Responsibilities), policies that specify the collaborative relationship between Board and Chancellor.
5. The ongoing evaluation of the Governing Board and the Chancellor with the aim of clarifying roles and setting forth collaborative strategies to enhance the overall effectiveness of the District.
6. The Governing Board’s support of the shift to a “New Peralta Way” for the PCCD community. This “New Peralta Way” rests on a renewed commitment of the Governing Board and the Chancellor to provide more effective and accountable leadership for the District.
7. Broad inclusion of the College leadership in ongoing assessment and improvement of the PCCD and enhancement of student success.

RECOMMENDATION 7: DISTRICT RESPONSES

Evidence	Title of Evidence Document
DR7.1	PCCD BP 2200
DR7.2	Development of Chancellor Profile Part I, Feb. 24, 2015, Governing Board meeting
DR7.3	Excerpt from 2015 Chancellor's Contract, page. 8
DR7.4	Chancellor's 2015 Fall Flex Address
DR7.5	Board of Trustees' Retreat Agenda: Building a New Team
DR7.6	Governing Board goals, 2015-2016: Dec. 8, 2015 Board meeting
DR7.7	July 2016 C-GRAM
DR7.8	Board Policy 2715 Code Of Ethics and Standards Of Practice
DR7.9	Leading the New Peralta Way
DR7.10	New Peralta Leadership Pillars
DR7.11	Governing Board Retreat agenda, July 2016
DR7.12	Report to Chancellor Laguerre and Board of Trustees of PCCD; July 12, 2016
DR7.13	Survey of Goals, June 2016
DR7.14	Board Policy & Administrative Update and Review Process 2016-2018
DR7.15	BP 2715 Code of Ethics
DR7.16	Chancellor's Flex Day Speech, August 17, 2016

Recommendation 8

In order to meet the Standards, the team recommends that the District systematically evaluate the equitable distribution of resources and the sufficiency and effectiveness of District-provided services in supporting effective operations of the Colleges (IV.B.3.b, IV.B.3.c, III.D.1.a, III.D.1.b, III.D.1.h).

I. Introduction:

Recommendation 8 addresses the need for the District to systematically evaluate: 1.) the equitable distribution of resources, and, 2.) the effectiveness of services provided in supporting the operations of the Colleges.

II. Equitable Distribution of Resources: PCCD's Budget Allocation Model (BAM)

Each year, the Peralta Community College District establishes Institutional Goals and Objectives that are assessed throughout the year. One of the five 2015-2016 Strategic Goals was: "Strengthen Accountability, Innovation and Collaboration." Tied to this Institutional Goal was Objective D.3: Institutional Effectiveness: Evaluate and update the PBIM participatory governance structure and the Budget Allocation Model (BAM). [DR8.1]. The reason for updating BAM was due primarily to the need for the District to evaluate BAM's system for the distributing resources equitably.

A. Description of the PCCD Budget Allocation Model (BAM)

Since 2011, when it was adopted by the District's Planning and Budgeting Council (PBC), the District's Budget Allocation Model (BAM) has functioned as the primary mechanism for determining equitable resource allocations for the District's four Colleges and, indirectly to

District Office for its Support Services [DR8.2]. The model has been revised four times, with the most current iteration approved by the PBC in December 2014. [DR.8.3].

The core elements of the BAM are:

1. a demonstrative linkage between strategic planning and funding at all levels;
2. an allocation methodology that is equitable and clearly documented;
3. a model that closely tracks how revenues are received from the State of California.
4. a model based on the SB 361 State allocation model.

The BAM was designed to allocate fiscal resources (unrestricted revenues) in a transparent and equitable manner, i.e., treating similar things similarly, to the four Colleges and is comprised of state apportionment funds, non state apportionment funds, and Parcel Tax proceeds. State apportionment funds represent approximately 70% of the District's unrestricted revenues. The remaining 30% of unrestricted revenues is comprised of Parcel Tax proceeds, state lottery funds, and non-resident tuition/fees.

The BAM provides each of the four Peralta Colleges with an allocation based on its *pro-rata* share of the credit FTES revenues generated by each respective College. In order to provide stability, to minimize the impacts of annual enrollment swings, and to assist in multi-year planning, these revenues are distributed based on a three-year rolling enrollment FTES average [DR8.4]. These distributions are equitable given the *pro-rata* basis of FTES generation.

Additional growth funding, when provided by the State, is allocated to the Colleges based on incremental FTES generated, as well as on the achievement of certain productivity targets, i.e., productivity = FTES/ FTEF or a workload/ efficiency measure that determines full time

equivalent faculty need to generate “x” amount of FTES (full time equivalent students) upon which our state funding is based. Moreover, the Model has a built-in ‘incentive program’ with respect to productivity levels, rewarding those Colleges that meet their productivity targets with additional resources. This accountability incentive measure, however, was never implemented, most likely due to declining productivity levels across the Colleges

The BAM takes into account, albeit indirectly, relevant District responsibilities such as the 50% law, full-time/part-time faculty requirements, attendance accounting, audit requirements, fiscal accounting standards, procurement and contract law, employment relations and collective bargaining, OPEB debt, and payroll processing and related reporting requirements. The District Office—including Admissions and Records, Financial Aid, Educational Services, Human Resources, Finance, IT, Maintenance and Operations—provides centralized support services that align with the District’s Mission. [DR8.4].

Subsequently, from the Total Revenue Allocation by College, the cost of District Office Support Services, as well as other centralized services, e.g., services for students with disabilities or the payment of debt service on bonds, is deducted. What remains, then, is each College’s Annual Budget Allocation.

The intent of the original BAM was that each College would develop its non-discretionary and discretionary budgets based upon its Annual Budget Allocation. Non-discretionary budgets consist of salaries of full-time and part-time faculty, full-time and part-time classified staff, administrators, and related benefits. These budgets approximate 90% of a College’s Annual Budget Allocation. Discretionary budgets include supplies, equipment, utilities, and other miscellaneous expenditures, comprising approximately 10%.

In 2014, in order to achieve a more equitable allocation of resources, the BAM was revised twice to include, among other changes, allocating non-resident tuition revenues to those Colleges who were generating them (and, indeed, directly supporting the non-resident students) as opposed to distributing them on a pro rata share of total FTES generated by each College as the Model required. This change to the Model, while approved and documented, was not implemented as two Colleges would have benefited from the change and two would have suffered hardship.

In August 2015, a new Vice Chancellor for Finance and Administration (VCFA) was hired. The VCFA quickly determined that, while the BAM had been partially implemented over the past few years from the revenue side, the District had yet to fully implement accountability on the expenditure side of the equation. Colleges had continued to underspend or overspend, compared with annual resource allocations, based on their respective situations. The VCFA then recommended to the Planning and Budgeting Council (PBC) the establishment of a Task Force to evaluate and revise the existing BAM.

B. Establishment of a BAM Task Force

The BAM Task Force was convened under the purview of the PBC and began its work in October 2015. [DR8.5]. The nine-member Task Force includes: representatives from each College (including faculty, staff, and administration), a Student Trustee, the District's Budget Director and the VCFA. [DR8.6].

The BAM Task Force was charged with reviewing the current allocation Model and making recommendations to the PBC to enhance the equitable distribution of resources to all four Colleges. The following goals were established by the Task Force at its initial meeting: 1.) to

become conversant with the current Budget Allocation Model; 2.) to possess an understanding of budgeting language; 3.) to determine if the Budget Allocation Model is the right model for the District; 4.) to identify disparities/inequities in the current model; and, 5.) to determine the level of understanding across the District of the BAM. [DR8.7].

In addition to establishing the above goals, the Task Force examined perceived inequities in the BAM such as the distribution of full-time faculty seniority. Another perceived inequity in the BAM are high-cost programs such as nursing (and their relation to productivity), non-resident enrollment distribution, and fixed costs. [DR8.8]

The Task Force conducted a survey to solicit feedback regarding perceived strengths and shortcomings of the current BAM. Recurrent concerns included the need for: more education (training), CTE dialogue, accountability, alternative funding sources, inclusion of administrative costs, considerations for classified hiring, and the examination of fixed costs. Results were evaluated, further defining the work of the Task Force. [DR8.9].

Meeting twice per month, on average, over the past year, the Task Force reported its progress monthly to the PBC, and Task Force minutes were posted on the District's Website [DR8.10].

C. Recommendations of the BAM Task Force

Forums were held in Spring 2016 to allow the College and District constituents to discuss BAM Task Force findings.

In August 2016 the BAM Task Force presented its preliminary recommendations to the District during its annual Flex event [DR8.11] Intended to enhance the equitable distribution of resources within the existing BAM, recommendations included:

1. Removing all full time faculty salary and benefits costs from each College's allocation. The FTF expense, then, will be accounted for "above the line" meaning that salary and benefits will be deducted from the pool of 'available funds' prior to applying the distribution formula and thereby reducing available revenues. Colleges will then be held "harmless" for the seniority of its faculty pool.
2. Maintaining the decentralized allocation of fixed costs and basing future allocations on prior year actuals. Further, centralizing all security costs under the District Office budget so that they are shared more equitably by all Colleges.
3. Making no changes with respect to resource allocations and capped courses. The Task Force concluded that CTE courses have no significant disproportionate impact on College productivity levels.
4. Forming a separate Task Force to review and assess service levels, efficacy, and reasonableness of costs associated with all District Office support services.
5. Allocating the appropriate level of Custodians based on Industry Best Practices and an acceptable of facility cleanliness.

A final Task Force Recommendations Report was presented to the District's PBIM Summit in August 2016 [DR8.12].

The Task Force anticipates concluding its work in early Fall 2016 with final recommendations presented to the PBC in November. Upon adoption of the revised BAM, the District's goal is to approve a revised allocation model to be implemented in the development of the 2017-2018 budgets.

III. District Program Review and Resource Allocation Processes

In addition to the BAM, there are four Planning and Budgeting Integration (PBI) resource allocation processes that pertain to the effectiveness of District Services and the operation of the Colleges. These processes are central to Program Review (College and District) and govern the distribution of:

- Faculty Resources
- Staff Resources
- Technology Resources
- Facilities Resources

The resource allocation processes begin with each College's respective governance committee prioritizing its resource needs as part of Program Review. The College resource requests, along with requests from the District Service Centers, are then moved forward to the appropriate District PBI Committee, typically in the form of prioritized lists and without regard to budget considerations [DR8.13].

IV. Faculty and Staff Resource Allocation:

The District Education Committee receives prioritized faculty and staff requests, the District Technology Committee receives prioritized technology requests, and the District Facilities Committee receives prioritized facilities requests from the Colleges. These requests are

discussed in their respective PBIM Committees and forwarded to the District's Planning and Budgeting Council (PBC) for deliberation and endorsement. The various resource requests, along with PBC recommendations, are then sent to the Cabinet for review and to the Chancellor for final approval.

The District Educational Service Committee reviews the prioritized requests for replacement and new faculty hires that are forwarded each year from the Colleges. This year, the PBC approved the development of a Resource Allocation Task Force for Classified Staffing (RATF-CS) that will prioritize College and District staff requests into a master list for PBC review [DR8.14]. The addition of this Task Force will assist to prioritize replacement and new staffing needs in the same way that new and replacement faculty needs are now currently ranked, i.e., each College creates a prioritized list which are reviewed by the appropriate District PBIM Committee and then forwarded to PBC for discussion and approval (contingent on funding). These resources allocations are explained in more detail in District Recommendation 4.

V. District Technology Resource Allocation:

In the past few years, PCCD has not had a reliable technology environment. Although there exists an IT Plan to serve the District and the four Colleges, the District has faced unforeseen challenges in executing the IT Plan. Challenges include: lack of effective Executive leadership, lack of knowledge of Best IT Practices and methodologies, lack of clearly defined business practices and funding models, the establishment of sound priorities, and staff turnover. Additional challenges include the lack of District wide policies and procedures that align College IT support with District IT support, and inadequate human and capital

resources to support the ever-changing IT environment. Nevertheless, the District has had a very dedicated IT team doing their best with limited resources.

Because IT Planning has not always been acknowledged as a high priority, PCCD did not always appropriate adequate financial resources, nor display a commitment to assure the quality and continuity for District wide IT support. The four Colleges compensated by having to develop their own IT plans which have not been typically shared with District IT leadership, nor reviewed by District leadership. College IT related planning information has generally been secured on an “as needed” basis, or whenever the Colleges faced a crisis situation. Consequently, much equipment is approaching “end of life” or is at “end of life” condition, which has put additional strain on the limited staff resources and resulting in College projects not being addressed or taking too much time to implement.

In February 2016, the Chancellor recommended a major restructuring and change of leadership in the IT District Service Center owing primarily to security, safety, and student success considerations. A consultant firm was brought in to conduct an IT assessment [DR8.15] and presented a draft five-year Tactical Plan to management, which will be presented to DTC in early Fall 2016. DTC will then make a recommendation to PBC regarding the adoption of the Plan. Furthermore, the Tactical Plan was reviewed and internally vetted by IT Leadership and the VP for Finance and Administration in March 2016. [DR8:16] The consultant firm presented highlights of the Tactical Plan at the July Governing Board Retreat [DR8.17]

The change in IT leadership brought about a change in IT goals. Changes included plans to increase IT staffing and supplemental training for existing staff [DR8.18]. In May 2016, an interim Director of IT Services was appointed, an experienced IT Senior Analyst who had served Laney College for over 15 years. The Interim Director hired one new hourly Help Desk Support Technician [DR8.19]. It is anticipated that another Help Desk Support Technician will be hired in September 2016. These Technicians will be working alongside IT leadership in the creation of a comprehensive IT Service Center. The Service Center will include: helpdesk ticket prioritization, the upgrading of software, the creation of an Information Technology Infrastructure Library (ITIL), a Service Catalog, configuration management, call scripts, and Service Level Agreements.

In Summer 2016, the consultant firm conducted a Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis of IT Staff which is scheduled to be completed in late August. A summary will go to DTC in early Fall. After DTC review, steps will be taken to make changes to the infrastructure and to enhance service-oriented processes. [DR8.20] Currently, the ITIL is being introduced to the IT department as a guide for the creation of processes that follow IT Best Practices [DR8.21]. IT has also contributed significantly to the design of the PCCD TCO Guidelines (See Recommendation 3, TCO Guidelines).

Furthermore, PCCD has established an IT Steering Committee that provides oversight for the District Office of IT. This Steering Committee, comprised of Vice Chancellors, and IT Administration and Staff originally met monthly and are now moving to bi-weekly meetings to prioritize the project work of IT and to review new IT requests [DR8.22].

The District Technology Committee (DTC) is the central body that reviews and recommends various IT Projects for the Colleges. At times, the DTC was hindered by lack of leadership

and morale was affected resulting in weakened oversight to the District and Colleges. Nevertheless, the DTC worked to develop the TCO Guidelines and to adopt better practices for addressing deferred maintenance and safety needs. Finally, the DTC worked to complete a room scheduling software project, completion of a master map of IT infrastructure, and continues to make progress on other goals [DR8.23]. The DTC will be evaluating its 2015-2016 goals at its September 2016 meeting.

VI. District General Services (DGS) Resource Allocation:

The District General Service Center addresses the following prioritized requests: Daily Work order requests (to include emergencies), routine maintenance requests, deferred maintenance requests, and preventive maintenance requests. Since October 2015, the DFC has met with all the Colleges to determine their needs regarding the Total Cost of Ownership (TCO) Guidelines that are being crafted by the District. These Guidelines were presented to the DFC and PBC at their May meeting, revised in Summer 2016, and presented at the District August 2016 Flex and District PBIM August 2016 Summit for discussion.

In Spring 2016, the number of outstanding facilities and maintenance requests has been significantly reduced and safety conditions addressed. (See Recommendation 3 for an extended discussion of DGS provided services for the Colleges).

VII. Human Resources Staffing Plan

As described in District Recommendation 5, in May 2016, the Vice Chancellor of Human Resources presented PCCD's Staffing Plan to the Presidents Council, Cabinet, and PBC. [DR8.24]. This comprehensive Plan addresses the allocation of staffing resources and includes a new component, Resource Allocation Task Force-Classified Staffing (RATF-CS)

wherein new staffing requests that are not addressed in Program Review will be included. (See Section IV. Faculty and Staff Resource Allocation).

During the District August 2016 Flex, the Staffing Plan was presented at a “Q and A” session [DR8.25]. College forums may be held in Fall 2016 to respond to questions and to elicit further suggestions. The Staffing Plan will be assessed in April 2017. (See Recommendation 5 for an extended discussion of Human Resources Services).

VIII. Conclusion:

PCCD has a variety of resource allocation mechanisms in place that we revised this year. The 2015-2016 year was focused on revising and implementing plans to review and enhance the equitable distribution of resources. Most importantly, changes such as the revision of the BAM, the creation of a Staffing Plan, the creation of TCO Guidelines and the revision of the IT Plan promise that the District will continue to ensure the sufficiency and effectiveness of District-provided services in supporting effective operations of the Colleges and continue to meet Standards IV.B.3.b, IV.B.3.c, III.D.1.a, III.D.1.b, III.D.1.h. The continued evaluation of District support for the effective operations of the Colleges in 2016-2017, will serve to measure the District’s revised planning.

Recommendation 8 Evidence	
Evidence	Title of Evidence Document
DR8.1	PCCD 2015-2016 Strategic Goals and Institutional Objectives
DR8.2	PBC Minutes May 2011 BAM Model
DR8.3	PBC Meeting Minutes, December 12, 2014
DR8.4	BAM Power Point Presentation, November 17, 2014
DR8.5	BAM Task Force Minutes, October 16, 2015
DR8.6	Chancellor's C-Direct BAM Task Force Update Aug. 3 2016
DR8.7	BAM Task Force Minutes, October 16, 2015 Review Current BAM
DR8.8	BAM Task Force Minutes November 19 2015 Inequalities.pdf
DR8.9	BAM Opinion Survey Results
DR8.10	Screen Shot BAM Task Force Report of Progress to PBC
DR8.11	BAM Task Force Forum, Feb 29, 2016
DR8.12	Laney College BAM Forum
DR8.13	District Flex Day Agenda & Meeting Notice
DR8.14	PBIM Summit Agenda-BAM Task Force Recommendations
DR8.15	PBC Meeting Minutes, December 18, 2015: College/District Resource Requests
DR8.16	PBC Meeting Minutes, March 18, 2016: Ad Hoc Committee-Classified Staffing
DR8.19	DTC Goals and Objectives
DR8.20	Information Technology Org Chart
DR8.21	PCCD Telephone Computer Network and Electronic Mail Use Guidelines
DR8.22	Ferrilli Mail - ITIL Primer Training
DR8.23	ITIL Presentation & Service Training
DR8.24	Fiscal Year 2015-2016 IT Projects
DR8.25	IT Projects 2015-2016
DR8.26	IT Project Schedules
DR8.27	PCCD IT PMO Dashboard
DR8.28	Survey Data
DR8.29	Ferrilli Mail - Survey Planning
DR8.30	SWOT Analysis List
DR8.31	SWOT Analysis
DR8.32	Board Presentation
DR8.33	SWOT Analysis Handout

INDEX OF ABBREVIATIONS AND ACRONYMS

A&R	Admissions and Records
ACCJC	Accrediting Commission for Community and Junior Colleges
AP	Policy
APPA	Association of Physical Plant Administrators
APU	Annual Program Update
BAM	Budget Allocation Model
BAMTF	Budget Allocation Model Task Force
BCC	Berkeley City College
BCP/DR	
BEST	Building Environmental Sustainability for Tomorrow
BP	Board Policy
CAP	Compliance Assurance Program
CARS	Convertible Auction Rate Securities
CCCCO	California Community College Chancellor's Office
CCLC	Community College League of California
COA	College of Alameda
COD	Common Origination and Disbursement
CTE	Career Technical Education
DAC	District Administrative Center
DAS	District Academic Senate
DEC	District Education Committee
DFC	District wide Facilities Committee
DGS	District General Services
DR	District Response
DSP	Disabled Service
DTC	District Technology Committee

DW	District Wide
EMP	Education Master Plan
FCA	Facility Conditions Assessment
FF&E	Furniture, Fixtures and Equipment
FTES	Full Time Equivalent Student
FUSION	Facilities Utilization Space Inventory Options Net
FY	Fiscal Year
GASB	Governmental Accounting Standards Board
GAT	Grants Administration Team
HR	Human Resources
HVAC	Heating, Ventilating, and Air Conditioning
IPB	Institutional Planning Budget
IR	Institutional Research
IT	Information Technology
ITIL	Information Technology Infrastructure Library
JD	Job Description
JPA	Joint Powers Agreement
LAO	Legislative Analyst Office
LC	Laney College
LED	Light Emitting Diode
LOC	Letter of Credit
LRC	
M&O	Maintenance and Operations
MEP	Mechanical, Electrical and Plumbing
MIS	
MLDAP	Management Leadership Development Academy Peralta
OPEB	Other Post-Employment Benefits

PBC	Planning and Budgeting Council
PBC	Planning Budget Committee
PBI	Planning and Budgeting Integration
PBIM	Planning and Budgeting Implementation Model
PCCD	Peralta Community College District
PFT	Peralta Federation of Teachers
R2T4	Return to Title IV
RATF-CS	Resource Allocation Task Force—Classified Staff
RBC	Royal Bank of Canada
RBOA	Retirement Board of Authority
RFP	Request for Proposal
SAS	School Account Statement
SWOT	Strengths, Weaknesses, Opportunities and Threats
TCO	Total Cost of Ownership
VC	Vice Chancellor
VCFA	Vice Chancellor of Finance and Administration
VOIP	Voice Over IP
WAN	Wide Area Network
WDCE	Workforce Development and Continuing Education
WSCH	Weekly Student Contact Hours

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