Santa Ana College

Follow-Up
REPORT

October 15
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SANTA ANA COLLEGE

Follow-Up Report
October 15, 2010

Submitted by:

Santa Ana College
1530 West 17th Street
Santa Ana, CA 92706-3398
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To:

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

ACKNOWLEDGMENTS

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STATEMENT OF REPORT PREPARATION

After the ACCJC Team Visit of October 20-23, 2008, Santa Ana College received an *Evaluation Report* dated November 26, 2008, inclusive of commendations and recommendations for the college. Succeeding that report, Santa Ana College was issued the official Commission disposition in a letter dated February 3, 2009: **Warning** with a *Follow-Up Report* due October 15, 2009. Four recommendations, one for the college and three for the district were addressed in the *Follow-Up Report*, which was followed by a two-member team visit on November 17, 2009. On January 6-8, 2010, the Commission took the following action for Santa Ana College: " …to accept the report, **remove Warning,** and reaffirm accreditation, with a requirement that Santa Ana College complete a Follow-Up Report" by October 15, 2010 addressing *District Recommendation 1,* related to integrated planning processes and budget. The *Midterm Report*, due October 2011, is to address all seven recommendations of the 2008 ACCJC *Evaluation Report,* three for the college, four for the district.

Since the Rancho Santiago Community College District is a two-college district, the sister institution of Santa Ana College, Santiago Canyon College, also underwent an ACCJC site visit October 20-23, 2008. Santiago Canyon College was also issued: **Warning** with a *Follow-Up Report* due October 15, 2009. Four recommendations, one for the college and three for the district, were also addressed in the Santiago Canyon College *Follow-Up Report*. At the January 6-8, 2010 meeting of the Commission, SCC received the same disposition and requirement to address a parallel, but not identical, recommendation, *District Recommendation 3,* related to integrated planning and budget processes, in a *Follow-Up Report* also due October 15, 2010. As a result, each college immediately began to consult with the other, and the District Budget Allocation and Planning Review Committee (BAPR), which has membership from both colleges as well as the district, was designated to play a role in addressing the district recommendations issued to both colleges.

On February 1, 2010, the Board of Trustees held a Planning Retreat, during which their Vision Statement and annual goals were reviewed. At this meeting, the Executive Vice Chancellor of Human Resources & Educational Services, John Didion, made a presentation and announced the action taken by the Commission and the updated accreditation status of Santa Ana College and Santiago Canyon College. After the meeting, Mr. Didion and Dr. Jaros, Accreditation Chair/ALO for Santa Ana College, met to discuss a formal process for addressing the recommendations of the Commission. A meeting was designated for February 18, 2010. Chancellor Edward Hernandez, Jr.[*] was in accord, and an Oversight Committee was formed for the pending meeting.

At the February 18, 2010 meeting of the Oversight Committee, it was recommended that the process of collecting documentation and writing the *Follow-Up Reports* be as follows:

A. An **Oversight Committee** will make sure timelines are followed, documents are collected and all stakeholders are well informed of processes and outcomes. Members of the Oversight Committee will attend BAPR, which will have an ongoing *Accreditation Report* on the agenda. In addition, the Oversight Committee will be a consensus group.

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[*] Please note that Chancellor Edward Hernandez, Jr., Ed.D. was fully integrated into the process of the Follow-Up Reports for Santa Ana College and Santiago Canyon College up to the date of his retirement, June 30, 2010. Chancellor Raúl Rodríguez, Ph.D. commenced his tenure as chancellor on August 9, 2010.

Membership of the Oversight Committee:

Bonita N. Jaros, Ph.D., Chair, Institutional Effectiveness & Assessment
Coordinator/Accreditation Chair/Accreditation Liaison Officer, SAC

John Zarske, Academic Senate President, SAC

Morrie Barembaum, Academic Senate President, SCC

Steve Kawa, Vice President, Administrative Services, SCC

John Didion, Executive Vice Chancellor, Human Resources & Educational Services, RSCCD

Peter Hardash, Vice Chancellor, Business Operations & Fiscal Services, RSCCD

Nga Pham, Director of Research, RSCCD

B. The **Budget Allocation and Planning Review Committee** (BAPR) will serve as the participatory governance committee which will provide information related to budget and planning for the RSCCD.

Membership of the Budget Allocation and Planning Review Committee:

District:

Peter Hardash, Co-Chair BAPR, Vice Chancellor, Business Operations & Fiscal Services

Noemi Kanouse, Assistant Vice Chancellor, Fiscal Services

John Didion, Executive Vice Chancellor, Human Resources & Educational Services

Sylvia LeTourneau, Assistant Vice Chancellor, ITS (until September 2010)

Steve Eastmond, Ph.D., FARSCCD President (as of September 2010)

Marti Reiter, President CSEA

Nga Pham, Director of Research

*Thao Nguyen, Budget Analyst

*Linda Melendez, Assistant to the Vice Chancellor, Business Operations & Fiscal Services

*Gina Huegli, Budget Analyst

* Support Staff—non-voting

Santa Ana College:

Erlinda J. Martinez, Ed.D., President

Norman Fujimoto, Vice President, Academic Affairs

Paul Foster, Vice President, Fiscal & Administrative Services

Raymond Hicks, Past-President Academic Senate; Faculty Co-Chair, Facilities Committee

Jeff McMillan, Ph.D., Faculty Co-Chair, Planning and Budget Committee

Esmeralda Abejar, Accountant

Ed Ripley, Vice President, School of Continuing Education (Alternate)

Bonita N. Jaros, Ph.D., IE&A Coordinator/Accreditation Chair/Accreditation Liaison Officer (Alternate)

> *Santiago Canyon College:*
> Juan Vázquez, President
> Steve Kawa, Vice President, Administrative Services
> Morrie Barembaum, Co-Chair BAPR, Academic Senate President
> Raul González del Río, Accountant
> José Vargas, Vice President, School of Continuing Education
> John Hernández, (Alternate for Mr. Vargas), Vice President, Student Services
> John Smith, Faculty, Treasurer FARSCCD
> Jared Kubicka-Miller, Faculty (Alternate for Mr. Smith)

C. The **Budget Allocation and Planning Review Committee Workgroup** will review the Budget Allocation Model and report regularly to BAPR.

> *Membership of the Budget Allocation and Planning Review Committee Workgroup*:
> Peter Hardash, Chair, Vice Chancellor, Business Operations & Fiscal Services, RSCCD
> Paul Foster, Vice President Fiscal & Administrative Services, SAC
> Gina Huegli, Budget Analyst, RSCCD
> Noemi Kanouse, Assistant Vice Chancellor, Fiscal Services, RSCCD
> Steve Kawa, Vice President, Administrative Services, SCC
> Jeff McMillan, Ph.D., Faculty Co-Chair, Planning and Budget Committee, SAC
> Thao Nguyen, Budget Analyst, RSCCD
> Nga Pham, Director of Research, RSCCD
> Ed Ripley, Vice President, School of Continuing Education, SAC
> José Vargas, Vice President, School of Continuing Education, SCC

> The **writing team** will consist of Bonita N. Jaros (lead person for SAC), Steve Kawa (lead person for SCC), and John Didion (district resource). Dr. Jaros will serve as overall evidentiary document collector; Dr. Jaros will serve as chair of the Oversight Committee and keep all agendas and minutes.

As the committees met, the chancellor, the college presidents, the Academic Senate presidents and/or the chair of the SAC Accreditation Committee presented regular reports at each Board of Trustees meeting.

A timeline was established for the processes; this timeline was presented to the Board of Trustees by the chancellor. As the committees continued their work, college-level progress was transmitted to SAC President's Cabinet, and the presidents of the colleges also made regular reports in Chancellor's Cabinet. The chancellor presented general updates to the Board of Trustees and presented taskforce recommendations.

As the responses to the recommendations were written and charts were created, Oversight Committee members were in regular communication. Dr. Jaros sent the minutes of the Oversight Committee meetings to the chancellor's office as well as to each college president, all members of the Oversight Committee, and the vice presidents of academic affairs at SAC and SCC.
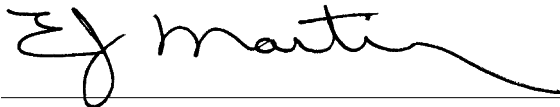
Mr. Didion created an initial rough draft to the planning and budget alignment recommendation, based on the agreed-upon timelines. Dr. Jaros met regularly with President Martinez, as she utilized information from the initial draft, BAPR and BAPR Workgroup meetings, Board of Trustees meetings, and Oversight Committee meetings to create a more complete and tailored response for Santa Ana College. As there was administrative restructuring at SCC due to the retirement of the Vice President of Academic Affairs, on July 1, 2010, Dr. Jaros also worked directly on the SCC document with Dr. Aracely Mora, Interim Vice President Academic Affairs and ALO at SCC (as of July 1, 2010), and Dr. John Weispfenning, SCC Dean of the Library and the Division of Arts, Humanities & Social Sciences, who also participated in the process as of July 2010.

Dr. Jaros collected all evidentiary documents. All district documents were shared with Dr. Mora and Mr. Kawa for the Santiago Canyon College *Follow-Up Report*. When the reports were completed, Dr. Jaros edited the Santa Ana College *Follow-Up Report* draft in preparation for Board of Trustees approval.

The Santa Ana College President communicated broadly to the college community via a forum held by the chancellor and the president on May 27, 2010. The SAC President also sent out regular email communication, *Notes from the President*. The final draft version of the *Follow-Up Report* was posted on InsideSAC.net for the college community to review, and feedback was received by September 3, 2010. The Oversight Committee met for final review on August 31, 2010. It was approved by President's Cabinet and College Council on September 8, 2010. The document was then presented to BAPR for information on September 15, 2010, and the chancellor for approval.

The *Follow-Up Report* was submitted to docket for Board of Trustees first reading on September 13, 2010. The Board of Trustees approved the *Follow-Up Reports* of Santa Ana College and Santiago Canyon College on September 27, 2010.

Respectfully Submitted,

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Erlinda J. Martinez, Ed.D., President, Santa Ana College

RESPONSE TO ACCJC COLLEGE RECOMMENDATION 1 PLANNING & BUDGET INTEGRATION

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 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.a, IV.B.3.b)

I. Preparation and Coordination for Follow-Up Report:

The Accrediting Commission for Community and Junior Colleges, Western Association of Schools and Colleges, at its meeting of January 6-8, 2010, reviewed the *Follow-Up Report* submitted by Santa Ana College and the report of the evaluation team which visited Tuesday, November 17, 2009. The Commission took action to accept the report, remove **Warning** and reaffirm accreditation with the requirement that SAC complete a *Follow-Up Report* addressing **District Recommendation 1**, due October 15, 2010.

Following the receipt of the Commission's action, an Oversight Committee was formed to ensure that timelines for the development of the *Follow-Up Report* were followed and that all stakeholders were well informed of the processes and outcomes (DR1.1a—Timelines; DR1.1b-DR1.8—Oversight Committee Minutes: February-July 2010). The Oversight Committee was comprised of individuals from Santa Ana College, Santiago Canyon College and the district who were directly involved in the development of the October 2009 *Follow-Up Report*: President of the SAC Academic Senate, John Zarske; SAC Accreditation Chair/Accreditation Liaison Officer, Bonita N. Jaros, Ph.D.; SCC Vice President of Administrative Services, Steve Kawa; President of the SCC Academic Senate, Morrie Barembaum; RSCCD Executive Vice Chancellor of Human Resources and Educational Services, John Didion; RSCCD Vice Chancellor of Business Operations & Fiscal Services, Peter Hardash; and RSCCD Director of Research, Nga Pham.

On February 18, 2010, the Oversight Committee held its first meeting and reviewed the Commission's request for a *Follow-Up Report* to address **SAC District Recommendation 1** and **SCC District Recommendation 3**, related to planning and budget integration. A timeline was established for the activities that needed to be accomplished prior to the submission of the *Follow-Up Report* on October 15, 2010 by the Accreditation Chair/ALO of Santa Ana College (DR1.1a). It was apparent to the Oversight Committee that the continuing state budget crisis would delay the district's adoption of a 2010-11 budget until mid-late September, or perhaps even October.* This would probably not allow the district to complete the 2010-11 budget process prior to the submission deadline for the *Follow-Up Report*. Consequently, the Oversight Committee structured its work plan and activities to focus on the development and Board of Trustees approval of the district's *2010-2011 Tentative Budget* on June 21,

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* Please note: At the September 15, 2010 special meeting of the Budget Allocation and Planning Review Committee (BAPR), the Vice Chancellor of Business Operations & Fiscal Services informed the attendees that the *Adopted Budget* would be previewed at the September 27, 2010 Board of Trustees meeting and approved at the October 11, 2010 meeting. The System Office, utilizing its authority, had granted an extension of one month (to October 15, 2010) to the community colleges for the approval of an adopted budget (DR1.57a—BAPR Minutes 09-15-10; DR1.58a—BOT Minutes— 09-13-10; DR1.58b—BOT Minutes 09-27-10). (The BOT minutes 10-11-10 were not yet available for this report.)

2010 (DR1.9—Board of Trustees Minutes 06-21-10). In addition, at the first meeting, an analysis of each aspect of the **SAC District Recommendation 1** and **SCC District Recommendation 3**, which vary somewhat, was conducted, with a connection to the themes highlighted in the *Institutional Self Study for Reaffirmation of Accreditation*, October 2008: Dialogue; Institutional Commitments; Student Learning Outcomes; Evaluation, Planning and Improvement; Institutional Integrity; Organization. An outcomes model for evaluation, planning and improvement and institutional integrity would inform this work. Dialogue between and among the college and district participatory governance committees and District Council would also play a vital role.

On February 24, 2010, President Martinez reviewed the Commission's action with the SAC College Council and explained the proposed activities and timelines for the preparation of the October 2010 *Follow-up Report* (DR1.10— College Council Minutes 02-24-10). Later that day, also on February 24, 2010, the Budget Allocation and Planning Review Committee (BAPR) received a report from the Accreditation Oversight Committee and reviewed recommendations of the Oversight Committee (DR1.11—BAPR Minutes 02-24-10). The Vice Chancellor of Human Resources & Educational Services then conferred with the chancellor, who approved the format.

II. Evaluation of Planning Processes: The Board of Trustees, the District, the College (Standards I.A.1; I.A.2; I.A.3; I.A.4; I.B.4; I.B.6; II.A.1; II.A.2.f; III.D.3 (f))

A. Board of Trustees Planning Retreat

On February 1, 2010, the Board of Trustees held its Annual Planning Retreat (DR1.12a— BOT Minutes 02-01-10; DR1.12b—Planning Presentation BOT 02-01-10). Based upon a recommendation developed as part of the October 2009 *Follow-Up Report*, this Annual Planning Retreat was moved from summer to February in order to afford the trustees an opportunity to develop/reaffirm their annual vision and goals prior to the development of the district's budget for the 2010-2011 fiscal year (DR1.13—BOT Vision Statement and Goals 2010-2011). At that retreat, the trustees reviewed the *Accountability Reporting for the Community Colleges* (ARCC) data for both colleges, as well as the district's internal report, *12 Measures of Success* (DR1.14— 12 Measures of Success). The trustees also reviewed the current Budget Allocation Model as well as the timeline and process for the development of the 2010-2011 budget (DR1.15a & 15b— RSCCD Budget Allocation Model; DR1.16—Budget Timelines). As per BP 9022 (Board of Trustees Self Evaluation) and 9022.5 (Board of Trustees Annual Evaluation of District Goals), the Board of Trustees self-evaluation meeting will be held November 8, 2010, and the self-evaluation process will follow a designated timeline. As per BP 9022 (Board of Trustees Annual Evaluation of District Goals), the Board of Trustees annual planning retreat to review the Board's vision and goals for 2010-2011 and approve its vision and goals 2011-2012 will be held in early 2011 (DR1.17a—BOT Minutes 07-26-10; DR1.17b—BOT Self-Evaluation Timeline for 2010; DR1.17c—District Planning Timelines 2010-2012; DR1.18—BP 9022, BP 9022.5).

B. District-Level Integrated Planning

The Oversight Committee continuously reported its progress and activities to the District Budget Allocation and Planning Review Committee (BAPR) as well as the District Council, which is the chancellor's forum for district-wide participatory governance, discussion and action. From February-May 2010, recommendations of the Oversight Committee included strengthening the planning aspects of BAPR. As a result, the following ongoing changes were made:

1. Commencing February 2010, there has been a standing accreditation item at BAPR (DR1.10—BAPR Minutes 02-24-10).

2. The Human Resources Committee* will be convened bi-annually and report results to BAPR (DR1.3—Oversight Committee Minutes 03-30-10).

3. New updates of the *RSCCD Strategic Technology Plan 2010-2011* will be presented to BAPR prior to development of Budget Assumptions (DR1.19).

4. A new chart has been created to explicitly demonstrate planning/budget integration: *District and College Participatory Governance Planning and Budget Processes Chart* (DR1.20a). This chart serves to complement existing charts (DR1.21a—RSCCD Planning and Budget Integration Processes Chart; DR1.22—District and College Participatory Governance Guidelines).

Therefore, BAPR currently serves as an integrative liaison group for all district planning efforts prior to District Council approval of recommendations (DR1.2-DR1.8— February-July 2010 Oversight Committee Minutes; DR1.19 RSCCD Strategic Technology Plan 2010-2011; DR1.20a—District and College Participatory Governance Planning and Budget Processes Chart).

The chart created to demonstrate the budget-planning aspects of the participatory governance mechanisms of the district and the connection to college processes, *District and College Participatory Governance Planning and Budget Processes Chart*, was added to the existing *RSCCD Planning and Budget Integration Processes Chart*, which is a visual demonstration of coordination of budget/planning timelines, and the *District and College Participatory Governance Guidelines Manual* (DR1.21a— District Planning and Budget Integration TimelinesP Chart; DR1.21b—SAC Participatory Governance Schedule; DR1.22— District and College Participatory Governance Guidelines Manual).

On March 30, 2010, the Oversight Committee reviewed all the flowcharts depicting the Participatory Governance Structure at both the district and college levels in terms of accurately depicting how those structures function in the planning-budgeting processes (DR1.3—Oversight Committee Minutes 03-30-10). Modifications to the flowcharts were made to clearly show the relationship between the various participatory governance committees at the district and colleges and how planning recommendations flow to BAPR and are considered in the development of BAPR's recommended budget assumptions. District Council reviewed these charts and made changes for clarification (DR1.1b-DR1.5—February-May 2010 Oversight Committee Minutes; DR1.23—District Council Minutes 04-26-10).

B.1 Review of the Budget Allocation Model: (Standards III.D.1; III.D.2; III.D.3; IV.B.3 (b))

On February 24, 2010, the Oversight Committee discussed its action plan with the Budget Allocation Planning and Review (BAPR) Committee (DR1.10—BAPR Minutes 02-24-10). BAPR has been the district's participatory governance committee charged with making final recommendations to the chancellor after formulating budget assumptions, reviewing budget projections, and developing district procedures relevant to budget and funding issues.

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* Please refer to p13: **Human Resources Staffing Plan** for details.

BAPR Membership

SANTA ANA COLLEGE	SANTIAGO CANYON COLLEGE	DISTRICT
Erlinda J. Martinez, Ed.D., President	Juan Vázquez, President	Peter Hardash, Vice Chancellor Business Operations & Fiscal Services – **Co-Chair**
Norman Fujimoto, VP Academic Affairs	Steve Kawa, VP Administrative Services	Noemi Kanouse, Asst. Vice Chancellor Fiscal Services
Paul Foster, VP Administrative Services	Morrie Barembaum, President Academic Senate - **Co-Chair**	John Didion, Executive Vice Chancellor Human Resources & Educational Services
Ray Hicks, Faculty (designee of Academic Senate President), Co-Chair Facilities Committee; Academic Senate President-Elect	Raul González del Río, Accountant SCC Foundation	Sylvia LeTourneau, Asst. Vice Chancellor Information Technologies Services (until September 2010)
Jeff McMillan, Ph.D., Faculty Co-Chair Planning and Budget Committee	José Vargas, VP Continuing Education Orange Center	Steve Eastond, Ph.D., FARSCCD President (as of September 2010)
Esmeralda Abejar, Accountant	John Smith, Faculty	Marti Reiter, President, CSEA—Classified Representative
Ed Ripley, VP School of Continuing Education – (Alt.)	John Hernandez, VP Student Services – Alt.	Nga Pham, Director of Research
Bonita N. Jaros, Ph.D., IE&A Coord.; Chair Accreditation Committee/ALO (Alt.)	Jared Kubicka-Miller, Faculty – Alt.	Thao Nguyen, Budget Analyst
John Zarske, Academic Senate President – Frequent guest		Linda Melendez*, Assistant to Vice Chancellor Business Operations & Fiscal Services
		Gina Huegli, Budget Analyst
		* Support Staff, non-voting

To amplify the mission of BAPR, the Oversight Committee made a recommendation to include accreditation as a standing agenda item for BAPR; this was approved (DR1.10—BAPR Minutes 02-24-10). In addition, it was recommended to have BAPR be the central committee which would receive all planning documents, in addition to budget documents, prior to District Council review (DR1.10). Within the same discussion, the imperative to demonstrate concrete linkages between budget and planning was reaffirmed.

Throughout the following months, the BAPR Workgroup (BAPR WG) met regularly and continued its review of the District *Budget Allocation Model* (BAM) (DR1.24a-h –BAPR Workgroup Notes S10). A regular report of the BAPR workgroup was then made at each BAPR meeting (DR1.25a-l—BAPR Minutes S10).

The membership of the BAPR Workgroup is comprised of membership from the district as well as the two colleges. Each segment is expected to make regular reports at the college level through the respective participatory governance bodies. At Santa Ana College, this includes College Council, the Planning and Budget Committee, the Institutional Effectiveness and Assessment Committee (IE&A), the Academic Senate and CSEA.

BAPR Workgroup Membership

Santa Ana College	Santiago Canyon College	District
Paul Foster, VP Administrative Services	Steve Kawa, VP Administrative Services	Peter Hardash, Vice Chancellor Business Operations & Fiscal Services, Co-Chair BAPR
Jeff McMillan, Ph.D., Faculty Co-Chair Planning & Budget Committee	José Vargas, VP Continuing Education Orange Center	Noemi Kanouse, Asst. Vice Chancellor Fiscal Services
Ed Ripley, VP School of Continuing Education	John Hernandez, VP Student Services	Nga Pham, Director of Research
Ray Hicks, Faculty Co-Chair Facilities Committee; Academic Senate President-Elect – Frequent Guest	Morrie Barembaum, President Academic Senate –Frequent Guest	Thao Nguyen, Budget Analyst
	Jared Kubicka-Miller, Faculty – Frequent Guest	Gina Huegli, Budget Analyst
John Zarske, President, Academic Senate – Frequent Guest		Linda Melendez*, Assistant to Vice Chancellor Business Operations & Fiscal Services
		* Support Staff, non-voting

The BAPR Workgroup considered college-level concerns and also reviewed the models of 13 other multi-college districts (DR1.24h—BAPR WG Notes 07-14-10).

The Santa Ana College Planning & Budget Committee forwarded concerns to the workgroup as follows:

- Colleges need more flexibility determining how to utilize dollars particularly with fixed/discretionary cost allocations.
- Transparency in the BAM: We need to have a clear understanding of how and why resources are allocated to the cost centers. There needs to be a flexible plan or formula for allocation of resources.
- A clear understanding of fixed costs vs. discretionary costs: How and when funds can move from discretionary to fixed and vice versa?
- As an incentive to save, colleges should be able to keep budget savings from year-to-year. Ending balances should be monitored because they should not be able to grow infinitely. There needs to be a balance between the district taking everything at the end of the year and colleges infinitely keeping everything.
- BAM needs to be perceived as plan that fairly and equitably distributes resources.
- We need a definition and plan for annually reviewing the BAM.
- There needs to be a special account set up for payment of banked leave.

After consideration of all concerns, a list of issues for annual review was agreed upon. It includes:

- Fixed costs to each cost center by looking at FTES distribution, high cost programs and equitable service costs
- Relative cost of programs
- District operations annual percentage distribution and the centralized services provided to the colleges, itself and the community

- Cost Centers that include SAC/SCC/DO

- Hiring needs that would impact other location and long-term implications

- General fund as well as discretionary fund review

BAPR Workgroup recommendations relating to *General Model Guidelines* and *Allocation Process* of the Budget Allocation Model were presented to BAPR on 07-28-10 (DR1.24h—BAPR WG Notes 07-14-10; DR1.25m—BAPR Minutes 07-28-10). Since all the ramifications of operationalizing the recommendations require further dialogue at the college level, this item was brought to the appropriate participatory committees and then discussed again at the August BAPR meeting (DR1.25m—BAPR Minutes 08-25-10). The workgroup will also continue to refine the details of the recommendation through fall 2010 (DR1.24i—BAPR WG Notes 08-11-10).

Regarding budget assumptions, tentative budget and budget development, the Vice Chancellor of Budget Operations & Fiscal Services led discussion at each BAPR meeting as well. At each Board of Trustees meeting during the spring 2010, the Vice Chancellor of Business Operations & Fiscal Services presented an update on the state budget situation and its implications for the development of the RSCCD budget (DR1.26a-h—Budget Reports to BOT Spring and Summer 2010).

On March 24, 2010, BAPR completed its review of *Budget Assumptions* and recommended assumptions for the development of the *RSCCD 2010-11 Tentative Budget* to the chancellor. Those assumptions were accepted by the chancellor without modification and were approved by the Board of Trustees on April 12, 2010 (DR1.25f— BAPR Minutes 03-24-10; DR1.27— BOT Minutes 04-12-10).

B.2 Technology and Staffing Plans

- **RSCCD Strategic Technology Plan**

  On April 14, 2010, the *RSCCD Strategic Technology Plan* was presented to BAPR after review by the District Council (DR1.19—RSCCD Strategic Technology Plan; DR1. 28—BAPR Minutes 04-14-10; DR1.29—District Council Minutes 04-12-10). Following consultation with the chancellor at the District Council, the plan was presented to the Board of Trustees on April 26, 2010, and was approved (DR1.30—BOT Minutes 04-26-10). In concert with reinforcing the planning integration role of BAPR, it was agreed that annual updates to the *RSCCD Strategic Technology Plan* will be developed and presented to BAPR prior to the approval of the annual budget assumptions so that any potential budgetary recommendations can be considered by BAPR and factored into the development of those budget assumptions.

- **Human Resources Staffing Plan**

  The District Human Resources Committee is scheduled to meet to review data concerning the current composition of the staff, status of vacant positions due to the hiring freeze, and plans to reorganize and consolidate functions in light of the continuing financial crisis early fall 2010 (DR1.31—Agenda District Human Resources Committee 09-22-10; DR1.8—Oversight Committee Minutes 07-28-10). This committee will then convene each semester to conduct a staffing review and provide staffing-related recommendations to BAPR prior to the development of the annual budget assumptions.

- **Facilities Plan**

  In the spring 2010, HMC Architects, Inc. was contracted to assist the colleges in updating their Facilities Master Plans. These revised plans are expected to reflect current educational master plans as well as department planning portfolios. The District Facility Planning Committee will meet fall 2010 to review these plans and also to identify other district-wide facility plans that require the attention of the BAPR Committee for inclusion in the 2011-2012 Tentative Budget (DR1.8—Oversight Committee Minutes 07-28-10).

C. Integrated College-Level Planning

At the college level, dialogue at SAC College Council May 26, 2010 addressed the issue of how district charts are integrated into existing mechanisms at the college, how the Santa Ana College Mission is inextricably connected to program review and strategic planning, and how the IE&A Committee has reviewed program review elements (DR1.32— College Council Minutes 05-26-10; DR1.33—SAC Mission; DR1.34—Santa Ana College Planning & Budget Processes Chart; DR1.35—Strategic Plan Update S10; DR1.36—Strategic Plan Update with Budget Analysis S10; DR1.37—Program Review documents; InsideSAC.net—Department Index for Program Review documents; DR1.38—IE&A End-of-Year Report S10).

Santa Ana College is dedicated to continuous improvement based on program review analysis, as is evidenced by the *Annual Department Planning Portfolio* (DPP); the Academic, Student Services, Administrative Services and President's Cabinet Portfolio Program Review Model (DR1.37—InsideSAC.net—Department Index—Program Review; PR docs). All budget decisions, not subject to emergency decision-making, must demonstrate linkages to the DPPs and program review documents, which contain Direct-SLO Assessment as well as indirect statistical analysis (DR1.37—examples SAC.edu/Accreditation/evidence.htm; internally only: InsideSAC.net—department index—program review—Statistical Reports; DR1.34—Strategic Plan Update with Budget Analysis S10; DR1.39a-m—SAC Budget Committee Minutes Spring 2010). Planning efforts and budget development are also integrated through the structure of the participatory governance model, which has the Institutional Effectiveness and Assessment (IE&A) Committee as a central participatory governance element in planning and information flow (DR1.34—Santa Ana College Planning and Budget Processes Chart; DR1.38—IE&A End-of-Year Report S10; DR1.40—Santa Ana College Participatory Governance Structure). The IE&A Committee is also responsible for Strategic Plan Updates and updating all documents in the *Educational Master Plan* (DR1.35—Strategic Plan Update S10; DR1.36— Strategic Plan Update with Budget/Facilities Analysis S10; DR1.41—Educational Master Plan and EMP Update S10).

On March 29, 2010, President Martinez held a *Budget Think Tank Meeting*, which included the President's Cabinet, the Executive Committee of the Academic Senate and CSEA classified staff leadership.* The agenda addressed phases of a plan to manage the fiscal crisis of the state and therefore the district and college. Indicators related to 2010-2011 and 2011-2012 were discussed,

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*Noteworthy is that President's Cabinet consists of the Vice Presidents, all of whom are members of the IE&A Committee. The VP of Administrative Services also co-chairs the Planning and Budget Committee as well as the Facilities Committee; the VP of Student Services co-chairs the Student Success Committee. Likewise, the Executive Committee of the Academic Senate is made up of the co-chair of the Planning and Budget Committee, the co-chair of the Facilities Committee, and the chair of the IE&A Committee/ALO. The President and Secretary/Treasurer of the Academic Senate serve on College Council. The CSEA classified leadership serves on College Council as well.

and a preliminary possible non-exclusive course of action was created (DR1.42—Budget Think Tank Agenda and Documents).

Facilities planning beyond the *Bond Measure E* planning has been vitalized at the college as a result of DPP and other analysis. The Santa Ana College Facilities Committee has engaged the architectural firm HMC Architects, which has developed The *Facilities Master Plan* Timeline: Educational Plan Analysis and Forecast; Site and Facilities Analysis; Option Development; Solution Development; and Documentation & Final Approval based on a developed set of goals (DR1.43a—HMC Timeline & Goals in IE&A Minutes 03-17-10; DR1.43b—HMC Architects Handout 04-13-10; DR1.38—IE&A End-of-Year Report S10, Appendix E). Some issues being reviewed include: vehicle flow, paths of travel, entry to the Santa Ana campus. On June 2, 2010, representatives of HMC Architects made a comprehensive presentation of the *Facilities Master Plan* to the college community outlining the details of a long-term plan (DR1.44a-g—Selected slides from HMC PowerPoint Presentation).

In addition, the president of the college is also reviewing replacement options for the Marketplace Education Center and linkage to the *Bond Measure E*. These concepts are all based on data, e.g., enrollment data, to inform facilities planning, and infrastructure analysis. The Board of Trustees approved the *SAC Facilities Master Plan* August 9, 2010 (DR1.45—BOT Minutes 08-23-10).

Another concrete example of the program review/planning/budget linkage at Santa Ana College is evidenced in the decision to apply for a federal *Title V Grant* to consolidate learning centers for the purpose of increasing student success in all disciplines. The application of this grant in June 2010 was a result of *Strategic Plan* analysis from 2008, 2009 and 2010 related to Vision Theme I: Student Achievement and analysis of the DPPs (DR1.46—SAC Vision Themes). This analysis was first conducted by the Teaching Learning Committee, then by the IE&A Committee, then by the Student Success Committee and the Facilities Committee (DR1.47—TLC Minutes S08, S09, S10; DR1.48—IE&A End-of-Year Report 2009; DR1.49—Title V Submitted Grant Proposal DR1.34— Santa Ana College Planning & Budget Processes Chart).

III. Outcomes and Communication of Budget Processes: (Standards IIA.2.f, III.D.1; III.D.2; III.D.3.a; IV.B.3 (b))

In the planning agenda of the Santa Ana College *Institutional Self Study for Reaffirmation of Accreditation*, it is stated; "The college, through its governance committees and the academic senate will: identify and prioritize the most serious areas of concern related to the district's support to the college." In this regard, change related to budget processes has been made, and the district has been responsive to college concern. This is demonstrated by the following:

- The planning segment of BAPR has been reinforced. There is a regular accreditation report; the agenda is expanded to include planning reports (DR1. 25a-m—BAPR Minutes S10).

- BAPR receives documents and reports from the other participatory governance committees of the district prior to District Council approval, creating a closer integration of all planning elements and more information dissemination among the constituency groups of the colleges and district (District Strategic Technology Plan was approved—DR1.25g & h— BAPR Minutes 04-14-10).

- Receipt of changes to plans by BAPR aligns better with Tentative Budget creation.

- District participatory governance charts and documents have been updated and created; they have been more closely integrated with college documents (charts, particularly timelines integration chart) (DR1.20a—District and College Participatory Governance Planning & Budget Processes Chart; DR1.21a—RSCCD Planning and Budget Integration Processes Chart).

- The BAPR Workgroup has been reviewing the Budget Allocation Model and has plans to do so regularly (DR1.24a-h— BAPR Workgroup Notes S10).

- The colleges' budget and planning groups have sent recommendations to the BAPR Workgroup (DR1. 50—SAC Budget Committee Recommendations).

Tangible budget/planning alignment has been evidenced by the following:

- Five million dollars in expenditure reductions have been made to balance the Tentative Budget 2010-2011 (DR1.51).

- Evidenced by the Budget Assumptions recommended by BAPR, a 3% deficit to general apportionment (approximately $4.5) has been calculated (DR1.52—RSCCD Budget Assumptions for Tentative Budget 2010-2011).

- Complete revenue analysis has been conducted related to negative COLA; no enrollment growth funding; deficit to general apportionment; additional workload measures reduction of 2%. Then total is approximately $3 million.

- A 5% reserve has been included within the budget to offset future funding deficits from the state; this has been carried over into the 2010-2011 budget.

- Expenditures related to salaries and increased cost of benefits have been carefully calculated.

- There is a continuing hiring freeze and employee step and columns freeze.

- Items have been moved from discretionary to fixed costs, e.g., Blackboard

- The Technology Advisory Group (TAG) reports to BAPR and is charged with a continual replacement plan for technology.

- The statewide Workload Reduction figures have been mirrored by the RSCCD in the credit and non-credit programs. (Most reductions occurred in non-credit.)

- Within the 2009-2010 budget, funds were reallocated so there would be appropriate funding for Adjunct faculty. (This is a result of Workload Reduction.)

- A decision was made to reduce the Older Adult program in the School of Continuing Education (SAC) and the School of Continuing Education (SCC).

- Credit and Non-Credit Matriculation funds were moved to DSPS for SAC to offset statewide cuts which could have compromised federal regulations.

(DR1.26h—Budget Report to BOT 06-21-10; DR1.51—RSCCD Tentative Budget 2010-2011)

In addition, one-time revenue adjustments have increased the ending balance (e.g., $4.5 million budgeted mid-year apportionment reduction—3% budget assumption reduction); however, it is clear this is one-time funding. With this tentative budget, RSCCD is in a good position to adjust to any additional state revenue reductions without further cuts. Absent massive funding reductions from the state, RSCCD most likely will not need any further reductions in force (except for possibly categorical and stand-alone programs). This is the result of early planning and foresight (DR1.26h—Budget Report to BOT 06-21-10; DR1.51—RSCCD Tentative Budget 2010-2011).

All planning/budget information has been communicated to the Board of Trustees at board meetings by the chancellor. The Vice Chancellor of Business Operations & Fiscal Services, who also serves as co-chair of BAPR, has also communicated to the Board of Trustees through a regular budget update (DR1.26a–h) The updates included: the adjusted cycle of budget and planning; the proposed state budget updates, including enrollment growth, COLA information, categorical funding cuts, suspension of grants such as Competitive CalGrant, state apportionment deficit, the Legislative Analyst's Report, Tentative Budget Assumptions and the *May Revise*. BAPR recommendations for Tentative Budget Assumptions included a $4.1 million necessary reduction district-wide. The Tentative Budget Assumptions were approved by the chancellor and then approved by the Board of Trustees on April 12, 2010; the Tentative Budget was approved by the Board of Trustees on June 21, 2010 as a placeholder budget in order to continue meeting district obligations as of July 1, 2010 (DR1.27—BOT Minutes 04-12-10; DR1.9—BOT Minutes 06-21-10). The RSCCD Adopted Budget will be approved on October 11, 2010 since a state budget has not been approved. (DR1.26d—March 22, 2010— 2009-2010 & 2010-2011 Budget Update to Board of Trustees).

Moreover, this cyclical process suggests that at the conclusion of the fiscal year, the budget will be evaluated based upon the budget assumptions and the following organizational outcomes:

- Generation of anticipated FTES
- Satisfaction of all collectively bargained commitments
- Maintenance of the 5% unrestricted reserve
- Progress toward the Board's Vision and Goals

There is evidence that internal college planning/budget processes function effectively at both colleges; nevertheless, the integration of the needs of all the entities of a multi-college district poses challenges. To that end, the continuum of participatory governance structures has been reviewed and enhanced (DR1.20a—District and College Participatory Governance Planning and Budget Processes Chart). To insure that the needs of all entities are understood and duly considered within the context of the whole, analysis of the *Budget Allocation Model* is ongoing so that there is transparency and the needs of each entity does not compete with the Vision and Goals of the Board of Trustees for the whole district. Although this work is not complete, the colleges are satisfied with the progress that has been achieved in opening the decision-making processes to greater transparency and clarity. There is a commitment to continue this work, which will provide needed flexibility to the colleges and insure the Vision and Goals of the Board are met.

IV. College-Wide Communication: (Standards II.A.2.f; III.D.2)

On May 12, 2010, the IE&A Coordinator/Accreditation Chair/ALO made a report to College Council to discuss status of the Oversight Committee work and the *Follow-Up Report*; the Annual *ACCJC Financial Report* as well as the *ACCJC Annual Report*; the May 27, 2010 college-wide forum; and plans for the *Midterm Report* to be submitted fall 2011 (DR1.53—College Council Minutes—05-12-10).

May 13, 2010, a district-wide survey was disseminated in preparation for the chancellor to conduct a college-wide forum held May 27, 2010 (DR1.54—email). (Like forums were held at Santiago Canyon College and the District Office on May 20, 2010.) Issues discussed were: budget, *Bond Measure E* (i.e., two-college facilities bond), and human resources. On May 26, 2010 the IE&A Coordinator/Accreditation Chair/ALO was again invited to attend College Council to discuss district documents for the *Follow-Up Report* and to receive feedback regarding the SAC *Follow-Up Report* draft (DR1.32—College Council

Minutes 5/26/10). On May 27, 2010, the college president disseminated the *Follow-Up Report* to the chancellor, district leadership, and the SAC campus leadership at a forum held at SAC by the chancellor.

On August 16 and August 31, 2010 the Oversight Committee conducted a review of the *Follow-Up Reports* of Santa Ana College and Santiago Canyon College (DR1.55a—Oversight Committee Minutes 08-16-10; DR1.55b—Oversight Committe Minutes 08-31-10). After the colleges vetted the reports through their respective participatory governance structures, the Oversight Committee approved the *Follow-Up Reports* of Santa Ana College and Santiago Canyon College on August 31, 2010 (DR1.55b—Oversight Committee Minutes 08-31-10; DR1.56—College Council Minutes 09-08-10). The status of the reports was shared at BAPR and sent to the chancellor for approval (DR1.25m—BAPR Minutes 08-25-10; DR1.57a—BAPR Minutes 09-15-10; DR1.57b.1—RSCCD 2010-2011 Adopted Budget Assumptions; DR1.57b.2—RSCCD Adopted Budget WS 2010-2011; DR1.57b.3—RSCCD Adopted Budget Handout). On September 13, 2010 the Board of Trustees received the *Follow-Up Reports* of Santa Ana College and Santiago Canyon College for a first reading. The reports were approved on September 27, 2010 (DR1.58a—BOT Minutes— 09-13-10; DR1.58b—BOT Summary Minutes 09-27-10). After approval, a copy was placed in the Nealley Library for the entire college community and the community at large.

EVIDENCE—DISTRICT RECOMMENDATION 1

Number	Name
DR1.1a	Follow-Up Report Timelines (Appendix B Oversight Committee Minutes 02-18-10)
DR1.1b	Oversight Committee Minutes 02-18-10
DR1.2	Oversight Committee Minutes 03-15-10
DR1.3	Oversight Committee Minutes 03-30-10
DR1.4	Oversight Committee Minutes 04-23-10
DR1.5	Oversight Committee Minutes 05-12-10
DR1.6	Oversight Committee Minutes 05-26-10
DR1.7	Oversight Committee Minutes 06-28-10
DR1.8	Oversight Committee Minutes 07-28-10
DR1.9	Board of Trustees Minutes 06-21-10
DR1.10	College Council Minutes 02-24-10
DR1.11	BAPR Minutes 02-24-10
DR1.12a	Board of Trustees Minutes 02-01-10
DR1.12b	Planning Presentation BOT 02-01-10
DR1.13	Board of Trustees Vision and Goals 2010-2011
DR1.14	12 Measures of Success
DR1.15a,b	RSCCD Budget Allocation Model
DR1.16	Budget Timelines
DR1.17a	Board of Trustees Minutes 07-26-10
DR1.17b	Board of Trustees Annual Self-Evaluation Timeline for 2010
DR1.17c	District Planning Timelines 2010-2012

DR1.18   Board Policies: BP 9022 & BP 9022.5

DR1.19   RSCCD Strategic Technology Plan 2010-2011

DR1.20a   District and College Participatory Governance Planning and Budget Processes Chart

DR1.20b   District and College Participatory Governance Chart

DR1.21a   District Planning and Budget Integration Timelines Chart

DR1.21b   2010-2011 Santa Ana College Participatory Governance Schedule

DR1.22   District and College Participatory Governance Guidelines

DR1.23   District Council Minutes 04-26-10

DR1.24a-i   BAPR Workgroup Notes Spring 2010 and Summer 2010

DR1.25a-m   BAPR Minutes Spring 2010 and Summer 2010

DR1.26a-h   Budget Reports to BOT Spring 2010 and Summer 2010

DR1.27   Board of Trustees Minutes 04-12-10

DR1.28   BAPR Minutes 04-14-10

DR1.29   District Council Minutes 04-12-10

DR1.30   Board of Trustees Minutes 04-26-10

DR1.31   Agenda District Human Resources Committee 09-22-10

DR1.32   Minutes College Council 05-26-10

DR1.33   Santa Ana College Mission

DR1.34   Santa Ana College Planning & Budget Processes Chart

DR1.35   Strategic Plan Update S10

DR1.36   Strategic Plan Update with Budget/Facilities Analysis S10

DR1.37a-g*   Examples of Program Review Documents: PA/PR 19QT Music; PA/PR 19QT Center for
                Teacher Education; PA/PR 19QT Dance; PA/PR 19QT Nursing; PA/PR 19QT Human
                Development; Direct-SLO Assessment Form C Example—Anthropology/Sociology/Women's
                Studies,; School of Continuing Education ESL PA/PR 19QT—SAC.edu/Accreditation/
                evidence.htm

DR1.38   IE&A End-of Year Report S10

DR1.39a-m   SAC Budget Committee Minutes and Documents Spring 2010

DR1.40   Santa Ana College Participatory Governance Structure

DR1.41**   Educational Master Plan and EMP Update S10

DR1.42   Budget Think Tank Agenda and Documents

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 *Five examples of quadrennial capstone program review (PA/PR 19QT) are provided on the electronic evidence list. They may
  also be accessed at SAC.edu/Accreditation/evidence. All department DPPs, Program Review Documents, including Statistical
  Reports and semesterly Direct-SLO Assessment documents are available electronically on InsideSAC.net—Department Index/
  Program Review; however, this is an internal site.

** The SAC *Educational Master Plan 2007* is an aggregate document which contains multiple documents, and therefore, cannot be
  linked with the electronic version of evidentiary documents. It is updated annually. The original 2007 EMP and the EMP Spring
  2010 Update are provided on the USB flash drive.

DR1.43a	HMC Architects: SAC Facilities Master Plan Timeline & Goals: In IE&A Minutes 03-17-10
DR1.43b	HMC Architects Handout 04-13-10
DR1.44a-g	Selected Slides from HMC PowerPoint Presentation 06-02-10
DR1.45	Board of Trustees Minutes 08-23-10
DR1.46	SAC Vision Themes
DR1.47a-i	TLC Minutes S08, S09, S10
DR1.48	IE&A End-of-Year Report 2009
DR1.49	Title V Grant Submitted Proposal
DR1.50	SAC Budget Committee Recommendations
DR1.51	RSCCD Tentative Budget 2010-2011
DR1.52	RSCCD Budget Assumptions for Tentative Budget 2010-2011
DR1.53	College Council Minutes 05-12-10
DR1.54	Email Announcing Forum 05-27-10
DR1.55a	Oversight Committee Minutes 08-16-10
DR1.55b	Oversight Committee Minutes 08-31-10
DR1.56	College Council Minutes 09-08-10
DR1.57a	BAPR Minutes 09-15-10
DR1.57b.1	RSCCD 2010-2011 Adopted Budget Assumptions
DR1.57b.2	RSCCD Adopted Budget WS 2010-2011
DR1.57b.3	RSCCD Adopted Budget Handout
DR1.58a	Board of Trustees Minutes 09-13-10
DR1.58b	Board of Trustees Summary 09-27-10

Note: External USB flash drives with all evidentiary documents have been provided for each hard copy of this *Follow-Up Report,* or documents may be accessed directly at SAC.edu/Accreditation/evidence.htm. In the electronic version of the *Follow-Up Report*, documents are *hot linked.*

Santa Ana College

Follow-Up
REPORT

October 15
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SANTA ANA COLLEGE

1530 W. 17th Street • Santa Ana, CA 92706