

Responses to Recommendations

Responses to Previous ACCJC Recommendations
Progress on Self-Identified Planning Agenda 2008



RESPONSES TO PREVIOUS ACCJC RECOMMENDATIONS

Responses to College Recommendations 1, 2, and 3 from the Most Recent Educational Quality and Institutional Effectiveness Review

Since the last external team evaluation in October 20-23, 2008, Santa Ana College has used the self-evaluation process to review and analyze the quality of its educational programs and services. In addition, the college continues to examine its institutional effectiveness in an effort to ensure student success and completion. As part of this cyclical review process, the college has also focused its efforts on fully responding to the recommendations made by the evaluation team that visited the college October 20-23, 2008.

After the October 20-23, 2008 visit, the evaluation team submitted its confidential report to the Accrediting Commission for Community and Junior College/Western Association of Schools and Colleges (ACCJA/WASC). Thereafter, the Commission issued an official disposition letter to Santa Ana College on February 3, 2009. This letter informed the college that it had been placed on *Warning with a Follow-up Report* due October 15, 2009. Four recommendations were to be addressed in the 2009 *Follow-up Report*. Three of the recommendations addressed deficiencies for the college, and four recommendations addressed deficiencies for the Rancho Santiago Community College District. A *Midterm Report*, due in October of 2011, was submitted and addressed all recommendations described in the team confidential *Evaluation Report*.

The evaluation team findings for College Recommendation 1 focused on having the college:

- Evaluate its planning processes, including the integration of technology, staffing, and facilities master plans, to ensure the budget is used as a planning tool to achieve its strategic goals and,
- Use the outcomes from these evaluation activities and formally and broadly communicate them to ensure quality and,
- Integrate the planning and evaluation processes to ensure that resource allocation be based on plans, program reviews (Department Planning Portfolios, or DPPs), and actual budgetary performance and,
- Consistently evaluate the outcomes of its planning/budget process and use that data in subsequent budget development. (Standards I.A.1, I.A.3, I.B.4, I.B.6, II.A.1, II.A.2.f, III.B.2.d, III.D.1, III.D.2, III.D.3, IV.B.3.a, IV.B.3.b)

The evaluation team findings for College Recommendation 2 focused on having the college:

- Prepare and maintain an updated Diversity Plan.
(Standards II.A.1.a, II.A.3.c, II.B.3.d, III.A.4.a, III.A.4.b)

The evaluation team findings for College Recommendation 3 focused on having the college:

- Strengthen its communication with classified employees regarding governance service opportunities, processes, deliberations, and outcomes. (Standards III.A., IV.A.1)

College Recommendation 1

The Team recommends that the college evaluate its planning processes, including the integration of technology, staffing, and facilities master plans, to ensure the budget is used as a planning tool to achieve its strategic goals and that the outcomes from these activities be formally and broadly communicated to ensure quality. As part of this integration, the Team recommends that the college resource allocation be based on plans, program reviews (Department Planning Portfolios, or DPPs), and actual budgetary performance. This requires that the college evaluate the outcomes of its planning/budget process and use that data in subsequent budget development. (Standards I.A.1, I.A.3, I.B.4, I.B.6, II.A.1, II.A.2.f, III.B.2.d, III.D.1, III.D.2, III.D.3, IV.B.3.a, IV.B.3.b)

* **Note:** As this recommendation was addressed in the Santa Ana College *Follow-Up Report* October 15, 2009 and in the Santa Ana College *Midterm Report*, October 2011, the response in this *Self Evaluation Report* will amplify the status of this recommendation. For clarity, however, and continuity, salient elements of previous Reports are repeated.

I. Evaluation of Processes (Standards: I.A.1, I.A.3, I.B.4, I.B.6)

Through integrated planning activities, the college aligns its programs and services with the purpose, character, and student population. For example, the college conducted an Institutional Effectiveness Survey in fall 2013. Results were discussed in College Council and instructional deans' meetings. The results indicate that 72 percent of respondents, including administrators/supervisors, faculty, and staff "strongly agreed" or "agreed" that student learning programs are in alignment with the mission of Santa Ana College⁸. In March 2012, a college-wide Mid-Cycle Planning Retreat was held to review the relevance of the mission statement to student learning. As a result of this effort, the former mission statement was revised and approved by College Council and then the Board of Trustees^{9, 10}.

The mission statement addresses and makes explicit the purposes and direction of student learning in the areas of transfer, careers, and lifelong intellectual pursuits in a global community. To this end, SAC has established an array of innovative programs and services to support student learning. These programs and services are aligned with the college's purpose, character, and student population. For example, Santa Ana College offers numerous concentrations or majors and over 250 subjects, 109 leading to the associate degree in arts or science, 21 ADT's, and 120 certificates of competency. SAC currently has 21 approved Associate Degrees for Transfer (18 AA-T; 3 AS-T) and is working to develop more transfer degrees by the June 2015 deadline. In addition, SAC offers a variety of services and programs to support the intended student population.

The college evaluates its mission statement regularly and revises it as necessary. For example, the mission statement is reviewed regularly by the campus community. Prior to the 2012 Mid-Cycle Planning Retreat, the mission statement was reviewed on an annual

basis by the College Council, the Curriculum and Instruction Council, and the Institutional Effectiveness and Assessment Committee (IE&A). The Mid-Cycle Planning Retreat was facilitated by the IE&A committee and was held on March 2, 2012¹¹, where representatives from the administrative, faculty, classified staff, and students reviewed the mission statement and Vision Themes. As a result of dialogue amongst the participants, there was a proposal to revise the mission statement. Revisions to the mission statement are prompted by the use of surveys of college personnel and students.

The outcome of the planning retreat was that revisions to the mission statement were presented to the IE&A Committee¹². They were then forwarded to the other participatory governance committees, including the Student Success Committee, the Santa Ana College Technology Committee, Facilities Committee, Planning and Budget Committee, and also the Academic Senate, the Curriculum and Instruction Council, the Teaching Learning Committee, the classified staff leadership, and the Associated Student Government to ensure that all stakeholders had an opportunity to review the proposed changes. After review by all participatory governance groups, the revised mission statement was forwarded and approved by the College Council on June 13, 2013⁹. On September 24, 2012, it was approved by the Board of Trustees (BOT)¹⁰.

The planning process at Santa Ana College is broad-based, offers opportunities for input by all constituencies, allocates necessary resources, and leads to improvement of institutional effectiveness. By providing evidence of the planning process, in the form of goals and program review annual reports, the institution follows an ongoing system of planning. This system includes integrated planning, resource allocation, implementation, and re-evaluation, all of which is integrated with the planning cycle at the district level in the Comprehensive Master Plan¹³.

Up to spring 2014, the Institutional Effectiveness and Assessment Committee (IE&A¹⁴) was the participatory governance group that served as the centralized planning body of the college. This committee oversaw updates to the Strategic Plan and received program review reports from Student Services, Administrative Services, as well as the aggregate report from the Teaching Learning Committee. After review of the participatory governance structure, it was determined that Strategic Plan review would be more effective at College Council and that the Planning and Budget Committee would best serve to integrate planning and budget. In addition, it was determined that the development of an Institutional Effectiveness Office, including a Research Analyst and the IE Coordinator, who also serves as the ALO, should be seriously considered¹⁵.

Involvement in the planning process occurs at the participatory governance committees, including the Planning and Budget Committee, SACTAC, the Facilities Committee, and the Student Success Committee, which all make recommendations to College Council¹⁶. These committees have representation from all constituency groups, including students¹⁷.

The college has an established review of its processes and ensures that all parts of the cycle are efficient and productive through participation on district-level governance groups, college-level participatory governance committees, an annual President's Cabinet-Leadership Governance Retreat, and program review.

The district Budget Allocation and Planning Review Committee (BAPR¹⁸) reviewed the district Budget Allocation Model for two years, and in 2012, agreed to change the model to the SB 361 Model. In addition, in 2013, a new governance structure was developed at the district level to include the following committee structure: District Council; Planning and Organization Effectiveness Committee (POE); Fiscal Resources Committee (FRC); Human Resources Committee (HRC); and the Technology Advisory Committee (TAG). POE is charged with reviewing the effectiveness of the Strategic Plan of the district; FRC is charged with review of the Budget Allocation Model¹⁹. Recommendations are made to District Council, which has representation from each of the governance groups as well as the constituency group leaders of each college and the district^{20, 21}.

At the college-level governance retreat in spring 2014, an analysis determined that the Institutional Effectiveness and Assessment Committee would no longer be the planning review oversight group²². To improve the process, College Council, which has representation of all members of the President's Cabinet and the leaders of all constituency groups, including students, assumed responsibility of conducting the annual Strategic Plan Update and assessing the institution-set standards. It is at the College Council level that large-scale planning processes come together for review, evaluation, and any modifications necessary. The council provides advice to the President on college issues; reviews board docket items; reviews and considers recommendations from other committees as needed; reviews and considers requests from council members for special consideration; and reviews Board Policies and Administrative Regulations as needed²³.

Modification of the resource allocation process at the college level was developed by the Planning and Budget Committee²⁴. Resource Allocation Request (RAR) forms are utilized for resource requests (fiscal, physical, or personnel), which are now clearly tied to planning portfolio goals. Requests are prioritized at the department/program and division before submission to the area vice president (i.e., academic affairs, student services, administrative services). Requests from the vice presidents on the new RAR forms are made public through the Planning and Budget Committee website²⁵.

Department-level planning is the foundation for all other planning processes. The Vice President of Academic Affairs, DE Advisory Group, and Academic Senate are all involved in the effectiveness review of distance education and the comparison between traditional modes and the distance education mode. Program Review of each department contains a component of DE in its achievement analysis²⁶.

II. Integrated Planning and Budget and College-level Communication(II.A.1, II.A.2.f, III.B.2.b, III.D.1, III.D.2, III.D.3)

Program Review

Santa Ana College (SAC) meets the goals of the mission of the college in all programs regardless of location and means of delivery. The college commenced a process of SLO development at the course, program, and institutional level in 2002 to meet the needs of students. Course, program, and ILO assessment may be found on the program review repository²⁷. ILO's are also included in the college catalog and are in concert with the college mission statement²⁸.

SAC has ensured that programs are of high quality and appropriate to an institution of higher learning by engaging in dialogue that begins at the department level. The college has also ensured that a process is observed for program review, including semester course-level SLO analysis, annual program-level analysis, and full capstone quadrennial review²⁹. Within the analysis are included both success and achievement data³⁰.

By 2011, all disciplines had conducted quadrennial capstone review. The second complete cycle of capstone review will have been completed by fall 2014³¹. Since the last External Evaluation Team Visit in 2008, SAC has assessed program review processes and made changes to accommodate greater understanding and ease of communicating results. First, to align the planning and budget cycles, since 2013, all capstone reports are due by October 15th rather than in the spring semester³². New forms were also created so reassessment of elements needed for improvement in student learning could be facilitated. The new form includes linkage to the Institutional Learning Outcomes; the course or program learning outcomes; methods of assessment; the specific outcomes; plan for implementation; and reassessment, outcomes, and future plan for improvement.

To connect SLO's to planning and to ascertain that program review is systematic and cyclical, the Curriculum and Instruction Council (C&I) established the SLO Committee in 2003. In 2004 the committee was given expanded oversight to include assessment and aspects of other linkages to academic affairs, and the name was changed to the Teaching Learning Committee (TLC³³). After review of the quadrennial capstone reports, the TLC issues a report linked to the Vision Themes (i.e., goals) of the Strategic Plan. In addition, the TLC has served in tandem with other initiatives to provide faculty and staff development opportunities on how to conduct systematic, cyclical program review³⁴. Other initiatives have been in connection with the Basic Skills Initiative Task Force and Flex calendar activities³⁵.

Planning to meet student needs and delivering quality education are ongoing and an integral part of the college. The college has a process for assessing student learning outcomes. Courses are reviewed and revised as needed by discipline area experts after dialogue among members of the department/discipline. The courses and programs are assessed through the program review process annually, and every four years, 25 percent of all departments conduct a capstone program review utilizing the 19QT²⁷.

The process includes evaluation of programs and services with input from the RSCCD Research Department, students, faculty, and course evaluations. Analysis of the data leads to changes and improvements as needed with reevaluation.

The budget process is tied to academic planning through program review. A detailed analysis with goals and assessment of those goals must be conducted annually by each department. SLO assessment must also be ongoing and follow the institutional cycle. All budget requests must be a result of planning efforts and must have rationale. Where appropriate, valid and reliable multiple measures (qualitative as well as quantitative data) are collected and utilized in the preparation of objective and viable planning/goals and in requests for resources (e.g., Modern Languages³⁶).

All departmental goals and needs such as faculty hiring requests, facilities, technology updating, and instructional equipment must be tied to the goals analysis of the department, and therefore, the budget. Requests are placed on the Resource Allocation Request form (RAR) and sent to the division dean, who prioritizes requests and completes a division RAR. The division deans send the division RAR to the Vice President of Academic Affairs, Vice President of Student Services, or Vice President of SCE, who prioritize requests and submit an area RAR to the President's Cabinet (Academic Affairs³⁷, SCE³⁸, and Student Services³⁹).

Facilities

The SAC Facilities Committee is a constituent-based participatory governance body made up of faculty, students, classified, and administrative staff that guides the planning of campus development⁴⁰. The committee reports to College Council and disseminates information to constituency groups on campus⁴¹. The 2014 Facilities Master Plan and its preceding editions rely on the analysis of the existing program of instruction, the current level of space demand, and the existing degree of space utilization⁴².

Prior to final adoption of the current 2014 Facilities Master Plan, numerous campus-wide meetings were held by the college President to share information and receive input from faculty, staff, and students concerning the plan⁴³. SAC ensures integration between physical resource planning and institutional planning by basing its long-range capital planning on the academic program of instruction. As the program of instruction changes, so do the decisions related to campus physical plant improvements.

In order to ensure that facilities decisions are developed based on program review and institutional need, SAC has implemented a "ground up approach." Facilities needs are identified at the departmental level first by faculty and classified employees within that department. Needed facilities or improvements that would aid in the achievement of intended outcomes are outlined by using the SAC Resource Allocation Request (RAR) form⁴⁴. This form is submitted to the division dean. The dean collates all the departmental resource allocation requests, and then through meeting and dialogue with department chairs, prioritizes for the whole division. This is passed forward to the Vice Presidents of Academic Affairs and Administrative Services as well as the Facilities Committee. Resource Allocation Requests are prioritized based on budget priority and strategic planning, available funding, and impact on campus community as a whole⁴⁵.

Typically academic requests are initiated by the department chair and then go to the division dean and the Vice President of Academic Affairs. All the requests for a division are first prioritized by the dean, then the vice presidents of all the areas, who prioritize all of the requests from their respective areas. The vice presidents then take all of their requests to President's Cabinet to be prioritized once again in relation to available resources and other campus requests and needs. The Board of Trustees approves the purchase orders. Evidence of this process can be found in the SAC 2013-14 Budget Manual⁴⁶.

The college measures the effective use of physical facilities through program review and the Facilities Master Plan. Analysis of programs and services in relation to existing

conditions of facilities that require focus and attention are identified. Meetings and tours of facilities have been conducted with the planning consultant team to evaluate facilities and program needs. The results of this analysis were the basis of specific sections of the Facilities Master Plan recommendations.

Budget

Santa Ana College's overall budget is established by the FTES target established by the Chancellor's Office, with the revenue generated at each college allocated to the colleges in accordance with the SB 361 budget model implementation document⁴⁷. The actual budget fluctuates based on the FTES generated, and in recent years, due to huge deficits in the state budget and fluctuations in enrollment, the district and colleges have had to deal with significant reductions in revenue. The 2012-13 fiscal year was the first year of the SB 361 budget implementation model. FRC was tasked with evaluating this model on a yearly basis to determine if the standards and milestones have been achieved or if there is adequate progress to ensure that budget is tied to planning. The institution ensures that adequate budgeting and financial oversight is provided in order to cover the needs of each area in a manner that takes into account budget performance and appropriate cash flow projections⁴⁸. At the college level, the Vice President of Administrative Services is responsible for the direct oversight of the College Expenditure Budget, with responsibility provided to the SAC management team for oversight of division and department budgets. The Vice President of Administrative Services works closely with District Operations to ensure that proper accounting and financial monitoring take place. Monthly cash flow reporting and quarterly budget performance reports are sent to the Planning and Budget Committee, and regular communication to the campus community provides a transparent and informative environment^{48, 49}. SAC has developed a contingency fund of 20 percent of the college's ending balance⁵⁰, or approximately \$700,000 in 2013-14, to ensure the financial stability of the college as well as to deal with emergency situations that may arise throughout the year.

The SAC Planning and Budget Committee develops the annual budget priorities⁵¹ based on the college's mission and its Strategic Plan goals. These priorities are submitted to the President's Cabinet, and College Council, and the Planning and Budget Committee uses these priorities to prepare the annual SAC Budget Assumptions⁵². The SAC Budget Assumptions also reflect the district's annual budget assumptions, as well as the district's goals. With the implementation of the new SB 361 budget allocation model at SAC, there is much more local analysis and evaluation of SAC's budget assumptions, which helps build the Tentative and Adopted SAC budget⁵³.

The college reviews its mission and goals as part of the annual fiscal planning process. The SAC mission and goals are discussed in the Planning and Budget Committee meetings⁵⁴ as a guidance tool for the SAC budget priorities, which are established annually by the SAC Planning and Budget Committee.

The annual SAC resource allocation process begins with the development of the SAC budget priorities, established annually by the college Planning and Budget Committee⁵¹, which are in alignment with the college mission and the long-term priorities of the institution. The resources are allocated by determining the needs and priorities of the

departments, both academic and nonacademic, via the annual Resource Allocation Request process⁴⁵. The departments and divisions determine and prioritize needed improvements in their department planning portfolios/program review documents, which are submitted to the area administrators. The Resource Allocation Process is outlined below. It is tied to the SAC Comprehensive Planning and Budget Calendar⁴⁶, which is reviewed and revised annually by the SAC Planning and Budget Committee.

This process links all college resource allocation requests to the department/division goals, the college mission, and to the Planning and Budget Committee's established budgeting priorities. The Resource Allocation Request form outlines the mission and the budget priorities on the document for easy reference.

1. Budget Priorities are determined and approved by SAC Planning and Budget Committee.
2. Administrative Services sends out Resource Allocation Request (RAR) forms. This form contains the mission and the budget priorities for quick reference.
 - The form needs to include items that have been identified and justified in the department program review.
 - The requests need to be prioritized by the program areas, including direct ties to college budget priorities, mission, and intended outcomes.
 - All program area RAR's and supporting evidence need to be submitted to the area vice president for review and prioritization.
 - A copy of the RAR needs to be submitted to Administrative Services by the deadlines established along with supporting evidence.
3. Administrative Services compiles prioritized college-wide Resource Allocation Requests.
 - Develops a spread sheet with area VP priorities included
 - Segregates requests by VP areas
 - Segregates requests by specific request type (personnel, facilities, equipment, technology)
4. Requests are reviewed and prioritized by President's Cabinet.
 - Resource Allocation Requests are presented to Cabinet by area VP's.
 - Cabinet prioritizes RAR's in accordance with college budget priorities, mission and direct tie to department/division-intended outcomes.
 - Tentative SAC budget assumptions are also considered during the prioritization process.
5. Area vice presidents share prioritized list with respective departments/divisions and communicate the location of possible funding. Some requests might be funded in the Tentative Budget, during the Adopted Budget, or possibly later depending on funding availability and state budget information.
6. The Vice President of Administrative Services assigns funding categories and sources of funds to prioritized RAR's and presents the information to Cabinet

and the Planning and Budget Committee. Allocation of funds is validated after approval of the Adopted Budget.

7. After Board of Trustees approves the Adopted Budget (September), the RAR list is reviewed to update the last two columns of the RAR form. (Source of funds and request approved: Yes/Deferred)
8. The Planning and Budget Committee, as well as management teams, are provided with the final prioritized RAR list by VP area, and all the resource requests are posted on the Planning and Budget website for campus community review²⁵. If there are items that were not approved and the departments can still justify the need, these items could be included in the Resource Allocation Request for the following year's budget process.

Institutional plans have been clearly linked to financial plans by utilizing the SAC Strategic Plan, 2007-2015⁵ as a guidance tool for financial decision-making. (The updated version, Strategic Plan 2014-2016⁵⁵, will be utilized for 2014-15.) The Educational Master Plan (EMP), which contains the Strategic Plan, provides the college with "defined goals and processes that will assist the college in the integration of practice and operations"¹³. The EMP integrates the SAC Strategic Plan, the Facilities Master Plan, and the Technology Plan. The EMP also integrates "the planning that aligns with the mission and [V]ision [T]hemes of the [c]ollege and the allocation of fiscal, physical, and human resources"¹³.

III. Broad Communication of District/College Functions (IV.B.3.a, IV.B.3.b)

The district clearly delineates and communicates the operational responsibilities and functions of the district from those of the colleges. The district and colleges adhere to these practices.

RSCCD, comprised of two colleges, Santa Ana College and Santiago Canyon College, is regulated pursuant to California State legislation, the California Education Code, local Board Policies, and local Administrative Regulations. In 2012, work began by the district Planning and Organizational Effectiveness committee to update the 2007 RSCCD Functions/Mapping of Responsibilities chart to delineate the operational roles and responsibilities of the District Office and the colleges. The functional map is adhered to, with continuous attention to the efficiency and functional alignment of the complex systems of the district and the colleges⁵⁶.

Each of the operational units in the district reviewed their respective portion of the functions map for completeness and accuracy. The 2014 RSCCD Functions/Mapping of Responsibilities⁹ was finalized, and approved by the Board April 28, 2014⁵⁷. One important change in function was the change in the budget allocation model. The budget model gives more autonomy to the colleges.

RSCCD has a number of services to support college operations and functions. Some of the primary services include Human Resources; Business Operations & Financial Services; Payroll; District Information Technology Services; Facilities Planning/Construction (including oversight of the campus construction program); District

Safety; Risk Management/Employee Benefits and Resource Development, among other sub-departments⁵⁶.

Each unit under District Operations assesses the effectiveness of their services by conducting its own program review through a process it deems most appropriate (focus group, interview, data, survey⁵⁷). As of 2013-14, the District Office has changed the process to include the entire district (which includes full-time faculty, full-time and on-going part-time classified, administration/supervisory) in the assessment of each district operation unit. The results were distributed to the units for inclusion in their program effectiveness review.

Collaboration between the district and the colleges is continuous and supports student learning. Cross-functional areas are integrated into college and are located at both the District Office and the college. These areas include Information Technology Services (ITS), the Student Business Office, and Campus Safety. These three offices enable Santa Ana College to more effectively maintain its infrastructure while supporting students and the programs that serve them at the college⁵⁸.

RSCCD's Institutional Research Office serves the colleges directly by providing research data and information utilized in strategic planning, program effectiveness review, student learning outcome assessment, and analysis of pathways to completion. Examples include membership on the SAC Student Success Committee; participation in the college's intersegmental regional partnership; developing, administering, and analyzing surveys for employees, students, alumni, and community members⁵⁹. RSCCD's Research Department also provides professional development and assistance to faculty and staff in association with special projects. The Research Department helps assess the impact of new practices in a pilot program. Examples of this include analysis of the Santa Ana ¡Adelante! program at SAC in relation to National Student Clearinghouse data. The Research Department also helps to supervise research projects related to the effectiveness of programs and services⁶⁰.

Although some district functions have been decentralized, the remaining centralized district functions are beneficial to the colleges. For example, Payroll has implemented an automated tracking system to expedite absence and vacation accounting processes online, and the department has created specialized training for users. To assist employees with questions about their benefits, RSCCD offers workshops on such topics as health, wellness, and retirement benefits. Finally, the district gave supplemental funding to support the college's reinstatement of the Winter Intersession in January of 2014.

In 2013, SAC participated in a District Services Satisfaction Survey⁵⁸. The survey results have been forwarded to each district operation and have been used to create an assessment report with action items for continuous improvement of district departments. Program review for District Office operational units integrate the survey results and use it to improve overall quality of services⁶¹.

College Recommendation 2

In order to fully meet standards II and III, the Team recommends that the college prepare and maintain an updated Diversity Plan. (Standards II.A.1.a, II.A.3.c, II.B.3.d, III.A.4.a, III.A.4.b)

Background

On December 1, 2010, President Erlinda Martinez and ALO Bonita Jaros participated in a conference call with ACCJC Vice President G. Jack Pond to clarify the Commission's intent for this recommendation.

The outcome of that conversation was that:

Federal and state regulations are not included in ACCJC Accreditation Standards. College Recommendation 2 has no direct link to Standard II. The college could not find citations with relevance to a recommendation connected to Standard II, nor was there any reference, in the *Evaluation Report* of January 2009, to deficiencies regarding Diversity in the student body, curriculum (course level or program) or student services. The only link to ACCJC Accreditation Standards is related to Standard III.A.4.a. Since the recommendation is assigned at the District level, it is not feasible for Santa Ana College to develop a Diversity Plan.

Update since Midterm Report 2011 (Standards III.A.4.a, III.A.4.b)

The college's mission and Vision Themes reflect the needs of a diverse community, including access and equity⁶². The college demonstrates concern for and understanding of equity and diversity for employees and students through its many practices and policies. There are established Board Policies on diversity and equal employment opportunities. The district and SAC are committed to providing a learning and work environment that is conducive to open discussion and free of intimidation, harassment, and unlawful discrimination^{63, 64}).

Santa Ana, California, is a diverse community and is represented at Santa Ana College by a classified, faculty, and administrative staff with diverse cultural, educational, and experiential backgrounds. SAC has been designated by the Department of Education as a Hispanic-Serving Institution. The RSCCD Research Department lists demographic information including gender and ethnicity for students as well as classified, faculty, and administrative staff⁶⁵.

Table 33. SAC Staff Profile (Credit and Non-Credit) Fall 2013

		Administrators		Confidential		Contract Faculty		Hrly CLSF (On-Going)		Hrly Faculty		Hourly CLSF (Short Term)		Misc (Instr Assoc /Asst)		Monthly Classified		Supervisory	
GENDER	Female	13	50%	1	100%	120	54.79%	93	64.14%	545	42.81%	112	67.47%	82	24.92%	140	61.95%	2	28.57%
	Male	13	50%	0	0%	99	45.21%	52	35.86%	728	57.19%	53	31.93%	247	75.08%	86	38.05%	5	71.43%
	Unknown	0	0%	0	0%	0	0%	0	0%	0	0%	1	0.6%	0	0%	0	0%	0	0%
	Total	26	100%	1	100%	219	100%	145	100%	1273	100%	166	100%	329	100%	226	100%	7	100%
RACES	Asian	2	7.69%	0	0%	23	10.5%	35	24.14%	120	9.43%	33	19.88%	16	4.86%	35	15.49%	2	28.57%
	Black	1	3.85%	0	0%	5	2.28%	4	2.76%	33	2.59%	5	3.01%	19	5.78%	7	3.1%	0	0%
	Filipino	0	0%	0	0%	3	1.37%	1	0.69%	18	1.41%	2	1.2%	5	1.52%	6	2.65%	0	0%
	Hispanic	6	23.08%	0	0%	48	21.92%	73	50.34%	257	20.19%	65	39.16%	65	19.76%	111	49.12%	1	14.29%
	Native American	0	0%	0	0%	4	1.83%	1	0.69%	12	0.94%	0	0%	2	0.61%	2	0.88%	0	0%
	Pacific Islander	0	0%	0	0%	0	0%	0	0%	8	0.63%	0	0%	4	1.22%	1	0.44%	0	0%
	White	17	65.38%	1	100%	132	60.27%	30	20.69%	777	61.04%	57	34.34%	188	57.14%	63	27.88%	3	42.86%
	Unknown	0	0%	0	0%	4	1.83%	1	0.69%	48	3.77%	4	2.41%	30	9.12%	1	0.44%	1	14.29%
	Total	26	100%	1	100%	219	100%	145	100%	1273	100%	166	100%	329	100%	226	100%	7	100%

Santa Ana College demonstrates its institutional commitment to equity and diversity by offering its administrative, classified, and academic employees a wide range of training and professional development opportunities including:

- Sexual harassment prevention training online for administrators⁶⁶
- Technology training^{67, 68}
- Evaluation workshops⁶⁹
- Leadership training⁷⁰
- Management training on employment and personnel issues^{71, 72}
- New faculty workshops^{73, 74}

A variety of opportunities exist through committees to foster and appreciate equity and diversity. The committees are comprised of administrators, faculty, classified staff, and students. The Academic Senate, College Council, Facilities Committee, Planning and Budget Committee, the Santa Ana College Technology Advisory Committee, and the Teaching Learning Committee continually discuss issues of diverse cultures and needs⁷⁵.

The Rancho Santiago Community College District Institutional Research Department maintains and evaluates records describing the diversity of SAC employees and students⁷⁶.

Table 34. SAC Staff Diversity: Percentage of Non-White Employees 2008 - 2013

Year	FT Faculty	PT Faculty	FT Classified	PT Classified	Management	Total
08-09	36%	39%	68%	78%	53%	41%
09-10	37%	39%	67%	79%	45%	42%
10-11	37%	38%	69%	78%	42%	40%
11-12	38%	38%	69%	77%	42%	41%
12-13	38%	38%	70%	78%	44%	41%
13-14	40%	39%	72%	79%	39%	41%

Data reflect employees in paid status as of September 1st of each year

Discussions regarding the Diversity Plan demonstrated that a diversity plan is under the purview of the district and not the college. This was reported in both the Follow Up Report 2009 and the Midterm Report 2011. At the time of the last Comprehensive Evaluation Team Visit and until very recently, the district was awaiting an update from the State of California. In September 2013, the district received the updated Diversity Plan from the state⁷⁷. The newly revised plan is being reviewed by the district Human Resources Committee (HRC⁷⁸). The RSCCD BOT has a policy ensuring the commitment to diversity⁶³ and a policy prohibiting discrimination⁷⁹.

Finally, a district-trained Equal Employment Opportunity Commission (EEOC) Monitor is present on all hiring committees for managers, faculty, and staff to ensure that all members of the committee understand and follow EEOC guidelines mandated by law and district policy. Formal Human Resource EEOC training had not taken place for several years, but training resumed fall 2013. In addition, a representative from HR attends the first meeting of a screening committee to orient members on the hiring process and the *iGreentree* process^{80, 81, 82, 83, 84}.

College Recommendation 3

The Team recommends that the college strengthen its communication with classified employees regarding governance service opportunities, processes, deliberations, and outcomes. (Standards III.A, IV.A.1)

Institutional leaders at Santa Ana College foster an environment that encourages empowerment, innovation, and excellence through formal and informal structures. Formal structures consist of participatory governance committees and councils as well as standing committees and taskforces that bring colleagues with contextual and subject matter expertise together throughout the academic year to undertake the business of the college in terms of program development, implementation, improvement, and results⁴⁰.

Formal structures engage leaders in operational and governance meetings that are scheduled in advance and take place regularly throughout the year. The SAC President holds a standing weekly meeting with President's Cabinet to communicate and examine important issues for staff and students⁸⁵. She provides essential student success data, highlighting progress towards college goals at convocations and forums, while also providing regular college-wide email updates^{86, 87}. The President's Cabinet collaborates on the creation of agendas for College Council meetings, which take place twice a month, and for SAC management meetings, which take place quarterly⁸⁸. The Cabinet meeting is also utilized to plan strategic conversations that the President has with the President of the Academic Senate, the Chancellor of RSCCD, classified leaders, and student leaders^{89, 90}.

The SAC President leads the College Council, which is the central participatory governance committee at the college. The College Council includes all constituency groups in critical policy and practice recommendations, including the organizational configuration of the college itself; the disposition of resources in support of the college's mission and Strategic Plan (Setting Institutional Standards PowerPoint⁹¹); and recommendations that advance from governance committees for final approval¹⁶. Regular representatives include administrators, Academic Senate leaders, Classified School Employees Association (CSEA) representatives, and Associated Student leaders^{40, 92}.

Representatives from the same constituency groups that participate on College Council are appointed to governance committees by leaders of their groups. CSEA appoints classified representatives to all governance committees, the Academic Senate appoints faculty, the ASG President appoints students, and the President appoints managers. Each of these groups has pre-determined meeting schedules, agendas, and minutes posted on the SAC website (Academic Senate⁹³; CSEA⁹⁴; ASG⁹⁵). This ensures broad communication of items under consideration and decisions made in the participatory governance process. All meetings are open to all interested members of the SAC community.

To ensure that this structure serves the college, it is examined annually as part of a College Council Retreat, which includes expanded representation of students and faculty (College Council website¹⁶). At this retreat, committee purposes, structure, membership, and communications are reviewed with recommendations for improvement for the

subsequent academic year. To analyze the effectiveness of governance committees, an additional survey was conducted of all governance committee members in fall 2013 (Participatory Governance Survey 2013-14⁹⁶).

Additional examples of the way in which this standard is met at SAC include periodic events such as the President's fall and winter convocations, Brown Bag Meetings with the President and Staff, and initiatives to improve the practices, programs, and services for instruction and student services^{97, 98, 99}. Convocations provide the SAC community with a state-of-the-college address on major developments at the beginning of the academic year. In addition to the President, the faculty, classified staff, and students all have an opportunity to address the entire SAC community. The winter convocation is dedicated exclusively to student success, and the President highlights related successes and challenges⁹⁷.

College-wide and constituency-specific surveys are also used to help the college improve (Survey on committees; SAC 2013 Institutional Effectiveness Survey⁵⁸; Classified Staff Survey¹⁰⁰; Student Satisfaction Survey¹⁰¹). For example, in addition to formal committee meetings and informal "brown-bag" gatherings with classified staff, and as a result of classified employee survey outcomes, the President developed a taskforce centered on classified staff professional development to further examine the perceptions and needs of the classified staff¹⁰². In addition, ongoing focused surveys are developed by the RSCCD Research Department to obtain input from classified staff on all aspects of institutional effectiveness¹⁰⁰. This year the survey process was extended to include four focus groups with external facilitators to encourage deeper discussions about the college structure and functioning from the perspective of classified employees. The results have enabled the college to further examine and address the needs of the classified staff.

Responses to District Recommendations 1, 2, 3, and 4 from the Most Recent Educational Quality and Institutional Effectiveness Review

District Recommendation 1

The Team recommends that the district evaluate its planning processes, including the integration of technology, staffing and facilities master plans to ensure the budget is used as a planning tool to achieve its strategic goals. As part of this integration, the Team recommends that the allocation model for resources be based on the plans, program reviews and the sustainability of the planning process and that the outcomes from these activities be formally and broadly communicated to ensure quality. This requires that the District evaluate the outcomes of the budget process and use that data in subsequent budget development. (Standards I.A.1, I.A.3, I.B.4, I.B.6, II.A.1, II.A.2.f, III.D.1, III.D.2, III.D.3, IV.B.3.a, IV.B.3.b)

District-Level Integrated Planning (Standards IV.B.3.b, IV.B.3.f)

The mission of the Rancho Santiago Community College District is to provide quality educational programs and services that address the needs of our diverse students and communities. The mission statements of Santa Ana College and Santiago Canyon College are in alignment with this mission. All planning efforts reflect the mission of the district as well as the colleges.

The mission of Santa Ana College is to be a leader and partner in meeting the intellectual, cultural, technological, and workforce development needs of our diverse community. Santa Ana College provides access and equity in a dynamic learning environment that prepares students for transfer, careers, and lifelong intellectual pursuits in a global community.

Santiago Canyon College is an innovative learning community dedicated to intellectual and personal growth. Our purpose is to foster student success and to help students achieve these core outcomes: to learn, to act, to communicate and to think critically. We are committed to maintaining standards of excellence and providing accessible, transferable, and engaging education to a diverse community.

Shortly after his arrival to the district in August 2010, Chancellor Raúl Rodríguez identified the need for the district to develop a district-level Strategic Plan to integrate district-level planning efforts with the colleges' budget and planning and to strengthen the already-existing college-level Strategic Plans of Santa Ana College and Santiago Canyon College. Two consultants from the *Community College Brain Trust*, Darroch Young, retired Chancellor of the Los Angeles Community College District, and Eva Conrad, retired President of Moorpark College, assisted the district in that process during March through May 2011. The process began with personal interviews of college leadership on Friday, March 18, 2011. Participants were questioned about their current concerns and

their vision for the future of the colleges/district. Responses were compiled into seven strategic directions to guide college and district planning.

After the recommendations of the consultants were received, in 2013, a new governance structure to integrate planning and budget at the district level was instituted. There are currently six participatory governance committees involved in the planning-budget processes. The District Council serves as the primary participatory governance body responsible for district-wide planning activities including planning and budgetary recommendations submitted to the Chancellor and Board of Trustees. The five other district-level participatory governance committees that support the work of the District Council include the Planning and Organizational Effectiveness Committee (POE); the Fiscal Resources Committee (FRC); the Human Resources Committee (HRC); the Physical Resources Committee (PRC); and the Technology Advisory Group (TAG). All of these groups include college and district representatives.

POE was designated the overarching planning committee and was given the responsibility of developing a Planning Design Manual¹⁹ and a Comprehensive Master Plan (CMP¹³) including the goals of the Strategic Plan. It was also tasked with updating the Functions/Mapping of Responsibilities chart. In 2012-13, Eva Conrad assisted the committee in developing the Planning Design Manual and the RSCCD Comprehensive Master Plan 2013-2023. In 2012, work also began to update the 2007 RSCCD Functions/Mapping of Responsibilities chart to delineate the operational roles and responsibilities of the District Office and the colleges. The functional map is adhered to, with continuous attention to the efficiency and functional alignment of the complex systems of the district and the colleges⁵⁶. The Functions/Mapping of Responsibilities was completed in 2014.

The specific responsibilities of the Planning and Organizational Effectiveness Committee include the following:

- Develop and monitor implementation of the RSCCD Comprehensive Master Plan and the RSCCD Strategic Plan
- Ensure that District Planning processes follow the processes and timelines outlined in the RSCCD Planning Design Manual
- Provide leadership for coordination of district and college planning activities
- Prepare the annual Progressive Report on the RSCCD Comprehensive Master Plan
- Coordinate date to be presented at annual Board of Trustees planning activity
- Coordinate accreditation activities between colleges and District Services including the delineation of District/College Functions
- Review institutional research activities and results
- Review resource development initiatives

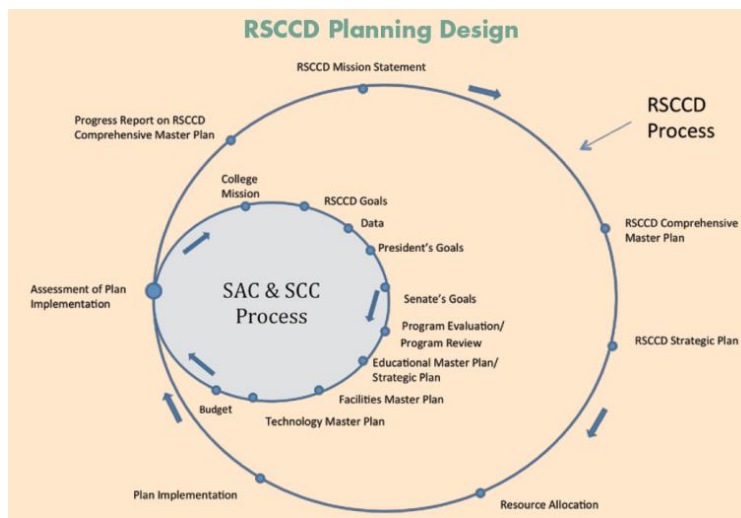
The RSCCD Comprehensive Master Plan 2013-2023 includes the following:

- Background
- Profile of the RSCCD Community and Students
- RSCCD Goals
- SAC Educational Master Plan

- Facilities
- SCC Educational Master plan
- Facilities
- District Operations Center
- Commitment to Sustainability
- Sustainability Initiatives
- Recommendations

The RSCCD Planning Design Manual 2013 includes the following:

- Introduction
- Overview of the Planning Design
- RSCCD Planning Committees
- RSCCD Mission Statement
- Process for Reviewing the Mission Statement
- RSCCD Comprehensive Master Plan
- Process for Developing the RSCCD Comprehensive Master Plan
- RSCCD Strategic Plan
- Process for Developing the RSCCD Strategic Plan
- Resource Allocation
- Process for Allocating Resources
- Plan Implementation
- Progress Report on the Comprehensive Master Plan
- Process for Assessing Progress on RSCCD Goals
- Assessment of Planning and Decision-Making Processes
- Process for Assessing Planning and Decision-making Processes
- Appendix 1: Timeline for Key Planning and Assessment Activities
- Appendix 2: District Services Planning Portfolio
- Process for Preparing District Services Planning Portfolios
- Appendix 3: District-level Participatory Governance Committees



The district planning design incorporates the district mission into the Comprehensive Master Plan. The Strategic Plan contains district goals and those responsible for updating

the goals annually. The POE committee is responsible for the Strategic Plan update annually (SP Update Feb. 2014).



Table 35. RSCCD 2013-2016 Strategic Plan

Goals & Objectives	Responsible Individual(s)/Party
<p>RSCCD will assess the educational needs of the communities served by RSCCD and will adjust instructional programs, offerings, and support services and will allocate resources as needed to optimize the alignment of students' needs with services and fiscal resources.</p> <ul style="list-style-type: none"> • Continue to determine the needs of the community • Develop sustainable, alternative revenue streams to student educational needs • Continue to monitor student educational preparation 	<p>Planning & Organizational Effectiveness Committee</p> <p>Fiscal Resources Committee, Asst.</p> <p>Planning & Organizational Effectiveness Committee, Director of Research</p>
<p>RSCCD will assess the educational needs of the communities served by RSCCD and then pursue partnerships with educational institutions, public agencies, non-profit organizations, and business/industry/labor to collaboratively meet those needs.</p> <ul style="list-style-type: none"> • Strengthen outreach and recruitment; develop new and sustain current relationships with key partners and stakeholders • Support regional development by becoming the primary 	<p>Chancellor, Presidents</p> <p>Chancellor, Presidents</p>
<p>RSCCD will annually improve the rates of course completion and completion of requirements for transfer, degrees, certificates, and diplomas.</p> <ul style="list-style-type: none"> • Consistently and accurately measure educational goal completion for university transfer, degrees, certificates and diplomas • Support integrated approaches to student success and achievement • Identify economic barriers to student achievement 	<p>Vice Presidents of Academic Affairs, Director of Research</p> <p>Planning & Organizational Effectiveness Committee</p> <p>Planning & Organizational Effectiveness Committee, Director of Research</p>
<p>RSCCD will support innovations and initiatives that result in quantifiable improvement in student access, preparedness, and success.</p> <ul style="list-style-type: none"> • Maintain and enhance the RSCCD's technological infrastructure • Support faculty development in the areas of innovative pedagogies and curriculum design • Examine course success rates by population served and promote strategies that foster student equity. 	<p>Technology Advisory Group</p> <p>Chancellor, Presidents, Planning and Organizational Effectiveness Committee</p> <p>Vice Presidents of Academic Affairs, Director of Research</p>
<p>RSCCD will use a cycle of integrated planning that will demonstrate the effective use of resources.</p> <ul style="list-style-type: none"> • Support and encourage focused green practices • Utilize current processes to inform program, facilities, human resource and technology allocation • Evaluate the cycle of integrated planning 	<p>Physical Resources Committee</p> <p>Vice Chancellors</p> <p>Planning & Organizational Effectiveness Committee</p>

RSCCD has a number of services to support college operations and functions. Some of the primary services include Human Resources; Business Operations & Fiscal Services; Payroll; District Information Technology Services; Facilities Planning/Construction (including oversight of the campus construction program); District Safety; Risk Management/Employee Benefits and Resource Development, among other sub-departments⁵⁶).

Collaboration between the district and the colleges is continuous and supports student learning. Cross-functional areas are integrated into college and are located at both the District Office and the college. These areas include Information Technology Services (ITS), the Student Business Office, and Campus Safety. These three offices enable Santa Ana College to more effectively maintain its infrastructure while supporting students and the programs that serve them at the college⁵⁸.

Budget and Planning (Standard III.D, III.D.1, III.D.1.c, III.D.1.d, III.D.2.a, III.D.3.a, III.D.3.c, III.D.4)

In 2008, both Santa Ana College and Santiago Canyon College submitted Self Evaluation Reports for Reaffirmation of Accreditation. The RSCCD Budget Allocation Model, which had been in place for approximately ten years, had been developed when the district became a multi-college district, and it was being evaluated. It was an expenditure model. A revenue allocation model allocates revenues (state and local) generated in a budget year to the college campuses in the district based on the state funding model that allocates state apportionment revenues to districts. An expenditure allocation model allocates, by agreed-upon formulas, expenditure appropriations for full-time faculty staffing; adjunct faculty staffing; classified and administrative staffing; associated health and welfare benefit costs; supply and equipment budgets; utility costs; and legal and other services.

Senate Bill 361, passed in 2006, changed the formula of earned state apportionment revenues to essentially two elements: 1) Basic Allocations for college/center base funding rates based on FTES size of the college and center; and 2) Full Time Equivalent Students (FTES) based on earned and funded FTES.

The district Budget Allocation and Planning Review Committee (BAPR) reviewed approximately 20 models over two years¹⁸, and in 2012, agreed to change the model to the SB 361 Model commencing 2013-2014. The BAPR workgroup determined that since this is how primary funding comes from the state, this model should be used for distribution on earned revenues to the colleges. The colleges and centers are the only entities in the district that generate this type of funding⁴⁷. Revenue earned and funded by the state will be earned and funded at the colleges (SB 361 Budget Allocation Model¹⁰³).

The budget is the financial plan for the district, and application of this model should be utilized to implement the district's mission, Strategic Plan, and the Technology Strategic Plan, as well as the colleges' missions, Educational Master Plans, Facilities Master Plans, and other planning resources. The annual implementation of the budget allocation model is to be aligned with all of these plans. To ensure that budget allocation is tied to

planning, it is the responsibility of District Council to review budget and planning during the fiscal year, and if necessary, recommend adjustments to the budget allocation model to keep the two aligned for the coming year⁴⁷. The Chancellor and the Board of Trustees are ultimately responsible for the annual budget and the expenditures associated with the budget. The district's Fiscal Resources Committee (FRC) is responsible for recommending the annual budget to the District Council for its recommendation to the Chancellor and Board of Trustees. FRC is also responsible for annual review of the model and can recommend any modifications to the guidelines¹⁰⁴.

The goal of the Budget Allocation Model (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 streams¹⁰⁵. It is also intended to be simple, transparent, easily comprehensible, fair, predictable, and consistent, using quantitative, verifiable factors with performance incentives. Under state law, the district is the legal entity and is ultimately responsible for actions, decisions, and legal obligations of the entire organization. The Board of Trustees of the Rancho Santiago Community College District has clear statutory authority and responsibility and ultimately makes all final decisions. Likewise, the Chancellor, under the direction of the Board of Trustees, is responsible for the successful operation, reputation, and fiscal integrity of the entire district. The Board approves all stages of the budget recommended by FRC and prepared by Business Operations & Fiscal Services (BOT approval Tentative Budget 2014-15¹⁰⁶, item 4.2; public hearing, item 1.9). At the same time, the funding model does not supplant the Chancellor's role, nor does it reduce the responsibility of the District Operations staff to fulfill their fiduciary role of providing appropriate oversight of the operations of the entire District.

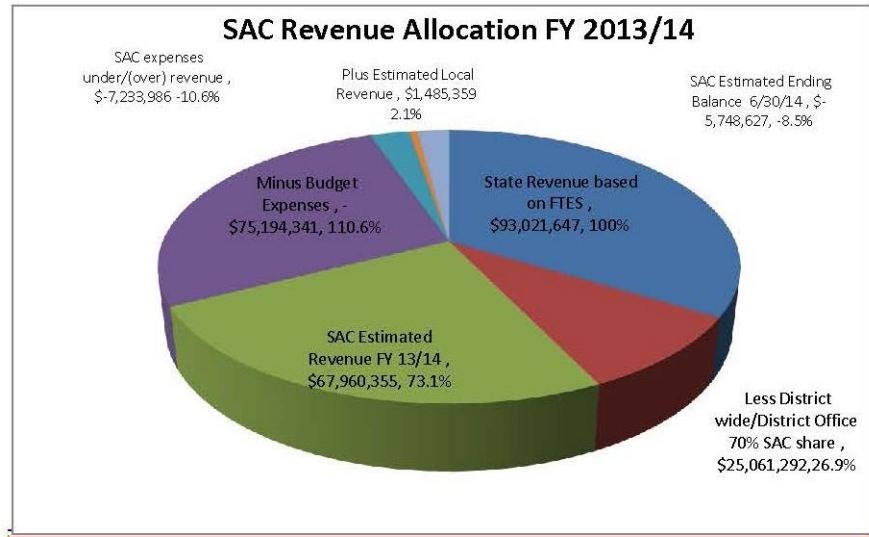
It is important that guidelines, procedures, and responsibility be clear with regard to district compliance with any and all federal and state laws and regulations such as the 50 percent law; full-time/part-time faculty requirements; Faculty Obligation Number (FON); attendance accounting; audit requirements; fiscal and related accounting standards; procurement and contract law; employment relations and collective bargaining; and payroll processing and related reporting requirements. The oversight of these requirements is to be maintained by District Operations, which has a responsibility to provide direction and data to the colleges to assure they have appropriate information for decision making with regard to resource allocation at the local level. This ensures district compliance with legal and regulatory requirements.

All revenue is considered district revenue because the district is the legal entity authorized by the State of California to receive and expend income and to incur expenses. However, the majority of revenue is provided by the taxpayers of California for the sole purpose of providing educational services to the communities and students served by the district. Services such as classes, programs, and student services are, with few exceptions, the responsibility of the colleges. It is the intent of the Revenue Allocation Model to allocate the majority of funds to the colleges in order to provide those educational services. The model intends to provide an opportunity to maximize resource allocation decisions at the local college level. Each college president is responsible for the

successful operation and performance of his/her college as it relates to resource allocation and utilization.

The purpose and function of the District Operations in this structure is to maintain the fiscal and operational integrity of the district and its individual colleges and centers and to facilitate college operations so that their needs are met and fiscal stability is assured. District Operations has responsibility for providing certain centralized functions, both to provide efficient operations as well as to assist in coordination between District Operations and the colleges. Examples of these services include human resources; business operations; fiscal and budgetary oversight; procurement; construction and capital outlay; and information technology. On the broadest level, the goal of this partnership is to encourage and support collaboration between the colleges and District Operations⁴⁷.

The graph below outlines how revenue was allocated to Santa Ana College for FY 2013-14 according to the new SB 361 Budget Allocation Model.



Budget cuts were made at each college as well as the district in past years in anticipation of expected state budget cuts that did not materialize. In turn, the Budget Stabilization Fund was developed, which would carry the colleges through difficult financial times with as little impact to funded and filled personnel positions. As the state budget for community colleges improved in fiscal years 2012-13 and 2013-14, and as the colleges were transitioning into the SB 361 budget allocation model, the colleges were tasked with the responsibility of funding the current programs and services that they operate as part of their budget plan. The district started FY 2013-14 with a balance of \$22,379,217 in the Budget Stabilization Fund. The Budget Stabilization Fund is to be utilized for one-time needs, not including the five percent reserve, college carry-over amounts (Fund 13), and any restricted balances⁴⁷.

SAC and the district are addressing this recommendation in various ways through established participatory governance committees at the district^{106a, 106b, 107} and at SAC^{23, 25}.

¹⁰⁸. Although the budget is developed annually, the long-term commitments of the district are included and acknowledged during discussions in these meetings. The evidence for long-term fiscal planning priorities is set in the SAC Strategic Plan¹⁰⁹ and the Educational Master Plan⁵.

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. Through prudent budgeting and planning, the district has maintained a significant reserve to maintain fiscal viability as the state has struggled through structural deficits. The district has also been able to accommodate large apportionment deferrals. 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 Committee¹¹⁰.

The district, as well as the college, maintains annual operating budgets using prudent fiscal practices allowing for contingencies and unanticipated expenses. During the economic downturn beginning in 2008, the district made responsible budget reductions and didn't budget for revenue that was not expected to materialize. As reported in the district CCFS-311 Reports¹¹¹, the district's unrestricted ending fund balance as of June 30, 2013, was \$37,633,190, and as of June 30, 2012, was \$43,608,426. Within these amounts, \$7,209,150 and \$7,190,256, respectively, were designated as Board Policy Contingency, representing five percent of total unrestricted general fund expenditures, in accordance with the recommended prudent reserve level by the California Community Colleges Chancellor's Office. In addition, \$25,035,466 was earmarked as the Budget Stabilization Fund as of June 30, 2013, and \$29,867,597 as of June 30, 2012, to address unanticipated state budget reductions, and to stabilize the district budget without the need for mid-year budget reductions. The district is strategically spending down the ending fund balance as a stabilization mechanism during the transition to the SB 361 Budget Allocation Model, while strategically investing in class sections for the opportunity to earn growth funding.

The district Fiscal Resource Committee is the participatory governance-based committee charged with reviewing and evaluating the 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 Operations¹⁰⁵.

The district and college's financial documents are a result of the collective work of the institution's participatory governance process. Resources are then allocated in support of student success. 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. The district utilizes its Budget Allocation Model (BAM) to distribute funds to the colleges, and the colleges determine their respective allocation of resources through their local planning processes. The BAM is a revenue allocation model and therefore distributes revenues rather than dictating expenditure allocations. The

college has allocated funds that support institutional goals by making investments in course offerings in order to capture growth/access/restoration; technology; facilities; and targeted personnel hires.

Financial information is readily available from the district website and throughout the district from a variety of sources. Faculty, staff, students, and administrators have numerous opportunities to be informed. The Fiscal Resources Committee is the main district participatory governance committee that discusses and makes recommendations to District Council regarding these issues. A budget calendar is prepared and agreed to in order to support financial planning and management. Financial and budget information is shared with this committee and posted to the website¹¹¹. Every month, the Intranet is updated with the latest District-wide Expenditure Report. At each meeting, FRC is provided with state budget updates and various other fiscal reports. The Vice Chancellor of Business Operations and Fiscal Services gives the Board of Trustees regular budget updates as well, and these are also posted on the website for all constituents to access. At the college, regular budget updates are provided at constituency-based participatory governance meetings.

The district has had a strong ending fund balance for the last five years. This has been a result primarily of the district's conservative approach with regard to spending and a hiring strategy in which vacant positions left by retirees and resignations have not been fully replaced in all areas. This has helped the district when facing deferred payments from the state. Because of this ending fund balance, the district has been able to meet payroll obligations to all its employees without having to borrow funds from the County of Orange or any other lending institution.

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 largest district liability is its General Obligation Bonds, with the second largest obligation the net OPEB obligation. Payments on the General Obligation Bonds are made by the Bond Interest and Redemption Fund with local property tax collections. The district is currently fully funding the Annual Required Contribution (ARC) for the OPEB obligation. The district also accrues for faculty load bank leave and for vacation payouts. As of June 30, 2013, \$36,635,945 has been accumulated and set aside to in a separate restricted fund to address this obligation. Based on the board-approved budget assumptions, the district contributes one percent of total salaries plus \$500,000 toward the Annual Required Contribution (ARC). In addition, in both 2011-12 and 2012-13, the district contributed an amount equal to or exceeding the full ARC of \$8,743,003^{112, 113}.

Financial planning is closely integrated with planning for full-time faculty equivalents, facilities, and technology. The college's Office of Administrative Services and the district's Fiscal Services Office provide the college community with consistent, reliable revenue projections upon which the budgets are based.

Technology (Standard III.C.1, III.C.1.a, III.C.1.c, III.C.2)

The district and colleges have two general purpose networks: one for instructional network services and one for administrative secured network services. Technology

equipment housed in instructional computer labs, classrooms, and the library are part of the instructional network. Services such as purchasing, general ledger, and human resources are part of the non-instructional administrative network. The administrative network is protected by standard firewall and security protocols. Procedures are in place to maintain security updates on servers and email services.

A district-provided Help Desk is available to assist faculty and staff with technology issues and problems. In addition to the main campus, there are multiple remote locations, such as the DMC and SCE, where students and faculty can access and utilize both hardware and software. In the past, the acquisition, maintenance, and upgrades/replacement of technology equipment and infrastructure were the responsibility of the district's Information Technology Services (ITS) department and SAC. Presently, SAC and its sister college, Santiago Canyon College (SCC), are each actualizing a new budget allocation model that places much of the responsibility for technology equipment and infrastructure upgrades and maintenance at each of the campuses rather than at the district. This process is now operative and functioning as intended at SAC. Network and administrative systems support and maintenance will remain the responsibility of district ITS. Support for all SAC technology computers and peripherals in offices and classrooms will also remain the responsibility of district ITS¹¹⁴.

While District ITS assists SAC in implementing and maintaining its technology and infrastructure, ITS is not responsible for coordinating and evaluating the various technology services and programs run by the college.

Staffing (Standards I.B.6, III.A.6)

In 2009, as a result of California's action to reduce funding for the California Community Colleges, the district faced a reduction of the 2009-2010 budget by \$15 to \$20 million. Significant reductions in class offerings and non-personnel expenditures were made^{115, 116}. However, these measures were not sufficient to balance the 2009-2010 budget. A reduction in the district workforce was necessary in response to the budget reductions^{117, 118, 119}. The HR department determined the classified staff to be included in the reduction in force based on seniority per the CSEA 579 contract. The staff included in the reduction in force were notified as per procedure^{120, 121}. A hiring freeze was put in place except for essential positions 2009-2011¹²².

In November 2012, the voters of California approved a proposition for additional funding for schools. This funding has enabled SAC to increase the class offerings and hire additional staff and faculty to meet the FON requirements^{122, 123}.

Full-time tenure track faculty positions are opened based on the need, the college mission, and requirements of the Faculty Obligation Number (FON) established by the State of California, when in effect. On March 12, 2014, the process was confirmed as follows^{124, 125}:

Need must be established by the department through the planning process.

- A Faculty Request form is submitted to the Academic Senate, where it is reviewed and prioritized by the Faculty Priorities Committee¹²⁶.
- The instructional deans meet to discuss the faculty priority list created by Academic Senate and develop a management faculty priority list using budget priorities criteria.
- Instructional administration reviews and prioritizes the requests.
- The prioritized requests are presented to the SAC President, who reviews the prioritization and makes changes as needed from a college perspective. These changes are reviewed with the Academic Senate President and then forwarded to the RSCCD Chancellor.
- The Chancellor evaluates and prioritizes the requests to meet state requirements and fulfill the mission of the college and district.
- A final decision is made regarding positions to be hired after consulting the Vice Chancellor for Business Operations and Fiscal Services and the Executive Vice Chancellor of Human Resources and Educational Services

Facilities (Standards III.B, III.B.2, III.B.2.a)

Santa Ana College is a part of the Rancho Santiago Community College District, and along with Centennial Education Center, the Orange County Sheriff's Regional Training Academy, the Fire Academy, and the Digital Media Center, the college serves over 28,000 credit and non-credit students per year¹²⁷. The SAC campus currently encompasses 66.6 acres, with 503,380 assignable square feet¹²⁸. SAC is RSCCD's oldest campus with the oldest existing building dating back to the 1940's, with the majority of the buildings built in the 1960's, 1970's, and mid- 2000's. Since the last Self Evaluation Report was submitted in 2008, SAC has continued construction on major projects throughout the SAC campus as a result of the district's \$337- million Measure E construction bond passed by the voters in 2002. SAC's original allocation was \$156.3 million, or 47 percent of the total bond allocation. In 2012, voters approved a second construction bond for SAC only, Measure Q, to fund implementation of the Facilities Master Plan^{2, 3, 129}.

In 2002, facilities planning was outlined and tied to criteria such as aging infrastructure/buildings and projected increase in student enrollment. The RSCCD Comprehensive Master Plan (CMP) 2013-2023 was further updated in 2014 to include a strategic approach to campus growth and development to 2023¹³. The SAC Facilities Master Plan was developed in 2004, updated in 2006 and 2011, and most recently in January, 2014. The SAC Facilities Master Plan evaluates existing conditions, enrollment trends, instructional programs, and support services, and the plan seeks to establish a foundation to guide future decision-making as it relates to renovation, new construction, and other development. It guides prioritization of projects with college goals and expectations and allows flexibility in execution of projects taking into consideration future changes in program needs and availability of funding. Voter approval of the general obligation bond initiatives for the RSCCD and SAC is evidence that the community supports the institutional planning to keep the college a vital community resource serving the needs of the community.

The four main documents that SAC/RSCCD uses to support and address its facilities needs are the Five-Year Construction Plan, the Scheduled Maintenance Program, the Facilities Condition Assessment and the Space Inventory Report^{130,131, 132, 133}. Each of these documents is generated annually based on college input into the California Community College's System's Office database, known as FUSION.

Development of the Five-Year Construction Plan is based on analyses of the existing facilities capacity to support enrollment forecasts. Capacity/load ratios are determined for each type of space found on campus and serve as the basis for potential capital outlay funding and the approval of capital outlay requests. All facilities proposals must be in compliance with applicable building codes and must also be approved by the Division of the State Architect (DSA). These plans must be in compliance for fire/life safety, structural soundness, and accessibility (ADA). The Five-Year Construction Plan includes a list of new construction and renovation projects needed by the college.

SAC's facility usage review and planning includes a yearly Space Inventory Report, in which the District Planning office prepares a report on what classrooms, labs, and other types of student instructional rooms are available and utilized for instruction at SAC. The district undertakes a facility inventory assessment to validate the data in the State FUSION system for the college. As part of the assessment, spaces are identified and utilization is verified. This assessment assists in developing and confirming recommendations for space needs and continued use by programs. It also identifies other future needs by the college which may influence capital planning. In addition, the inventory assessment and FUSION system is a tool that assists the district and college to properly plan the most optimal use of facilities.

The 2004 Facilities Master Plan (FMP¹³⁴) was developed to provide a long-range capital facilities plan articulating a method to meet all of the needs for instruction and services while taking into account the projected future growth in enrollment. The FMP, including the subsequent updates, serves as the basis for decision-making relative to facility needs and financing, both now and for the future. The purpose of the plan is to determine the amount and type of space needed for the academic program of instruction and support services through the year 2020. The plan was based on the current and projected academic program of instruction offered at the college. The RSCCD Comprehensive Master Plan document includes the Facilities Master Plan¹³. The facilities master planning process was undertaken through a highly participatory process and included a series of interactive meetings with the Santa Ana College Master Plan Committee and college forums. The 2014 Facilities Master Plan Update⁴² provided an update to the 2011 FMP to take into account modifications that the college intended to make related to campus project sequencing, scope, new property acquisition, and available local and state funding opportunities.

Outcomes and Communication (Standards III.D.2.c, III.D.4, IV.B.3.a, IV.B.3.b)

The Board of Trustees receives information about fiscal planning and its link to institutional planning on a regular basis. Quarterly investment reports¹³⁵, Quarterly

Investment Reports as of 9/30/2013 and 311-Q financial reports¹¹¹ are presented to the Board of Trustees and posted to the district's website, with state budget updates and projections presented to the Board of Trustees as needed by the Vice Chancellor of Business and Fiscal Operations. The reports presented to the BOT are the connection to institutional planning. They include state funding priorities established by the Governor, and in turn, the Board of Governors. The district responds with strategic planning for the colleges in a manner that can capitalize on state-funded initiatives. When district plans are presented to the BOT¹³⁶, the plans may include significant financial data and projections of cost.

Information regarding the budget, fiscal conditions, financial planning, and audit results is provided to the college community in a variety of ways. The campus community is informed by fall and spring semester through written communications produced and disseminated to the entire campus community by the Vice President of Administrative Services^{49, 137}. SAC institutional leaders are informed about fiscal planning and its alignment to institutional planning through regular updates at College Council from the Planning and Budget Committee¹³⁸. Weekly updates for the President's Cabinet provided by the Vice President of Administrative Services⁸⁴ provides updates on SAC financial performance; a forecast of impacts to strategic planning that might be originated from the Board of Governors or the Governor; and any local finance updates that may have an impact on institutional planning. Discussions also take place in President's Cabinet that address the institutional Strategic Plan, instructional planning, and the alignment to budgeting and finance. The information that is discussed, and any recommendations from the Planning and Budget Committee or College Council, is disseminated to faculty through the Academic Senate reporting structure^{139, 140}.

For classified employees, the information is disseminated via the classified staff representative in the Planning and Budget Committee and College Council and then to all classified employees through regular direct communication. In an effort to enhance participatory governance communication, the CSEA E-board created a committee summary form. This information is presented to the membership during monthly CSEA meetings; CSEA minutes reflect this communication¹⁴¹. The unapproved minutes are sent to all CSEA representatives via district mail. A CSEA website exists where all minutes and committee reports are posted⁹⁴. All correspondence, minutes, and documents that are produced and discussed in the SAC Planning and Budget Committee are available online for the campus community to view and analyze at their convenience.

The District Budget is available for public inspection prior to being presented to the Board of Trustees. After Board approval, adopted budgets are posted to the RSCCD Fiscal Services website for the general public (RSCCD budget recap for Unrestricted General Fund 11 and Fund 13^{142, 143}). Unrestricted fund reports are generated by departments in which revenue and expense accounts are aggregated.

The SAC budget and planning committee presents information for Santa Ana College expenses throughout the year by object code and includes two previous years for comparison purposes⁴⁸. Beginning July 2013, Santa Ana College started to provide monthly cash flow reports to the Planning and Budget Committee. These reports are available in the report repository website in a timely manner for all Datatel users. Cash

flow reports aid the colleges to monitor monthly and semester-related expenses. This also helps to better project carryover funds and plan accordingly for the following fiscal year.

In accordance with the 2008 ACCJC recommendation to review the Budget Allocation Model utilized at that time, the district has implemented the SB 361 Budget Allocation Model to apportion revenue to the colleges and charge back for district services provided in a centralized manner. As a result, at the college level, the college has also adopted a new process to address program and budgetary needs. Each discipline/department documents unmet resource needs through program review and the Resource Allocation Request processes, which incorporate a documented alignment to the college mission and goals of the Strategic Plan. This also adds transparency to budgets, promoting cooperative sharing, and use of resources.

The district clearly delineates and communicates the operational responsibilities and functions of the district from those of the colleges. The district and colleges adhere to these practices.

Each of the operational units in the district reviewed their respective portion of the functions map for completeness and accuracy. The 2014 RSCCD Functions/Mapping of Responsibilities was finalized, and approved by the Board April 28, 2014 [56, 144](#).

District Recommendation 2

In order to maintain stable financial resources, the Team recommends that the District reviews its computer-based student attendance recording system to ensure that repeated courses are being appropriately reported for state apportionment funding consistent with existing regulations. (Standards III.D.1.b, III.D.2.a, III.D.2.g)

Background

Santa Ana College and Santiago Canyon College worked collaboratively to satisfy this recommendation in their respective *Follow-Up Reports* in October 2009. Since the time those responses were prepared, the colleges have continued to refine and monitor their performance in this area.

Although a board policy on Course Repetition was being prepared at the time of the 2009 *Follow-Up Report*, continuing changes from the state Board of Governors have resulted in almost annual modifications to the number of course repetitions eligible for apportionment payments (Proposed Title 5 Repeatability 2011). In lieu of a board policy that would need to be regularly updated, the college has instituted policies and procedures that conform to current state regulations (Title 5 Repeatability 2009).

The XRPC report was created in the Datatel Colleague system specifically to track course repetitions (XRPC). This report tracks coursework taken back to 1986. Additionally, a registration rule was created in Datatel to prevent students from registering beyond two course attempts after the student receives a grade of W, D, F, CR, NC, P, or NP. Any two combinations of these grades are counted, which is stricter than the current California Title 5 regulations on course repeatability. Notably, the repetitions are counted district-

wide, as opposed to counting repetitions within each college. This was done through a process of equating courses at the two colleges to ensure students cannot exceed the maximum repetition by repeating the class at the other college in the district.

The Datatel Colleague system also has been configured to manage approved course repetitions that are not eligible for apportionment funding from the state. The Registrar or the Associate Dean of Admissions and Records identify the appropriate enrollments in a course section using the code NFR (non-funded repeat). A repetition is completed, but no state funding is requested or collected on this repeat. Repetitions completed under the NFR coding require the approval and signature of a dean.

The District has fulfilled the recommendations of the independent auditor's *Finding 08-2 Minimum Conditions – "Standards of Scholarship,"* by including the policy on the limitations of remedial course work in the college catalog and by tracking students taking remedial courses (Report on Audit of Financial Statements, June 30, 2009, p. 62). A Datatel Colleague report has been developed to identify students who have reached the maximum-allowed 30 units of remedial coursework (Student Remedial Units Report). This report uses the credit types of BS (Basic Skills) and PBS (Pre-Basic Skills) to identify these courses and the enrolled students to prevent further enrollments once they reach the 30-unit limit. Each college's Curriculum Office identifies the remedial courses. This policy is printed in the college catalog (Santa Ana College Catalog, 2011-2012, p. 25). A waiver must be completed by the student, including those in Disabled Students Programs and Services, and signed by a counselor before the student is allowed further registrations. Alternatively, the student who has reached the 30-unit limit can be advised to pursue further remedial coursework at the colleges' noncredit centers (Santa Ana College Follow Up Report 2009, pp. 23-26; Santa Ana College Midterm Report 2011, pp. 32-33).

Update since Midterm Report 2011 (Standards III.D.2.a, III.D.2.e)

The annual independent 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 2012-2013 Annual External Financial Audit¹¹ was completed with the following comments from the auditors to the district's Board of Trustees:

Our responsibility is to express opinions on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standard applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement. An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor

considers internal control relevant to the District's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the District's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements. We believe the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the business-type activities and the discretely presented component units of the District as of June 30, 2013, and the changes in net position and cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

The district's external 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. The district has had minimal audit findings during this reporting period and has regularly corrected any issues prior to the following year's audit. Audit results are used to improve the management of the district financial procedures and policies¹¹¹.

District Recommendation 3

The Team recommends that a set of written policies and regulations be created that establishes appropriate communication processes between the trustees and district employees. The Team further recommends that Board adherence to these regulations and procedures be assessed within a systematic culture of evidence and cycle of continuous improvement. (Standards IV.B.1.a, IV.B.3.a, IV.B.3.e, IV.B.3.f)

Background

Several board policies are of particular relevance to this recommendation. One of these is BP 2715—Code of Ethics/Standards of Conduct (formerly BP 9002 – Statement of Ethical Conduct). The purpose of the Statement of Ethical Conduct is to promote “trust, confidence, and integrity in the working relationship between Trustees, administrators, faculty and Staff.” Toward that end, this policy outlines standards for the conduct of trustees and defines some of the limits to their role as trustees. This policy covers topics such as conflict of interest, civility, confidentiality, student and community interests, and transparent decision making.

Another Board Policy of relevance to District Recommendation 3 is BP 7001, Code of Ethics (formerly BP 7020). This Board Policy is intended to apply to all employees as well as to the Board of Trustees. The first four items of this policy are of relevance to the relations between members of the Board of Trustees and district employees.

The policies mentioned above were in place prior to the accreditation visit of October 2008 and prior to the delivery of District Recommendation 3. In specific response to District Recommendation 3, the Board of Trustees has taken several specific actions. The Board of Trustees amended BP 2745 (formerly BP 9022), Board of Trustees Self-Evaluation on April 27, 2009. This policy calls for a broad evaluation of the Board of Trustees by constituent groups. One section of the evaluation instrument is entitled, *Board Relations with the Chancellor, Presidents, Faculty, and Staff*. In this section, there are several items related to the role of the Board and whether or not the Board understands its role versus the role of others. The questionnaire also queries respondents about whether or not the Board follows communication procedures.

The information gathered in the Board of Trustees Self Evaluation questionnaire is provided to the Board of Trustees on an annual basis. This information is one method the Board of Trustees utilizes to demonstrate that it is following board policy and acting within the prescribed limits of their role as trustees. Toward that end, the information gleaned in the questionnaire informs the creation of board unit goals for the calendar year (DR3.5—BOT Goals 2010-2011). The calendar year 2011 was the first year that the Board implemented this step. The Board selected three unit goals for 2011. The three unit goals are contained in a separate document, but they are briefly listed below:

1. *Regularly seek opinions of student trustees.*
2. *Understand our role in the collective bargaining process.*
3. *Follow proper communication procedures with staff.* (DR3.8—BOT Unit Goals)

The third board unit goal directly addresses the concerns expressed in District Recommendation 3. That is, it is the vehicle for the Board of Trustees to monitor adherence to a staff communication protocol on an ongoing basis. Although no issues with improper communications have been identified, putting proper communication forward as a unit goal increases the visibility and accountability on this issue.

The Board of Trustees hired the current Chancellor in June of 2010 with a starting date of August 2010. The Chancellor requested a retreat with the Board of Trustees, which was held on September 18, 2010. Among other issues, the purpose of this retreat was to clarify the working relationship between the Board of Trustees and the new Chancellor. Item number two in a summary prepared by the facilitator pertains to District Recommendation 3 as can be seen in the passage cited below:

1. *The Board of Trustees has one employee, the Chancellor. It is not appropriate for a board policy to ask staff and faculty to accomplish their ideas; the Chancellor does this for the Board.*

Action: *The Chancellor is comfortable with board members seeking information from staff; staff will advise the CEO of these contacts and board queries. It is the intent of the RSCCD Board not to micromanage. They do not want to create an additional workload for district employees, staff. Questions and the information sought by an individual trustee will be reported to the trustees as a whole, often asked through the Chancellor.*

The understanding between the Board of Trustees and the Chancellor, which was documented in the summary of the retreat, was that the individual members of the Board of Trustees have a right to seek information from staff. However, the other members of the Board of Trustees and the Chancellor have to be informed of such requests for at least four reasons: (1) so as to ensure that staff members are not overburdened with information requests; (2) so that the information can be shared with all of the trustees; (3) so that the Chancellor can ensure that proper responses are provided for the requests, and; (4) so that such requests are openly shared and scrutinized to ensure that they are transparent and appropriate. In this way, it is assumed that clear expectations and open boundaries contribute to an awareness of the proper role of trustees, administrators, and other employees when matters of appropriate communications are of concern.

The existing board policies outline the ethical and expected communication interactions between members of the Board of Trustees and employees of the district. Several new board policies outline the self-evaluation process for the Board and procedures for follow-up, analysis, and continuous improvement. Specifically, the board self-evaluation process is now linked to a process where the Board adopts a unit plan, based upon constituent feedback, aimed at monitoring board behavior in selected areas. One of the selected areas for the 2011 calendar year has to do with the trustees following proper communication procedures with staff. The proper procedures were defined in a September 2010 retreat held by the Board of Trustees. These procedures have been reviewed periodically at regularly scheduled meetings of the Board of Trustees (Santa Ana College Midterm Report 2011, pp. 34-36).

Update since Midterm Report 2011

The governing board of Rancho Santiago Community College District (RSCCD) is the Board of Trustees, composed of seven local residents, elected by trustee area¹⁴⁵. It is the policy of RSCCD that no board member may be an employee of the district or have financial interest in the district. In addition, both colleges together select one student trustee to serve as an advisor to the Board¹⁴⁶.

The Board of Trustees of Rancho Santiago Community College District (RSCCD) derives its full authority from the Constitution of the State of California and the California Legislature. In meeting its responsibility, all activities and decisions reflect the public interest without undue influence. To accomplish this, the Board has developed clear policies and practices to ensure the quality of student learning and protect the district from undue influence or pressure^{147, 148}. These published policies mandate how, when, where, and in what manner the Board shall govern the district's two colleges.

Each board docket agenda provides for public presentations and for staff reports at the regularly scheduled meetings. While the Board receives comments from the public or staff during these public presentations, discussion does not occur.

The Board meets in closed session to discuss personnel and legal issues of a confidential nature and follows all applicable regulations regarding the reporting out of the substance of discussions that take place in closed session, preserving comprehensive records and minutes as required by law¹⁴⁹ (Example of BOT Minutes¹⁵⁰).

The Chancellor serves as the designee of the Board to operationalize board policies and ensure all policies are fulfilled through corresponding administrative regulations (AR's¹⁵¹). RSCCD's procedure for selection of its chief administrator states that: "The Board of Trustees shall appoint a properly qualified person to be chancellor. The chancellor shall be accountable to the Board for the administration of all district activities not reserved by the Board or by the education code." BP 2200 encompasses the duties of the Chief Executive Officer¹⁵², BP 2430 relates to the Chancellor's Prerogatives¹⁵³, and BP 2435 governs the Evaluation of the Chancellor¹⁵⁴.

To ensure that board members carry out their roles with the highest standards of integrity, the Board has established BP 2715, which delineates the code of ethics and standards of practice required of all board members¹⁵⁵. The Board Code of Ethics/Standards of Practice (BP 2715) considers the educational welfare and equality of opportunity for all students in the district to be of major importance.

The Board of Trustees ensures the quality, integrity, and improvement of student learning programs, and services, and within its budgetary means, provides the resources necessary to support them. To do this effectively, the Board receives regular reports from the presidents of the colleges, the Academic Senate presidents, the Student Trustee, the Associated Student Government representatives of both colleges. The Board also receives reports from the Executive Vice Chancellor of Educational Services and Human Resources, the Vice Chancellor of Fiscal and Business Operations, the Accreditation Liaison Officers of both colleges and other staff members as needed (Example BOT Minutes with Regular Reports and Informational Presentation on the Budget¹⁵⁶, Item 2.6; BOT Accreditation Presentation 09-23-13¹⁵⁷).

The Chancellor's right to delegate his responsibilities is derived from BP 2430¹⁵³. This policy states that the Board of Trustees appoints the Chancellor and holds him accountable for the administration of all district activities not reserved by the Board or pursuant to the California Education Code. Therefore, the Chancellor may delegate any powers and duties entrusted to him by the Board but will be specifically responsible to the Board for the execution of such delegated powers and duties. In turn, the Chancellor of RSCCD delegates the authority for administrative decisions and operations at SAC to the SAC President.

Pursuant to BP 2430¹⁵³, as part of the Chancellor's authority, one of the responsibilities enumerated states: "All reports, recommendations, and correspondence to the Board of Trustees from any employee shall be submitted to the chancellor for transmittal to the Board." The Chancellor is therefore the primary conduit for all information passing from the college to the governing board. The participatory governance structure and the management team must ensure that information is delivered to all constituents through formal processes.

The RSCCD Board of Trustees meets twice a month in formal meetings that include the SAC President; the SCC President; the Presidents of the Academic Senates of SAC and SCC; the Presidents of the SAC and SCC ASG; and the Student Trustee. The Chancellor holds weekly Cabinet meetings, Management Council meetings, and bi-monthly meetings with the Presidents of the Academic Senates. The Chancellor also sends out

emails to all district email users with information on key issues impacting the colleges and announcements regarding recent accomplishments at the colleges, of their students, faculty, and staff. In terms of the flow of information and processes, the established system functions well.

Regarding “appropriate communication processes between the trustees and district employees,” the Board of Trustees and the colleges have responded by adhering to BP 2715—Code of Ethics/Standards of Practice¹⁵⁵ (formerly BP 9002 – Statement of Ethical Conduct, for BOT) and BP 7001¹⁵⁸ (formerly BP 7020 – Code of Ethics, for all district employees). In addition, the Board of Trustees amended BP 2745– Board of Trustees Self-Evaluation (formerly BP 9022), which calls for a broad evaluation of the Board of Trustees by constituent groups (BP 2745¹⁴⁷). One section of the evaluation instrument is entitled, Board Relations with the Chancellor, Presidents, Faculty, and Staff. In the six years since this recommendation was issued, there have been no violations of these policies, nor has there been inappropriate communication between the Trustees and district employees (BOT Minutes 05-17-14¹⁵⁶, Item 2.1).

District Recommendation 4

The Team recommends that the district review its board evaluation policy to ensure integrity and effectiveness, and that its self-assessment results are widely communicated and applied within a systematic culture of evidence and cycle of continuous improvement. (Standards IV.A.5, IV.B.1.g)

Background Board Evaluation of Internal Operations

The board self-evaluation process was devised to analyze internal operations of the Board of Trustees. As a follow-up to the 2009 process, a survey was sent to selected community members and district staff (DR4.31—Survey to Community and District Staff (email online link); DR4.32—Results of Survey to Community and Staff). After reviewing the results of the community and staff survey, the Board conducted the same self-evaluation survey internally. Question categories included Board Organization and Operation; Policy Role; Strategic Planning; Board Relations with the Chancellor, Presidents, Faculty and Staff; Community Relations Advocacy; Board Leadership, Ethics, and Standards of Conduct.

As a result of the comparison between 2009 and 2010, the Board of Trustees established internal goals in December 2010 for the body to utilize for continuous improvement (RSCCD Board of Trustees’ Unit Goals for 2011). The three goals entailed regularly seeking opinions of student trustees; understanding the board role in collective bargaining; and following proper procedures in communicating with staff. The goal related to communicating with staff has been addressed. In 2011, the Board continued to follow the procedures outlined by the Chancellor in September 2010 and has continued this process. The other two goals were addressed and assessed over the course of the 2011-2012 year. Adjustments will be made as necessary.

In January 2011, to maintain compliance with BP 9022.5, members of the colleges and leaders from the student body as well as the community were invited to give input to the status of the achievement of goals. The results of the survey were shared with the Board and the public on February 7, 2011 at the annual Board of Trustees Planning Retreat.

The February 7, 2011 Annual Board of Trustees Planning Retreat was held to review:

2010-2011 Board Vision and District Goals

2010 Accountability Reporting for the Community Colleges (ARCC)

12 Measures of Success, February 2011

College Presidents and Chancellor: Progress towards Goals

Results of Community and Staff Input of 2010-2011 District Goals

District goals were reaffirmed for 2011-2012. In addition, a workgroup of district and college representatives was designated by Chancellor's Cabinet to define quantitative and/or qualitative measures to evaluate each District Goal in order to establish trend data for strategic planning (District Goals Measurement Document).

Shortly after his arrival to the district in August 2010, Chancellor Raúl Rodríguez identified the need for the district to develop a Strategic Plan. The Board reviewed the District Strategic Plan on July 25, 2011. The RSCCD Strategic Plan will provide the trustees and the entire district/college community with a theoretical framework to guide and inform future planning efforts (Santa Ana College Midterm Report 2011, pp. 37-43).

Update since 2011 Midterm Report

The Board's self-evaluation process is formally established as part of its overall policies and is conducted annually. The process was updated in October 2012 to expand the number of participants in the assessment. It is carried out in a timely and efficient manner according to the protocol specified in BP 2745, Board Self-Evaluation¹⁴⁷. The Board's last self-evaluation occurred on November 12, 2013¹³⁵. The process provides the Board an opportunity to evaluate its effectiveness and provides information to set goals for the following year.

The process for the governing board's self-evaluation is clear and has met the standard as written. On October 28, 2013, a special meeting was requested in which the Board of Trustees answered questions and provided clarification on the self-evaluation instrument used by the RSCCD Board. The self-evaluation instrument previously used was limited to only five questions. Information was based on the responses from board members and did not incorporate perspectives from students, faculty, staff, the community, and other constituents. In response to the ACCJC recommendation of 2008 related to board self-evaluation, the Board has improved and expanded the self-evaluation instrument to include board members, faculty, staff, students, and community members^{159, 160}.

RSCCD Board Policy states that the Board will go through an annual self-evaluation as a whole, based on goals set by the board members. The self-evaluation will examine board operations, board effectiveness, and areas of strengths and weaknesses. The evaluation will also include input from the specific members of the college community.

In addition, Santa Ana College faculty, classified staff, and administration have access to all the documents pertaining to the standards set in IV.B.1.g. Although any individual may provide input to the Board at the Board's self-evaluation public meeting, the final results are tabulated and discussed at a subsequent public meeting and used to identify accomplishments in the past year and set goals for the following year. There are also minutes from board meetings that keep the public and Board informed on current regulations, which are reviewed and revised periodically.

The Board is committed to assessing its own performance as a Board in order to identify its strengths and areas for improvement¹⁶⁰. The Board Policy defines the process and is focused on the internal board operations and performance.

Table 36. Progress on Self-Identified Planning Agenda of the Santa Ana College Report of the Institutional Self Study 2008

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
Standard I:			
<p>1. The <i>Portfolio Assessment/Program Review</i> will be ongoing and consistent with interdisciplinary dialogue leading to systematic and continuous improvement at the program level.</p>	<p>To meet proficiency level for the next visit, all discipline program reviews must be conducted through established PA/PR cycles and completed by 2012.</p>	<p>Under the aegis of the TLC and the guidance of the IE&A Coordinator, all departments will complete one complete cycle of the PA/PR by spring 2011. The process will then be ongoing for all departments to undergo systematic, continuous improvement. The TLC will evaluate the process every year commencing spring 2009 and report any recommended changes to the process to IE&A.</p>	<p>All departments have kept an annual Department Planning Portfolio (DPP) with annual goals and the status of those goals. These have been referred to the Division Deans, aggregated and then sent to the Vice President of Academic Affairs through the RAR process. (Included are facilities, FTE, equipment requests based on goals.)</p> <p>Quadrennial capstone review of the DPP's, including the Direct SLO Assessments of the seven Core Competencies and the 19 Question Template (19-QT) has been completed by all departments as of spring 2011; the second complete cycle will have been completed fall 2104.</p> <p>The Teaching Learning Committee (TLC) has reviewed all PA/PR documents, has aggregated the results in the <i>TLC End-of-Year Report</i> (which it referred to the Institutional Effectiveness and Assessment Committee (IE&A) through spring 2013), and has made recommendations for slight revision in the PA/PR process. Core Competency 3, formerly "Information Competency" is now "Information Management" and includes: A. Information Competency; and B. Technology Competency. In addition, BSI work is incorporated into the PA/PR reports in the second cycle for all academic departments. More course-level data is utilized demonstrating improvement in course completion rates as well as semester to semester persistence rates.</p> <p>A 2%-per-year goal has been set college-wide through the next PA/PR cycle for all departments to improve success rates.</p> <p>The annual Administrative Services Departmental Portfolio Plan and Annual Program Review was completed and submitted to IE&A in April 2011, 2012, 2013. The IE&A Committee was reviewed within the participatory governance structure in spring 2014. College Council reviews these documents.</p> <p>Documents are no longer housed on InsideSAC.net. The College has migrated to the public SharePoint. This includes pages for areas, divisions and departments; participatory governance committees; program review pages for academic affairs, student services, administrative services and the School of Continuing Education; student services information; accreditation status and information; SAC Foundation; and links to RSCCD and several others.</p>

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
2. All departments will complete a cycle of PA/PR by spring 2011.	To meet proficiency level for the next visit, all discipline program reviews must be conducted through established PA/PR cycles and completed by 2012.	Under the aegis of the TLC and the guidance of the IE&A Coordinator, all departments will complete one complete cycle of the PA/PR by Spring 2011. The process will then be ongoing for all departments to undergo systematic, continuous improvement. The TLC will evaluate the process every year commencing spring 2009 and report any recommended changes to the process to IE&A.	One complete cycle of capstone quadrennial PA/PR analysis (including Direct-SLO Assessment and the 19-QT) has been completed by all academic departments as of spring 2011. The second complete review will have occurred fall 2014. In addition, annual program review includes goals-updating, course-level SLO analysis and program-level outcomes analysis.
3. All departments will fully utilize the electronic Department Planning Portfolio process.		Under the aegis of the Technical Committee of C&I, all departments will utilize the electronic DPP. All departments will also submit all proposals on WebCMS in the 2008-09 academic year and ongoing.	SAC no longer utilizes InsideSAC and the DPP system. The college has migrated to SharePoint. All program review documents are housed on the program review repository on www.sac.edu/program_review . SAC has also migrated from WebCMS to CurricUNET as of spring 2011. All new and revised courses and programs have been placed on CurricUNET by the faculty.
4. The Institutional Effectiveness and Assessment Committee will continue to provide the Strategic Plan with Progress on Goals document to the college President and appropriate governance committees every spring.		The IE&A committee will continue to follow the timeline established in 2007-08 to update the Strategic Plan with Progress on Goals every spring. The chair of IE&A will disseminate results and recommendations for change broadly. In addition, the Strategic Plan with Progress on Goals will be posted on the IE&A website on InsideSAC.net.	Up through spring 2013, the IE&A Committee provided the college President and all governance committees the Strategic Plan with Progress on Goals each spring. In addition, IE&A provided the IE&A End-of-Year Report to each governance committee. This report aggregated information from all program review reports: Academic (referred by the TLC), Student Services, Administrative Services and President's Cabinet. IE&A also received the end-of-year reports from all the governance committees. The Educational Master Plan, which contains the Strategic Plan 2007-2015, was also updated to include this report and all governance committee end-of-year reports, under the aegis of the IE&A Committee. Spring 2014, College Council voted to review the role of the IE&A Committee from the participatory governance structure. College Council now reviews and updates the Strategic Plan.
5. The Institutional Effectiveness and Assessment Committee will continue to aggregate all program review documentation and advise the appropriate governance committees every spring.		Under the guidance of the IE&A Coordinator, the IE&A will receive all Program Review Reports and synthesize recommendations which will be referred to President's Cabinet, Facilities, Planning & Budget and SACTAC committees, the Academic Senate and College Council.	Up through spring 2013, the IE&A Committee received and reviewed all institutional program review documents and created the IE&A End-of-Year Report, which is included in the annual update of the Educational Master Plan and sent to all governance committees (including College Council) and constituency groups (including the Academic Senate, CSEA and FARSCCD). Spring 2014, College Council voted to review the role of the IE&A Committee from the participatory governance structure. College Council now reviews and updates the Strategic Plan.

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
<p>6. The IE&A committee will update the Strategic Plan annually. Upon completion of the first eight-year cycle of the Strategic Plan, IE&A will conduct a thorough evaluation which it will forward to College Council.</p>		<p>Utilizing the Strategic Plan with Progress on Goals and the aggregate program review reports (Academic, Student Services, Administrative Services, President’s Cabinet), the IE&A committee will make recommendations to College Council. In 2015, a thorough college-wide evaluation will be conducted. As the Strategic Plan will be continually updated and revised, the evaluation will include efficacy of format.</p>	<p>In 2015, a thorough review will be conducted utilizing the RSCCD Comprehensive Master Plan 2013-2023 and Strategic Plan 2013-2016 as a guide for the SAC Mission Statement as well as the Vision Themes, which serve as the goals of each section of the Strategic Plan.</p> <p>The SAC Mission Statement undergoes annual review apart from Strategic Plan Review and remains in alignment with the RSCCD Goals of the Strategic Plan on an ongoing basis.</p> <p>In spring 2012 a Mid-Cycle Planning Retreat was held to review the strategies of the Strategic Plan. The SAC Mission statement was revised. The Vision Themes and all goals in alignment with each theme were maintained and will be updated by College Council.</p>
<p>7. In 2008-2009, under the aegis of IE&A, SAC will engage in a college- wide dialogue to evaluate the effectiveness of the Strategic Plan and to determine how that plan and its processes have affected the various departments, disciplines, programs and student learning.</p>		<p>Under the aegis of IE&A, a survey will be created and sent to all governance committees, President’s Cabinet, College Council and the Academic Senate, IE&A will aggregate the results and provide them to the college community via the President of the college and the chairs of the governance committees.</p>	<p>The Strategic Plan was updated S08, S09, S10 and S11, S12, S13. At that time collegial dialogue occurred at all levels in workgroups as well as governance groups, and the Strategic Plan was revised as needed. Data were collected as needed. It was determined by the IE&A committee that discussion at the governance level, including College Council and the Academic Senate would be more beneficial than a survey. At least one IE&A member served on all governance groups, President’s Cabinet, the Academic Senate, and CSEA. The Strategic Plan Update, in concert with the IE&A End-of-Year Report was also included in the Educational Master Plan Update each spring.</p> <p>The Vision Themes serve as heading for each major section of the Strategic Plan goals. In March and April, under the guidance of outside consultants, district-wide RSCCD Strategic Planning sessions were held which yielded an RSCCD Strategic Plan. A college-level matrix demonstrating alignment with RSCCD 12 Measures of Success, RSCCD Goals, the Vision Themes of the SAC Strategic Plan 2007-2015 and the status of the activities to meet those goals was developed. As a result of these activities the IE&A Committee recommended to the college President that the Midterm Review and Update of the SAC Strategic Plan 2007-2015 be held March 2012. The Santa Ana College Annual Report has also been organized by Vision Theme with administrative areas as sub-themes. The Vision Themes also are posted on agendas of governance committees.</p>

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
<p>8. The TLC will continue to sponsor training for faculty in direct SLO assessment, rubric development, best practices and other topics salient to student learning.</p>		<p>The TLC will sponsor faculty development and training activities (e.g., Best Practitioners Fair spring 2009) for faculty in direct SLO assessment, rubric development, best practices and other topics salient to student learning commencing spring 2009. The IE&A coordinator will meet with individual departments to discuss PA/PR, SLO assessment and rubric development commencing fall 2008. A log will be posted on the TLC website on InsideSAC.net.</p>	<p>The TLC has sponsored faculty development and training activities related to PA/PR, rubric development for course-level assessment, writing across the curriculum, Classroom Assessment Techniques (CATS).</p> <p>In addition, at BSI and the Student Success Committee also conducted faculty development activities related to faculty inquiry group activities, e.g., utilizing Reading Apprenticeship to increase student success and persistence rates; a collaborative inquiry FIG with interdisciplinary colleagues working together. In addition to the FIG's, professional development activities sponsored by Strand C of BSI include Data Coaching, Logic Modeling, Center for Urban Education Equity issues, Reading Apprenticeship training, On Course. Training in data collection at the course level is the emphasis, with the goal of increased success rates and increased semester-to-semester persistence rates. The BSI coordinator serves on the TLC; regular reports are also made to the Academic Senate.</p> <p>College-wide convocations held on the "Duty Day" of Flex Week before the spring semester and led by the college President also emphasize student success and retention based on RSCCD Research Department data. A goal of 2% per year improvement in student success and retention rates has been established. After the large-group meeting at convocation, break-out sessions related to teaching & learning have taken place S12, S13 and S14.</p>

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
<p>9. The TLC will evaluate the effectiveness of the PA/PR model with regard to Direct Assessment of SLOs, and recommendations for model clarification will be made if needed.</p>		<p>The TLC will evaluate the PA/PR model every spring commencing spring 2009 and make recommendations as appropriate to the IE&A committee. If changes are recommended, prior to incorporating them, there will be broad-based dialogue at the Academic Senate and the division curriculum committees, which will report to C&I.</p>	<p>The TLC has evaluated the Core Competencies and the PA/PR. Recommendations to change Core Competency 3 were approved by the TLC and then the Curriculum and Instruction Council. In addition, recommendations to incorporate BSI into the PA/PR have been actualized spring 2011. More course-level data were expected in the second cycle of PA/PR, which will be complete F14.</p> <p>Spring 2014 the TLC began the process of evaluating how to assess ILOs.</p> <p>New program review forms have been established to better demonstrate follow-through for SLO analysis at the course and program level. Mapping charts have also been created to demonstrate program to ILO alignment and ILO to General Education Category alignment. All program review documents are now housed on SharePoint at www.sac.edu/program_review.</p> <p>The Planning and Budget Committee has also developed Resource Allocation Request Forms (RAR's), which demonstrate the alignment of department goals to the Strategic Plan and the mission of the college. Budget requests are prioritized at the division level and then at the area level (i.e., Academic Affairs, Student Services, Administrative Services) by the vice presidents. President's Cabinet reviews all budget requests.</p> <p>The Academic Senate has established a workgroup to evaluate the program review process as well. TracDat will be utilized as an assessment software platform.</p>
Standard IIA:			
<p>1. The Vice President of Academic Affairs and the Facilities Committee will consider alternatives to house the Writing Center, Math Study Center, Tutoring Center and Student Success Center in close proximity.</p>		<p>The Facilities Committee will consider incorporating housing the Writing Center, Math Center, Tutoring Center and Success Center in the Johnson Center. This concept may also be incorporated into a Title V grant proposed for spring 2009.</p>	<p>A Title V Grant proposal was submitted but not granted. Alternatives were investigated.</p> <p>As a result, a new college-wide Learning Center was established fall 2013. Directed Learning Activities (DLA's), tutoring and workshops are held in the Learning Center. A faculty Coordinator has also just been hired in spring 2014.</p>

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
2. All departments will complete PA/PR by 2011.	To meet proficiency level for the next visit, all discipline program reviews must be conducted through established PA/PR cycles and completed by 2012.	Under the aegis of the TLC and the guidance of the IE&A Coordinator, all departments will complete one complete cycle of the PA/PR by Spring 2011. The process will then be ongoing for all departments to undergo systematic, continuous improvement. The TLC will evaluate the process every year commencing spring 2009 and report any recommended changes to the process to IE&A.	<p>All departments completed a cycle of capstone academic PA/PR by spring 2011. After review of the process, the calendar for program review was changed to align with the budget cycle. As a result, goals updating within annual program review is due in October. All quadrennial capstone reports (i.e., PA/PR) are also due in October. They are first sent to the division curriculum committees and then to the TLC for interdisciplinary review. Another change is that the department chair comes to TLC to present the report and answer questions. If more data or other revisions are needed, the report is sent back and revised.</p> <p>Course-level SLO analysis is due semesterly; program-level analysis is due in April annually.</p> <p>The second complete cycle of capstone review will be completed fall 2014.</p> <p>The TLC made a decision to evaluate the process after one complete cycle had occurred. Evaluation was conducted spring 2011 and recommendations were referred to IE&A with information to C&I.</p>
3. President's Cabinet, College Council and the Planning & Budget Committee will coordinate the process of prioritizing requests with fiscal implications from the DPP, student services portfolio and the administrative services portfolio.	The team recommends that the college evaluate its planning processes, including the integration of staffing, technology and facilities master plans, to ensure the budget is used as planning tool to achieve its strategic goals and that the outcomes from these activities be formally and broadly communicated to ensure quality. As part of this integration, the Team recommends that the college resource allocation be based on plans, program reviews (Department Planning Portfolios, or DPPs), and actual budgetary performance. This requires that the college evaluate the outcomes of its planning/ budget process and use that data in subsequent budget development.	President's Cabinet and College Council will utilize information from the Strategic Plan Progress on Goals and the program review reports from IE&A in addition to information received from the DPP from the Vice Presidents of Academic Affairs and Student Services to integrate staffing, technology and facilities master plans. This information will be sent to the Budget Committee for prioritization in the 2008-09 academic year.	<p>Review has occurred at College Council and President's Cabinet. The budget planning process will continue to be reviewed annually by the Planning & Budget Committee and College Council.</p> <p>The District BAPR reviewed the recommendations of the BAPR Workgroup related to a new Budget Allocation Model based on SB361. The new model went into effect fall 2013. In addition a new participatory governance structure was created at the district to align planning and budget. The planning and Organizational Effectiveness committee is responsible for oversight of the district Strategic Plan, while the Financial Resources Committee reviews the BAM.</p> <p>At the college level, SAC has developed a budget request process borne out of program review. Goals of departments are aligned to the mission and Strategic Plan, and requests are made on the Resource Allocation Request form (RAR). The deans of the divisions or areas prioritize requests with the help of the department chairs/heads. Division requests are then sent to the appropriate vice president who prioritizes requests in an Area Plan using the area-level RAR. President's Cabinet reviews all requests as does the Planning and Budget Committee.</p> <p>Department goals and the division RAR's are on the program review repository on sac.edu/program_review. RAR's for Academic Affairs, Student Services and Administrative Services are available on the Planning and Budget Committee website.</p>

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
4. All departments will complete the direct and indirect assessment portion of the COR using multiple measures by 2011 utilizing the PA/PR model.	To meet proficiency level for the next visit, all discipline program reviews must be conducted through established PA/PR cycles and completed by 2012.	Under the aegis of the TLC and the guidance of the IE&A Coordinator, all departments will complete one complete cycle of the PA/PR by spring 2011. The process will then be ongoing for all departments to undergo systematic, continuous improvement. The IE&A Coordinator will meet with individual departments to review SLOs on the COR and the multiple measures used to assess the SLOs for the annual DPP as well as the quadrennial PA/PR commencing fall 2008.	See I.1
Standard IIB:			
1. Lead faculty, staff, and administration will continue to develop and refine student services SLOs, especially assessment strategies as the planning and program review cycle continues.	To meet proficiency level for the next visit, all discipline program reviews must be conducted through established PA/PR cycles and completed by 2012.	Under the guidance of the Vice President of Student Services, program review will be conducted annually, and all departments will have conducted a complete program review by spring 2012. IE&A will be apprised if all outcomes so the committee may make appropriate recommendations to all other governance entities and utilize the information for updating the <i>Strategic Plan</i> .	<p>Student Services SLO's have received continuous attention since their inception. The VPSS is the primary trainer for the student services leadership team and has established a quarterly review process that consists of two group meetings for the teams in each department and two private meetings to do a customized case review of each specific portfolio with a focus on the specific framing of the student learning outcomes, the assessment of those learning outcomes and the application of the insights resulting from the assessment process to the planning portfolio overall.</p> <p>Evidence related to this continuous work includes the following: VPSS meeting agendas indicating the topic was scheduled to be addressed. VPSS calendar reflecting individual meetings with division leaders on the subject. Departmental meetings with staff to frame and refine and discuss SLO's. Revised charts displaying the life cycle and timeline for portfolios and program effectiveness review in student services. Drafts of portfolios to reflect revisions and improvements as the work advances.</p>
2. Lead faculty, staff and administration will conduct an assessment of the cluster of student success committees and task forces to glean recommendations from participants that will inform design and functioning for the subsequent program year.		Under the guidance of the Vice President of Student Services, assessment of committees will be conducted.	<p>The SAC Student Success Committee and the sub-groups that report to it, including the Basic Skills Taskforce have met regularly. The overall student success structure and ways to refine and coordinate related work to improve student success has been determined.</p> <p>Evidence that documents this work includes: Student Success Committee agendas/minutes/support materials Basic Skill Task Force Agendas and minutes Cabinet/Academic Senate/College Council retreat agendas Participatory Governance Handbook revisions and updates</p>

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
Standard IIC:			
1. Library administration will work with the Facilities Committee to develop a plan to expand space for additional individual seating and group study rooms for students.		Under the guidance of the Vice President of Academic Affairs and the co-chairs of the Facilities Committee, the Facilities Committee will review all possibilities for expanding space for additional seating and group study rooms for students in the Library in spring 2009.	Office space has been rearranged to create additional group student study rooms.
2. Library administration, in consultation with the Planning and Budget Committee, will establish a predictable materials base-budget that is not dependent upon lottery or block grant subsidies and is protected from inflation; is sufficient to serve general education classes and vocational programs; includes provisions for enrollment growth and support for new programs.			Budgetary issues remain due to decreased state funding.
3. The Success Center will seek additional ongoing funds for the renewal of licenses and up-to-date software programs.			PLATO software has become a “fixed cost” of the district. The Success Center no longer has the prominence it had in 2008. A college-wide Learning Center was established in 2012 and began in 2013.
4. The library department will expand its current library instruction program to include customized, course- specific, assignment-based library instruction.		Under the guidance of the Vice President of Academic Affairs acting as the dean of the Library, and under the aegis of the TLC, the annual Library DPP goals and updates, in addition to the quadrennial PA/ PR, will be utilized for all recommendations flowing from the faculty and staff of the Library commencing spring 2009.	The hiring freeze prevented expansion of the instructional program up to fall 2011. A Library Faculty member was hired for fall 2011 and one for 2013, which replaced a retirement in 2013. One faculty member was also hired for fall 2014. The Library faculty have conducted program review on schedule. This includes the LT, LIS programs and the Library as a college-wide academic support service. Library is now under the Dean of Fine and Performing Arts.
5. Library administration will work with the Facilities Committee to develop a plan for providing greater seating capacity in its mediated classroom to meet the needs of the LIS and LT programs and library workshops.		Under the guidance of the Vice President of Academic Affairs and the co-chairs of the Facilities Committee, the Facilities Committee will review all possibilities for providing greater seating capacity in the mediated classroom of the Library to meet the needs of LIS and LT programs and library workshops in spring 2009.	Seating is at the maximum; more square footage is needed.

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
6. President's cabinet will investigate appropriate reorganization within the current administrative structure or create an appropriate-level administrative position for the library who will report directly to the Vice President of Academic Affairs.		Under the guidance of the President, President's Cabinet will investigate appropriate reorganization within the current administrative structure or create an appropriate-level administrative position for the library who will report directly to the Vice President of Academic Affairs in spring 2009.	Budgetary cuts included the deletion of the Associate Dean of Learning Resources position. The Library is now housed under the Dean of Fine and Performing Arts. Since there has been a restructuring of the learning centers at the College, the administration is considering a better way to coordinate academic support services administratively.
7. The President's Cabinet will also investigate restoring the library faculty complement to its 2001 status.			Three positions for librarians were filled, one for fall 2011, one for fall 2013, which was a replacement position, and one for 2014.
8. The Success Center will work with ITS to provide 24/7 remote access to students via the Success Center's web page.			The Success Center is no longer a prominent academic support service of the college. sac.edu now contains web pages for the Learning Center and the Math Center. In addition each one has a page on the program review repository and conducts program review.
9. The Vice President of Academic Affairs and the Associate Dean of Information and Learning Resources, in conjunction with faculty leaders in learning resources departments, will develop a plan for all departments to collaborate easily when volume licensing is available.			The Associate Dean of learning resources retired in 2010 and was not replaced due to the workforce reduction. Volume licensing continues to be investigated by the district TAG. Since the change to the SB 361 Budget Allocation Model was put into place, the colleges are taking local responsibility for fiscal spending. However, district aggregate licensing is considered when it is more cost-efficient for the colleges to collaborate for volume licensing.
Standard IIIA:			
1. The TLC will continue its work on student learning outcomes assessment and will continue to sponsor faculty development activities related to SLO's.		The TLC will sponsor activities (e.g., Best Practitioners Fair, spring 2009) for faculty in direct SLO assessment, rubric development, best practices and other topics salient to student learning commencing spring 2009. The IE&A coordinator will meet with individual departments to discuss PA/PR, SLO assessment, and rubric development commencing fall 2008. A log will be posted on the TLC website on InsideSAC.net.	See I.1
2. FARSCCD/CEFA and the district will incorporate student learning outcomes and assessment in the evaluation process through the negotiation process.	Student progress toward achieving SLO's should be a component of faculty/staff evaluations. (This item was part of the exit interview remarks)	After a thorough review of the legality and appropriateness of this recommendation, FARSCCD is in the process of negotiating that SLO's be a component of faculty evaluation within the self-evaluation portion of the evaluation process (affirmatively voted upon by the faculty 11/25/08).	Participation in SLO assessment and other assessment activities has been incorporated into the self-evaluation portion of the faculty evaluation process.

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
<p>3. Based on current and anticipated future needs of both the credit and non-credit divisions, appropriate administrators and faculty leaders will review the needs of the college's growing and changing student population annually to provide appropriate hiring recommendations to the district. The President of Santa Ana College and the President of the Academic Senate will assess the prioritization process to ensure that they appropriately address staffing needs.</p>		<p>Under the guidance of the Vice President of Academic Affairs, the Vice President of the School of Continuing Education and the Academic Senate President, and with the help of the district Research Department, an analysis of student demographic information will be utilized for hiring recommendations. The President of the college and the President of the Academic Senate will assess the prioritization process commencing spring 2009.</p>	<p>Due to fiscal restraints and the need to cut the budget, the college had a hiring freeze for workload reduction up to July 2010, when the freeze was lifted to stabilize operations. Decisions of hiring of classified staff and managers occurs at the local level. The Faculty Priorities Committee has met to create a priority list. This is referred to the college President and then to the Chancellor, who considers the FON. SAC hired 29 faculty for fall 2014.</p>
<p>4. The college will offer appropriate staff development activities for classified and academic staff that will ensure they are kept informed of policies and procedures, as well as workshops and seminars that improve the work environment, support the college mission and goals, improve the skills of employees, and continue to integrate student learning outcomes and assessment into programs.</p>	<p>To evaluate mechanisms established that facilitate dialogue regarding the functions between the district and the colleges so that all members of the college community, especially classified staff, understand the responsibilities of each entity. (remark of exit interview)</p> <p>The team recommends that the college strengthen its communication with classified employees regarding governance service opportunities, processes, deliberations, and outcomes.</p>	<p>Under the aegis of the IE&A Committee, the associate dean of ILR and the IE&A coordinator will consult with classified staff to ascertain the type of staff development activities needed for classified staff. Under the aegis of the TLC, the FDC and the chair of TLC will continue to develop activities for faculty that support the college mission and integrate SLOs, outcomes and assessment of programs. This will be initiated spring 2009 and be ongoing.</p>	<p>There are several DE and other professional development workshops offered during Flex Week and throughout the year, which include safety training as well as SLO and academic issues.</p> <p>The President has also initiated a taskforce to investigate the professional development needs on the campus.</p> <p>In addition the Vice President of Academic Affairs conducted StrengthsQuest workshop for faculty and staff spring 2014. A plan to continue this initiative is being developed.</p>
<p>5. The associate dean of information and learning resources and a representative of CSEA will review the process and availability of professional development activities for classified staff for effectiveness.</p>		<p>To commence spring 2009.</p>	<p>A Classified Committee for Staff Development was developed; this committee reports to the VP of Academic Affairs and the VP of Student Services. Members are appointed by CSEA.</p>
Standard IIB:			
<p>1. College Council and district administration will explore the possibility of another bond to carry out the facility plans that were established by <i>Measure E</i> and the failed <i>Measure O</i>.</p>		<p>After consultation with the President of SCC, the President of SAC will work with the Chancellor in any way deemed appropriate by the BOT and the Chancellor to explore the possibility of another bond measure. Since this is not a SAC-only initiative, timelines need to be established at the district level.</p>	<p>Measure Q was passed by the voters in 2012 as a SAC-only Bond measure. A new facilities Plan was developed by HMC Architects. Many facilities renovations, landscape changes and new facilities are being constructed.</p>

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
2. President's Cabinet, the Planning and Budget Committee and the RSCCD will explore other funding options for maintenance operations and custodial services.		Vice President Administrative Services 2009	
3. The Vice President of Administrative Services and the Interim Plant Manager will establish, implement and maintain a plan which itemizes the scheduled maintenance plan.	The Facilities Committee will consult with district Planning Department to develop a process to clearly identify the total cost of ownership of major capital outlay and construction of facilities at the college.	2009	The college has hired a permanent facilities manager and has reviewed and revised its scheduled maintenance planning approach and timeline. Prior to September of each year, the VP of Admin Services meets with the facilities manager to identify campus scheduled maintenance projects that were unfunded in the prior year; that were identified on area Resource Allocation Request lists that fit into the category of scheduled maintenance; or are eligible projects as outlined in the five-year Santa Ana College SMSR summary. As scheduled maintenance projects are identified and prioritized for the year, budgets are also attached to the projects, which helps identify how far the scheduled maintenance allocation from the state will go. After the planning and budgeting aspects of scheduled maintenance projects are completed, the college works with the District Facilities team to establish the scheduled maintenance projects and budget for the District as a whole.
4. The Academic Senate will appoint a DSPS faculty member to the Facilities Committee and the Safety and Security Committee as a representative. This appointment will also be added to the Facilities Master Plan and the re-established Safety and Security Committee.		Spring 2009	The Associate Dean of Disabled Student Program and Services is a member of the 2010-11 SAC Facilities Committee. A faculty member was appointed co-chair of the Safety Committee in 2009. The Associate Dean of DSPS became a member of the Facilities Committee February 10, 2010. The ADA Subcommittee of the Facilities Committee was established on August 14, 2008 and continues to meet monthly. The VP of Administrative Services, co-chair of the Facilities Committee and a member of the ADA Subcommittee also attended Facilities Master Plan meetings.
5. The college President and the Vice President of Administrative Services will communicate more directly to faculty and staff regarding facility issues.	Evaluate mechanisms established that facilitate dialogue regarding the functions between the district and the colleges so that all members of the college community, especially classified staff, understand the responsibilities of each entity.	To commence spring 2009.	Both the college President and VP of Administrative Services provide regular facilities updates in College Council, Management Council, monthly facilities committee meetings (all evidenced by meeting minutes), and regular construction impact updates that are sent out by the facilities manager when any construction-related issues may impact members of the college. The President provides a facilities update to the entire college at the fall and spring Convocation, and the VP of Administrative Services produces a written newsletter twice a year to inform the campus about budget and facilities events.

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
6. The IE&A Committee and the Facilities Committee will communicate the expectations and requirements of the co-chair positions for sub-committees that report to these governance committees.		Under the guidance of the chair of IE&A, the chairs of committees (Environmental Workgroup) will be apprised of all requirements and responsibilities of goals and activities as well as reporting to IE&A. (done fall 2008)	<p>The Environmental Subcommittee was established as a subcommittee of IE&A, but after an evaluation of its activities, it was moved under the Facilities Committee. Significant documents presented at the Environmental Subcommittee are now being posted on Inside SAC. The Facilities Committee has reviewed goals and discussed co-chair requirements with the full committee.</p> <p>The district also has established a Sustainable RSCCD Committee, which has developed a Sustainability Plan which is to go into effect August 2014.</p>
7. SAC College Council and the RSCCD will explore opportunities for the funding of facilities, equipment and supplies.	To evaluate its planning processes, including integration of Technology, Staffing, and Facilities Master Plans to ensure budget is used as a planning tool for budget allocation to fulfill the college's Strategic Plan.	<p>The President of the college will discuss with the Chancellor ways in which this recommendation may be handled spring 2009. In addition BAPR will develop a planning workgroup to investigate the links between integrated planning and budget to commence spring 2009.</p> <p>Note: BAPR is now POE for planning and FRC for budget.</p>	Measure Q was approved by the electorate of the Santa Ana College Facilities Improvement District No. 1 of the Rancho Santiago Community College District on November 6, 2012. This measure authorized Rancho Santiago Community College District (RSCCD) to issue up to \$198 million in general obligation bonds to finance renovation, repair, and construction at Santa Ana College. The college has generated alternative revenue streams by developing a more formal facility-use process and working with both non-profit and for-profit entities to rent college facilities for events that both support the college's local funding both directly and indirectly. The college also engages in robust relationships with industry and agency partners via grant agreements and advisory board participation that aid the college's career and technical education (CTE) programs, as well as the donation of equipment and supplies in support of the college CTE programs and curriculum. The college leases antennae space on top of Dunlap Hall to telecom companies, which provide another local revenue source for the college utilized for facilities improvement.

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
8. The President of SAC will request that RSCCD administration identify a formula for “the total cost of ownership” concept, which is then made explicit.	Evaluate its planning processes, including integration of Technology, Staffing, and Facilities Master Plans to ensure budget is used as a planning tool for budget allocation to fulfill the college’s Strategic Plan.	The President of the college will discuss with the Chancellor ways in which this recommendation may be handled. In addition BAPR will develop a planning workgroup to investigate the links between integrated planning and budget to commence spring 2009.	<p>BAPR developed the BAPR Workgroup to investigate alternatives to the BAM. After two years, it was determined the model should be changed to a revenue allocation model from an expenditure model.</p> <p>In 2013 the district governance structure was changed, and BAPR became the Fiscal Resources Committee responsible for the fiscal integrity of the district. The responsibility for the planning element was given to the newly-created committee Planning and Organizational Effectiveness Committee (POE).</p> <p>The Budget Allocation Model was changed from an expenditure model to a revenue allocation model modeled after SB 361. SB361 became law in 2006 replacing funding parameters in the California Education Code. The goal of SB 361 is to equalize funding for credit FTES, bring simplicity to the funding formula, and provide enhanced funding for qualifying noncredit FTES. The State Chancellor’s Office prepares an Exhibit C document for every district within the California Community College system. A simulation was developed and a split among the two colleges, and the district occurred. There was a transition period to allow SCC to adjust. Under this new allocation method, each site receives a lump sum amount and is responsible for developing and managing its budget. This new model has ended the discussions about fixed and variable costs associated with the former Budget Allocation Model. There will be a review of the model by the district Fiscal Resources Committee each year and approved by District Council.</p>
			The District Office will no longer take care of things like COLA, growth, and benefit increases. Each site will have to factor these amounts into their budgets each year. Each cost center has a separate reserve (likely at a percentage mandated by the District with an additional prudent reserve established by each college).
9. College Council and RSCCD administration will explore the possibility of another bond to carry out the facility plans that were established by Measure E.		After consultation with the President of SCC, the President of SAC will work with the Chancellor in any way deemed appropriate by the BOT and the Chancellor to explore the possibility of another bond measure. Since this is not a SAC-only initiative, timelines need to be established at the district level.	Measure E funds have been used to acquire property, build buildings, and repair campus infrastructure; however, much more work is needed, especially at SAC. HMC Architects were contracted to update the SAC Facilities Master Plan. The new plan has four phases ending in 2020. Bond measure Q will address many of the needs of the plan.
Standard IIIc:			
1. <i>Datatel</i> implementation management will include student electronic mail as part of the full implementation of the system.			<p>Personal email is collected in the registration process with the intention of receiving better returns on surveys.</p> <p>Instructors can access students’ personal email through WebAdvisor.</p>

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
2. The associate dean of ILR and the Institutional Research Department will further refine technology questions on student satisfaction surveys.		To commence spring 2009.	The position of associate dean of ILR no longer exists. The coordinator of DE has developed questions for the survey.
3. The ILR training program will focus on pedagogy.			There has been continued training held in the center for Learning and Instruction (CLI), through BSI, the Distance Education office and the Teaching Learning Committee.
4. The Associate Dean of ILR and district ITS will explore collaborative ventures such as a joint Help Desk.			The Associate Dean of ILR retired June 2010 and was not replaced. A common Help desk is being developed at the District Office; a SAC Help Desk is also available.
5. The district ITS will provide readily accessible and accurate inventory records.			This is currently available.
6. The Associate Dean of ILR, SACTAC, the Vice President of Academic Affairs and district ITS will develop a replacement plan for technology equipment.	Evaluate its planning processes, including integration of Technology, Staffing, and Facilities Master Plans to ensure budget is used as a planning tool for budget allocation to fulfill the college's Strategic Plan.		A SACTAC and TAG plan has been developed to replace technical equipment; this is contained in the Strategic Technology Plan.
7. President's Cabinet will study feasibility of reassigning district ITS personnel stationed at SAC to a SAC vice president.			President's Cabinet has initiated review of these functions and has requested three SAC leads to meet and provide recommendations in bullet format to President's Cabinet.
8. SACTAC and the Facilities Committee will develop a plan for upgrading and expanding technology facilities.	Evaluate its planning processes, including integration of Technology, Staffing, and Facilities Master Plans to ensure budget is used as a planning tool for budget allocation to fulfill the college's Strategic Plan.		This is addressed in the Facilities Master Plan update. TAG has a plan in place regarding wireless and other needs, e.g., switches. TAG received input from SACTAC.
9. Technology goals from the DPP will be forwarded to SACTAC division representatives, through the division deans, so that DPP plans will be infused into the college-wide Technology Plan.		Under the aegis of the Vice Presidents of Academic Affairs and Student Services and the guidance of the academic deans and student services managers, all DPP technology goals/requests will be forwarded to division SACTAC representatives commencing spring 2009. PA/PR technology analyses will continue to be forwarded to IE&A via the TLC. Note: The function of IE&A is under review.	All requests from the DPPs are aggregated and are sent to SACTAC, if there are college-wide implications. SACTAC makes recommendations to College Council at the end of the academic year.

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
Standard IIID:			
1. The President of the college will request dialogue to occur at Chancellor's Cabinet regarding the issue of dwindling state resources in a context of increasing fixed costs, which negatively impacts the resources available for discretionary funds available to the colleges.	Evaluate its planning processes, including integration of Technology, Staffing, and Facilities Master Plans to ensure budget is used as a planning tool for budget allocation to fulfill the college's <i>Strategic Plan</i> . Review BAM so resources based on plans and program reviews and sustainability of planning process. The team further recommends the district use outcomes of budget process and use data in subsequent budget development.		A new governance structure was developed at the district level to include the Fiscal Resources Committee, the Planning and Organizational Effectiveness Committee, the Technology Advisory Group, the Human Resources Committee, Physical Resources Committee and the Sustainable RSCCD Committee. All report to District Council. Under the guidance of a facilitator/consultant, the POE Committee developed a Strategic Plan and the Comprehensive Master Plan 2013-2023. Standard IIID explains the evaluation of all planning processes.
2. The President of the college will include more discussion and input from all concerned constituencies regarding the nature of fixed expenditures, the impact of fixed and discretionary expenditures and funding priorities on the district and local college levels through College Council and regularly-published reports.			See III.B.8
3. The college and district will continue to seek ways to operate efficiently as well as pursue alternate sources of revenue through the DPP at the department level, the Budget Committee at the college level, and BAPR at the district level.	The college and district use allocation model for resources based on plans and program reviews and sustainability of planning process.		The SAC Planning and Budget Committee sets goals for each year. (see website)
4. The SAC Budget Committee will conduct an annual review to ascertain that budget allocation is aligned with the Strategic Plan of the college.	The team further recommends the college evaluate outcomes of budget development process and use data in subsequent budget development.	To commence spring 2009.	The SAC Planning and Budget Committee met in May 2009. The SAC Planning and Budget Committee began setting goals for 2010-11. It has done so every year. The RAR is utilized from the department level to division, VP area, and the President's Cabinet level. A complete description is contained in IIID.
5. The vice presidents will send DPP/ student services portfolio budget priorities received from the division deans and student services managers to IE&A for information and alignment with the Strategic Plan, and the Budget Committee for prioritization. The Budget Committee will also be supplied the status of the Strategic Plan every spring by the chair of IE&A.	Evaluate its planning processes, including integration of Technology, Staffing, and Facilities Master Plans to ensure budget is used as a planning tool for budget allocation to fulfill the college's Strategic Plan. Use the allocation model for resources based on plans and program reviews and sustainability of planning process. The team further recommends the college use outcomes of budget process and use data in subsequent budget development.		The Vice President of Administrative Services has updated division plan. The administrative services departmental portfolio plan and annual program review was completed and posted on SharePoint. Each area completes an RAR, and it is reviewed by President's Cabinet. RAR's are posted on the Planning and Budget Committee's website on sac.edu.

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
6. BAPR will conduct an annual self review of its effectiveness together with a review of the ongoing effectiveness of the Budget Allocation Model in an environment that is conducive to voicing concerns and suggesting change without apprehension. The model developed by the BAPR workgroup should be utilized in concert with existing processes.	Review BAM so resources based on plans and program reviews and sustainability of planning process. The team further recommends the district use outcomes of budget process and use data in subsequent budget development	BAPR will conduct a review of the BAM. Since BAPR is a district committee, the timeline must be developed at the committee. Note: BAPR has changed to POE for planning and FRC for budget.	A planning workgroup investigated the links between integrated planning and budget. The BAPR WG reviewed budget allocation models from several districts and recommended to the full BAPRC on December 8, 2010, that RSCCD move toward adopting a SB361 model similar to the one used by the Contra Costa College District. The SB361 Model went into effect fall 2012. Review of the model will be conducted each year by FRC as well as District Council.
Standard IVA			
1. The President of the college, the President of the Academic Senate and representatives of CSEA will continue to review the participatory governance framework and its operational flow annually.	The college will evaluate mechanisms established that facilitate dialogue regarding the functions between the district and the colleges so that all members of the college community, especially classified staff, understand the responsibilities of each entity.	Spring 2009 and ongoing annually.	A participatory governance retreat has been held bi-annually since January 2009 and includes President's Cabinet, the Academic Senate Executive Committee and Classified leaders appointed by CSEA.
2. The college President will conduct regularly- scheduled classified forums to facilitate communication among this constituency group.	Evaluate mechanisms established that facilitate dialogue regarding the functions between the district and the colleges so that all members of the college community, especially classified staff, understand the responsibilities of each entity.		The President held a series of Brown Bag luncheons with Classified staff to discuss goals, vision, and to provide a Master Plan update. College-wide and constituency-specific surveys are also used to help the college improve . For example, in addition to formal committee meetings and informal "brown-bag" gatherings with classified staff, and as a result of classified employee survey outcomes, the President developed a taskforce centered on classified staff professional development to further examine the perceptions and needs of the classified staff . In addition, ongoing focused surveys are developed by the RSCCD Research Department to obtain input from classified staff on all aspects of institutional effectiveness. This year the survey process was extended to include four focus groups with external facilitators to encourage deeper discussions about the college structure and functioning from the perspective of classified employees. The results have enabled the college to further examine and address the needs of the classified staff.
3. The college President and all constituency group leaders will continue to review and refine the governance framework and its operational flow.	To evaluate mechanisms established that facilitate dialogue regarding the functions between the district and the colleges so that all members of the college community, especially classified staff, understand the responsibilities of each entity.		Membership and the college committee structure is reviewed by college leaders at the Participatory Governance Retreat annually. The last retreat was held January 22, 2014, and the participatory Governance Structure Handbook was revised.
4. The college President will ascertain that the roles and responsibilities of relatively new administrators are clearly defined and understood.			The President of the college has directed supervising managers to review job descriptions and responsibilities. There is follow up at management Council Noteworthy is that as of August 2014, there will be changes in administration that occurred summer 2014. This includes the Vice President of Academic Affairs.

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
Standard IVB:			
1. The college President will continue to meet with the Academic Senate Executive Board and classified staff leaders regarding participatory governance structures.	Evaluate mechanisms established that facilitate dialogue regarding the functions between the district and the colleges so that all members of the college community, especially classified staff, understand the responsibilities of each entity.	Ongoing every spring.	See IVA.2
2. The IE&A will continue to update the <i>Strategic Plan</i> and review its effectiveness in meeting the college's goals, objectives and mission statement.		Utilizing the <i>Strategic Plan with Progress on Goals</i> and the aggregate program review reports (Academic, Student Services, Administrative Services, President's cabinet), the IE&A committee will make recommendations to College Council. In 2015, a thorough college- wide evaluation will be conducted. As the <i>Strategic Plan</i> will be continually updated and revised, the evaluation will include efficacy of format.	See I.2
3. The President of the college will make information regarding budget issues readily available on a regular basis, especially in these times of fiscal constraint.	Evaluate mechanisms established that facilitate dialogue regarding the functions between the district and the colleges so that all members of the college community, especially classified staff, understand the responsibilities of each entity.	Spring 2009 and ongoing.	"Budget Update" appears on every College Council and SAC Management meeting agenda.
4. To enhance communication, the President will ensure that budget requests brought to President's Cabinet by the vice presidents from the DPP are shared with the Planning and Budget Committee.	The team recommends that the district evaluate its planning processes, including integration of staffing, technology and facilities master plans to ensure the budget is used as planning tool to achieve its strategic goals. As part of this integration, the Team recommends that the allocation model for resources be based on the plans, program reviews, and sustainability of the planning process and that the outcomes from these activities be formally and broadly communicated to ensure quality. This requires that the District evaluate the outcomes of the budget process and use that data in subsequent budget development.	Spring 2009 and ongoing.	The Cabinet is working with priorities established by the Planning & Budget Committee for the contracting fiscal environment the colleges and district have experienced for the last two three years.
5. In meetings of all governance committees at the college and district levels, constituents should:			See District Response 1/College Response 1: Planning and Budget integration
<ul style="list-style-type: none"> • identify issues related to the delineation of functions between the district and the colleges that remain unclear, unknown, problematic, or less than optimally functional --SAC continues pursuing this objective, which is evidenced in SAC Planning and Budget minutes, in BAPRC minutes and in BAPRC WG notes. • create a plan for clarifying and optimizing the functions related to these issues • create a timeline for completion of these plans • operationalize the plans • widely communicate the results to the aforementioned district committees and to the appropriate governance bodies at the colleges.-- "Budget Update" appears on every College Council and SAC Management meeting agenda. The President has scheduled a brown bag luncheon with classified employees on January 12, 2011 and budget will be discussed at that time. Budget is often discussed at division and department meetings. 			

SELF STUDY PLANNING AGENDA	TEAM RECOMMENDATION THE TEAM RECOMMENDS THE DISTRICT/COLLEGE:	PERSONS RESPONSIBLE / IMPLEMENTATION SCHEDULE	CURRENT STATUS
6. The college, through its governance committees and the Academic Senate will:	Evaluate mechanisms established that facilitate dialogue regarding the functions between the district and the colleges so that all members of the college community, especially classified staff, understand the responsibilities of each entity.		The new SB 361 Revenue Allocation Model disseminates resources to the colleges. This will impact current structures at all three entities, the colleges and the district. The colleges and district will have investigated which services reside at the colleges and which at the district level. In spring 2014 POE recommended to District Council an updated version of the Functions/Mapping of Responsibilities Chart. District council approved the chart April 2014.
<ul style="list-style-type: none"> • identify and prioritize the most serious areas of concern related to the district's support to the college • present them at the district level through the appropriate governance and operational venues, including the Chancellor's Cabinet, District Management Council, the District Facility Planning Committee, the Human Resources Committee, the Budget Allocation and Planning Review Committee, the Technology Committee, meetings of the Chancellor with the Academic Senate Presidents from Santa Ana College and Santiago Canyon College, and meetings of the Board of Trustees 			
7. In response, the Chancellor's Cabinet should:			The Chancellor has developed goals which have been vetted through the Board of Trustees. Updates to the Board are ongoing.
<ul style="list-style-type: none"> • create a plan for addressing the identified and prioritized areas of concern • create a timeline for completion of these plans • operationalize the plans • widely communicate the results to the aforementioned district committees and to the appropriate governance bodies at the colleges. 			
8. The President of the college will elicit clear information about staffing rationale and disseminate this information to SAC constituency group leaders through College Council.		Ongoing commencing spring 2009.	This is evidenced in the Department Planning Portfolio and Annual Program Review through the RAR process and then the Faculty Priorities Committee as well as College Council and President's Cabinet. Updates occur at weekly College Council meetings, where all constituencies are represented.
9. The Chancellor's Cabinet will continue to evaluate district/system role delineation and governance to assure effectiveness of the decision-making structures and processes.	Evaluate mechanisms established that facilitate dialogue regarding the functions between the district and the colleges so that all members of the college community, especially classified staff, understand the responsibilities of each entity.		The new participatory governance structure commenced at the district level fall 2012. POE developed a Comprehensive Master Plan and a Strategic Plan for the District, which was approved by District Council and the Board of Trustees. The goals of all the committees have been reviewed and POE is charged with reviewing the efficacy and status of the Strategic Plan. The new SB 361 Budget Allocation Model will continue to be under review by The Financial resources Committee. All recommendations are made to College Council. The chairs of each of the governance committees serve on District council will the constituency group leaders of both colleges. The Chancellor is the chair.

Evidence for Introduction

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