**Standard III: Resources**

**The institution effectively uses its human, physical, technology, and financial resources to achieve its mission and to improve academic quality and institutional effectiveness.  Accredited colleges in a
multi-college district may be organized so that responsibility for resources, allocation of resources,
and planning rests with the district. In such cases, the district is responsible for meeting the
Standards, and an evaluation of its performance is reflected in the accredited status of
the institution(s).**

**III.A. Human Resources**

**III.A.1. The institution assures the integrity and quality of its programs and services by employing administrators, faculty and staff who are qualified by appropriate education, training, and experience to provide and support these programs and services. Criteria, qualifications, and procedures for selection of personnel are clearly and publicly stated and address the needs of the institution in serving its student population. Job descriptions are directly related to institutional mission and goals and accurately reflect position duties, responsibilities, and authority.**

**III.A. 1. Evidence of Meeting the Standard**

In keeping with Education Code sections 87100, 87400, and 88003, the Rancho Santiago Community College District (RSCCD) and its colleges employ qualified administrative, academic, and classified personnel in accordance with state and district hiring and evaluation policies and procedures to support their missions. RSCCD and its colleges and centers ensure that resources are appropriately and ethically utilized to ensure the integrity and quality of their programs and services in order that their students receive the best opportunity to meet their educational goals.  RSCCD and its colleges and centers determine and approve the positions that are required to provide and support their programs and services.

The Rancho Santiago Community College District Human Resources department (HR) administrates all HR functions for RSCCD and its colleges and centers.  For the recruiting and hiring of all personnel, the RSCCD has developed and adheres to procedures in the following:

* Board Policy (BP) 7120 (Recruitment and Hiring) (IIIA1\_1)
* Administrative Regulations (AR) 7120
* AR 7120.1 (Full-Time Faculty) (IIIA1\_2)
* AR 7120.2 (Classified Employee) (IIIA1\_3)
* AR 7120.3 (Management) (IIIA1\_4)
* AR 7120.5 (Employee Transfer) (IIIA1\_00\_)
* AR 7120.6 (Employment Eligibility) (IIIA1\_00\_)
* AR 7120.8 (Verification of Driver License) (IIIA1\_00\_)
* AR 7120.9 (After Conviction) (IIIA1\_00\_)

Once positions are approved for hiring, all job announcements are established using the approved job descriptions with input from the hiring managers. All job descriptions for classified and management positions are available on the RSCCD website (IIIA1\_5; IIIA1\_6; IIIA1\_7).  Job announcements for faculty positions are established in accordance with state and legal mandates, such as the minimum qualifications as established by the California Community College Chancellor’s Office (CCCCO) (IIIA1\_8). Prior to posting, the job announcement is reviewed and can be amended by the hiring manager and the faculty department chair in conjunction with HR to meet the specifics of the position.

All policies and administrative regulations are aligned with the legal requirements of Title 5, Education Code, and union contracts. This ensures a consistent, fair, and equitable process and that all personnel have the qualifications required in specific job descriptions and/or meet minimum qualifications to provide and support the educational programs and services of RSCCD and its colleges and centers. These policies and procedures provide a structure for ensuring that employees contribute to the institutional mission of RSCCD and its colleges and centers.

Hiring for faculty, classified, and administrative positions are established by Title 5 Regulations sections 53000 et seq. and identified in BP 7120, which includes ensuring all persons nominated for employment meet all minimum qualifications established by law, the Board of Trustees, and/or the CCCCO (IIIA1\_8). Once hiring needs have been identified and approved, the detailed hiring procedures for administrative, faculty, classified, and supervisory/confidential staff created through the Administrative Regulations are utilized (IIIA1\_2; IIIA1\_3; IIIA\_1\_4). Human Resources assists with each step of the hiring process.

The RSCCD Human Resources department will post and advertise job announcements in a variety of locations: RSCCD website, CCC Registry, and a variety of agencies, organizations, publications, and websites. All job postings for permanent positions, whether full-time or part-time, are advertised for a minimum of twenty working days, on RSCCD’s Career Pages. If there is a limited pool of candidates after the twenty days, the Equal Opportunity officer may extend the recruitment period and use additional recruitment efforts to improve the hiring pool.  To support RSCCD’s commitment to hiring a diverse workforce, all job postings are advertised across various agencies, organizations, publications, and websites. Additional specialized publications may be utilized in consultation with the hiring manager, especially in hard to reach or specialized positions. Additionally, all hiring committees’ memberships are reviewed for diversity to ensure there is appropriate diversity on the committee to reflect the diversity spectrum of the college.

RSCCD utilizes a multi-step consistent process across all recruitment processes as set out in the various ARs:

* A hiring committee reviews the job announcements to establish screening criteria, creates timelines for interviews, and develops interview questions and any other job-related tests prior to viewing any applications.
* HR reviews and approves the screening criteria, interview questions, and job-related tests to ensure they are appropriate and meet the legal requirements for a given position.
* The hiring committee reviews, and scores all completed applications.
* The hiring committee meets to review its scoring and analysis of the completed applications.
* HR organizes the first level interviews.
* The hiring committee selects finalists to be interviewed.
* The hiring manager facilitates final interviews; for faculty positions, this includes an interview with the president of the college.

All the job descriptions are available on RSCCD’s websites. These descriptions include a summary of the position, the representative duties of the position, the organizational relationships, and a desirable qualifications guide. These job descriptions are used as the basis of all job announcements and are written to meet the needs of the institution in serving its student population.

Through RSCCD’s participatory governance structure, specifically the Human Resources Committee (HRC), all administrative regulations, in relation to recruitment, are developed and reviewed on a regular basis. The AR’s are reviewed to ensure consistency, equal opportunity, and employee diversity related to RSCCD’s, its colleges’, and its centers’ missions and goals.

**III.A.1. Analysis and Evaluation**

The college meets standard III A-1.

**III.A. 1. Evidence**

**III.A.2. Faculty qualifications include knowledge of the subject matter and requisite skills for the**
**service to be performed.  Factors of qualification include appropriate degrees, professional**
**experience, discipline expertise, level of assignment, teaching skills, scholarly activities, and**
**potential to contribute to the mission of the institution. Faculty job descriptions include**
**development and review of curriculum as well as assessment of learning. (ER 14)**

**III.A.2. Evidence of Meeting the Standard**

Santa Ana College places an emphasis on hiring highly qualified and capable faculty, both full-time and part-time, and ensuring that the faculty have knowledge of the subject matter and requisite skills needed to ensure student success. To this end, Santa Ana College follows procedures outlined in both RSCCD Board Policy 7210 Recruitment and Hiring and Administrative Regulation 7210.1 Full-time faculty in its hiring practices (IIIA2\_00\_BP7210; IIIA2\_00\_ AR7210.1)

As noted in standard III A 1, the District engages in a comprehensive hiring process for all positions. Specifically, for its faculty positions, the job announcements, including teaching, non-teaching, and those disciplines in which a master’s degree is not generally available, include language on required education and experience, including the minimum qualifications established by the Chancellor’s Office handbook *Minimum Qualifications for Faculty and Administrators in California Community Colleges* (IIIA2\_4). Furthermore, the job announcements list the responsibilities and desirable qualifications and requests evidence related to student learning outcomes and assessment and curriculum development.   (IIIA2\_1; IIIA2\_2; IIIA2\_3)

For all faculty positions, applicants can review and apply through the RSCCD’s Career Pages (IIIA2\_5). In consultation with the academic department, the job announcements also include, if applicable, the equivalences or an equivalency process for the applicants who do not meet the minimum qualifications (IIIA2\_4).  Once closed, and there is a sufficient pool of applicants, the applications are reviewed by the HR recruitment staff to ensure that the applicants have completed the requirements of the application process. RSCCD ensures that there is a suitable applicant numbers for a given position and does, on occasion, extend the recruitment period to increase the number of applicants for a position. The screening and selection criteria, as established in RSCCD Administrative Regulations 7120.1 Full-Time Faculty, includes the necessary educational experience and necessary requisite skills required for the services to be performed. The interview process usually includes a practicable component, such as a writing sample and/or a teaching demonstration. The hiring committee has the responsibility to select the finalists for interview by the college president. Prior to final interviews with the college president and appropriate vice-president, the co-chairs of the hiring committee are responsible for conducting reference checks on all finalists.   (Evidence: AR 7120.1 IIIA2\_6)

RSCCD and the faculty union recognize the importance of having qualified faculty. Article 10 of the Collective Bargaining Agreement (Insert link to the contract), supports RSCCD’s and the College’s commitment to having suitably qualified faculty.  Article 10 established a Faculty Service Area (FSA)should faculty members meet the minimum qualifications pursuant to Section 87356 of the Education Code. If faculty members believe that they meet the minimum qualifications in another area, there is an established procedure for them to petition for an additional FSA. (\*evidence?)

Faculty teaching upper division and general education courses for the Baccalaureate degree in Occupational Studies (OS) hold a master's degree. In addition, all faculty teaching OS courses are licensed to practice Occupational Therapy by the California State Board of Occupational Therapy. Current OS faculty all have a minimum of 10 years of industry experience.   The job descriptions for faculty members teaching in the OS baccalaureate degree accurately reflect the duties and responsibilities associated with the position. (OS job posting)

**III.A.2.  Analysis and Evaluation**

In accordance with RSCCD Board Policy 7210 and Administrative Regulation 7210.1, legal requirements in Title 5 Regulations, and in collaboration with RSCCD Human Resources, Santa Ana College has formalized hiring procedures in place.

As outlined in AR 7210.1, and as established in each job description, knowledge of subject matter and the requisite skills required to perform the service are included as part of the necessary faculty qualifications, Factors of qualification also include required degrees, discipline expertise, level of assignment, teaching skills, scholarly activities, and the potential to contribute to the mission of the institution.  Faculty job descriptions also include development and review of curriculum as well as assessment of learning.District HR verifies that all applicants forwarded to hiring committees meet the minimum qualifications for the position.  Through this standardized process, hiring committees select finalists based on the established criteria, satisfactory verbal interviews, and practical demonstration(s) of skills. This process ensures that the finalists for faculty positions have the required minimum qualifications, knowledge, and skills--including student learning outcomes and curriculum development-- needed by RSCCD and the College to strengthen student success.

(Insert brief narrative around Senate’s work to update Equivalency Committee)

**III.A.2. Evidence**

**(to be placed here)**

**III.A. 3. Administrators and other employees responsible for educational programs and services possess qualifications necessary to perform duties required to sustain institutional effectiveness and academic quality.**

**III.A.3. Evidence of Meeting the Standard**

The process for hiring administrators and employees involved in educational programs and services is an equitable, impartial, and thorough formal process, which is overseen by the District HR department in accordance with AR 7210.2 Classified Employee Recruitment and Selection and AR 7210.3 Management Recruitment and Selection (IIIA3\_00\_AR7210.3) and current Title 5 Regulations (IIIA\_3\_3).  As outlined in Standard III A 2, based on a rigorous and thorough hiring process, Administrators, and employees responsible for educational programs and services at Santa Ana College are professionally qualified and possess the necessary qualifications to perform the duties required to sustain institutional effectiveness and academic quality.   Job descriptions include language pertaining to experience relevant to a specific job, including the minimum qualifications that are aligned with the Title 5 Regulations and the Chancellor’s Office handbook *Minimum Qualification for Faculty and Administrators in California Community Colleges*(IIIA3\_1).

 The screening committee consists of all constituent groups--such as students, faculty, classified staff, and managers--who are nominated by their respective leadership. This screening committee is reviewed by the Equal Employment Opportunity Officer for appropriate diversity and potential conflicts of interest. The hiring process can include interviews, presentations to the committee, and writing exercises. For Chancellor Cabinet positions, such as college presidents, the hiring process can include “Town Hall” meetings to allow constituent groups to address questions directly to the candidates. This multi-step process ensures that the administrators or other employees for educational programs and services possess qualifications necessary to perform duties required to sustain institutional effectiveness and academic quality and that their abilities match the requirements of the position and the needs of the students at Santa Ana College.

Applicants apply through the RSCCD Career Pages website (IIIA3\_2), and HR manages the applications, making sure that the applicants have the correct credentials, transcripts, and experience per the job announcement. Additionally, HR reviews all applications for completeness, including verifying the application form, resume, transcripts, and all supplemental materials. The hiring committee under the chair and co-chair then manages the process through screening, interview, reference checks, final interview, and selection of the successful candidate (IIIA3\_3).

**III.A.3. Analysis and Evaluation**

In accordance with RSCCD policy for hiring and evaluation, Santa Ana College ensures that administrators and other employees responsible for educational programs and services possess the necessary qualifications to perform the duties required to sustain both institutional effectiveness and academic quality.

**III.A.3. Evidence**

**III.A.4.  Required degrees held by faculty, administrators and other employees are from institutions accredited by recognized U.S. accrediting agencies. Degrees from non-U.S. institutions are recognized only if equivalence has been established.**

**III.A.4. Evidence of Meeting the Standard**

As mandated by the Chancellor’s Office’s *Minimum Qualifications for Faculty and Administrators in Community Colleges*(IIIA4\_1) and established in BP 7210 (Academic Employees) (IIIA4\_2) and BP 7250 (Educational Administrators) (IIIA4\_3), RSCCD requires official transcripts or equivalency to U.S. degree(s) prior to being hired as part of the hiring process.

All RSCCD job postings include a statement indicating required degrees must be from an accredited college or university or equivalent.  (IIIA4\_4, IIIA4\_5, IIIA4\_6, IIIA4\_7 Administrator Job posting).  Potential employees may petition for equivalency to the minimum qualifications as determined by Ed Code and the CCCCO using five developed equivalency forms (IIIA4\_8, IIIA4\_9). Degrees from non-U.S. institutions are recognized if transcripts provided have been evaluated by an agency certified by the National Association of Credential Evaluation Services (NACES) and are verified to be equivalent to U.S. degrees.

RSCCD only recognizes degrees held by faculty and administrators if the degrees have been awarded from accredited institutions. Successful finalists who possess degrees from non-accredited or foreign institutions must establish equivalence by providing RSCCD with conclusive evidence, which would include transcript evaluations conducted by an approved agency, such as NACES. (IIIA4\_10 – Degree Equivalency notice / process)

 **III.A.4. Analysis and Evaluation**

The College requires that degrees held by faculty, administrators and other employees are from institutions accredited by recognized U.S. accrediting agencies. Degrees from non-U.S. institutions are recognized only if equivalence has been established.

**III.A.4. Evidence**

(insert here)

**III.A.5. The institution assures the effectiveness of its human resources by evaluating all personnel systematically and at stated intervals. The institution establishes written criteria for evaluating all personnel, including performance of assigned duties and participation in institutional responsibilities and other activities appropriate to their expertise. Evaluation processes seek to assess effectiveness of personnel and encourage improvement. Actions taken following evaluations are formal, timely, and documented.**

**III.A.5. Evidence of Meeting the Standard**

In following RSCCD’s established policies and procedures regarding evaluation, Santa Ana College assures the effectiveness of its personnel. The systematic employee evaluation procedures for all personnel are outlined in their respective collective bargaining units and in RSCCD board policy (IIIA5\_1; IIIA5\_2).   The collective bargaining units negotiate the evaluation processes which are reflected in collective bargaining unit agreements (IIIA5\_3; IIIA5\_4; IIIA5\_5; IIIA5\_6;). Confidential employees and management employees who are not represented by collective bargaining units have administrative regulations that establish their evaluation process for each of these employee groups (IIIA5\_7; IIIA5\_8).

**Faculty**

Probationary full-time faculty are evaluated annually in their first four years. Once tenure is successfully received, full-time faculty are evaluated every three years thereafter. Part-time faculty are evaluated in their first two semesters of employment and every three semesters thereafter. All faculty are evaluated in accordance with Article 8 of the Collective Bargaining Agreement (CBA) with the Faculty Association of Rancho Santiago Community College District (FARSCCD). All faculty are evaluated in accordance with the criteria and forms in Appendix O of the CBA. Each faculty employee group is subject to different criteria, and the evaluations are carried out either by administrators and/or tenured faculty when necessary. The evaluation process includes self-evaluation, student surveys, peer observations, colleague surveys, and administrative reviews and evaluates the employee’s effectiveness, performance of assigned duties, and participation in institutional responsibilities. Once the evaluation is completed, it is reviewed with the employee and signed by all the parties involved; it is then forwarded to HR for inclusion in the personnel file of the employee. (IIIA5\_3; IIIA5\_4)

**Classified**

All the timelines, criteria, and procedures involved in evaluating California School Employees Association (CSEA) employees is established in Article 8 of the CBA. Probationary employees are evaluated at the completion of third, seventh, and eleventh month of their first year. Permanent employees are evaluated every third year thereafter, and those who are promoted to a higher classification are evaluated at the completion of their third and sixth month of their probationary period in the higher classification. The CBA does allow for employees to be evaluated more frequently as determined by RSCCD but not more frequently than every six months.  In the event an employee is evaluated below standard, the evaluating manager must provide a specific plan for improvement to assist the employee to meet the standard. (IIIA5\_5; IIIA5\_6)

**Confidential employees, Managers and Administrators**

All managers and administrators are evaluated in accordance with Administrative Regulation – Management Evaluation Procedure (AR7150.2). They are evaluated annually in their first two years working in a new position and every two years thereafter. Additional evaluations may be made at the request of their supervising Cabinet member. The evaluation of the manager involves a comprehensive approach including a self-evaluation, a survey of subordinates and colleagues, and a summary report from the employee’s supervisor. The evaluation focuses on leadership/supervision skills, professional performance/job duties, and knowledge base. The supervising administrator, based on the evaluation, can make one of the following determinations: continue in the position, manager reassignment, manager termination, or a manager reevaluation. (IIIA5\_7; IIIA5\_8.)

While the evaluation process varies amongst different employee groups within RSCCD, each process is aimed to equitably provide valuable feedback for the improvement of job performance.  HR ensures and monitors the proper notifications of evaluation timelines, submissions, and follow up. (Evidence: sample email?)

**III.A.5. Analysis and Evaluation**

Per RSCCD’s established policies and procedures, Santa Ana College ensures that its personnel are evaluated in a systematic manner thus ensuring the effectiveness of its human resources. The RSCCD Human Resources department provides guidance and support through the establishment of relevant board policy, collective bargaining agreements, and associated ARs. They ensure that the required documentation and established criteria for all evaluations are accurate and up to date. This includes a monitoring system which ensures that supervisors are notified of employee evaluations and deadlines.

Written forms, and checklists have been developed and are used to ensure effective evaluation processes.  Overall evaluation processes include evaluation of employee performance of assigned duties and opportunity for improvement through established improvement plans, when necessary.

**III.A.5. Evidence**

(insert here)

**~~III.A.6. The evaluation of faculty, academic administrators, and other personnel directly responsible for student learning includes, as a component of that evaluation, consideration of how these employees use the results of the assessment of learning outcomes to improve teaching and learning.~~*(Effective January 2018, Standard III.A.6 is no longer applicable. The Commission acted to delete the Standard during its January 2018 Board of Directors meeting.)***

[Skip Standard III.A.6. Continue responses with Standard III.A.7)

**III.A.7. The institution maintains a sufficient number of qualified faculty, which includes full time faculty and may include part time and adjunct faculty, to assure the fulfillment of faculty responsibilities essential to the quality of educational programs and services to achieve institutional mission and purposes. (ER 14)**

**II.A.7. Evidence of Meeting the Standard**

Santa Ana College is guided by RSCCD policies and state law and regulations to establish and determine a sufficient number of qualified faculty to assure the fulfillment of faculty responsibilities essential to the quality of SAC’s educational programs and services to achieve its institutional mission and purpose. California Education Code section 84362 (d), known as the 50% law, requires districts to have at least 50% of their expenses be associated with the direct costs of instruction of students in the classroom (IIIA7\_1). Additionally, RSCCD adheres to the California Code of Regulations Title 5, section 51205 that requires districts to adjust the number of full-time faculty from the prior year’s number in proportion to the amount of growth in funded credit full-time equivalent students (IIIA7\_2). Annually, the State Chancellor’s Office sets the Faculty Obligation Number (FON) for RSCCD. To maintain a sufficient number of qualified faculty, RSCCD maintains the required number of full-time faculty higher than required by California Education Code section 84362(d).

Annually, SAC’s Academic Senate reviews faculty hiring requests and prioritizes them based on the needs of the institution and student body to achieve its unique institutional mission and purpose (??? Evidence). The prioritization process contains both qualitative and quantitative information, such as program review, enrollment, and retirements. The administration of Santa Ana College strongly depends on the recommendations provided by its Academic Senate as a practice collegial participatory governance and to assure the fulfillment of faculty responsibilities and quality educational programs. The decision of which faculty to hire lies primarily with the College President in consultation with President’s Cabinet. At the District level, Chancellor’s Cabinet affirms the recommendation of the colleges and considers the budget impact of the requests, including the long-term impact of recruiting additional full-time faculty.

**III.A.7. Analysis and Evaluation**

Based on guidelines through the “50% Law” and the Faculty Obligation Number, the College and the District have internal processes that allow for the hiring of a sufficient number of qualified faculty

**III.A.7. Evidence**

**(list here)**

**III.A.8. An institution with part-time and adjunct faculty has employment policies and practices which provide for their orientation, oversight, evaluation, and professional development. The institution provides opportunities for integration of part time and adjunct faculty into the life of the institution.**

**III.A.8. Evidence of Meeting the Standard**

Santa Ana College supports its part-time and adjunct faculty as outlined in RSCCD BP 7009 (Staff Development) and BP 7160 (Professional Development) (IIIA8\_1; IIIA8\_2; IIIA8\_3). Regarding evaluations, Santa Ana College adheres to negotiated practices between FARSCCD, the Continuing Education Faculty Association (CEFA), and RSCCD (IIIA5\_1; IIIA5\_2; IIIA5\_3; IIIA5\_4).

All part-time faculty have a flex obligation of one and a half hours to fulfill for each Lecture Hour Equivalent (LHE) they are assigned to teach (IIIA8\_4; IIIA8\_5). To meet this obligation, part-time faculty can attend various scheduled professional development opportunities during Santa Ana College’s professional development week, which occurs the week prior to the start of the semester, or other opportunities offered throughout the semester (IIIA8\_6; IIIA8\_7). Additionally, an orientation for part-time faculty is integrated into the practices of the college and departments prior to the start of each semester during division/department meetings (IIIA8\_8).

The evaluation and oversight of the part-time faculty is set out in Article 8 of the CBA (IIIA5\_3; IIIA5\_4). As described in IIIA.5, all part-time faculty are regularly evaluated to ensure that they are meeting the expectations of the college. These evaluations are an important component of employment preference rights that start in the fall of 2021.  Part-time evaluations consist of a classroom observation by a faculty peers, student surveys, and--when necessary--opportunity for improvement through an established improvement plan.

Santa Ana College offers numerous opportunities for the part-time faculty to become involved in the life of the campus. All part-time faculty participate in a beginning of the semester division/department meetings and are encouraged to participate in campus activities, such as Convocation, and all professional development activities. Dedicated professional development is provided during SAC’s professional development week and throughout the semester. These opportunities are circulated to all employees, including part-time faculty, by email with a short description of the training along with an online registration process.

The part-time faculty are given opportunities to become further involved in the college’s life by way of participatory governance committees, SAC’s Academic Senate, and various projects in their respective departments. These activities help them to become more involved in the life of the college and to feel like a part of the college so that they can better serve its students.

**III.A.8. Analysis and Evaluation**

Santa Ana College through its established policies and practices support its part-time/adjunct faculty in matters related to employment policies and practices, which include orientation to the campus, evaluation and oversight, professional development, and opportunities for part-time/adjunct faculty to integrate into the life of the institution.

**III.A.8. Evidence**

(list here)

**III.A.9. The institution has a sufficient number of staff with appropriate qualifications to support the effective educational, technological, physical, and administrative operations of the institution. (ER 8)**

**III.A.9. Evidence of Meeting the Standard**

Rancho Santiago Community College District’s Equal Employment Opportunity and Human Resources Plan outlines not only the regulatory framework, board policies, and procedures to maintaining a diverse workforce but also the committee structures, data analysis, and planning framework to ensure that RSCCD maintains enough staff to support the effective education, technological, physical, and administrative operations of RSCCD and Santa Ana College (IIIA9\_1). Furthermore, Santa Ana College relies on its administrative personnel and integrated planning processes to evaluate and recommend the hiring of classified staff.  Any change in organizational structure is originated at the area level and reviewed by President’s Cabinet before submission to the College Council.  These recommendations are reviewed through college governance structures before passing through the Chancellor’s Cabinet and RSCCD governance structures before final approval by the Board of Trustees.

BP 7120 (Recruitment and Hiring) and BP 7230 (Classified Employees) give direction as to the qualifications for classified staff (IIIA9\_2; IIIA9\_3).  Classified staff job descriptions are reviewed and ratified by CSEA according to its constitution.

The HRC reviews data on the demographics and levels of classified staff and has the authority to make recommendations to the District Council on this topic (Minutes ???).

**III.A.9. Analysis and Evaluation**

The college has processes and procedures that are in line with Board of Trustee policies and regulations in addition to district planning documents to ensure enough staff with appropriate qualifications to support the effective educational, technological, physical, and administrative operations of the institution.

**III.A.9. Evidence**

(list here)

**III.A.10 The institution maintains a sufficient number of administrators with appropriate preparation and expertise to provide continuity and effective administrative leadership and services that support the institution’s mission and purposes.**

**III.A.10. Evidence of Meeting the Standard**

Santa Ana College recognizes the need to have administrators who are suitably prepared and have the expertise to provide effective administrative leadership and services that support its mission and purpose. SAC adheres to AR 7120.3 (Management Recruitment and Selection) when hiring administrators for various programs (IIIA1\_4). This AR sets out procedures to ensure that the college selects the best administrators in terms of their education, experience, and skills as discussed in Standard III.A.3. This is not the end of the process as each new administrator is evaluated as discussed in Standard III.A.5.

During the hiring process, the hiring screening committee establishes the criteria using the established minimum qualifications in the job description; this involves a discussion of the experience and skills required for the specific job description. These screening criteria are designed to find the best qualified individual for the position to provide effective administrative leadership and services to the institution and the students it serves.  Once hired, the administrator is evaluated annually for the first two years and then every two years thereafter (IIIA5\_8).

**III.A.10. Analysis and Evaluation**

The institution maintains a sufficient number of administrators with appropriate preparation and expertise to provide continuity and effective administrative leadership and services that support the institution’s mission and purposes.

**III.A.10. Evidence**

(list here)

**III.A.11. The institution establishes, publishes, and adheres to written personnel policies and procedures that are available for information and review. Such policies and procedures are fair and equitably and consistently administered.**

**III.A.11. Evidence of Meeting the Standard**

RSCCD makes its personnel policies and procedures available via its publication on the RSCCD website where they are easily accessible to the public (IIIA11\_1 - Link to Policies / ARs). As evidenced in the college’s response to Standard I.C.5, the review and necessary revision of RSCCD’s policies are conducted regularly to establish best in practices and to ensure compliance with all state and federal regulations.

Under the umbrella of RSCCD, Santa Ana College contracts with several human resource-related agencies to receive the most contemporary guidance to ensure fairness, equity, and consistent oversight regarding written personnel policies and procedures. The college subscribes to the Community College League of California’s (CCLC’s) policy and procedure service. This provides recommended language and two updates per year, enabling RSCCD to ensure all personnel policies and procedures are current and align with personnel legislation. (AIII11\_2 - Evidence needed for CCLC membership).

Similarly, the college contracts with Liebert, Cassidy, and Whitmore (LCW) for outside counsel that specializes in the legal aspects of human resources. LCW regularly sends out communications and updates on personnel issues, provides two updates per year to ensure compliance with state and federal regulations, and provides training to the college faculty and staff on personnel issues (AIII11\_3 - insert list of training from LCW).

RSCCD policy is such that all members of interview committees are required to be trained in appropriate, non-biased hiring procedures. This Equal Employment Opportunity (EEO) training is conducted by LCW on a regular basis and throughout the different campuses within RSCCD. Additionally, LCW provides training opportunities to faculty and staff members in the arenas of personnel discipline and best practices. (AIII11\_4 - Evidence of contract with LCW).

Finally, the college also contracts with the Alliance of Schools for Cooperative Insurance Programs (ASCIP). ASCIP provides a learning management system which helps conduct and oversee the assignment of training to various employee groups and to track their completion, for example, sexual harassment training for the managers and faculty members. These training opportunities are offered equitably to all managers and faculty members within RSCCD with certifications lasting for set periods of time (two years for sexual harassment training, for example) thus demonstrating they are consistently administered. (AIII11\_5 - Evidence of contract with ASCIP).

Communication and information via the college’s participatory governance process lends itself to reviews of personnel policies and procedures.  Prior to all policies and procedures being submitted for board approval, they are vetted by numerous personnel-related committees, such as HRC, the Planning and Organizational Effectiveness Committee (POE), and the Fiscal Resources Committee (FRC).

HR regularly collaborates with representatives from various associations, such as CSEA and the Employer Employee Relations Committee (EERC), which is a representative body of the CSEA. These groups meet up to two times a month to discuss personnel issues and to address relevant and contentious personnel matters. Furthermore, union representatives from FARSCCD meet with the vice-chancellor of human resources and the assistant vice-chancellor of human resources to discuss faculty issues. These meetings and discussions present all parties an opportunity to monitor, identify, and review personnel policies and procedures.

**III.A.11. Analysis and Evaluation**

Ultimately, the publishing of personnel policies and procedures for public consumption, the accountability demonstrated via the various avenues of the participatory governance process, and the oversight of policies and procedures by trained staff members demonstrate transparency and a commitment to the fair, equitable, and consistent administration of all policies and procedures encapsulating personnel.

**III.A.11. Evidence**

(list here)

**III.A.12. Through its policies and practices, the institution creates and maintains appropriate programs, practices, and services that support its diverse personnel. The institution regularly assesses its record in employment equity and diversity consistent with its mission.**

**III.A.12. Evidence of Meeting the standard**

Through its policies and practices, RSCCD creates and maintains appropriate programs, practices, and services to support its diverse personnel. In supporting diversity, equity, opportunities, and training for all administrators, faculty, and staff, RSCCD adheres to several board policies and administrative regulations, including BP 3410 and AR 3410 for Nondiscrimination, BP 3420 and AR 3420 for Equal Employment Opportunities, BP 7100 and AR 7100 for Commitment to Diversity, and BP 7160 and AR 7160 for Professional Development (IIIA12\_1; IIIA12\_2; IIIA12\_3; IIIA12\_4; IIIA12\_4; IIIA12\_5; IIIA12\_6; IIIA12\_7; IIIA12\_8).  As part of its commitment to diversity, RSCCD recently hired an interim chief advisor to the chancellor for academic and diversity programs. SAC has an equity coordinator to lead, plan, organize, and manage student equity efforts to close the achievement gaps for under-represented student groups and advance the college’s mission.

RSCCD has practices and provides professional development opportunities that are consistent with its commitment to diversity.  To serve on a screening committee, all faculty and staff must have had EEO training within the last two years as established in AR 7120.1 (Recruitment and Hiring of Full-Time Faculty), AR 7120.2 (Recruitment and Hiring of Classified), and AR 7120.3 (Recruitment and Hiring of Management) (AIII1\_3; AIII1\_4; AIII1\_4).  In 2015, RSCCD met the State Chancellor’s Office’s EEO program criteria and received $50,000 to assist in EEO training and resources that promoted innovative strategies in recruiting diverse administration, staff, and faculty. In 2018, RSCCD met the EEO program criteria and received $45,000. EEO training that outlines statutory regulations and addresses implicit biases is provided to RSCCD administration, staff, and faculty at least twice a year. Along with this targeted compliance training, there are multiple workshops, webinars, and conferences provided throughout the year on topics such as diversity and inclusion. Examples of these workshops include: Meeting the Unique Needs of the LGBTQIA Student Population, ACPA (CCPA) Spring Institute: Intersectionality and Inclusion, Poetic (Social) Justice: Dismantling Gender Violence, Lunch and Learn: Why Pride? Celebrating Asian and Pacific and Pacific Islander Heritage, Building Support for Formerly Incarcerated Students at SCC, Umoja Conference XIV, and Real #114 Housing and Food Insecurities Conference (Source: RSCCD Diversity Report).

RSCCD regularly assesses its record in employment equity and diversity consistent with its mission as set out in BP 1200 (District Mission) (IIIA12\_9).  The HRC is a participatory governance committee that is charged with planning, evaluating, and assessing issues related to human resources. As such, this committee serves an evaluative and advisory role to the administration and the Board of Trustees regarding human resources. The HRC also serves as the RSCCD EEO Advisory Committee. The HRC annually reviews and updates the RSCCD Diversity Report (HR Minutes 11/19?? 11/18?? AIII12\_10; AIII12\_11; AIII12\_12)

The RSCCD Diversity Report is a collection of data and an analysis of recruitment and hiring trends. It provides information that is a crucial component to ensure that RSCCD’s EEO policies and procedures support a diverse workforce and to ensure the ability to identify and eliminate possible barriers to employment. Every three years, the HRC reviews and updates the RSCCD *Equal Employment Opportunity and Human Resources Plan* (AIII12\_13; AIII12\_14; HR minutes [1/10/18](https://www.rsccd.edu/Departments/Human-Resources/Documents/HRC/Agendas-Minutes/2017-2018/Minutes_for_01102018_HRC_Meeting.pdf), [11/12/14](https://www.rsccd.edu/Departments/Human-Resources/Documents/HRC/HR%20Committee%20Meeting%20Minutes%20November%2012%202014%20approved.pdf)).  This plan is evidence of RSCCD’s commitment to EEO and diversity in recruitment and hiring. It contains detailed descriptions of the plan’s regulatory framework, relevant board policies and administrative regulations on EEO, the delegation of responsibilities of addressing EEO compliance issues with relevant laws and regulations, the HRC, processes for handling complaints, notifications to RSCCD employees, training for screening/selection committees, annual written notice to community organizations, analysis of district workforce and applicant pool, other measures necessary to further EEO, and data summarizing district trends in staffing, hiring, and diversity.

**III.A.12. Analysis and Evaluation**

Based on the evidence above, RSCCD’s policies and practices align with Standard III.A.12. It is evident that through its board policies, administrative regulations, practices, and participatory governance processes, RSCCD creates and maintains appropriate programs, practices, and services that support its diverse personnel. In collaboration with the HRC, RSCCD regularly assesses its record in employment equity and diversity consistent with its mission (AIII12\_9).

 The college meets Standard III.A.12.

**III.A.12. Evidence**

(list here)

**III.A.13. The institution upholds a written code of professional ethics for all its personnel, including consequences for violation.**

**III.A.13. Evidence of Meeting the standard**

Integrity is the cornerstone of ethical behavior and is vital in the professional life and culture of SAC. SAC supports and adheres to RSCCD’s Code of Ethics as set out in BP 7001 (Code of Ethics) and BP 7002 (Civility) (IIIA13\_1; IIIA13\_2). This policy sets out standards of ethical and professional behavior, describing what behaviors are expected from everyone hired and/or paid by RSCCCD. The consequences for violation of this policy and behaviors are set out in board policies and Administrative and Education Code 87732 (IIIA13\_3; IIIA13\_4; IIIA13\_5).

**III.A.13. Analysis and Evaluation**

RSCCD has a Board of Trustees approved ethics policy for all its employees, and it sets out the consequences for violations of that policy. All employees can anonymously report any complaints of ethical misconduct that may violate the policy via the incident reporting form (IIIA13\_6 Incident Reporting Form) and (IIIA13\_7 https://wetip.com/). All reports of alleged misconduct are forwarded to HR to be investigated promptly.

  The college meets Standard III.A.13.

**III.A.13. Evidence**

 (list here)

**III.A.14. The institution plans for and provides all personnel with appropriate opportunities for continued professional development, consistent with the institutional mission and based on evolving pedagogy, technology, and learning needs. The institution systematically evaluates professional development programs and uses the results of these evaluations as the basis for improvement.**

**III.A.14. Evidence of Meeting the Standard**

RSCCD supports the professional development of all employees (IIIA12\_7; IIIA12\_8; III8\_3). Professional development opportunities (various training offerings and flex calendars) are offered throughout the year for staff, faculty, and administrators. A variety of trainings are offered and are tied directly to the mission of RSCCD, including intellectual and personal growth, diversity training, and EEO compliance (AIII12\_9). In addition to providing training to meet its mission, RSCCD offers training required by law, such as mandatory sexual harassment training (IIIA14\_1 -https://ascip.synlms.com/Login). Additionally, all employees are invited to attend a bi-annual convocation on each campus with a keynote speaker on a current relevant topic such as racial justice, guided pathways, or student equity (IIIA14\_2-flex calendars).

Each campus has a professional development coordinator and a Professional Development Committee made up of faculty and administrators (IIIA14\_3 - SAC Participatory Governance PD Committee, IIIA14\_4 -Professional Development websites). The committee plans an annual calendar of professional development offerings, including a bi-annual flex calendar of activities, which is on the SAC website. Analysis is done regularly to determine training needs, and feedback is gathered at all on-campus trainings and workshops (IIIA14\_5 -Survey Results Convocation F20 SAC). The results of these surveys are used to determine the efficacy of the training as well as to develop future trainings. Faculty are required to attend professional development activities during bi-annual flex weeks (IIIA8\_4; IIIA8\_5;) and are encouraged to teach workshops to share their expertise and knowledge with other faculty.

In addition to the Professional Development Committee, SAC has a Distance Education Office, which develops a calendar of ongoing training opportunities for faculty and staff to develop their digital literacy, including certification programs on remote teaching and distance education (IIIA14\_6; - SAC Distance Education Office websites).

Opportunities for off-campus professional development such as conferences, seminars, and workshops are made available to staff, faculty, and management (IIIA8\_1; IIIA8\_2; IIIA8\_3;). In an effort to recognize and encourage continuing professional growth, RSCCD has stated that its staff and faculty are eligible for salary advancement for completing college units and CBAs (IIIA14\_7; IIIA14\_8; IIIA14\_9).

**III.A.14. Analysis and Evaluation**

RSCCD provides a robust professional development program to support the professional and personal growth of its employees, and to develop its employees to better meet the needs of students.

Professional development committees made up of faculty and administration at each campus work to provide professional development activities to faculty and staff with the goal of improving how RSCCD serves its students to better help them succeed with their goals. The committees identify training needs based on institutional objectives, program requirements, and faculty/staff needs (IIIA14\_10 – Link to PD websites). Additionally, faculty are invited to submit ideas and proposals for professional development activities. Professional Development weeks are offered bi-annually at each campus, one in the fall and one in the spring, to provide a full calendar of professional development opportunities for faculty.

In addition, ongoing opportunities are offered to management, faculty, and staff for training throughout the year, including professional memberships and conferences. In-house training is also provided as needed to address current technology updates, best teaching practices, mandated laws and procedures, and employee needs. The Distance Education Office at SAC also provide regular, ongoing training on technology related to teaching as well as certification programs for Distance Education and Remote Learning modalities (IIIA14\_11 – link to DE website).

Evaluations of all in-house professional development activities are completed by faculty and staff to ensure that the training is meeting the professional growth needs of our employees. The Professional development committees review the data gathered to provide feedback and response. This information is then used to plan and prepare for future professional development activities.

**III.A.14. Evidence**

(list here)

**III.A.15. The institution makes provision for the security and confidentiality of personnel records. Each employee has access to his/her personnel records in accordance with law.**

**III.A.15. Evidence of meeting the standard.**

HR provides for the security and confidentiality of all personal records and provides access for all employees and supervisors on request and when appropriate.

Board policy (IIIA15\_1) establishes policy regarding personnel files. HR maintains all personnel files and medical files on all current and past employees. These personnel files and medical files are retained separately in locked cabinets in a secure room within HR. This room is secured with a separate key system that is different from the rest of the RSCCD offices.  Access to this secure room is limited to HR staff and administrators.

Administrative regulation (IIIA15\_2) establishes the procedures for all employees or supervisors to access their personnel files or review an employee’s personnel file. Additionally, the collective bargaining agreement for classified personnel enables classified personnel to access their personnel files (IIIA\_15\_3; IIIA\_15\_4).

**III.A.15. Analysis and Evaluation**

In accordance with board policy (IIIA\_15\_1), HR maintains all personnel records and keep the files in a secure room at the RSCCD office. Files are stored in accordance with RSCCD record retention policies. All requests for review of personnel files shall be in writing and require an appointment with HR. All records of reviews shall be recorded on the Personnel Access Record Log in the personnel file. (IIIA\_15\_5; IIIA\_15\_6).

The college meets Standard III.A.15.

**III.A.15. Evidence**

 (list here)

**Standard III: Resources**

**The institution effectively uses its human, physical, technology, and financial resources to
achieve its mission and to improve academic quality and institutional effectiveness.  Accredited colleges in multicollege systems may be organized so that responsibility for resources, allocation of resources, and planning rests with the district/system. In such cases,
the district/system is responsible for meeting the Standards, and an evaluation of its
performance is reflected in the accredited status of the institution(s).**

**III.B. Physical Resources**

**III.B.1. The institution assures safe and sufficient physical resources at all locations where it offers courses, programs, and learning support services.  They are constructed and maintained to assure access, safety, security, and a healthful learning andworking environment.**

**III.B.1 Evidence of Meeting the Standard**

Through collaborative processes, the District and Santa Ana College assure safe and sufficient physical resources at all locations where it offers courses, programs and learning support services.   The SAC Facilities committee is the participatory governance committee responsible for the identification and prioritization of all capital projects which includes regularly scheduled maintenance projects.

 In 2014, SAC’s ***Master Planning Team (who comprised???)***worked in collaboration with a Master Plan Committee comprised of representation from faculty, staff, administration, and students to create the Facilities Master Plan.  The plan was developed through a series of interactive meeting as well as presentations and discussions with a broader audience to expand the perspective and overall acceptance by the college community.

Facilities planning priorities included maximizing functional space, eliminating non-functional space, and establishing principles to guide the design of facilities that include design for safety and security, and sustainability.

RSCCD Facility Planning, District Construction and Support Services Department coordinates the construction and implementation of major construction and renovation projects throughout the District.  It also acts as a liaison in the planning and development of facilities with state and local agencies.   Santa Ana College has membership on the District Physical Resources Committee (PRC).

Possibly add S**anta Ana college also has the Health, Emergency Preparedness, Safety and Security Task Force (HEPSS), taskforce that reports to the Facilities Committee.
(update to website needed- purpose?? Actions??)**

Sustainable RSCCD Committee works with campus committees to raise awareness and make recommendations to the district Chancellor concerning the conservation of energy and other resources and the implementation of the sustainability practices that impact the district and community.  The Sustainable RSCCD Committee finalized work on the RSCCD Sustainability Plan in February of 2015 and approved by the Board of Trustees in March of 2015.  Sustainability report covering 2016-2017 and 2017-2018.  Goals of the plan include Facilities Design and Operation-All major capital projects and renovations will be designed and constructed to meet LEED Silver “equivalent” standard and operate facilities to meet solid waste, energy, and water use reduction goals.  (\*\* Sustainability Report-[181026\_SRC\_Report\_2016\_18.pdf (rsccd.edu)](https://www.rsccd.edu/Discover-RSCCD/Documents/SRC%20-%20Documents/Annual%20Reports/2016-2018%20Report/181026_SRC_Report_2016_18.pdf) )

The new Science Center building at SAC is LEED Silver equivalent and is 28% more efficient than required by code.  Implementation of water hydration stations across campus.

*Process of Measures completed at Santa Ana College- reach out to Kari Matsumoto*

*Process of establishing satellite facilities?? Consult with Jim Kennedy regarding non-credit sites.*

RSCCD district resources, support and future planning helps support the Santa Ana College’s educational plan Santa. Facilities committee, maintenance and operation, and the cleanliness work group support the SAC campus needs for a learning environment. SAC Safety and Security make the campus secure and safe on campus during the student’s learning experience. The Health Center supports campus health concerns that may arise. Lastly but not on the physical recourses is mental health which I feel is important. SAC has counselors available to assist in any mental health needs.

**III.B.1. Evidence**

[Accreditation Request - Google Drive](https://drive.google.com/drive/folders/1DOt9dtSqNcAAe4UHxJ65usF3vBso4SIk) - District resources, support, and five-year plan

<https://www.sac.edu/AdminServices/facilities/Pages/default.aspx> Facilities committee meeting to address concerns

<https://www.sac.edu/AdminServices/Pages/Maintenance-and-Operations.aspx> Maintenance and operations to address maintenance and repairs

<https://www.sac.edu/AdminServices/CampusCleanliness/Pages/default.aspx> Cleanliness work group to address cleanliness

<https://www.sac.edu/StudentServices/Security/Pages/default.aspx> - Safety and Security

<https://www.sac.edu/StudentServices/HealthCenter/Pages/default.aspx> Health Center

<https://www.sac.edu/StudentServices/Counseling/UndocuScholars/Pages/Mental-Health.aspx> Mental health

<https://www.sac.edu/AdminServices/facilities/Pages/default.aspx> Facilities committee meeting to address concerns

<https://www.sac.edu/AdminServices/Pages/Maintenance-and-Operations.aspx> Maintenance and operations to address maintenance and repairs

<https://www.sac.edu/AdminServices/CampusCleanliness/Pages/default.aspx> Cleanliness worj group to address cleanliness

**Analysis and Evaluation**

*To be completed*

**III.B.2 The institution plans, acquires or builds, maintains, and upgrades or replaces its physical resources, including facilities, equipment, land, and other assets, in a manner that assures effective utilization and the continuing quality necessary to support its programs and services and achieve its mission.**

**III.B.2 Evidence of Meeting the Standard**

***Information still needed***

**III.B.2 Analysis and Evaluation**

***Information still needed***

**III.B.3 To assure the feasibility and effectiveness of physical resources in supporting institutional programs and services, the institution plans and evaluates its facilities and equipment on a regular basis, taking utilization and other relevant data into account.**

**III.B.3 Evidence of Meeting the Standard**

Santa Ana College (SAC) administration, faculty, and staff engage in shared governance committees ([SAC Facilities Committee](https://www.sac.edu/AdminServices/facilities/Pages/default.aspx), [SAC Planning and Budget Committee](https://www.sac.edu/AdminServices/budget/Pages/default.aspx), and [RSCCD Planning and Organizational Effectiveness Committee](https://www.rsccd.edu/Departments/Educational-Services/POE-Committee/Pages/default.aspx)) related to continual evaluation and planning of physical resources at SAC. A variety of sources of information and data are used by these committees to evaluate the effectiveness of physical resources in supporting institutional programs and services. For example, SAC uses AdAstra scheduling software for facilities usage assessment and planning purposes. Specifically, the software is used to help determine course fill rates, room usage, and faculty load ([Planning and Organizational Effectiveness Committee – Dec. 18, 2019 Meeting Minutes](https://www.rsccd.edu/Departments/Educational-Services/POE-Committee/Documents/POE%202019-2020/AGENDA%20w-items%2001%2022%2020%20POE%20Cmte%20Mtg.pdf#search=adastra)). The following report generated by AdAstra demonstrates the type of data provided by the software to help maximize efficiency of facilities usage and planning (INSERT\_LINKED\_CITATION\_TO\_DOCUMENT\_HERE).

In addition to assessing campus facilities from a usage and efficiency perspective, the SAC Research Department assesses campus facilities from students’ perspectives. The SAC Research Department analyzes survey data from the annual Student Satisfaction Survey administered by the RSCCD Research Department to gain feedback from students on their experiences at SAC. Survey responses related to students’ ratings of their experiences and satisfaction with the appearance and maintenance of campus facilities and grounds are examined. Comparisons of survey results from year to year show how students’ perceptions of campus facilities generally improved over the past 5 years (see ratings in graph on p. 13 of the [Student Satisfaction Survey Report 2020](https://teams.microsoft.com/l/file/4B5999C4-6ACF-4D2B-A8AC-ED315862B95F?tenantId=a8040095-716d-4e49-b783-b5f746eea8b3&fileType=pdf&objectUrl=https%3A%2F%2Frsccd.sharepoint.com%2Fsites%2FSACAccreditation2022StandardIII%2FShared%20Documents%2FStandard%20III%20B%2FSAC%20Standard%20III%20B--Evidence%2FSTANDARD%20III-B-3%2FStudent%20Satisfaction%20Survey%20Report%202020.pdf&baseUrl=https%3A%2F%2Frsccd.sharepoint.com%2Fsites%2FSACAccreditation2022StandardIII&serviceName=teams&threadId=19:d7a7d912cdd542818b491d2a917be31d@thread.skype&groupId=ebf9ab52-18eb-4e49-9f24-cf2faea2a1bf)).

As a special example of the evidence SAC uses in evaluating its equipment for institutional programs, the faculty, administrators, and staff from the Bachelor of Science Degree Program in Occupational Studies maintains rigorous documentation of its facilities and equipment to ensure the students in the program have exceptional educational experiences for clinical practice in the field of occupational therapy ([SAC Special Report Bachelor of Science in Occupational Studies](https://www.sac.edu/AcademicProgs/HST/OTA/os/Documents/OS-Special-Report-12-07-17.pdf)).

**III.B.3 Analysis and Evaluation**

SAC meets Standard III.B.3 by using the sources of information and data described above to monitor and maintain its facilities, as well as determine areas for improvement. Moving forward, AdAstra will help design and assess block scheduling for improved course scheduling to promote the efficiency by which students may complete their coursework, not only on a day-to-day basis, but also on a term-to-term basis leading up to completion of their degrees and/or certificates. To help in this effort, SAC has hired AdAstra consultants and contracted Cambridge West Partnership, LLC ([Planning and Organizational Effectiveness Committee – June 24, 2020 Meeting Minutes](https://www.rsccd.edu/Departments/Educational-Services/POE-Committee/Documents/POE%202020-2021/AGENDA%20w-items%2008%2026%2020%20POE%20Cmte%20Mtg.pdf#search=adastra)).

**III.B.4 Long-range capital plans support institutional improvement goals and reflect projections of the total cost of ownership of new facilities and equipment.**

**III.B.4 Evidence of Meeting the Standard**

***Information still needed***

**III.B.4 Analysis and Evaluation**

***Information still needed***

**III.C. Technology Resources**

**III.C.1. Technology services, professional support, facilities, hardware, and software are appropriate and adequate to support the institution’s management and operational functions, academic programs, teaching and learning, and support services.**

**III.C.1. Evidence of Meeting the Standard**

The institution has three departments that help oversee technology services: Information Technology Services, ITS, (IIIC1\_01) Distance Education (IIIC1\_02), and Student Information Support (IIIC1\_03). These departments participate within both the planning and operational information technology governance structure for the district and the college (IIIC1\_04). This governance structure includes participatory governance committees such as the Santa Ana College Technology Advisory Committee (SACTAC) (IIIC1\_05) and the district’s Technology Advisory Group (TAG) (IIIC1\_06). The governance structure also includes operational workgroups, like the Technology Operational Workgroup (TOW) (IIIC1\_07). These groups meet regularly to make decisions on technology services, professional support, technology in facilities, hardware, and software as evidenced by meeting minutes for SACTAC (IIIC1\_08), TAG (IIIC1\_09), and TOW (IIIC1\_10). The participatory committees produce technology plans like the Rancho Santiago Community College District Strategic Technology Plan (RSCCD STP) (IIIC1\_11). Workshops in topics such as data governance (IIIC1\_12) and data integrity (IIIC1\_13) support the institution’s management and support of operational functions and support services. The RSCCD STP is evaluated biannually as evidenced by the 2019-2020 annual report (IIIC1\_14). Technology services available to support academic programs, teaching, and learning include several online resources available through the college library system (IIIC1\_15).

Professional support is offered by the Information Technology Services Help Desk (IIIC1\_16), Distance Education (IIIC1\_17), and the Student Help Desk (IIIC1\_18).

College facilities are outfitted with technology that includes Wi-Fi access both outdoors (IIIC1\_19) and indoors (IIIC1\_20), Internet and inter-site connectivity (IIIC1\_21), video surveillance for safety (IIIC1\_22), computing labs for student use (IIIC1\_23), and audiovisual equipment (IIIC1\_24).

College hardware is standardized (IIIC1\_25), (IIIC1\_26), (IIIC1\_27) and available to students for loan (IIIC1\_28).

College software is standardized (IIIC1\_29) and available in central repository lists for both non-academic (IIIC1\_30) and academic applications (IIIC1\_31).

The effective use of software and hardware is evaluated through surveys (IIIC1\_32) and discussed and updated at TAG (IIIC1\_33).

**III.C.1 Analysis and Evaluation**

Santa Ana College’s technology services are appropriate and adequate to support the institution. The district’s information technology governance structure (IIIC1\_04) guides technology planning and operational execution to ensure technology is delivered in support of institutional strategy for both the district and its colleges. This governance structure creates a feedback loop between technology committees, which are constituency based as part of participatory governance, and operational workgroups, which are skill based as part of organizational structure. Technology committees oversee planning and developing policies while operational workgroups are responsible for executing the plans and policies produced by the technology committees. The governance structure supports the institution’s management functions by allowing college and district administrators to come together to decide on the prioritization of technology projects and services as evidenced by the October meeting minutes from TOW (IIIC1\_10). In addition, TOW also supports the management function by sponsoring discussions and workshops on critical institutional topics, such as data governance (IIIC1\_12) and data integrity (IIIC1\_13).

Technology services support operational and support services functions through the execution of technology projects aligned with the institutional mission. The performance of technology services in support of operational and support services functions is evaluated biannually to ensure adherence to accreditation standards and strategic technology goals as evidenced by the 2019-2020 annual report (IIIC1\_14), which is presented to both TAG and TOW.

The college library services platform (IIIC1\_15) allows students and faculty to access the library book repository online, contact a librarian, register for research workshops, and provide virtual group study spaces. These technology services effectively support the college’s academic programs, teaching, and learning.

Santa Ana College’s professional support is appropriate and adequate to support the institution. Management and operational functions, academic programs, and teaching and learning and support services are supported by the Information Technology Services Help Desk (IIIC1\_16). The Help Desk provides multiple tiers of technology support for college faculty and staff both onsite and remotely. In addition, academic programs and teaching and learning and support services are also supported by the Distance Education department (IIIC1\_17). Distance Education provides support and training resources for both faculty and students on the college’s learning management system as well as all applications used for online teaching. Lastly, the Student Help Desk (IIIC1\_18) provides technical support to students focused on student technology via web chat and onsite.

Santa Ana College’s facilities are appropriate and adequate to support the institution. Management and operational functions, academic programs, teaching and learning and support services use facilities that have adequate technology for student and employee needs. This includes proper connectivity and support. For example, the Santa Ana College main campus alone has over 604 wireless access points that provide indoor and outdoor Wi-Fi connectivity (IIIC1\_19) (IIIC1\_20), two different connection paths to the Internet, and a redundant mesh network for connectivity across sites (IIIC1\_21). In addition, the college has hundreds of video surveillance cameras (IIIC1\_22) used by the Safety department to ensure the security of students, employees, and visitors to the college and its sites. Lastly, academic programs and teaching and learning facilities are also supported by academic computer laboratories, such as the Academic Computing Center (IIIC1\_23), that provide students access to technology outside of their class schedule. Audiovisual and media equipment that supports teaching both inside and outside the classroom is also provided and is available for checkout as evidenced by the equipment list (IIIC1\_24) from the Media Systems department.

Santa Ana College’s hardware is appropriate and adequate to support the institution. Management and operational functions, academic programs, and teaching and learning and support services follow technology hardware standards established by TAG for computers (IIIC1\_25), printers, copiers (IIIC1\_26), and audiovisual technology (IIIC1\_27). These hardware technologies are regularly reviewed, tested, and updated to ensure they meet institutional needs. In addition, academic programs, teaching and learning and support services are further enhanced by the college’s Digital Dons laptop loan program (IIIC1\_28). This program allows eligible students to borrow a laptop and keep it for the entire semester.

Santa Ana College’s software is appropriate and adequate to support the institution. Management and operational functions and support services use a list of technology software standards (IIIC1\_29) established by TAG. These software technologies are regularly reviewed, tested, and updated to ensure they meet institutional needs. Management and operational functions, academic programs, and teaching and learning and support services are guided by a system list of applications (IIIC1\_30) that directs them to all available systems, including the student information system, reporting and enrollment management applications, the college’s learning management system, curriculum applications, and student success systems, among others. Teaching and learning and support services are also served by several software solutions that support distance learning (IIIC1\_31). This includes communication platforms, screen capture solutions, proctoring and tutoring software, business productivity tools, and remote lecture platforms, among others.

The institution is using software and hardware effectively. The ITS employee satisfaction survey (IIIC1\_32) shows that over 65% of individuals surveyed expressed the highest satisfaction level when it comes to their software and hardware technology needs. The institution is also effective at analyzing current needs and updating hardware or software standards as needed. The minutes from the October 2020 TAG meeting (IIIC1\_33) show that the committee approved lowering the warranty purchased for computer monitors because of a cost analysis.

**III.C.2 The institution continuously plans for, updates, and replaces technology to ensure
its technological infrastructure, quality, and capacity are adequate to support its mission, operations, programs, and services.**

**III.C.2. Evidence of Meeting the Standard**

The institution continuously plans for the quality and capacity of technological infrastructure through the RSCCD STP (IIIC2\_01) and SACTAC’s annual computer replacement plans.

Each year, SACTAC establishes a proposed computer replacement plan and refers the plan to the Planning & Budget Committee for funding. SACTAC agendas from the 2020 cycle (IIIC2\_02) and the 2019 cycle (IIIC2\_03) as well as an agenda from the Planning & Budget Committee (IIIC2\_04) demonstrate this work.

These plans ensure quality, capacity, and adequacy by following replacement cycles for technology inventory established in the RSCCD STP (IIIC2\_01). Planning cycles incorporate an evaluation of warranty status and a comprehensive review of the inventory. A 2019-2020 Computer Replacement Plan report (IIIC2\_05) shows a summary of these needs while a 2018-2019 Computer Replacement Plan report (IIIC2\_06) demonstrates the detail behind the plan for that cycle, such as the inventory and warranty status.

These plans support the mission, operations, programs, and services of the institution by considering special needs relative to each division and by allocating computers with differing operating systems and hardware configurations depending on those needs. Implementation of these plans is demonstrated by a 2018-2019 Computer Replacement Implementation report (IIIC2\_07) that shows the replacement status by type and area. These numbers are incorporated into the larger status report included in the district’s 2017-2021 Technology Infrastructure Objective 4a (IIIC2\_08), which shows a summary of replacements and updates across multiple years.

Plans for updating and replacing technology infrastructure are implemented in accordance with established goals. For example, the ITS 2019-2020 Mid-Year Report (IIIC2\_09) shows a breakdown of 71 previously planned infrastructure projects that were completed in the first six months of the 2019-2020 fiscal year. The report demonstrates alignment with the previous planning of Districtwide Goals as shown by each “DW Goal #” indicator. Those Districtwide Goals were previously established as part of the planning process that created the RSCCD STP (IIIC2\_01). Likewise, the Infrastructure Upgrade List (IIIC2\_10) demonstrates how staff assignments are in alignment with these goals such that daily operations are guided by established plans.

The institution also ensures adequate support of its mission, operations, programs, and services by conducting annual satisfaction surveys of end users. For example, support provided by SAC End User Support achieved satisfaction levels for quality of service averaging 4.1 out of 5 as seen on the District Satisfaction Survey (IIIC2\_11). This incorporates a 4.5 rating indicating that services fit the need. Likewise, Technology Infrastructure and Support Services scored 4.28 on a 5-point scale.

**III.C.2. Analysis and Evaluation**

The institution meets the standard. Planning is conducted on an annual basis, incorporates quality and capacity checks, and is data driven. Technology upgrades and replacements are monitored and reported, and surveys are used to ensure that feedback from stakeholders is collected. This feedback demonstrates that these practices are effectively meeting the needs of the institution.

**III.C.3. The institution assures that technology resources at all locations where it offers
courses, programs, and services are implemented and maintained to assure reliable access,
safety, and security.**

**III.C.3 Evidence of Meeting the Standard**

The institution assures reliable access to technology resources at all locations in accordance with Board Policy (IIIC3\_01). Reliability is accomplished through network redundancy (IIIC3\_02), regular technology upgrades (IIIC3\_03), data backups (IIIC3\_04), and the use of cloud technologies that guarantee system availability (IIIC3\_05).

The institution implements and maintains technology resources to assure the safety of the campus community including emergency alerting systems as evidenced in the sample email alert (IIIC3\_06), emergency phones as shown in the locations diagram (IIIC3\_07), panic buttons on desk phones as shown in the programming guide (IIIC3\_08), and video surveillance cameras as shown on the campus camera map (IIIC3\_09).

The institution implements and maintains technology resources to assure security at all locations in accordance with Board Policy (IIIC3\_10). The college conducts security risk assessments (IIIC3\_11), vulnerability scans (IIIC3\_12), and 24/7 system log monitoring in accordance with Administrative Regulations (IIIC3\_13). The institution also conducts employee cybersecurity training including email phishing training, as shown within substandard four, and leverages cybersecurity organizations (IIIC3\_14) to support its cybersecurity program.

**III.C.3. Analysis and Evaluation**

Santa Ana College ensures that technology resources at all locations where it offers courses, programs, and services are implemented and maintained to assure reliable access. The institution follows Board Policy 6521 (IIIC3\_01), which prescribes the need to ensure that critical data and information technologies can be sustained during a disaster. The college addresses the requirements of this policy by establishing redundant connectivity methods to the Internet and across its sites as shown in the Wide Area Network diagram (IIIC3\_02), consistently upgrading technology infrastructure as evidenced in the year one progress report (IIIC3\_03) for the District’s Strategic Plan, performing regular data backups as shown on the server backup job schedule (IIIC3\_04), and leveraging the higher availability offered by cloud technologies for its most critical systems, such as its Student Information System. Cloud hosting offers specific levels of system availability, backup, and disaster recovery for Santa Ana College’s Student Information System as evidenced in the Ellucian Service Agreement for Cloud Hosting (IIIC3\_05). These levels would be difficult to accomplish through an on-premises setting. All these initiatives combined assure a reliable level of access for technology resources, which are implemented and maintained to be resilient to system failures.

Santa Ana College implements and maintains technology resources to assure safety at all locations where it offers courses, programs, and services. The safety of college employees and students is supported through resources such as emergency notification systems that generate alerts that are sent via text and email (IIIC3\_06). The college also deploys emergency phone devices that are placed throughout the college’s main campus and its various locations (IIIC3\_07) and configures panic buttons on regular desk phones (IIIC3\_08) to ensure students, employees and visitors have a quick and easy way to contact Safety personnel when a threatening condition arises. Lastly, the institution has deployed hundreds of video surveillance cameras (IIIC3\_09) that are used by the Safety department to monitor campus activities on a 24/7 basis, conduct investigations, and ensure the overall safety of the college community.

Santa Ana College implements and maintains technology resources to assure information security at all locations where it offers courses, programs, and services. The college’s information security efforts are guided by Board Policy 3730 (IIIC3\_10), which provides overall guidance and requirements for the institution to implement technology, processes, and training in support of information security practices. The college performs an ongoing number of cybersecurity initiatives that include conducting security risk assessments against established security frameworks such as the CIS-20 or NIST security standards (IIIC3\_11). These assessments help the institution identify gaps in security controls and determine mitigation steps to be implemented. The institution also conducts vulnerability scans (IIIC3\_12) on its technology resources on a regular basis. These scans show potential vulnerabilities present on institutional computing devices that can be exploited. The institution assigns the responsibility to address these vulnerabilities to appropriate Information Technology staff and tracks progress on resolution, which is discussed during cybersecurity meetings with Information Technology leadership. In addition, in accordance with Administrative Regulation 3730.1 (IIIC3\_13), the college performs 24/7 system log monitoring to identify potential unauthorized access or suspicious activities in its network. Appropriate resources are notified when suspicious activity is identified in system logs to ensure prompt action is taken to mitigate potential threats. Lastly, the college contracts with a data cybersecurity organization (IIIC3\_14) for assistance with overall security strategy, completion of security projects, threat advisory information notifications, and overall support of the institution’s cybersecurity program.

**III.C.3. Evidence**

**(list here)**

**III.C.4. The institution provides appropriate instruction and support for faculty, staff, students, and administrators in the effective use of technology and technology systems related
to its programs, services, and institutional operations.**

**III.C.4. Evidence of Meeting the Standard**

A variety of programs support faculty, staff, students, and administrators. Students and faculty alike are provided access to Canvas training courses (IIIC4\_01) to provide the best online learning environment. The institution also offers a distance education teaching certification on its learning management system (IIIC4\_02). Attaining this certificate allows faculty to provide appropriate instruction more effectively via online learning. Internal email phishing training campaigns are conducted (IIIC4\_03) to determine the likelihood of employees falling for email scams (IIIC4\_04) that could lead to security compromise. This data is developed into a risk score (IIIC4\_05) that allows the college to conduct tailored employee training to improve collective cybersecurity knowledge, which helps protect the institution from cyber-attacks.

Santa Ana College also provides support to its employees and students through a variety of programs and services. RSCCD has a districtwide ITS Help Desk (IIIC4\_06) that supports SAC faculty and staff with all technology needs and requests. In addition, SAC has a Student Help Desk (IIIC4\_07) that is staffed with experienced students who support others with their technology needs and questions. The Distance Education department (IIIC1\_02) supports the entire campus by providing hybrid and online learning support for students and faculty. The Technology Updates Website (IIIC4\_08) offers a place for the entire campus to see the latest tech news and provides answers to frequently asked questions along with training documentation for faculty, administrators, and staff. The college has also established a Digital Dons program (IIIC4\_09) designed to meet student technology needs and achieve more equitable course completion. The program provides laptops as well as instruction on how to access institution-provided software by using the provided computers.

Santa Ana College has a variety of institutional operations that support the campus. Faculty FLEX activities (IIIC4\_10) focus on improving faculty skills in technology as well as supporting students through technology in the classroom. Students can also participate in SAC Days (IIIC4\_11), which helps students become more aware of technology services and programs on campus. The Management Information Systems (MIS) (IIIC4\_12) report is sent to the state, and it shows student demographics, degree and certificate awards, and other relevant data for the campus. The MIS Manual standardizes the process of entering, reviewing, and managing data properly. The Technology Decision Making Chart (IIIC4\_13) guides the implementation of technology on campus. ITS Standard Operating Procedures (SOPs) (IIIC4\_14) are used to assist faculty, staff, and students to ensure that tech support is provided in a consistent and effective way throughout campus. Security Memos (IIIC4\_15) and Phishing Training Campaigns (IIIC4\_16) are produced by our ITS department to provide additional security while using technology on campus. The 2018-2019 review document for the Student Information Support department (IIIC4\_17) includes a list of subjects that shows technical support and training made available to staff and administrators on campus. The Data Governance Workshop (IIIC1\_12) trained administration on interpreting institutional data. The Data Integrity Assessment and Report (IIIC4\_18) shows existing gaps and opportunities for improving technology support on campus.

**III.C.4. Analysis and Evaluation**

The institution aligns with the standard. Santa Ana College’s programs, services, and institutional operations provide faculty, staff, students, and administrators with instruction and support for the effective use of technology and technology systems on campus. The effectiveness of support services and programs is evaluated through surveys such as the ITS Employee Satisfaction Survey (IIIC4\_19) and the Digital Dons program survey (IIIC4\_20). The Digital Dons survey indicates a high level of satisfaction among those served. The ITS Employee Satisfaction Survey shows that over 91% of respondents rank the services they receive from ITS at the highest level.

**III.C.5. The institution has policies and procedures that guide the appropriate use of technology in the teaching and learning processes.**

**III.C.5 Evidence of Meeting the Standard**

Santa Ana College has Board Policies (BP) and Administrative Regulations (AR) that guide the appropriate use of technology in both the teaching and learning processes. In accordance with BP 3411 (IIIC5\_01) and AR 3411 (IIIC5\_02), Accessibility of Electronic and Information Technology, SAC ensures accessibility to all members of the community including individuals with disabilities. Santa Ana College also conforms to BP 3720 (IIIC5\_03), Computer and Network Use, and AR 3720 (IIIC5\_04), Information Resource Use, regarding computer hardware, software and Internet access for the college’s students, faculty, and staff. The college complies with BP 3730 (IIIC5\_05), Information Security Standards, and AR 3730.1 (IIIC5\_06), Information Security–Logging and Monitoring, and is committed to the highest levels of information security and privacy. In addition, Santa Ana College follows BP 5500 (IIIC5\_07), Standards of Student Conduct, which governs student conduct as it relates to multiple areas including computer use.

The institution has various procedures and committees that guide the appropriate use of technology in both the teaching and learning processes. TAG (IIIC5\_08) is a participatory governance committee composed of administrators, faculty, and classified staff from Santa Ana College and RSCCD. TAG has created the RSCCD STP (IIIC5\_09) that establishes guidelines and standards that guide Santa Ana College’s use of technology in the teaching and learning processes. The STP calls for a computer replacement plan (IIIC5\_10) that includes refreshing computing technology at the college, both academic and administrative, following established hardware standards. SACTAC (IIIC5\_11) is an additional participatory governance committee that evaluates, analyzes, and recommends technology solutions that support student success and development needs specific to the institution. SACTAC’s Technology Initiatives (IIIC5\_12) outline the technology goals for the school.

The SAC Faculty Handbook (IIIC5\_13) points out the Academic Computing Center (ACC) (IIIC5\_14), which is a general-purpose computing lab serving students, faculty, and staff designed to access the Internet and run various programs from Microsoft Office to CAD, engineering, Adobe, and other resource-intensive applications.

The SAC Student Handbook (IIIC5\_15) also refers to BP 5500 and Standards of Student Conduct and has a Computer Code of Conduct for Classrooms and Labs regarding student use of computers and the network.

The institution has TAG-approved Standards for Computers (IIIC5\_16), Software (IIIC5\_17), Printers and Copiers (IIIC5\_18), and Audio/Visual equipment (IIIC5\_19), which ensure that technology meets the requirements of the college.

**III.C.5. Analysis and Evaluation**

Santa Ana College aligns with the Standard. Santa Ana College's policies, processes, and practices are accepted and executed to ensure the appropriate use of technology in the teaching and learning processes.

**Conclusions on Standard III.C. Technology Resources**

Santa Ana College aligns with the standard by effectively using its human, physical, technological, and financial resources to achieve its mission and to improve academic quality and institutional effectiveness. Further, the district is organized in such a way that administration and governance is tightly coordinated between Santa Ana College and RSCCD and that both share responsibility for resource allocation and planning. Planning is integrated, implementations are monitored and evaluated, and effectiveness is measured with complete and regular feedback from stakeholders.

**III.D. Financial Resources**

**Planning**

**III.D1. Financial resources are sufficient to support and sustain student learning programs and services and improve institutional effectiveness. The distribution of resources supports the development, maintenance, allocation and reallocation, and enhancement of programs and services. The institution plans and manages its financial affairs with integrity and in a manner that ensures financial stability.**

**III.D.1. Evidence of Meeting the Standard**

Santa Ana College ensures financial resources are sufficient to support program needs by assessing current available financial resources and then aligning those resources to program review, college budget priorities **(**[**IIID-1**](https://www.sac.edu/AdminServices/BudgetAccounting/Documents/Forms%20and%20instructions/Procedures/SAC%20Planning%20and%20Budget%20Priorities%202020-2021.PDF)**),** and to the strategic plan set forth by the college’s mission and goals **(**[**IIID-2**](https://www.sac.edu/AdminServices/Documents/2014-2016%20Strategic%20Plan%20Update_approved9102014.pdf)**)**. The District’s annual budget is developed utilizing information within the state budget and from documents prepared by the California Community College Chancellor's Office (CCCCO). The District then estimates annual revenue from the state and allocates this revenue to District Office, Santa Ana College (SAC), and Santiago Canyon College (SCC). The revenue split between SAC and SCC is based on revenue brought in by each college each year using a revenue allocation model based on the Student Center Funding Formula (SCFF) metrics **(**[**IIID**](https://www.rsccd.edu/Departments/Business-Operations/Documents/FRC/FRC_Agenda_7-3-19.pdf)**-3 pg27)**. The revenue allocation model distributes revenues to each college rather than dictating expenditure allocations. Santa Ana College then allocates funds to support institutional goals including but not limited to course offerings to capture growth/access/restoration, invest in technology, maintain, or upgrade facilities, and targeted personnel hiring.

Santa Ana College utilizes the Resource Allocation Request (RAR) [(**IIID-4**](https://www.sac.edu/AdminServices/BudgetAccounting/Documents/Forms%20and%20instructions/Resource%20Allocation%20Request%20Form/Resource%20Allocation%20Request%20Procedures.pdf)) process to distribute available financial resources to help enhance programs and services. Needs are first discussed and identified within each department, then each division/area combine department requests, discuss and priority them among area Dean/Manager and Department Chairs. Deans and managers then discuss and prioritize with their area Vice President. Vice Presidents then discuss and approve requests at President’s cabinet. Approvals are based on college funding, mission, and goals of the college Strategic Plan and SAC budget priorities. Equity and Strong Workforce programs also have funding available to support requests. Each program announces available funding, proposal requirements to qualify, and departments can submit proposals. Based on available funds, historical outcomes and future plans, which must align to our college goals and mission, requests are then reviewed and approved by a panel in each program.

The use of the RAR process ensures transparency of budget allocations, promotes cooperative sharing, and use of those resources. Funds are allocated for approved requests using an approved portion of college rollover funds (Fund 13) ([**IIID**](https://www.sac.edu/AdminServices/Documents/FY20.21%20Fund%2013%20Spending%20Plan.pdf)**-5**). The college ensures its financial stability through this budget allocation process by maintaining a college reserve (contingency) that is equal to 20% of its rollover balance. The reserve equated to $1,342,965 in FY19/20 and $1,257,404 in FY20/21, respectively ([**IIID-6**](https://www.sac.edu/AdminServices/BudgetAccounting/Documents/Planning%20%26%20Budget_%20Budget%20Update_9.1.20.pdf))**.**

**III.D.1 Analysis and Evaluation**

Santa Ana College adheres to well-defined processes to ensure programs, and services receive sufficient funds to sustain and support student success and improve institutional effectiveness. These processes are demonstrated though our annual review of budget priorities, RAR process, and review of our Equity & Strong Workforce programs­­­. These processes are open and transparent, and opportunities exist for participation by all college constituents. Santa Ana College continues to ensure its financial stability by maintaining its required Institutional Contingency Reserve ([**IIID**](https://www.sac.edu/AdminServices/budget/Documents/SEPT_2020%20Minutes_PB%20Committee-FINAL.pdf)**-5**).

**III.D.2. The institution's mission and goals are the foundation for financial planning, and financial planning is integrated with and supports all institutional planning. The institution has policies and procedures to ensure sound financial practices and financial stability. Appropriate financial information is disseminated throughout the institution in a timely manner.**

**III.D.2. Evidence of Meeting the Standard**

The mission of both RSCCD and SAC drive the institutuions financial plananing. In addition, financial planning is integrated and supports all instiutuional planning, ([**IIID-7**](https://www.sac.edu/AboutSAC/Pages/mission.aspx)) the Strategic Plan, the Facilities Plan, the Technology Plan¸ and budget priorities and allocations.

The following RSCCD policies and procedures identify the institutions mission and goals as the foundation of or financial planning and the integration of financial planning with institutional planning. Inclusion of the following policies work to ensure sound financial practcices; BP/AR 6200 Budget Preparation, BP/AR 6250 Budget Management, BP/AR 6300 Fiscal Management, BP/AR Fiscal Accountability, AR 6305 Reserves and BP/AR 6400 Financial Audits.

Every year, the Board of Trustees reviews the district’s Mission Statement ([**IIID-8**)](https://www.rsccd.edu/Trustees/Pages/Mission-Goals.aspx) and goals. While there is consistency in these goals over the years, adjustments are made based on new challenges and directions the district wishes to make. These goals then become an important basis for the development of annual budget assumptions before the start of each fiscal year and budget cycle. Budget assumptions ([**IIID-9**](https://www.rsccd.edu/Departments/Business-Operations/Documents/FRC/FRC%202020-21/Agenda%20September%2016%2C%202020%20with%20materials.pdf) **pg 52)** reflect both short-range and long-range goals as well as direction for the district. The district’s Fiscal Resources Committee (FRC) is a participatory governance committee with representation from all constituencies (administration, faculty, staff, and students), in conjunction with the Chancellor, Chancellor’s Cabinet and District Council. The FRC uses the budget assumptions to develop a district budget for both credit and non-credit programs. An annual budget calendar is also prepared ([**IIID-10**](https://www.rsccd.edu/Departments/Business-Operations/Documents/FRC/FRC%202020-21/Agenda%20September%2016%2C%202020%20with%20materials.pdf) **pg 64**).

Since FY 12-13, the district has been using the Budget Allocation Model (BAM) ([**IIID-11**](https://www.rsccd.edu/Departments/Business-Operations/Documents/FRC/BAM_updated_03-05-2018.pdf)) to distribute earned revenue from the state to the colleges. The goal of the BAM is to create a documented revenue allocation process that provides financial stability and encourages fiscal accountability at all levels in times of either increasing or decreasing revenue streams. The BAM is also intended to be simple, transparent, easy to understand, fair, predictable, and consistent using quantitative, verifiable factors with performance incentives. This revenue allocation model is intended to allocate the majority of funds after reserving a portion to the district office for district services and other intuitional costs to the colleges in providing educational services. Currently, the state is experiencing financial hardship due to COVID-19. The district is expected to feel this hardship as the state has planned deferrals set to begin in February 2021. The District has a strong contingency of $24,830,326 for FY 20.21 to help offset these deferrals and will be able to continue to pay its current liabilities. On top of the board’s contingency, the district also approved and implemented a supplemental retirement program that is estimated to save the district over $2 million dollars in its first year, FY20.21.

At Santa Ana College, an established Resource Allocation Request (RAR) procedure is utilized [(**IIID-4**](https://www.sac.edu/AdminServices/BudgetAccounting/Documents/Forms%20and%20instructions/Resource%20Allocation%20Request%20Form/Resource%20Allocation%20Request%20Procedures.pdf)). This process links budget resources to the college mission statement, division and department goals, the college’s strategic plan, student learning outcomes (SLOs) for academic departments, service-learning outcomes for administrative/support departments, and the Planning and Budget Committee's established budgeting priorities. Santa Ana College continues to disseminate financial information in a timely manner which is evident in our quarterly financial statements presented to President’s Cabinet and the Planning & Budget committee [(**IIID-12**](https://www.sac.edu/AdminServices/budget/Documents/NOV%202019%20Minutes_FINAL.pdf)) at the end of every quarter during the fiscal year. The faculty co-chair of Planning & Budget committee regularly reports to the Academic Senate at its meetings, which occurs twice a month. One recent example of our planning process was the approval of additional funds to Distance Education in FY 20.21 due to the recent COVID-19 pandemic. These additional funds will be used to train faculty and staff to work in a remote teaching and working environment. This plan for Distance Education was vetted and approved through SAC’s participatory governance structure where the recommendation was made from the Planning and Budget committee and subsequently approved in Presidents Cabinet ([**IIID**](https://www.sac.edu/AdminServices/budget/Documents/SEPT_2020%20Minutes_PB%20Committee-FINAL.pdf)**-5**).

**III.D.2.** **Analysis and Evaluation**

The district continues to prove it has the proper processes and procedures in place to ensure finacial stability. This is evident in the use of our Budget Allocation Model/BAM and the recently implemented Supplemental Retirement Program. At the college level, we continue to tie planning to budget and ensure college mission and goals are considered throughout the funding process as evident in our RAR processes.

**III.D.2. Evidence**

**(list here )**

**III.D.3. The institution clearly defines and follows its guidelines and processes for financial planning and budget development with all constituencies having appropriate opportunities to participate in the development of institutional plans and budgets**.

**III.D.3. Evidence of Meeting the Standard**

Santa Ana College adheres to well-defined guidelines and processes for financial planning and budget development based upon the mission, goals, and Strategic Plan ([**IIID-2**](https://www.sac.edu/AboutSAC/Pages/mission.aspx)) of the college. These guidelines and processes are on display in the form of SAC’s RAR process ([**IIID-4**](https://www.sac.edu/AdminServices/BudgetAccounting/Documents/Forms%20and%20instructions/Resource%20Allocation%20Request%20Form/Resource%20Allocation%20Request%20Procedures.pdf)) and Budget Development Workbooks. In preparation for the new fiscal year’s budget, Santa Ana College’s Budget Office will send out Budget Development Workbooks to all divisions. These workbooks help the Budget Office better understand the needs and anticipate any new or increases to current vendor costs for the upcoming year. These budget workbooks ([**IIID**](file:///C%3A/TENTATIVE%20BUDGET/FY%2020.21%20-%20Budget%20Workbook.xlsx)**-14**) demonstrate how the college links planning to budget. The college also uses the RAR process for planning and budget development. Planning begins within the departments in establishing needs and priorities through the program review process. The plans and priorities are submitted to the dean in an academic area or director in a support services division. All needs are prioritized, aggregated, and analyzed. These prioritized needs are submitted to the area Vice President for area-level priorities, and then, those priorities are submitted to President's Cabinet. At President's Cabinet, each Vice President's priorities are analyzed in relation to the institutional priorities and goals of the Strategic Plan, taking into consideration other college budget priorities.

At the District level the budget is developed using information from the state chancellor’s office. The District uses this information ([**IIID-9**](https://www.rsccd.edu/Departments/Business-Operations/Documents/FRC/FRC%202020-21/Agenda%20September%2016%2C%202020%20with%20materials.pdf) **pg52)** which includes estimated revenues, increases and decreases to PERS & STRS rates, cost of living adjustments, and growth to develop budget assumptions. These findings establish a foundation for the upcoming budget year. The District Fiscal Resource Committee is the participatory governance-based committee charged with reviewing and evaluating the Budget Allocation Model (BAM), monitoring state budget development, recommending budget adjustments, developing assumptions for the tentative and adopted budgets, developing the district budget calendar; assessing effective use of financial resources, and reviewing and evaluating financial management processes. The committee is chaired by the Vice Chancellor of Business Operations and Fiscal Services and includes participation of faculty, classified staff, and management representatives from both colleges and District Office.

**III.D.3. Analysis and Evaluation**

The college clearly defines and follows its guidelines and processes for financial planning and budget development. In addition, the college ensures that the procedures in place garner information from all departments across the institution and these processes are open, and opportunities exist for participation in the process by all college constituents.

**III.D.3. Evidence**

**(list here)**

**III.D.4. Institutional planning reflects a realistic assessment of financial resource availability, development of financial resources, partnerships, and expenditure requirements.**

**III.D.4. Evidence of Meeting the Standard**
The college continues to effectively link institutional planning efforts with a realistic assessment of available financial resources. SAC leadership recognizes the importance of aligning resource allocation to our Strategic Plan and college budget priorities ([**IIID-1**](https://www.sac.edu/AdminServices/BudgetAccounting/Documents/Forms%20and%20instructions/Procedures/SAC%20Planning%20and%20Budget%20Priorities%202020-2021.PDF)) while developing and maintaining its required Institutional Contingency Reserve available to use in emergency situations. SAC understands how important partnerships are to this institution for financial stability and for the good of our students and our community. One example of this is in the partnership effort with our School of Continuing Education (SCE) for FY20.21. SAC understands noncredit FTES made up 3,738.67 of our total 18,175 FTES for FY19.20 ([**IIID-30**](https://www.rsccd.edu/Departments/Business-Operations/Documents/FRC/FRC%202020-21/Copy%20of%20SCFF%20Simulation%20by%20college%20-%20FY%202019-20-est%20ending%20balance%20with%20Annual%20FTES%20numbers-9-10-20-revised%20NC-DE.pdf)). To boost enrollment and increase apportionment revenue, SAC management approved $212,500 in a marketing campaign specifically for SCE ([**IIID**](https://www.sac.edu/AdminServices/budget/Documents/SEPT_2020%20Minutes_PB%20Committee-FINAL.pdf)**-5**). SAC is also successful in applying for and receiving state and federal grants. Special projects play an important role in the programs offered at Santa Ana College. Beyond the federal and state entitlements, SAC receives substantial awards from competitive grants. The revenue from grants for example; $8,810,142 in SEAP [(**IIID-17**](https://sac.edu/committees/StudentSuccess/Pages/Equityallocationrequests.aspx)) funding, enables the college to develop and institutionalize unique programs and services that serve SAC's diverse student population by keeping the college on the cutting edge of technology, curriculum and other services.

SAC understands the importance the different portions of our Student Center Funding Formula (SCFF) are to generating new revenue for the institution ([**IIID-29**](https://www.rsccd.edu/Departments/Business-Operations/Documents/FRC/2018_Budget_Workshop.pdf) **pg29**). Although FTES make up 70% of the funding model, 20% come from supplemental metrics and 10% come from success metrics. Our Planning & Budget Committee regularly receives updates about FTES, Supplemental metrics ([**IIID-18**](https://www.sac.edu/AdminServices/budget/Documents/P%26B%20OCT%202019%20Minutes_FINAL.pdf)**),** and Success metrics from appropriate offices, and conversations occur regularly on how to improve in all three metrics. Our goal is to increase Pell Grant recipients (4,331 in FY19.20) to be in better alignment with our California Promise receipts (14,027 in FY19.20) where a 3,000-recipient increase could increase our potential revenue by $2,844,000 ($948 funding rate for FY19.20).

SAC management and our participatory governance committees continue to discuss and plan for future liabilities. SAC has a Health Science building project on the near horizon. The state has approved funding for this project to the tune of $20,475,000, with SAC responsible for contributing the rest. With the building now estimated to cost $58,000,000, SAC is expected to contribute about $37-38 million to this construction project. To prepare for this, the college has over the last several years been setting aside part of our general fund ending balance to help offset the liability. In FY 19.20, we set aside $2.5 million dollars ([**IIID-19**](https://www.sac.edu/AdminServices/budget/Documents/SEPT%202019%20Minutes_FINAL.pdf)) for this project and to date, we have set aside roughly $26,447,309 to help cover the Health Science building’s estimated cost.

The district utilizes the revenue allocation model to distribute earned revenue from the state. The district continues to use a conservative approach and only budgets for and approves expenditures that are in line with expected revenue. Planning for unexpected situations continues to be of utmost importance to the college, especially in the current uncertain financial environment SAC is in now. The college maintains its required Institutional Contingency Reserve ([**IIID**](https://www.sac.edu/AdminServices/budget/Documents/SEPT_2020%20Minutes_PB%20Committee-FINAL.pdf)**-5**) balance for emergency needs. In FY20.21, this equated to $1,257,404. The district maintains a board approved contingency for emergency needs in FY 20.21. This equated to $24,830,326 ([**IIID-13**](https://www.rsccd.edu/Departments/Business-Operations/Documents/TENTATIVE-ADOPTED%20BUDGETS/Adopt%202021-REVISED-10-6-20.pdf) **pg4**).

**III.D.4. Analysis and Evaluation**

SAC establishes funding priorities through collaboration of faculty and staff to help divisions and departments achieve their educational and financial goals. Institutional planning ensures SAC has adequate funding to meet the needs of our students, faculty, and staff. SAC continues to form close partnerships to ensure the financial stability of our college. SAC continues to plan for the future which is evident in our work to improve our SCFF metrics such as increasing Pell Grant recipients and ensuring we have a pathway to address unfunded liabilities, most of which are in construction projects.

**III.D.4. Evidence**

**(list here)**

**III.D.5. To assure the financial integrity of the institution and responsible use of its financial resources, the internal control structure has appropriate control mechanisms and widely disseminates dependable and timely information for sound financial decision making. The institution regularly evaluates its financial management practices and uses the results to improve internal control systems.**

**III.D.5. Evidence of Meeting the Standard**
Financial documents prepared by the district and college are a result of a collaborative effort within the institution’s participatory governance process. As a result of this collaboration, financial resources are then allocated in support of student success. The district’s annual budget is developed using information from the state budget and documents prepared by the California Community College Chancellor’s Office. The district utilizes its Budget Allocation Model **(**[**IIID-3**](https://www.sac.edu/AdminServices/Documents/2014-2016%20Strategic%20Plan%20Update_approved9102014.pdf) **pg27)** to distribute funds to the colleges, and the colleges determine their respective allocation of resources through their local planning processes ([**IIID-4**](https://www.sac.edu/AdminServices/BudgetAccounting/Documents/Forms%20and%20instructions/Resource%20Allocation%20Request%20Form/Resource%20Allocation%20Request%20Procedures.pdf)).

To assure the financial integrity of the institution and responsible use of its financial resources,

SAC uses a uniform process for resource allocation requests. The allocation of resources has been implemented through the Resource Allocation Request procedures ([**IIID-4**](https://www.sac.edu/AdminServices/BudgetAccounting/Documents/Forms%20and%20instructions/Resource%20Allocation%20Request%20Form/Resource%20Allocation%20Request%20Procedures.pdf)**)**. The intent of this process is to allocate resources to achieve division’s goals, the college mission, the strategic plan, budget priorities, student learning outcomes, and service-learning outcomes. This process starts during the previous fiscal year with the submission of division requests which tie to student learning outcomes. Before the RAR process begins and request are submitted, the SAC Budget and Planning Committee discusses, determines, and approves institutional budget priorities for the upcoming fiscal year. Cabinet reviews and finalizes the approvals. The budget office then allocates the funds for all approved requests and posts to the Administrative Services website for college-wide review. Financial updates from state or District fiscal adjustments are disseminated to Colleges from the District Office at monthly FRC meetings, which is then shared with the Planning and Budget Committee and disseminated further to all constituent groups. In addition, the Budget Office reports SAC budget performance (revenue & expenses) quarterly to Planning & Budget Committee and discussions of how to use financial resources responsibly take place often at Planning and Budget meetings.

Santa Ana College’s internal control structure has appropriate control mechanisms in place to ensure appropriate approvals and a separation of duties for all general ledger activities. Santa Ana College follows standard procedures for new accounts, budget changes, transfer of expenditures, and purchase requisitions ([**IIID-20**](https://www.sac.edu/AdminServices/BudgetAccounting/Pages/Forms-and-Procedures.aspx)). Internal control systems have been established to analyze the effective use of financial resources to continue making improvements and maintain the integrity of the college. The process for the new accounts, budget changes, and transfer of expenditures is similar. The process originates at the department. After the requests have all the corresponding approvals, they are forwarded to the SAC budget office for final review before being forwarding to the District office. All the requests require approvals at the District office before they are processed and completed. The purchase requisition process begins at the department level following district purchasing guidelines. After the approvals and providing the required documentation, they go directly to Purchasing. Purchasing verifies all the information including the general ledger account used and completes the procurement process. The district undergoes annual audits ([**IIID-21)**](https://www.rsccd.edu/Departments/Fiscal-Services/Documents/RSCCD%20Financial%20Statements%2006-30-2020.pdf) from outside audit agencies to ensure the dependability of the college’s financial documents and that internal controls are in place regarding the preparation and fair presentation of financial statements free from material misstatements, whether due to fraud or error.

The institution disseminates dependable and timely information for sound financial decision making at various venues. The College Budget office presents quarterly financial statements to Presidents Cabinet, the Planning and Budget Committee ([**IIID-12**](https://www.sac.edu/AdminServices/budget/Documents/NOV%202019%20Minutes_FINAL.pdf)), and most recently, there are quarterly meetings between the District office, SAC and our sister college, SCC. The district develops fiscal year calendars for the development of the budget with time sensitive deadlines to ensure both the tentative budget and adopted budget can be reviewed and approved annually by the board of directors **(**[**IIID-22**](https://www.rsccd.edu/Trustees/Documents/Agendas/2020%20Agendas/10-12-20%20RSCCD%20Agenda.pdf)). The college also complies with the district’s fiscal year-end calendars for closing the current fiscal year’s budgets and to prepare the budgets for the upcoming fiscal year. SAC regularly evaluates the college’s financial management practices and financial goals through the Planning & Budget Committee. The committee does an annual review of goals and budget priorities to analyze and evaluate current fiscal processes to suggest improvements when needed. The committee’s ongoing goals are to communicate the budget process across campus for the best financial outcomes of the college, close fiscal years with a positive balance, and perform evaluations of the Resource Allocation Request process and results to assess the effectiveness of our financial resources for our students and areas for improvement.

* \*Policies or procedures for purchasing?
* \*Reports to campus and board regarding budgets, financial reports, audit reports??

**III.D.5. Analysis and Evaluation**

Santa Ana College, along with the district, have established procedures to ensure the appropriate use of financial resources in a timely manner. Financial information is readily available from the district website and throughout the district through a variety of sources. Faculty, staff, students, and administrators have ample opportunities to be notified of budget happenings. The annual, independent audit validates the district and college’s internal accounting practices as having followed applicable practices, including generally accepted auditing practices, the California Community Colleges Budget and Accounting Manual, Governmental Accounting Standards Board (GASB), and applicable regulatory compliance. This is evident most recent external audit from FY 19/20 where our financial statements presented “fairly” ([**IIID-21)**](https://www.rsccd.edu/Departments/Fiscal-Services/Documents/RSCCD%20Financial%20Statements%2006-30-2020.pdf) .

**III.D.5. Evidence**

**(list here)**

**III.D.6. Financial documents, including the budget, have a high degree of credibility and accuracy, and reflect appropriate allocation and use of financial resources to support student learning programs and services.**

**III.D.6. Evidence of Meeting the Standard**
The Institutions financial documents are credible and accurate and reflect appropriate allocation and use of financial resources to support the institutions student programs and services. The financial documents of Santa Ana College undergo a series of review and approvals to ensure accuracy before being posted to the general ledger. This review process ([**IIID-20**](https://www.sac.edu/AdminServices/BudgetAccounting/Pages/Forms-and-Procedures.aspx)**)** includes the initiator, approver 1, campus budget checker, VP of Admin Services and ultimately, Fiscal Services (District) approval. Financial transparency is of the utmost importance for the institution. Financial statements are produced on a quarterly basis by the Director of Budgeting & Accounting for review by the VP of Administrative Services, Presidents Cabinet, and the Planning & Budget committee ([**IIID-12**](https://www.sac.edu/AdminServices/budget/Documents/NOV%202019%20Minutes_FINAL.pdf)). These financial statements generate discussion on college operations during the given fiscal year and if funds need to be allocated or re-directed to meet budget priorities, student outcomes, and other goals. Our district utilizes a revenue allocation model **(**[**IIID-3**](https://www.sac.edu/AdminServices/Documents/2014-2016%20Strategic%20Plan%20Update_approved9102014.pdf) **pg27)** to allocate state apportionment revenue to the colleges based on the Student Center Funding Formula (SCFF). The SCFF ([**IIID-29**](https://www.rsccd.edu/Departments/Business-Operations/Documents/FRC/2018_Budget_Workshop.pdf) **pg29)** is made up of three parts:

1. **Base allocation -** based largely on enrollment.
2. **Supplemental Allocation -** based on the numbers of students receiving a College Promise Grant, students receiving a Pell Grant, and students covered by AB 540.
3. **Student Success Allocation** - based on outcomes that include the number of students earning associate degrees and credit certificates; the number of students transferring to four-year colleges and universities; the number of students who complete transfer-level math and English within their first year; the number of students who complete nine or more career education units; and the number of students who have attained the regional living wage.

Santa Ana College allocates funds to ensure support of institutional goals and targets in course offerings to capture growth, access, restoration, technology improvements, facility preventative maintenance requests, and targeted personnel hiring. Annually, the college also reviews categorical grant resource requests and funds prioritize requests based on student outcomes. An example of this categorical request approval process can be seen in SEA Program (Equity) ([**IIID-23**](https://www.sac.edu/committees/StudentSuccess/Pages/default.aspx)) & Strong Work Force committee approval review. The mission of the Santa Ana College Student Success and Equity Committee is to boost achievement for all students with an emphasis on eliminating opportunity gaps. To do this, the committee makes recommendations on how equity funding is allocated, evaluates the use of that funding, and explores strategic ideas grounded in institutional research to support an education free from racism, sexism, homophobia, and any other assumptions and prejudices. Annually, faculty and staff submit funding requests to support students, and a panel then reviews and approves a requests with the available funds. The RAR asks for justification of requests to make sure funding goes to programs and services that support student learning. This also occurs with personnel hiring and other types of expenses too (RAR reference, other request docs).

**III.D.6. Analysis and Evaluation**

Santa Ana College continues to ensure the accuracy of our financial documents through a variety of separate reviews and approvals. This accuracy is on display annually as part of annual independent audit **(**[**IIID-21)**](https://www.rsccd.edu/Departments/Fiscal-Services/Documents/RSCCD%20Financial%20Statements%2006-30-2020.pdf). The annual audit validates that the district and college's internal accounting practices have followed applicable practices, including generally accepted auditing practices, the California Community Colleges Budget and Accounting Manual, Governmental Accounting Standards Board (GASB), and applicable regulatory compliance. The 2019-2020 Annual External Financial Audit was completed with the following comments from the auditors to the district's Board of Trustees:

In our opinion, the financial statements referred to above present fairly, in all material.

respects, the respective financial position of the business-type activities and the aggregate remaining fund information of the District as of June 30, 2020, and the respective changes in financial position and, where applicable, cash flows thereof for the year that ended in accordance with accounting principles generally accepted in the United States of America

**III.D.6. Evidence**

(list here)

**III.D.7. Institutional responses to external audit findings are comprehensive, timely, and communicated appropriately.**

**III.D.7. Evidence of Meeting the Standard**

The district annually undergoes an independent audit, and audits are conducted individually for each of the foundations [**(IIID-24**](https://www.rsccd.edu/Departments/Fiscal-Services/Documents/SAC%20Foundation%20Financial%20Statements%2006-30-2020%20and%202019.pdf)), auxiliary operations, and bond program. The audits provide an opinion on the adequacy of financial statements based upon materiality and internal controls. These audits also assess several federal and state compliance areas and report on any issue found. The auditors have issued clean opinions and have not identified any deficiencies in internal control over financial reporting that they would consider material weaknesses. Any identified audit findings are included in the audit, and the district’s responses to the findings are also included **(**[**IIID-21)**](https://www.rsccd.edu/Departments/Fiscal-Services/Documents/RSCCD%20Financial%20Statements%2006-30-2020.pdf). The district has had minimal audit findings and has regularly corrected any issues prior to the following year’s audit. Audit results are used to improve the management of the district, and college financial procedures and policies. To ensure appropriate institutional response, the Fiscal Audit Committee of the Board of Trustees oversees the audit process and meets annually with the independent certified public accounting firm to discuss the audit and any findings. Once the audits have been board approved, they are posted to the district website for all constituents to view. Fiscal budgets and audit reports **([IIID-21](https://www.rsccd.edu/Departments/Fiscal-Services/Documents/RSCCD%20Financial%20Statements%2006-30-2020.pdf))** are shared with the public during Board of Trustees meetings and on the district website for existing and previous fiscal years. Audit findings are included in the budget report and shared with the public

**III.D.7. Analysis and Evaluation**

Institutional responses to any findings from external audit findings are comprehensive, timely, and communicated as appropriate. The district’s adopted budgets and financial statements are reviewed annually by independent auditors. During this reporting period, the audits have resulted in unqualified reports related to the financial statements. There have been few findings, none related to internal controls.

**III.D.7. Evidence**

(list here)

**III.D.8. The institution's financial and internal control systems are evaluated and assessed for validity and effectiveness, and the results of this assessment are used for improvement.**

**III.D.8. Evidence of Meeting the Standard**

Rancho Santiago Community College District’s financial statements are audited annually by external auditors. The District office is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatements, whether due to fraud or error. The external auditor's responsibility is to obtain sufficient and appropriate audit evidence as a basis to issue an opinion on these financial statements **(**[**IIID-21**](https://www.rsccd.edu/Departments/Fiscal-Services/Documents/Rancho%20Santiago%20Community%20College%20District%20Final%20Audit%20Report.pdf)**).**

For fiscal year 2019/20, the auditors issued the following opinion:

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the business-type activities and the aggregate remaining fund information of the District as of June 30, 2020, and the respective changes in financial position and, where applicable, cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

**III.D.8. Analysis and Evaluation**

The district's external auditors have issued clean opinions during this reporting period and have not identified any deficiencies in internal control over financial reporting that they would consider material weaknesses **(**[**IIID-21**](https://www.rsccd.edu/Departments/Fiscal-Services/Documents/Rancho%20Santiago%20Community%20College%20District%20Final%20Audit%20Report.pdf)**).** The district has had minimal audit findings and has regularly corrected any issues prior to the following year’s audit. Audit results are used to improve the management of the district and college financial procedures and policies.

**III.D.8 Evidence**

**III.D.9. The institution has sufficient cash flow and reserves to maintain stability, support strategies for appropriate risk managemnt, and, when necessary, implement contingency plans to meet financial emergencies and unforeseen occurrences.**

**III.D.9. Evidence of Meeting the Standard**

Through careful planning and fiscal management over the past five years, Santa Ana College has maintained a sufficient ending balance to meet financial emergencies and unforeseen needs.

Santa Ana College’s 5-year Fund 13 (carryover balance) ending balance is as follows:

|  |  |
| --- | --- |
| FY 20/21 | $6,159,792 |
| FY 19/20 | $6,714,823 |
| FY 18/19 | $6,808,035 |
| FY 17/18 | $6,156,301 |
| FY 16/17 | $4,902,843 |

This ending balance is the result of our college along with the district’s conservative approach with regards to spending. This institution has also followed a hiring strategy in which vacant positions left by retirees and resignations are fully evaluated and, in some cases, not fully replaced. This conservative approach will be of great benefit to our institution given our current financial environment due to COVID-19. Starting February 2021, the state will begin to defer monthly payments to colleges ([**IIID-25**](https://www.cccco.edu/-/media/CCCCO-Website/College-Finance-and-Facilities/Budget-News/statebudgetupdateandp2630finala11y.pdf?la=en&hash=72DA23E7C7DAF5F6F74D34082B9D87F5A514E1D0) **pg9**). The District is still responsible to pay for current obligations. This will most likely be paid with district reserves. Luckily, the district has a significant board approved contingency balance and will be able to fund these obligations for the foreseeable future **(**[**IIID-13**](https://www.rsccd.edu/Departments/Business-Operations/Documents/TENTATIVE-ADOPTED%20BUDGETS/Adopt%202021-REVISED-10-6-20.pdf) **pg4**). Also, the District has recently implemented a Supplemental Retirement Program where 75 district employees took advantage of this early retirement option. This will also help expenditure savings in the near future. The district is currently implementing a hiring hold and will only fill positions on an as-needed basis in the hopes to save $2,671,791 for the current fiscal year FY20.21 and potentially save the district $8,637,818 over the next 3 years.

To date, cash balances have been sufficient to support district operations. The Board of Trustees has a policy of a minimum reserve equal to 12.5% of the general fund budget **(**[**IIID-13**](https://www.rsccd.edu/Departments/Business-Operations/Documents/TENTATIVE-ADOPTED%20BUDGETS/Adopt%202021-REVISED-10-6-20.pdf) **pg4**). The district fiscal team continuously reviews financial conditions, state funding levels, and provides timely, ongoing assessments of potential risks and opportunities. As of June 30, 2019, the district’s Unrestricted General Fund Balance was $ 41,412,351 **(**[**IIID-13**](https://www.rsccd.edu/Departments/Business-Operations/Documents/TENTATIVE-ADOPTED%20BUDGETS/Adopt%202021-REVISED-10-6-20.pdf) **pg8)**. The district possesses sufficient insurance to cover potential risk exposure. It has established separate Self-Insurance Funds for two types of self-insurance activity: Workers’ Compensation and property and liability insurance. The district has a Risk Management department to ensure the risk management program meets all legal requirements and provides protection and/or insurance against loss, damage, or disability in accordance with the California Education Code. The district funds two Internal Service Funds, one for Workers’ Compensation (Fund 62) and one for property and liability (Fund 61), based on estimated amounts needed to pay prior year claims and current year premiums. The combined assets in these two funds as of June 30, 2019 amounted to $8,528,595 **(**[**IIID-13**](https://www.rsccd.edu/Departments/Business-Operations/Documents/TENTATIVE-ADOPTED%20BUDGETS/Adopt%202021-REVISED-10-6-20.pdf) **pg67&70)**.

Santa Ana College continues to plan for emergency or unforeseen needs. This planning process is evident in our annual Fund 13 planning process. This process begins once our year end close-out process is complete, and an accurate ending balance is known. Once this balance is known, the college begins drafting a plan to allocate funds to reflect our college budget priorities and our strategic plan. This includes ([**IIID**](https://www.sac.edu/AdminServices/budget/Documents/SEPT_2020%20Minutes_PB%20Committee-FINAL.pdf)**-5**) line items such as its required Institutional Contingency Reserve (for FY20.21 $1,257,404), facility emergencies and unforeseen needs (for FY20.21 $258,000), legal expenses (for FY 20.21 $50,000), and an investment in Distance Education brought about by COVID-19 (for FY20.21 $237,357). Once this plan is drafted by Administrative Services, it is then discussed and revised (if necessary) in President’s Cabinet and Planning & Budget. Funding from the federal government to address COVID-19 impacts helps the college recover loss revenue and cover new expenses related to COVID-19. This source of revenue helps SAC maintain financial stability and addressing needs caused by the pandemic.

**III.D.9. Analysis and Evaluation**

Santa Ana College has processes in place to help mitigate potential unforeseen/emergency financial needs demonstrated in our ending balance history and contingency/emergency budget allocations. Although we are in uncertain financial times due to COVID-19, to date, the college and the district have been able to fund all payroll and other financial obligations on time without the need to borrow.

**III.D.9. Evidence**

**III.D.10. The institution practices effective oversight of finances including management of finances, management of financial aid grants, externally funded programs, contractual relationships, auxiliary organizations or foundations, and institutional investments and assets.**

**III.D.10. Evidence of Meeting the Standard**

The SAC Foundation is audited annually by independent auditors as part of the district’s annual external audit ([**IIID-24**](https://www.rsccd.edu/Departments/Fiscal-Services/Documents/SAC%20Foundation%20Financial%20Statements%2006-30-2020%20and%202019.pdf)).The funds are managed by the SAC Foundation Director and reviewed by the Foundation Board of Directors. All foundation investments are accounted for and documented by the SAC campus Budget Office to ensure proper internal controls. The district Financial Aid Fund, categorical grants, and district auxiliary funds are included in the district’s annual audit report. The district’s Resource Developent Office has direct oversight of all the grants’ application, monitoring, and reporting.

The SAC Foundation receives and manages funds to be used in furtherance of the purposes and goals of Santa Ana College. The Investment Policy ([**IIID-26**](file:///H%3A/Department%20Directories/Admin%20Services/FOUNDATION%20ACCOUNTING/INVESTMENT%20FEE%20POLICY/SACF%20Stewardship%20Fee%20Policies%20Approved%20July%202016.docx)) Statement addresses the funds’ management functions within the Foundation and specifies the goals of the Foundation in managing those funds. The policy sets forth the procedures for these parties to follow in managing the Foundation's investments. The purpose of this investment policy is to establish a clear understanding of the financial goals and objectives of the Foundation’s financial assets. The Foundation Board of Directors delegates investment management functions to the Finance and Investment Committee, the Director and one or more Investment Managers. On a quarterly basis, the Board monitors the strategies of the Finance and Investment Committee and performance of the Foundation's investments. The Finance and Investment Committee is composed of members from the Board of Directors, appointed by the Board on recommendation of the President. The Committee may also include non-Board members with expertise in investment matters.

Investment managing firms sent key Investment Advisors to present updates of investments results and current market environments at quarterly Finance Committee Meeting.

The SAC Foundation has interpreted the California Uniform Prudent Management of Institutional Funds Act (UPMIFA) as requiring the preservation of the fair value of the original gift as of the date of the donor-restricted endowment funds. The Foundation has adopted an investment policy ([**IIID-26**](file:///H%3A/Department%20Directories/Admin%20Services/FOUNDATION%20ACCOUNTING/INVESTMENT%20FEE%20POLICY/SACF%20Stewardship%20Fee%20Policies%20Approved%20July%202016.docx)) that actively safeguards the assets while maintaining some growth to ensure donations will provide a benefit to the college and its student population. As approved by the Board of Directors, the endowment assets are invested in a manner that is intended to prudently invest in financial instruments which provide a reasonable measure of principal stability.

The institution practices effective oversight of finances of auxiliary organizations or foundations by engaging with external independent auditors to conduct annual audits including internal control over financial reporting, compliance, and other matters based on an audit of financial statements performed in accordance with government auditing standards.

**III.D.10. Analysis and Evaluation**

Santa Ana College regularly assesses its use of financial resources. The College demonstrates compliance with Federal Title IV regulations and requirements by completing an annual independent audit of its processes and transactions. The annual college audit reviews all programs and services, which include all special fund programs such as financial aid, grants, contracts, the Foundation, and the Associated Student Government. Special fund programs also go through additional monitoring from state and federal grantors to ensure compliance with program rules and guidelines. No findings have been made to indicate mismanagement of these resources.

**III.D.10. Evidence
(list here)**

**III.D.11. The level of financial resources provides a reasonable expectation of both short-term and long term financial solvency. When making short-range financial plans, the institution considers its long-range financial priorities to assure financial stability. The institition clearly identifies, plans, and allocates resources for payment of liabilities and future obligations.**

**III.D.11. Evidence of Meeting the Standard**

The economic position of the district is closely tied to that of the State of California. The district management closely monitors the state budget information and carefully evaluates resources to effectively address both internal and external issues. When making short-range financial plans, the district considers how these immediate plans will impact long-term fiscal planning and priorities. The district regularly prepares Multi-year Projections, which are discussed at the district Fiscal Resources Committee meetings ([**IIID-35**](https://www.rsccd.edu/Departments/Business-Operations/Documents/FRC/FRC%202020-21/Agenda%20October%2021%2C%202020%20with%20materials.pdf) **pg30**). The district’s plans for payments of long-term liabilities and obligations exist in the annual budget and the budget assumptions **(**[**IIID-36 pg52**](https://www.rsccd.edu/Departments/Business-Operations/Documents/FRC/FRC%202020-21/Agenda%20September%2016%2C%202020%20with%20materials.pdf)). The college continues to work with the district to ensure it will live up to all its financial obligations, including all fixed costs, which includes insurance payments, payroll obligations, and health benefits, among others.

The District has ensured the entire Actuarially Required Contribution/Actuarially Determined Contribution has been made for over ten years toward our Retiree Health Benefits OPEB liability ([**IIID-24**](https://www.rsccd.edu/Departments/Fiscal-Services/Documents/rsccd-actuarial-valuation-2019.pdf)). The District has accumulated over $80 million toward a current liability of $149 million, with approximately half of the amount accumulated deposited to an irrevocable trust and the other half in a separate fund **(**[**IIID**](https://www.rsccd.edu/Departments/Fiscal-Services/Documents/Rancho%20Santiago%20Community%20College%20District%20Final%20Audit%20Report.pdf)**-21).**

**III.D.11. Analysis and Evaluation**

Santa Ana College meets this standard. Santa Ana College has taken great steps to make sure that its short-range financial plans are aligned completely with its long- range financial priorities. The district and college have demonstrated that it effectively plans for payments of long-term liabilities within the framework of its planning processes and the annual operating budget.

**III.D.11. Evidence**

(list here)

**III.D.12. The institution plans for and allocates appropriate resources for the payment of liabilities and future obligations, including Other Post-Employment Benefits (OPEB), compensated absences, and other employee related obligations. The actuarial plan to determine Other Post-Employment Benefits (OPEB) is currently prepared as required by appropriate accounting standards.**

**III.D.12. Evidence of Meeting the Standard**

The district analyzes its financial obligations annually and seeks to fund all current and long-term financial obligations fully, following generally accepted accounting principles. The district has for many years funded at least our full ARC/ADC into a separate fund set aside for Retiree Health Benefits. In June 2019, the District transferred $40 million to open an Irrevocable Trust. As of 6/30/2020, between both funds, the District has set aside over $80 million for this liability. The District contracts for an annual actuarial study as required ([**IIID-24**](https://www.rsccd.edu/Departments/Fiscal-Services/Documents/rsccd-actuarial-valuation-2019.pdf)).

**III.D.12 Analysis and Evaluation**

Santa Ana College meets this standard.

**III.D.13. On an annual basis, the institution assesses and allocates resources for the repayment of any locally incurred debt instruments that can affect the financial condition of the institution.**

**III.D.13. Evidence of Meeting the Standard**

The district has a healthy fund balance ([**IIID-13**](https://www.rsccd.edu/Departments/Business-Operations/Documents/TENTATIVE-ADOPTED%20BUDGETS/Adopt%202021-REVISED-10-6-20.pdf) **pg8)** and therefore has not incurred any debt in the general fund. The district has no debt other than General Obligation Bonds for capital construction which are secured and paid by local resident property taxes.

**Analysis and Evaluation**

Santa Ana College has not incurred any debt in the generally fund, however, annually resources are assessed and allocated based on budget priorities developed in the Planning & Budget Committee.

**III.D.13. Evidence**

**(list here)**

**III.D.14. All financial resources, including short- and long-term debt instruments (such as bonds and Certificates of Participation), auxiliary activities, fund-raising efforts, and grants, are used with integrity in a manner consistent with the intended purpose of the funding source**.

**III.D.14. Evidence of Meeting the Standard**

Santa Ana College utilizes funds with integrity and in a manner consistent with the intended purpose of the funding source. The Santa Ana College Foundation is committed to ensuring that no student is denied educational opportunities due to financial constraint. Therefore, the Foundation's mission is to maintain, expand, and enhance the educational opportunities of Santa Ana College by linking community organizations, businesses, funding sources, alumni, and staff. This is evident in a variety of ways, but two examples would be through fundraising and grant distribution to our students. In addition, all allocation decisions and activities occur in accordance with state law, Governmental Accounting Standards Board (GASB), and the Budget Accounting Manual. The district also conducts internal audits to assess processes and uses the results of those audits to make improvements to financial and information systems.

The Santa Ana College Foundation continues to partner with groups to create means of raising money to support the college and its programs for our students. The annual Ed Arnold Golf Classic tournament ([**IIID-27**](file:///H%3A/Department%20Directories/Admin%20Services/FOUNDATION%20ACCOUNTING/ED%20ARNOLD%20GOLF%20CLASSIC/2019%20GOLF%20SUMMARY%20REPORT.docx)), for example, raises funds to aid students who are looking to continue their education at Santa Ana College or transfer to the universities of their choices to continue their athletic and scholastic endeavors. Each year, the Foundation office prepares a Golf Summary Report that is available to our external auditors which provides a detail summary of funds received. In 2017, $83,710 was raised. The following year, 2018, $95,940 was raised, and in 2019, $100,800 was raised for the benefit of our scholar athletes.

SAC Foundation has also received grant money from The California Endowment to work on improving community health through health workforce diversity. The purpose of the grant is to strengthen Santa Ana College health career pathways through student outreach, mentoring, and by convening a local health careers roundtable. By requirement, the college shall make interim written reports to The Endowment according to the schedule.

In compliance, the funds were used in a manner consistent with the grant. The college continues to submit the required reports prior to its annual deadline. The California Endowment sent a written e-mail communication stating they reviewed and approved the final report.

**III.D.14.** **Analysis and Evaluation**

Santa Ana College aligns with the Standard. The SAC Foundation abides by the grant guidelines and fundraising policies. Financial resources including fund-raising efforts and grants are used with integrity in a manner consistent with the intended purpose of the funding source. The annual independent audits of budgets, procedures, and documentation affirm the district’s continued focus on presenting and reporting financial records with integrity in accordance with federal and state guidelines.

**III.D.14. Evidence**

**(list here)**

**III.D.15. The institution monitors and manages student loan default rates, revenue streams, and assets to ensure compliance with federal requirements, including Title IV of the higher Education Act, and comes into compliance when the federal government identifies deficiencies.**

**III.D.15. Evidence of Meeting the Standard**

Student loan default rates are monitored annually by the college Financial Aid Office. SAC’s default rate is an acceptable 7.5 percent ([**IIID-28**](file:///C%3A/Users/User/Standard%20III.D%20Evidence/Default%20Rate.docx)). (Less than 30 percent is considered acceptable by the California Community Colleges Chancellor’s Office.) The college complies with federal regulations regarding student loans by fulfilling the requirement to reconcile federal student loans on a monthly basis. Reconciliation documents are kept in the college Financial Aid Office.

Santa Ana College does not offer institutional loans and therefore collects no revenue.

**III.D.15. Analysis and Evaluation**

Santa Ana College meets this standard.

**III.D.15. Evidence**

**III.D.16. Contractual agreements with external entities are consistent with the mission and goals of the institution, governed by institutional policies, and contain appropriate provisions to maintain the integrity of the institution and the quality of its programs, services, and operations.**

**III.D.16. Evidence of Meeting the Standard**

Contractual agreements with external entities are consistent with the mission and goals of Santa Ana College ([**IIID-7**](https://www.sac.edu/AboutSAC/Pages/mission.aspx)). Proper oversight is provided both at the college level as well as the district level to ensure the college maintains its integrity in all contractual agreements. This oversight is demonstrated in Administrative Regulation 6150 **(**[**IIID-31**](https://www.rsccd.edu/Trustees/Documents/ARs/ARs-Chapter%206/AR%206150%20Designation%20of%20Authorized%20Signatures.pdf)) “Designation of Authorized Signatures” and Administrative Regulation 6330 ([**IIID-32**](https://www.rsccd.edu/Trustees/Documents/ARs/ARs-Chapter%206/AR%206330%20Purchasing.pdf)**)** “Delegation and Approval Limits.”

All contracts must be reviewed by the appropriate Chancellor’s Cabinet member, approved, or ratified by the Board of Trustees, and signed by the Vice Chancellor of Business Operations and Fiscal Services. Santa Ana College also recently implemented contractual standard operating procedures ([IIID-33](https://intranet.rsccd.edu/SAC/Pages/default.aspx)) available via our employee intranet which goes over topics such as:

1. What are the responsibilities of managers seeking approval of contracts, agreements, or MOU’s?

2. How do managers and/or administrative support staff record contracts and obtain approval of, agreements, or MOU’s?

3. Where can a manager find the Contracts Workbook, Contracts Repository, contract templates, and other helpful resources relating to District contracts?

4. What considerations should managers have when reading technology contracts?

III.D.16. Analysis and Evaluation

This institution continues to meet this standard. There are proper approvals and oversight in place to ensure we follow Ed Code and state regulations for all contractual agreements.

Our Purchasing, Risk Management ([IIID-34](https://intranet.rsccd.edu/Purchasing/Pages/Forms-and-Resources.aspx)), and SAC employee intranet websites provide detailed and transparent guidelines with helpful informaton for all personnel to follow.

**III.D.16. Evidence**

**(list here)**