Laney College

Follow-up Report

Submitted by

LANEY COLLEGE

900 FALLON STREET • OAKLAND, CA 94607

Submitted to

**ACCREDITING COMMISSION FOR COMMUNITY
AND JUNIOR COLLEGES, WESTERN ASSOCIATION
OF SCHOOLS AND COLLEGES**

Date submitted

October 1, 2016

Laney College

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Submitted by:

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900 Fallon Street
Oakland, California 94607

Submitted to:

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

October 1, 2016

CERTIFICATION OF LANEY COLLEGE FOLLOW-UP REPORT OCTOBER 1, 2016

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

FROM: Laney College
            900 Fallon Street
            Oakland, CA 94607

This Follow-up Report is submitted for the purpose of assisting in the determination of the accreditation status of Laney College.

We certify that there was participation by the college community and the Follow-up Report reflects accurately the progress to date in meeting recommendations as required by the Accrediting Commission for Community and Junior Colleges (ACCJC).

Signed:

_____   President, Governing Board
Dr. William Riley   Peralta Community College District

_____   Chancellor
Jowel C. Laguerre, Ph.D.   Peralta Community College District

_____   President (Interim)
Patricia Stanley, Ed.D.   Laney College

_____   Accreditation Liaison Officer (Interim)
Zhanjing Yu, Ph. D., PE   Vice President of Instruction
                           Laney College

_____   Faculty Senate President
Donald S. Moore, Ph. D.   Laney College

_____   Administrative Accreditation Lead
C. Denise Richardson   Laney College

_____   Faculty Accreditation Lead
Rebecca Bailey   Laney College

_____   Classified Senate President
Brandi Howard   Laney College

_____   Associated Students of Laney College President
Nora Claypool   Laney College

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I.   STATEMENT OF REPORT PREPARATION (SRP)

Laney College submits this Accreditation Follow-up Report (AFUR) in response to recommendations made by Accreditation Commission for Community and Junior Colleges (ACCJC) of the Western Association of Schools and Colleges (WASC) in a letter dated June 29, 2015.

Laney College submitted its comprehensive Self-Study Report to the Accrediting Commission for Community and Junior Colleges on December 10, 2014. After the peer evaluation process organized by the ACCJC, the Commission presented its findings in a letter dated June 29, 2015 and issued a "Warning Status" for the College's Accreditation.   It found the College out of compliance for Eligibility Requirement 10 (Student Learning and Achievement), and in other areas of the Accreditation Standards as specified in the letter.   The Commission made two Recommendations specific to Laney College in the areas of; 1) Integrated Planning and Evaluation and, 2) Program Learning Outcomes and Assessment. Eight Recommendations were made specific to Peralta Community College District. The College was directed to submit a Follow-Up Report by October 1, 2016 to demonstrate the progress made addressing the Recommendations.

The College took prompt action to remedy the deficiencies identified.   The President, the Executive Council and the Academic Senate President scheduled a series of College-wide workshops to address decision-making, budgeting and evaluation processes [SRP 1]. In these workshops, College constituents engaged in collaborative dialogue that improved documentation practices and the integration of College planning processes. The Academic Senate discussed the Accreditation status and ACCJC Recommendations, particularly Recommendation 2 in their retreat and strategized on how to complete the PLO (Program Learning Outcome) and SLO (Student Learning Outcome) assessment [SRP 2]. Additionally, the Assessment Coordinators participated in many division and department meetings to encourage and assist faculty with the PLO/SLO assessment and evaluation [SRP 3].

After taking actions to correct the deficiencies stated in the ACCJC Recommendations throughout Fall 2015 and the first few months of Spring semester 2016, the College began to draft the Follow-Up Report in April, 2016. An Accreditation Follow-Up Report Committee was formed [SRP 4] and a Faculty Lead was selected to coordinate the effort on the report preparation [SRP 5]. Several individuals including faculty, administrators and staff were involved in writing the report and many others contributed to the gathering of evidence.

The initial draft was complete by August 1, 2016. The draft was presented to and reviewed by the Academic Senate (AS), the Classified Senate (CS) and the College Council (CC). The

whole College community was provided a chance for comments and feedback from August 3rd to August 22nd [SRP 6]. After the feedback and revisions, the final report was approved by the Academic Senate on September 6[SRP 7], by the Classified Senate on August 30 [SRP 8], by the College Council on September 7 [SPR 9], and by the Governing Board on September 13, 2016 [SRP 10]. The final version of Laney's ACCJC Follow-Up Report was signed by September 20, 2016.

SRP Evidence

SRP 1: December 14, 2015 College-Wide Retreat Notes

http://www.laney.edu/wp/followupreport/files/2016/07/SRP-1-December-14-2015-College-Wide-Retreat-Notes.pdf

SRP 2: August 13, 2015Academic Senate Retreat Presentation

http://www.laney.edu/wp/followupreport/files/2016/07/SRP-2-Auguest-13-2015-Academic-Senate-Retreat-Presentation.pptx

SRP 3. Bullet Points for Division Meetings

http://www.laney.edu/wp/followupreport/files/2016/07/SRP-3-Bullet-Points-for-Division-Meetings.pdf

SRP 4: April 14, 2016 Follow-Up Report Committee Meeting Minutes

http://www.laney.edu/wp/followupreport/files/2016/07/SRP-4-April-14-2016-Follow-Up-Report-Committee-Meeting-Minutes.pdf

SRP 5: Faculty Accreditation Lead Job Description

http://www.laney.edu/wp/followupreport/files/2016/07/SRP-5-Faculty-Accreditation-Lead-Job-Description.pdf

SRP 6: Email to the Campus for Feedback

http://www.laney.edu/wp/followupreport/files/2016/07/SRP-6-Email-to-the-Campus-Community-for-Feedback.pdf

SRP 7: Academic Senate Minutes

http://www.laney.edu/wp/followupreport/files/2016/07/SRP-7-ACDEMIC-SENATE-agenda-9.6.16.docx

SRP 8: Classified Senate Minutes

http://www.laney.edu/wp/followupreport/files/2016/07/SRP-8-Classified-Senate-Meeting-Minutes-8-30-2016.pdf

SRP 9: College Council Minutes

http://www.laney.edu/wp/followupreport/files/2016/07/SRP-9-Special-College-Council-Meeting-Minutes-9_7_16.pdf

SRP 10: Governing Board Minutes.

http://web.peralta.edu/trustees/meetings-votelog/

II. RESPONSES TO COMMISSION RECOMMENDATIONS STATED IN JUNE 29, 2015 ACCJC LETTER

A. College Recommendation 1: Integrated Planning and Evaluation

The Recommendation:

In order to meet the 2012 Standards, the College should clearly define, document, communicate, and evaluate the structures, roles, responsibilities, and processes used to integrate human, facilities, and fiscal planning in support of student learning and achievement (I.B.6, I.B.7, II.B.3.a, II.B.4, III.B.2.b, III.D.4, IV.A.5).

Response:

To constructively address College Recommendation I, the College has engaged in the activities and improvement efforts below:

1. Updated College Organizational Chart and Decision Making Structure

Between 2009 and 2010 the College was undergoing severe budget cuts that led to administrative downsizing. Concurrently there was an effort to reduce administrative silos, so in the Fall of 2011 a consolidated administrative model was implemented with the intent of broadening the capacity of all administrators to provide instructional and student services support to students [CR 1.1]. The Vice President supervised both Instruction and Student Services, and all deans were identified as Deans of Academic and Student Affairs, with divisions that included both instruction and student services programs. For example, the dean overseeing the Math and Sciences Division also had responsibilities in student service areas, such as the tutoring centers and the instructional technology labs. By the spring of 2013 it was determined that the combined responsibilities for student services and instruction were too great for one Vice President and the College returned to having both a Vice President of Instruction and a Vice President of Student Services. During the Spring of 2016 new senior leadership at the District and the College requested an evaluation of the still consolidated division model. The President initiated a series of discussions among the deans and Vice Presidents to address the distribution of responsibilities of the deans, and the corresponding levels of efficiency or inefficiency. It was noted that most California community colleges maintain the separate instruction and student services administrative model. The College administrators shared experiences of success and challenge with the consolidated model. A reoccurring observation was that students and other members of the campus community were often confused about where to go for assistance and services since our divisions were non-traditional in composition. Eventually, it was agreed that separating instruction and student

services would facilitate a higher degree of specialization in those areas and enable students, faculty and staff, to more intuitively and efficiently navigate the College administrative structure [CR 1.2]. This decision then informed title and reporting structure changes. Deans' titles now more accurately reflect their largely instructional or student services divisions. Updating the College organizational chart was key to improving the documentation of the College structures, roles and responsibilities and decision-making. This revised organizational structure will create greater clarity and transparency for students and all members of the College community since the divisions are more traditionally aligned [CR 1.3].

The Executive Team also re-evaluated the decision-making processes of the College to better integrate human, facilities, and fiscal planning in support of student learning and achievement. The revised model extends the planning period. Previously the budget was created in April based on prior fiscal year annual goals and district mandates for budget levels. Thus, less informed planning went in to the requests. This resulted in a combination of budget shortages in some areas and non-carry over residual budgets in others. The new two-year strategic plan, which was discussed in several Administrative Leadership Committee meetings, reverses this order so that strategic planning drives the budget requests and more thoughtful collaboration can take place prior to creating the College's annual budget [CR 1.4A-E].

Both the revised organizational structure and decision-making processes were reviewed and approved by the College Council [CR 1.3] [CR 1.5] [CR 1.6]. They are also included in the updated Participatory Governance and Organization Manual [CR 1.7].

2. Integrated Planning Activities

College-wide workshops were conducted specific to the topics below to gather stake-holder feedback that would help inform revisions to decision making processes, and the development of critical College Documents:
Integrated Planning Retreat Agenda/Materials [CR 1.8, CR 1.10]
- i. Educational Master Plan
- ii. Program Review and Validation Update
- Integrated Budget Process Retreat Agenda/Materials [CR 1.9A-C]
- iii. 2-Year Budget Planning Cycle
- iv. College Calendar
- Decision-Making and Evaluation Retreat Materials [CR 1.5]
- v. Revised Decision-Making Structure
- Strategic Planning Retreat Agenda/Materials [CR 1.32A-I]
- vi. College Goals

a. One particularly successful example of College collaboration and strategic

planning was the enhancement of the Program Review administrative validation process. For the past several Program Review cycles, faculty expressed concern that their efforts to provide meaningful assessments of their progress and resource needs were not productive. Further, they noted a lack of substantive evidence that the Program Reviews had been carefully considered and or that corrective action had been taken. In response to this pervasive sentiment, the Institutional Effectiveness Committee met with other campus leaders in October 2015 to design a system with greater accountability. Notable participants included the Faculty Senate President and Vice President, the Vice President of Instruction, the Curriculum Committee Chairs and the Assessment Coordinators. As a result of broad discussion there is now a formalized a system to ensure that the resource requests specific to facilities, staffing, instructional equipment and technology are disseminated to the designated campus committees in a more timely and routinized manner. The Program Review resource request forms for technology, facilities, faculty and classified staff, and equipment were revised to include more space for detailed justifications. The corresponding committees then create rubrics that align with those forms so the prioritization process is more objective, thoughtful and equitable. This enhanced system more efficiently identifies integrated College priorities that then inform budget requests and allocation. Further, there is a more robust administrative validation process, namely: Administrators must provide comments regarding the progress stated, confirm the resources requested and indicate whether the program review meets the College standard. The administrator must also schedule appointments to review the reports with each department chair. This new method profoundly improves administrative familiarity with the work and resource needs of departments within their divisions. It also appreciably expands administrative capacity for advocacy. The College's refinement of the Program Review/APU Forms and Procedure in October 2015 substantively improved its processes for prioritizing resources, which has resulted in a more transparent integrated model [CR 1.11A-B] [CR 1.12].

b. Laney College's decision-making feedback loop has become more efficient and responsive because resource needs are identified more collaboratively. For example, Department Chairs have been directed by the new Program Review process to consult broadly with the faculty within their Divisions. The intent is to more accurately ascertain the comprehensive resource instructional needs of students and faculty. The customized Program Review resource request forms referenced previously assess the urgency of need and the extent of demand for resources. Summaries of these requests are then sent directly to the various

College resource committees for prioritization (Facilities, Technology, Faculty, Classified Staffing, Instructional Equipment and Library Materials (IELM). The scheduling of this process has now been formalized, resulting in more timely prioritization and allocation of the requests submitted.

c. One of the successes of this new Program Review resource prioritization system was the efficient prioritization of the 2015-2016 Program Review technology requests for smart classrooms from a large cross-section of disciplines on Campus. The Program Review technology requests were consolidated by the Technology Committee and submitted to the District Technology IT Department for consideration [CR 1.4]. The result was the District's commitment to fund 60 new smart classrooms, and to provide $300,000 for other technology needs [CR 1.13]. The College Technology Committee then formed a Task Force to prioritize those traditional classrooms that would be converted to smart classrooms [CR 1.31].

d. The Laney College Facilities prioritization report [CR 1.14] has been reviewed by the District and the College is engaged in ongoing dialogue with the District regarding planned maintenance, repairs and issues related to total cost of ownership. A culture of creating more thoroughly detailed requests for service and upgrades has emerged among many of the departments with significant facilities concerns. Subsequently, there is increased College and District knowledge of needed facilities repairs, necessary equipment replacements, and the accompanying impact on student success.

3. **Enhanced Documentation of structures, roles, responsibilities, and processes used to integrate human, facilities, and fiscal planning in support of student learning and achievement**

The College has revised several of its documents and manuals, and created additional materials to better define Laney's roles, responsibilities, structures and processes. These revised documents include:

- 2016/2017 Master Calendar for the College [CR 1.15]
- Integrated Implementation Model Draft [CR 1.9A-C]
- Laney Education Master Plan [CR 1.17]
- Laney College Fact-Book [CR 1.18]
- Faculty Handbook Draft (Fall 2016) [CR 1.19A-C]
- Participatory Governance Manual (Revised Draft - August, 2016) [CR 1.7]
- Two-year Strategic Plan (pending completion and approval) [CR 1.28]

- Revised Program Review and Validation Process and Forms [CR 1.11A-C]
- Revised Annual Program Update (APU) Process and Forms [CR 1.12]

4. **Partnership with the Institutional Effectiveness Partnership Initiative**

The College volunteered for a year-long consultation with the Institutional Effectiveness Partnership Initiative:

> *"The goal of this initiative is to help advance California Community Colleges' institutional effectiveness, and in the process significantly reduce the number of accreditation sanctions and audit issues, and most importantly, enhance the system's ability to serve students effectively. An important focus of the grant is to draw on the exceptional expertise and innovation from within the system in advancing best practices and avoiding potential pitfalls." – Institutional Effectiveness Partnership Initiative (IEPI)*

In support of our College goals related to institutional effectiveness, the College requested an evaluation from the Partnership Resource Team (PRT) of the Institutional Effectiveness Partnership Initiative (IEPI), located within the California Community Colleges' State Chancellor's Office. The IEPI provided guidance in the areas of strategic and integrated planning, research and evaluation.

The first two Partner Resource Team (PRT) scheduled visits occurred in December 2015 and April 2016. PRT interviewed numerous members of our faculty, staff, students, and administrators. The report generated by the PRT was a useful resource for the planning and evaluation processes developed by the college [CR 1.16A-B]. Out of it came Laney's College Innovation and Effectiveness Plan, which was submitted to the state as part of an application for a $150,000 grant [CR 1.20]. The grant was awarded and these funds will help support the College's implementation of the planned projects.

The Improvement Plan identified the following areas of focus that relate to Integrated Planning:

- Decision-making and implementation for Integrated Planning
- Integrating Planning and Technology support
- Research Staffing and Evaluation

The implementation of the projects began July, 2016 and will continue through the end of fiscal year 2017 [CR 1.21].

Laney College is expanding its evaluation efforts to provide more frequent assessment indicators that offer opportunities for timely enhancement and or correction. To illustrate, College Council conducted its own evaluation survey during the Spring 2016 semester [CR 1.22]. The Equity Committee conducted monthly meeting assessments and evaluated the outcomes of disproportionately impacted student populations. Those findings, as discussed in the Laney College Student Equity Plan (December 2015), were then used to plan College professional development activities intended to "shift campus ethos toward an ethic of student success for all" [CR 1.23]. Further, beginning July 1, 2016, Laney hired a half-time Dean of Research and Planning, shared with its Peralta sister-college, Berkeley City College, to better utilize data and analysis for the College's ongoing integrated planning efforts [CR 1.24].

In summary, the College refined and formalized the integrated planning procedures over the course of the 2015-16 Academic year. The preparation of the Education Master Plan is a primary example of this effort: It was initiated by the Institutional Effectiveness Committee in consultation with the California Brain Trust (CBT) and a broad representation of the College community contributed to this effort. Listening Sessions were conducted which included students, faculty and staff, all identifying their hopes, dreams and concerns for Laney College. There was also an IEPI workshop on Student Support [CR1.27]. This information was then used to frame the development of the Education Master Plan.

IEPI/Laney Integrated Planning and Evaluation Initiatives:

- The CBT designed and implemented a College-wide survey and hosted a day-long workshop with representative members of the College; Student Senate, Faculty Senate, Classified Senate, administers and various other members of the campus community [CR 1.26]. During this workshop the College goals were developed utilizing our revised participatory and integrated approach [CR 1.25]. These goals now form the basis for the College Strategic Plan [CR 1.28] [CR 1.29].

- Integrated institutional planning and technology: Design, develop and implement an audit of existing College technology and planning processes. The Project is funded by the Institutional Effectiveness Partnership Initiative (IEPI) as part of the College's Innovation and Effectiveness Plan. May, 2016 – May, 2017 [CR 1.20].

This section on Recommendation #1 of the Follow-up Report substantiates the progress that the College has made integrating human, facilities, and fiscal planning in support of student learning and achievement and includes supporting evidence.

Conclusion:

Laney College has met ACCJC Standards cited in College Recommendation I and has resolved the issues in the Recommendation ((I.B.6, I.B.7, II.B.3.a, II.B.4, III.B.2.b, III.D.4, IV.A.5). As a result of this recommendation and actions taken, the human and financial resources as well as facilities are better utilized to support student learning. The Institutional Effectiveness Committee along with the new Dean of Research and Planning will work together to continue monitoring and evaluating the impact of the new integrated approach , making adjustments as needed to maintain and exceed Accreditation Standards.

Evidence:

CR 1.1:   Former Organizational Chart

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.1-Former-Organizational-Chart-2014_2015.pdf

CR 1.2:   Administrative Leadership Committee (ALC) Minutes-date

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.2-Administrative-Leadership-Committee-_ALC-Meeting-Minutes-6_15_16-Final.pdf

CR 1.3:   Revised Organizational Chart

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.3-Revised-Organizational-Chart.pdf

CR 1.4A Administrative Leadership Committee_ALC Meeting Minutes 2_17_16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.4A-Administrative-Leadership-Committee_ALC-Meeting-Minutes-2_17_16.pdf

CR 1.4B Administrative Leadership Committee_ALC Meeting Minutes 5_4_16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.4B-Administrative-Leadership-Committee_ALC-Meeting-Minutes-5_4_16.pdf

CR 1.4C Administrative Leadership Committee_ALC Meeting Minutes 5_18_16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.4C-Administrative-Leadership-Committee_ALC-Meeting-Minutes-5_18_16.pdf

CR 1.4D Administrative Leadership Committee_ALC Meeting Minutes 7_6_16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.4D-Administrative-Leadership-Committee_ALC-Meeting-Minutes-7_6_16.pdf

CR 1.4E Administrative Leadership Committee_ALC Meeting Minutes 7_20_16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.4E-Administrative-Leadership-Committee_ALC-Meeting-Minutes-7_20_16.pdf

CR 1.5:   Decision-Making Structure Chart

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.5-Decision-Making-Process-Chart.pdf

CR 1.6:   College Council Minutes 9_7_16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.6-College-Council-Minutes-9-7-16.pdf

CR 1.7 Participatory Governance Manual - August 2016 Revision Draft

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.7-Participatory-Governance-Manual-August-

2016-Revision-Draft.pdf

CR 1.8:   Integrated Planning Retreat Agenda

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.8-Integrated-Planning-Retreat-Agenda.pdf

CR 1.9 Integrated Budget Process-Budget Development Calendar

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.9-Integrated-Budget-Process-Budget-Development-Calendar.pdf

CR 1.9A: Integrated Budget Process-Resource Allocation

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.9A-Integrated-Budget-Process-Resource-Allocation.pdf

CR 1.9B: Integrated Budget Process-Retreat Flier Allocation

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.9B-Integrated-Budget-Process-Retreat-Flier-Allocation.pdf

CR 1.9C: Integrated Budget Process-Retreat Survey

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.9C-Integrated-Budget-Process-Retreat-Survey.pdf

CR 1.10 Educational Master Plan and Goals College Update 5-6-16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.10-Educationl-Master-Plan-and-Goals-College-Update-5-6-16.pdf

CR 1.32: Strategic Planning Retreat Materials Agenda

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.32-Strategic-Planning-Retreat-Materials_Agenda.pdf

CR 1.32A: Strategic Planning Retreat Materials_Laney College Strategic Goals Alignment 2016-18

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.32A-Strategic-Planning-Retreat-Materials_Laney-College-Strategic-Goals-Alignment-2016-18.pdf

CR 1.32B Strategic Planning Retreat Materials_Planning Pyramid Draft

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.32B-Strategic-Planning-Retreat-Materials_Planning-Pyramid-Draft.pdf

CR 1.32C Strategic Planning Retreat Materials_Planning Decision Making FC

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.32C-Strategic-Planning-Retreat-Materials_Planning-Decision-Making-FC.pdf

CR 1.32D Strategic Planning Retreat Materials_Goal 1 Draft

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.32D-Strategic-Planning-Retreat-Materials_Goal-1-Draft.pdf

CR 1.32E Strategic Planning Retreat Materials_Goal 2 Draft

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.32E-Strategic-Planning-Retreat-Materials_Goal-2-Draft.pdf

CR 1.32F Strategic Planning Retreat Materials_Goal 3 Draft

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.32F-Strategic-Planning-Retreat-Materials_Goal-3-Draft.pdf

CR 1.32G Strategic Planning Retreat Materials_Goal 4 Draft

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.32G-Strategic-Planning-Retreat-Materials_Goal-4-Draft.pdf

CR 1.32H Strategic Planning Retreat Materials_Goal 5 Draft

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.32H-Strategic-Planning-Retreat-Materials_Goal-5-Draft.pdf

CR 1.32I Strategic Planning Retreat Materials_Goals Draft

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.32I-Strategic-Planning-Retreat-Materials_Goals-Draft.pdf

CR 1.11A: Revised Program Review and Validation Process and Forms

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.11A-Revised-Program-Review-Handbook.pdf

CR 1.11B New Program Review and Annual Program Update Resource Request Forms

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.11B-New-Program-Review-and-Annual-Program-Update-Resource-Request-Forms.xlsx

CR 1.11C New Program Review Validation Tracker_Example

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.11C-New-Program-Review-Validation-Tracker_Example.xlsx

CR 1.12: Revised Annual Program Update (APU) Process and Forms

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.12-Revised-Annual-Program-Update_APU_Process-and-Forms.pdf

CR 1.13: Email District Smart Classroom Commitment

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.13-7_6_16-Email-_-The-Prioritized-List-of-Classrooms-Identified-for-Smart-Classroom-Upgradess.pdf

CR 1.31: Prioritized Classrooms for Smart Upgrade

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.31-List-of-Classrooms-Prioritized-for-Smart-Classroom-Upgrades.xlsx

CR 1.14: Facilities Committee Prioritization Report

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.14-Facilities-Committee-Prioritization-Report.pdf

CR 1.15 Laney College Master Calendar _Example

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.15-Laney-College-Master-Calendar-_Example.pdf

CR 1.16A IEPI Visit Schedule 12-17-15

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.16A-IEPI-Visit-Schedule-12-17-15.pdf

CR 1.16B IEPI Report 12-17-15

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.16B-IEPI-Report-12-17-15.pdf

CR 1.17:   Laney Education Master Plan

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.17-Laney-Education-Master-Plan.pdf

CR 1.18:   Laney College Fact-Book

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.18-Laney-College-Factbook.pdf

CR 1.19A: Faculty Handbook Sections I – Revised August 2016

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.19A-Faculty-Handbook-Section-I-Revised-Draft-August-2016.pdf

CR 1.19B: Faculty Handbook Sections II – Revised August 2016

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.19B-Faculty-Handbook-Section-II-Revised-Draft-August-2016.pdf

CR 1.19C: Faculty Handbook Sections III – Revised August 2016

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.19C-Faculty-Handbook-Section-III-Revised-Draft-August-2016.pdf

CR 1.29 Laney President's Announcement of the 2016-2018 Two-Year Strategic Plan

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.29-Laney-Presidents-Announcement-of-the-2016-2018-Two-Year-Strategic-Plan.pdf

CR 1.20: IEPI Grant Application

http://www.laney.edu/wp/followupreport/files/2016/07/CR.1.20-IEPI-Grant-Application.pdf

CR 1.21: Integrated Planning Timeline

http://www.laney.edu/wp/followupreport/files/2016/07/CR.1.21-Integrated-Planning-Timeline.pdf

CR 1.22: College Council Evaluation Survey - Spring 2016

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.22-College-Council-Evaluation-Survey-Spring-2016.pdf

CR 1.23: Equity Committee Meeting Assessments- Event Impact Evaluations

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.23-Equity Committee-Meeting-Assessments-Event Impact Evaluations

CR 1.24: Dean of Research and Planning Job Description

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.24-Dean-of-Research-Planning-Job-Description.pdf

CR 1.25: Strategic Planning Retreat Agenda

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.25-Strategic-Planning-Retreat-Agenda.pdf

CR 1.26: CR 1.26 IEPI Survey

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.26-IEPI-Survey.pdf

CR 1.27: IEPI Workshop Information

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.27-IEPI-Workshop-Information.pdf

CR 1.28: College Goals

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.28-College-Goals-1.pdf

CR 1.30: Consolidated Technology Request

http://www.laney.edu/wp/followupreport/files/2016/07/CR-1.30-Consolidated-Technology-Request.xlsx

B. College Recommendation 2: Program Learning Outcomes and Assessment

The Recommendation

In order to meet the Standard, the College must:
    -Identify and publish program learning outcomes
    -Ensure official SLOs align with SLOs on course syllabi

    -Regularly assess course and program student learning outcomes; publish results of
     program level assessment
    -Use assessment results to take actions that may result in improvement and evaluate the
     results of these actions
(II.A.1.a; II.A.1.c; II.A.2.a; II.A.2.b; II.A.2.e; II.A.2.f; II.A.2.i; ER 10)

Response

In response to Recommendation 2, Laney is changing the College culture around assessment from compliance to quality assurance. As a result, faculty have a better understanding of the value of assessment and are more motivated to conduct PLO/SLO assessment. At the same time, the College focused on more thorough data collection, simplification of data entry, and expansion of faculty participation in assessing and collaboratively discussing SLOs.

Specifically, the College has accomplished the following:

1. **Identify and publish Program Learning Outcomes**

    By the end of Spring 2015, program outcomes were identified for all Laney College programs. Departments wrote their PLOs, with assistance from the Assessment Coordinators, as needed, and submitted them to the Assessment Coordinators for approval [CR 2.1]. Program outcomes are posted on the Learning Assessment Webpage [CR 2.2], and in CurricUNET Meta [CR 2.3], as well as published in the Laney College Catalog [CR 2.4].

2. **Ensure official SLOs align with SLOs on course syllabi**

    In Fall 2016, the College implemented a new process to ensure official SLOs are on course syllabi. The new accountability process was developed collaboratively by the Assessment Coordinators and the Dean serving on the Learning Assessment Committee, and refined in a Summer 2016 pilot project, which analyzed Spring 2016 syllabi. As a result, the Deans' Offices are responsible for ensuring that the SLOs on syllabi are the official SLOs in CurricUNET Meta, our curriculum inventory system. Previously, SLOs were housed in two different places due to the transition to CurricUNET, and some faculty were unclear about where to find "official" SLOs. CurricUNET Meta allows our SLOs to be housed within the same system Laney uses to approve them. Furthermore, in Meta, the Assessment Coordinators are able to now generate a list of official SLOs for all active courses [CR 2.5]. This list of SLOs was shared with faculty via email on June 15th, 2016 [CR 2.6], to enable faculty to include them in their Fall 2016 syllabi. In July 2016, the Deans' assistants compared a selection of Spring 2016 syllabi to the official SLO list, and 46% of the courses

had the approved SLOs in the syllabi [CR 2.7]. With continued use of this accountability process, including regular update and distribution of the list of official SLOs, the College anticipates 100% accuracy by Spring 2017.

3. **Regularly assess course and program student learning outcomes; publish results of program level assessment**

Laney recognizes that regular assessment of course and program outcomes are closely connected, and the actions the College has taken address both. In the past, not all faculty understood the value of assessing courses and programs and as a consequence, many courses and Programs did not have defined outcomes, or were not following through on assessing them. The Assessment Coordinators noted that, although they and the Learning Assessment Committee were encouraging work within a model of continuous improvement and quality assurance with formal data collection, many faculty were experiencing assessment as compliance and were therefore resistant to it. In other cases, faculty relied on informal assessment, which could not be tracked. In order to shift Laney's culture to focus on formal outcomes assessment and to improve compliance with ACCJC assessment Standards, the College needed to return to the fundamentals of the value of assessment, and to improve its communication with respect to assessment, as well as assessment evaluation processes, from the ground up. To this end, the College has taken the following actions to accomplish authentic assessment:

a. Assessment Coordinators guided the College in creating a culture of curriculum improvement through assessment, which centers on student success as shown in Figure 1 [CR 2.9]. Specifically, these Coordinators:
   1) Worked with the President, Vice President of Instruction, and Curriculum Committee Chair [CR 2.10, 2.11], in August 2015 to create a visual demonstrating how assessment links to curriculum. This visual was-presented at College fall professional days, Faculty Senate Retreats, and meetings with departments [CR 2.12, 2.13, 2.14, 2.15]
   2) Worked with the Curriculum Committee to make the Assessment Coordinator position a voting member of the Curriculum Committee in August 2015 [CR 2.16], thereby increasing and clarifying the connection between assessment and curriculum work
   3) Established consistent policy for approval of SLOs and PLOs, including requiring that all faculty map SLOs to PLOs and/or ILOs in order to offer new/updated courses and programs, in Fall 2015 [CR 2.17]
   4) Worked with the Curriculum Committee to increase faculty participation in updating outcomes by simplifying the process of revising SLOs and PLOs in the Course Outline of Record, in Spring 2016 [CR 2.18, 2.19]

5) Merged curriculum and assessment help sessions (CurricuCamps) beginning Fall 2015 [CR 2.20]
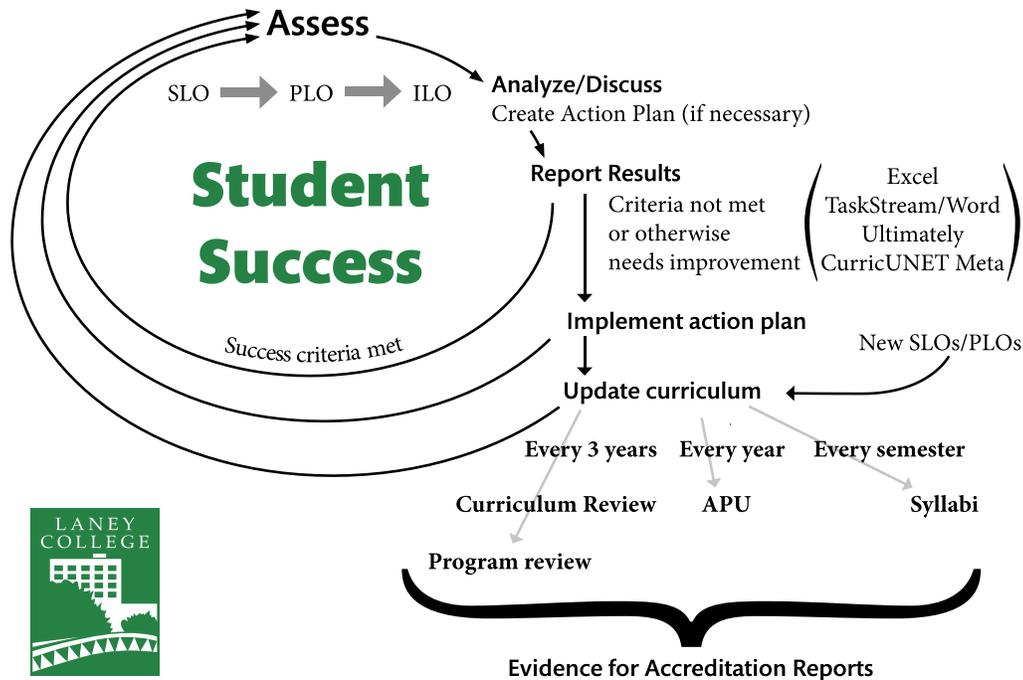
Continuous Cycle of Assessment and Reporting

Figure 1. Continuous Cycle of Assessment, Reporting and Improvement

b. The Learning Assessment Committee established a clear charge, and expanded membership to include more members from across the College, including Student Services, in Fall 2015 [CR 2.21, 2.22, 2.23]

c. Assessment Coordinators met with departments to review their specific needs in regard to assessment, and support them as needed, throughout 2015/16. Their work included:
   1) The explanation (training) of the what's/why's, and how to be successful with assessment [CR 2.15]
   2) Assistance in the development/modification of SLOs and PLOs, and update of Course Outlines of Record [CR 2.17, 2.20]

d. Assessment Coordinators provided a temporary alternative for entering assessment cycle data beginning Fall 2015. A simple spreadsheet (the Laney Assessment Spreadsheet) was added for those that were not comfortable working in the historical data entry system for assessment (Taskstream) [CR 2.24]. The addition of this option resulted in eleven departments entering more assessment data in the Laney Assessment Spreadsheet than they did the previous year in Taskstream (Anthropology, Athletics, Biology, Chinese, Computer Information Systems, Geography, Graphic Arts, Journalism, Kinesiology, Photography, Sports Fitness) [CR 2.25]

e. The Learning Assessment Committee secured stipend funds from the College, and facilitated the payment of $15,060 to part-time instructors for the assessment of 140+ classes (Fall 2015 and Spring 2016) [CR 2.26]

f. The Learning Assessment Committee sponsored a week-long, paid ILO Summer Writing Institute in June 2015, in which 24 faculty learned new techniques for teaching reading and writing across the curriculum, to improve learning outcomes of underserved students [CR 2.27]

g. The Learning Assessment Committee piloted, created and defined what is called the Institutional Learning Outcome (ILO) Project in 2015-16. The Project includes:

   1) The development of a 3-year ILO assessment plan [CR 2.28], implementation beginning this year

   2) Shared processes and results of Pilot project – faculty from five departments assessed ILO #2 (Critical Thinking) and presented their work on professional days in spring 2016 [CR 2.29]

   3) Secured portion of Innovation and Effectiveness Grant to support ILO coordinator position, whose duties will include the development of a critical thinking assessment handbook to serve faculty across all disciplines in assessment of critical thinking SLOs/PLOs/ILOs, to be completed by the end of Spring 2017 [CR 2.30, 2.31]

h. The Learning Assessment Committee created and defined an Online Assessment Training Project in Spring 2016, led by designated LAC member [CR 2.30, 2.31]

   1) Secured a portion of Innovation and Effectiveness Grant to support development and maintenance of the online course for faculty to participate in a self-paced study of various aspects of assessment

   2) Began development of the online course modules in Spring/Summer 2016, for vetting through Learning Assessment Committee in Fall 2016, with expected launch date in Spring 2017

i. The Curriculum Committee Chairs and Assessment Coordinators worked with Professional Development Coordinator to improve Professional Days coverage of curriculum and assessment, to include:

   1) Increased time spent and/or created more visible time slots for assessment, including three different activities over all three professional days for Fall 2016 [CR 2.32]

   2) Worked closely with Curriculum Committee co-chairs to combine curriculum and assessment information and activities, such as training/help sessions, and clarifying the interdependence of Academic Senate 10+1 issues as they relate to assessment [CR 2.33, 2.34, 2.32]

j. The Assessment Coordinators identified 50 programs ready to assess PLOs in Spring 2016, based on completed assessments of core courses [CR 2.35], and supported department leads in completing program assessment [CR 2.20]

k. Departments moved forward with course (SLO) and program (PLO) assessment
1) Assessed 365 SLOs in 2015/16, improving upon the previous years (183 in 2012/13, 237 in 2013/14, 282 in 2014/15) [CR 2.25]
2) Assessed 480 courses over the last three years, out of 837 courses offered [CR 2.25, CR 2.36]
3) Assessed seven programs in 2015/16 [CR 2.2]
l. Assessment Coordinators assisted in Program Review process in Fall 2015. Specifically, they:
1) Helped departments evaluate their progress with assessment, and complete the assessment section of the Program Review [CR 2.20, 2.37]
2) Validated assessment sections of all academic and CTE departmental Program Reviews [CR 2.38]
3) Created and maintained validation tracker spreadsheet, clarifying each department's status with regard to assessment, and identifying departments in need of planning [CR 2.39]
4) Requested 3-year assessment plans for departments in need of planning [CR 2.40]

Program Review 2015, Assessment Overview [CR 2.39]

- 9 out of 36 units were designated as "meets College goals" for assessment [CR 2.41]
- 27 out of 36 units were designated as "in progress" for assessment
- 24 of the 27 "in progress" units were designated as "needs planning"
- 7 of the 24 "needs planning" units turned in a plan in Spring 2016 (Art, Cosmetology, Geography, Graphic Arts, Journalism, Machine Technology, Photography) [CR 2.40]

Assessment Challenges

In the past several years, Laney experienced challenges to achievement of ongoing assessment, and recording assessment data. High turnover in College leadership, as well as an inefficient division structure, created a lack of a common approach to, and prioritization of, assessment work. While the Assessment Coordinators and the Learning Assessment Committee have consistently advocated for a quality assurance model, the lack of stable administrative leadership and lack of common structures and systems for assessment led to inconsistent support for faculty in accomplishing their assessment goals. Furthermore, the work of the Assessment Coordinators and Learning Assessment Committee was disconnected from the work of the Curriculum Committee. This disconnect resulted in many faculty experiencing assessment work as part of a compliance model, which discouraged enthusiasm for assessment.

In addition, the historical data entry system for assessment (Taskstream), was separate from the system that houses Laney's curriculum information (CurricUNET), compounding the dissociation of curriculum and assessment. Finally, many faculty found Taskstream difficult to use, contributing to resistance to assessment work; the use of two isolated systems for assessment and curriculum created confusion among faculty as to the process for updating SLOs, and where to find the official SLOs for a course. In short, having to assess SLOs and PLOs often seemed a burden to the faculty, and the value of assessment was buried in the difficulty of the task.

Actionable Improvement Plan Update

In an effort to ease the burden of assessment, the District purchased software that allows us to unite the inherently connected processes of assessment and curriculum improvement, in order to address one element of Laney's Actionable Improvement Plan, as stated in the 2015 Institutional Self-Evaluation (II.A.1.c, p. 75). The main portion of CurricUNET Meta went live in December, 2015. Meta, with the associated modules for assessment and program review, offers a single system for curriculum inventory, program review, and the management of assessment data. The Assessment Module is currently being built, with Laney's Assessment Coordinators leading the District effort under the Interim Vice Chancellor of Academic Affairs [CR 2.42]. In May and June of 2016, the Assessment Coordinators helped form the District core work group, which includes faculty, staff and administrators from all of the Peralta Colleges, to build the improved assessment data management system [CR 2.43, 2.44]. In Summer 2016, the District core work group tested the base module, developed a master list of needs and issues, and began design of the main data entry fields [CR 2.45, 2.46]. Fall 2016 work includes further refinement of data entry fields, and vetting of the new system broadly at the College. We anticipate Spring 2017 will bring a beta launch of the system, with testing and training throughout the semester, and a projected full implementation date by August 2017.

Because the new system is a module within our current curriculum management system, it forms a clear connection between curriculum and assessment, as well as to serves to simplify the task of data management. The completed system will allow Laney to streamline College and District processes, efficiently keep track of changes between cycles, and provide the easiest possible access of information to faculty and administrators. Meanwhile, the College is maintaining and expanding the processes that have worked well historically for those departments designated as "meets college goals" in the 2015 Program Review. This new system includes collaborative assessment by faculty, use of sound assessment tools, and reflection on and discussion of results.

Assessment Goals and Action Plan Summary

Overall, Laney recognized the need for a new approach to assessment at the College, one that clearly links assessment to curriculum in both process and the everyday experience of instructors. As noted above, Laney has taken action to enhance understanding of the purpose of assessment, engage more faculty in the process, expand faculty interactions in assessment activities, and provide an easy method of data entry. As of Summer 2016, we have a new division structure [CR 2.47] that organizes departments under Deans focused on either academics or student services. We anticipate this focus will help lead to more coordinated support of assessment activities. The College assessment goals are to:

- Assess at least 50 programs, out of 90 [CR 2.48], by the end of Fall 2016
- Create and implement detailed assessment plans for all departments designated as "needs planning" in Program Review 2015, as part of 2016 Annual Program Updates
- Prioritize assessment of core courses for programs and courses which have not been assessed in the last three years, resulting in 100% of programs being assessed by June 2017, and 100% of courses offered in 16/17 having at least one SLO assessed by Spring 2017
- Assess 100% of courses (all SLOs) within a 3-year cycle, by June, 2018

In support of these goals, the College action plan is to establish coordinated quality assurance practices in assessment across divisions, with Deans working closely with Assessment Coordinators to [CR 2.49]:

1) Maintain awareness of status and progress of departments in their division
2) Ensure department chairs and/or other faculty leads meet with Assessment Coordinators and use assessment resources
3) Attend assessment help sessions for their departments
4) Follow up with departments regarding progress
5) Ensure department chairs turn in assessment data and plans in a timely manner

Assessment Coordinators and Learning Assessment Committee will continue to guide deans and departments in all assessment activities, update deans and departments on assessment status, generate reports providing easy access to SLOs/PLOs, provide easily navigated spreadsheets for planning and data, and other documents needed for assessment. The College will continue to provide stipends for part-time faculty assessment work, and will add a small budget for assessment resources and workshops.

4. **Use assessment results to take actions that may result in improvement and evaluate the results of these actions**

Faculty have used outcomes assessment to guide teaching and learning. For example, in the recent Institutional Self-Evaluation, the College reported eight departments have successfully used assessment to improve student learning in over 60 courses [CR 2.50]. Examples of improvements made include, increasing emphasis of certain topics, giving new assignments, the development of new/alternative manuals and texts, and complete program overhauls. Many of these changes necessitated an update to the Course Outline of Record. When updates to CurricUNET Meta are complete, the system will provide an easy way to track which courses are updated based on assessment.

In the past year, faculty developed substantive action plans for 132 courses that were assessed [CR 2.25, 2.51], and have demonstrated improvement in student learning for seven SLOs after changes based on previous assessment [CR 2.51, 2.52]. Our philosophy of a cycle of assessment and reporting that is centered on student success is well illustrated in Figure 1. Going forward, faculty and departments will follow this philosophy to improve learning outcomes. This critical shift to a quality assurance model will lead to more authentic assessment at the College.

Conclusion

Over the last year, Laney has begun a cultural shift on SLO and PLO assessments, from passive compliance to proactive quality improvement for student success, and faculty began to realize the value of assessments and are more motivated to conduct them. Because of this, significant progress in SLO and PLO assessment has been made and we will continue to make improvements by following our action plan. As a result, Laney has met the Standards and ER 10 specified in College Recommendation 2 (II.A.1.a; II.A.1.c; II.A.2.a; II.A.2.b; II.A.2.e; II.A.2.f; II.A.2.i; ER 10).

Evidence

CR 2.1 Learning Assessment Committee Agendas/Notes (4.10.15, 4.24.15, 5.8.15, 5.24.15)
http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.1-LAC-Meeting-Minutes-combined-spring-2015.pdf
CR 2.2 LAC Program Outcomes Assessment Webpage
http://www.laney.edu/wp/assessment/program-outcomes-and-assessment-results/
CR 2.3 CurricUNET Meta Public Search
http://peralta.curricunet.com/PublicSearch/Index

CR 2.4 Laney College Catalog

http://www.laney.edu/wp/files/2015/08/2015-2017-Laney-Catalog_v7.pdf

CR 2.5 Meta SLO report active 6.7.16 in Meta Outcomes Reports folder

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.5-Meta-SLO-Report-Active-Courses-6.7.16.xls

CR 2.6 Email to FAS with SLO report 6.15.16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.6-Email-to-FAS-with-SLO-report-6.15.16.pdf

CR 2.7 Results summer syllabus/SLO pilot

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.7-Results-summer-syllabusSLO-pilot.xls

CR 2.8 Results fall syllabus/SLO project

CR 2.9 Assessment and Reporting Cycle

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.9-Assessment-and-Reporting-Cycle.pdf

CR 2.10 Assessment and Reporting Cycle 1 (email)

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.10-Assessment-and-Reporting-Cycle-1-email.pdf

CR 2.11 Assessment and Reporting Cycle 2 (email)

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.11-Assessment-and-Reporting-Cycle-2-email.pdf

CR 2.12 Fall 2015 Faculty Senate Retreat Presentation

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.12-Fall-2015-Faculty-Senate-Retreat-Presentation.pptx

CR 2.13 Fall 2015 Professional Days Presentation, with President

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.13-Fall-2015-Professional-Days-Presentation-with-President.pptx

CR 2.14 Fall 2015 Professional Days Presentation, Lunch

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.14-Fall-2015-Professional-Days-Presentation-Lunch.pptx

CR 2.15 LAC Presentation to Departments

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.15-LAC-Presentation-to-Departments.pptx

CR 2.16 Curriculum Committee Minutes August 2015 Retreat

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.16-Curriculum-Committee-Minutes-August-2015-Retreat.pdf

CR 2.17 Rubric for Outcomes Approval with Examples

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.17-Rubic-Outcomes-for-Approval-with-Examples.pdf

CR 2.18 AC Provisional Powers Approved 5.6.16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.18-AC-Provisional-Powers-Approved-5.6.pdf

CR 2.19 Curriculum Committee Minutes 5.6.16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.19-Curriculum-Committee-Minutes-5.6.pdf

CR 2.20 Assessment Coordinators Help Calendar 2015-16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.20-Assessment-Coordinators-Help-Calendar-2015-16.pdf

CR 2.21 LAC Charge and Membership

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.21-LAC-Charge-and-Membership.pdf

CR 2.22 LAC Meeting Notes Charge and Membership Approved

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.22-LAC-Meeting-Notes-Charge-and-Membership-Approved.pdf

CR 2.23 Faculty Senate Minutes 10.6.15 Approval LAC Charge and Membership

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.23-Faculty-Senate-Minutes-10.6.15-Approval-LAC-Charge-and-Membership.pdf

CR 2.24 Laney Assessment Spreadsheet blank

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.24-Laney-Assessment-Spreadsheet-blank.xls

CR 2.25 Combined Assessment Data Spreadsheet, LAS & Taskstream

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.25-Combined-Assessment-Data-Spreadsheet-LAS-Taskstream.xlsx

CR 2.26 P/T Assessment Stipend Tracker

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.26-PT-Assessment-Stipend-Tracker.xlsx

CR 2.27 ILO Summer Institute

https://sites.google.com/site/ilosummerinstitute/

CR 2.28 LAC Meeting Minutes 2.19.16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.28-LAC-Meeting-Minutes-2.19.pdf

CR 2.29 Professional Days Flyer Spring 16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.29-Professional-Days-Flyer-Spring-16.pdf

CR 2.30 Laney College Grant IEPI 2016

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.30-Laney-College-Grant-IEPI-2016.pdf

CR 2.31 LAC Meeting Minutes 3.4.16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.31-LAC-Meeting-Minutes-3.4.pdf

CR 2.32 Fall 2016 Professional Days Agenda

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.32-Fall-2016-Professional-Days-Agenda.pdf

CR 2.33 Fall 2015 Professional Days Agenda

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.33-Fall-2015-Professional-Days-Agenda.pdf

CR 2.34 Professional Days Flyer Spring 16

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.34-Professional-Days-Flyer-Spring-16.pdf

CR 2.35 Programs ready for assessment (PLO Assessment Project)

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.35-Programs-ready-for-assessment-PLO-Assessment-Project.xls

CR 2.36 Courses Offered Last 3 Years

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.36-Courses-Offered-Last-3-Years.xlsx

CR 2.37 Program Review 2015 Form, Assessment Section

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.37-Program-Review-2015-Form-Assessment-Section.pdf

CR 2.38 Program Review Validation Form

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.38-Program-Review-Validation-Form-Example.pdf

CR 2.39 Program Review Validation Tracker

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.39-Program-Review-Validation-Tracker.xlsx

CR 2.40 Assessment Plans by Department

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.40-Assessment-Plans-by-Department.xls

CR 2.41 Institutional Goals 2015-16, for Program Review

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.41-Institutional-Goals-2015-16-for-Program-Review.pdf

CR 2.42 District Leads Announced (email)

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.42-District-Leads-Announced-email.pdf

CR 2.43 Dr. Webb Assessment Module Meeting Notes (combined)

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.43-Dr.-Webb-Assessment-Module-Meeting-Notes-combined.pdf

CR 2.44 Core Workgroup Meeting Notes (combined)

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.44-Core-Workgroup-Meeting-Notes-combined.pdf

CR 2.45 Core Group Summer Meeting Notes (combined)

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.45-Core-Group-Summer-Meeting-notes-combined.pdf

CR 2.46 Master List of Assessment Module Issues

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.46-Master-List-of-Assessment-Module-Issues.xlsx

CR 2.47 Laney College Organizational Chart (new)

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.47-Laney-College-Organizational-Chart-updated-8.19.16.pdf

CR 2.48 List of Programs, CurricUNET Meta Report

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.48-List-of-Programs-CurricUNET-Meta-Report.xls

CR 2.49 Deans' Assessment Action Plan

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.49-Deans%E2%80%99-Assessment-Action-Plan.pdf

CR 2.50 Instructional Improvements Based on Assessment, Excerpt from ISE

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.50-Instructional-Improvements-Based-on-Assessment-Excerpt-from-ISE.pdf

CR 2.51 Instructional Improvements Based on Assessment, Taskstream

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.51-Instructional-Improvements-Based-on-Assessment-Taskstream.xlsx

CR 2.52 Instructional Improvements Based on Assessment, LAS

http://www.laney.edu/wp/followupreport/files/2016/07/CR-2.52-Instructional-Improvements-Based-on-Assessment-LAS.xls

III. SUMMARY

ACCJC recommendations provide important guidelines to improve institutional effectiveness, performance and student successes. Laney College adheres to these guidelines very closely and takes action to address any deficiencies. <u>As a result, Laney has made substantive improvements and now meets ER 10 and all of the Standards mentioned in the two College Recommendations.</u>

Eligibility 10 Student Learning and Achievement

All courses at Laney College are required to have Student Learning Outcomes in the Course Outline of Records (COR) and each syllabus is required to have the SLOs on it. Each program is also required to have Program Leaning Outcomes in the program outline and publish them in the Catalog. The College as a whole has Institution Learning Outcomes. Laney College conducts regular systematic assessment of SLOs, PLOs and ILOs to ensure student success. In this cycle, the College will have all the courses and programs assessed by June, 2018.

College Recommendation 1: Integrated Planning and Evaluation

Laney College reorganized its administrative structure to make administrative process more effective and relevant. The Education Master Plan (EMP), budget planning and facilities planning are more integrated. The College has enhanced documentation of structures, roles, responsibilities, and processes used to integrate human, facilities, and fiscal planning in support of student learning and achievement. The College participates in the State's Institutional Effectiveness Partnership Initiative and hired a Dean of Research and Planning to enhance integrated planning and evaluation.

College Recommendation 2: Program Learning Outcomes and Assessment

The culture of SLO/PLO assessments at Laney has begun a shift from passive compliance to proactive quality improvement for student success and faculty are more motived to conduct these assessments. At the meantime, the College has increased its resources in learning assessment including 100% release time for two assessment coordinators and stipends for part-time faculty to conduct SLO/PLO assessments. As a result of these changes, significant progress has been made on assessment, and all programs and courses will be assessed by June, 2018. The College also adopted a model of continuous improvement, in which assessment results are used to change practices as needed, followed by the assessment of the new practices.

IV. APPENDICES

A. INDEX OF ABBREVIATIONS AND ACRONYMS

	Index of Abbreviations and Acronyms
ACCJC	Accrediting Commission of Community and Junior Colleges
AFUR	Accreditation Follow-Up Report
ALC	Administrative Leadership Committee
APR	Academic Program Review
Board	Governing Board
BP	Board Policy
BSI	Basic Skills Initiative
CARE	Cooperative Agencies Resources for Education
CBT	California Brian Trust
CCCCO	California Community Colleges Chancellor's Office
CIS	Computer Information Systems
COE	Code of Ethics
COR	Course Outline of Records
CR	College Recommendation
CSEA	California School Employee Association
CSU	California State University
CTA	California Teachers Association
CTE	Career Technical Education
DGS	Department of General Services
DSP	Disability Services Program
EEO	Equal Employment Opportunity
EMP	Education Master Plan
EOPS	Extended Opportunity Programs and Services
ESL	English as a Second Language
FAFSA	Free Application for Federal Student Aid
FAO	Financial Aid Office
FF	Face to Face
FY	Fiscal Year

GE	General Education
HR	Human Resources
IEPI	Institutional Effectiveness Partnership Initiative
ILOs	Institutional Learning Outcomes
LAC	Learning Assessment Committee
OL	Online
OPEB	Other Post-Employment Benefits
PLOs	Program Learning Outcomes
PRT	Partnership Resource Team
SLOAC	Student Learning Outcome Assessment Coordinators
SLOs	Student Learning Outcomes
SRP	Statement of Report Preparation
WASC	Western Association of Schools and Colleges

B. LIST OF ACCREDITATION FOLLOW-UP REPORT COMMITTEE MEMBERS

Rebecca Bailey: Co-Chair of the AFUR Committee, Biology Professor, Faculty Accreditation Lead, Assessment Co-Coordinator
Denise Richardson: Dean of Math and Sciences, Administrative Accreditation Lead
Heather Sisneros: Kinesiology Professor, Assessment Co-Coordinator
Patricia Stanly: Interim President
Marilyn Whalen: Vice President of Institutional Effectiveness
Chuen-shen Chan: Dean of Liberal Arts
Lisa Cook: Academic Senate President
Zhanjing (John) Yu: Interim Vice President of Instruction, Accreditation Liaison Officer, Co-Chair of the AFUR Committee
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Rebecca Bailey: Co-Chair of the AFUR Committee, Biology Professor, Faculty Accreditation Lead, Assessment Co-Coordinator
Denise Richardson: Dean of Math and Science, Administrative Accreditation Lead
Heather Sisneros: Kinesiology Professor, Assessment Co-Coordinator
Patricia Stanly: Interim President

Marilyn Whalen: Vice President of Institutional Effectiveness
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PERALTA COMMUNITY COLLEGE DISTRICT

DISTRICT RESPONSES
TO EIGHT ACCJC 2015 TEAM
RECOMMENDATIONS

1 OCTOBER 2016

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Statement of Report Preparation

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

In July 2015, a new Chancellor was selected. Upon a recommendation from faculty, the Chancellor approved the hiring of an Accreditation consultant to assist the District Leadership in responding to the eight ACCJC District Recommendations and to provide support to the Colleges. The consultant began work in late October 2015 and over the course of Fall semester 2015, District Leadership Teams were formed, and each Team drafted a Plan of Action for each District Recommendation. By January 2016, all Teams had leads in place for the eight Recommendations. A District Accreditation Calendar [DR0.1], PCCD Accreditation Guidelines [DR0.2], and a District Accreditation Web page were created and regularly updated. The consultant assisted the District leads in collecting evidence and in writing responses to the eight District Recommendations. Furthermore, the consultant convened a group of Accreditation leads from each College to meet frequently and to ensure that all ACCJC District Recommendations were being addressed as they pertained to the Colleges [DR0.3].

To ensure broad dialogue in addressing the District responses and to explain the significance of meeting Accreditation Standards, presentations pertaining to the District responses were given monthly at the Peralta's shared governance Planning and Budgeting Council (PBC) meetings, District Academic Senate (DAS) meetings, and bi-weekly at the Chancellor's Cabinet [DR0.4]. In order for PCCD to stay abreast of District Accreditation work, frequent written reports were disseminated in the Chancellor's weekly newsletter, *C Direct* [DR0.5]. Furthermore, District responses and Accreditation Standards were reviewed with the Student Body Council, the Governing Board, District Classified Senate leadership, and other constituent groups [DR0.6]. "Brown Bag" discussion sessions were held at each College in May and Accreditation sessions were held during District Flex [DR0.7]. In April 2016, a comprehensive draft of all eight District responses was distributed to PBC and in early

September 2016, revised drafts were distributed to all four Colleges. Finally, College leads
and the District consultant worked collaboratively to integrate the District responses and the
College responses into the four PCCD College Follow-Up Reports. On September 13, 2016,
the four College Follow-Up Reports, including the District responses, were presented to the
PCCD Governing Board for approval [DR0.8].

STATEMENT OF REPORT PREPARATION: DISTRICT RESPONSES	
Evidence	Title of Evidence Document
DR0.1	PCCD Accreditation Calendar
DR0.2	PCCD Accreditation Guidelines
DR0.3	PCCD Leads' Meeting Minutes, Mar. 28, 2016
DR0.4	PBC, DAS and Cabinet Agendas
DR0.5	C-DIRECT June 22, 2016
DR0.6	Classified Senate Email, June 14, 2016
DR0.7	District Flex Agenda, Aug. 17, 2016
DR0.8	PCCD Governing Board Agenda Excerpt, Sept. 13, 2016

COMMENDATIONS AND RECOMMENDATIONS FOR THE PERALTA COMMUNITY COLLEGE DISTRICT

District Commendation 1. **"The District's Institutional Research Department is commended for its work in creating a robust data system for a complex multi-college district. By continuously refining its data model, by developing and supporting a multitude of standard reports and dashboard/data mining reporting strategies, and by providing the needed user training, the department makes available a critical toolset that should be used as the foundation of evidence-based practice."**

District Commendation 2. **"The team commends the District and the individual Colleges for their efforts to ensure that hiring practices cultivate a workforce that is as diverse as the student population. The District and the Colleges within it, have successfully maintained College personnel that mirror the student demographics, which enrich the College environment and promote equity."**

DISTRICT RECOMMENDATIONS TO RESOLVE DEFICIENCIES

Recommendation 1:

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

I. Introduction

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

II. Plan of Action

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

Respecting the 2014 Audit Report recommendation, PCCD has developed a long-term plan

to fund its Other Post-Employment Benefits (OPEB) liabilities, including its associated debt service (i.e., the principal and interest due on the OPEB bonds). The District has also taken short-term actions to mitigate the impacts of the OPEB debt service on District finances.

A. Short Term Actions

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

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

In January 2015, the District's OPEB Finance Team was formed, consisting of members with expertise in the areas of OPEB, Letters of Credit (LOC), swaps, variable rate bonds, and credit. The Team included the District's Interim Vice Chancellor for Finance and Administration, District Counsel, District Bond Counsel and the District's Municipal Financial Advisor. An RFQ was circulated to the District's underwriter pool with the intent to select a firm for the August 2015 transaction and Barclay's Bank was added to the Team, given its ability to provide a letter of credit or LOC. [DR1.5].

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

In August 2015, the District successfully converted $38,450,000 of Convertible Auction Rate Securities (CARS) to variable rate bonds with a LOC from Barclays Bank [DR1.8]. This action saved the District approximately $12.5 million in debt service payments over the life of the bonds, assuming a failed auction rate of 17% against a current assumed taxable variable rate of 4.5% [DR1.9]. The bonds carry Barclays' short term rating of A-1 (Moody's Investors Service) and A-2 (Standard & Poor's). The District elected not to terminate the swap associated with this tranche because the termination value of the swaps approximated the expected cash flows for termination over time. The conversion and structure of subsequent tranches, the next one maturing in 2020, may mirror this approach.

B. Long Term Plan

Since August of 2015, the newly-appointed Vice Chancellor for Finance and Administration, the District's Financial Advisors, and District Counsel and OPEB Counsel have focused on OPEB program management, cash flow modeling, and funding options to reduce existing and future debt service over the long term. Moreover, in Spring 2016 the District received two legal opinions that impacted this OPEB planning:

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

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

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

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

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

C. Cash Flow Planning

In Fall 2015 current and future OPEB cash flows were modeled, reviewed, and refined under

the direction of the Vice Chancellor for Finance and Administration who provided more precise fiscal and programmatic assumptions [DR1.14]. The goal was to facilitate a working cash flow of all OPEB-related revenues and expenditures, including interest rate assumptions and future expenditures. Working with the District's OPEB Finance Team, revenues and expenditures are now updated quarterly, based on actual costs and/or returns, and compared against estimates. The Model also enables the District to monitor and reduce program expenses when possible.

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

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

While the aforementioned Model will provide guidance for the District in the nearer long-term, the District's longer-term goal is to implement a model that will allow the District to quantify reasonable approaches to reducing the OPEB program's overall debt service. Starting in Fall 2016, the OPEB Finance Team will commence with an analysis to evaluate possible restructuring options to achieve this long term goal. This is a complicated analysis,

but one that will serve as an important roadmap for OPEB program planning throughout the next ten to twenty years. One objective of this new process would be to determine the efficiency of a purchase of some or all of the outstanding bonds from investors. If successful, this restructuring maneuver would reduce the District's overall debt service and reduce the length of the existing program.

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

III. Conclusion

The District has developed a comprehensive long-term plan to fund its OPEB liability and associated debt service. With conservative fiscal assumptions, it has modeled precise cash flow projections through 2025, and general projections through 2050, the final maturity date of the *pre*-2004 program. The *post*-2004 OPEB program, with significantly less liability, has also been addressed. As is evident, all District funds impacted by the OPEB program— Funds 1, 69, and 94— have the capacity to support the plan as developed, including the establishment of a new irrevocable trust fund. In addition, the District continues to look forward and has been actively assessing options to restructure the current OPEB program to reduce both long-term liability and annual costs, in full recognition of the importance and impact of the OPEB program management in years to come. The District's OPEB Finance Team will provide continual assessment of the OPEB program and report to the Planning and Budgeting Council and Board of Trustees periodically.

As evidence of its continued work in the area of bond and debt management, the District revised its Board Policy and Administrative Procedures with respect to Debt Management;

these revised policies and procedures were reviewed with the District's Planning and Budgeting Council in May 2016 and approved by the Board of Trustees in at its July 2016 Board meeting. In addition, the Peralta Community College District received an AAA rating, the highest credit rating possible on general obligation bonds, in May 2016. The District was the first community college district in the state to receive this stellar credit rating. During a PCCD visit to New York this past summer, the ratings agencies complimented the District for its OPEB program planning over the past year.

The District has followed the 2014 audit recommendations and developed an action plan to fund its Other Post-Employment Benefits (OPEB) liabilities, including associated debt service, and is confident that we have met Standards (III.D.1.c, III.D.3.c) and will continue to do so.

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

Recommendation 2:

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

I. Introduction

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

II. Explanation of Audit Findings

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

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

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

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

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

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

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

Each of the six ongoing deficiencies was classified by the external auditors as a "significant deficiency," as opposed to the more severe "material weakness." These six ongoing deficiencies have been resolved, evidenced primarily by the fact that they were acknowledged as such by auditors in the District's 2015 Financial and Bond Audit Reports [DR2.7].

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

In ten of the twelve prior audit findings, i.e., those reported in 2014, the auditors assessed the "Current Status" of each as "Implemented" [DR2.8, DR2.9]. Here the auditors validated

evidence that the District had implemented corrective actions which resolved these particular deficiencies. Consequently, there were no reported findings for those (corrected) deficiencies in the current year audit.

In two of the twelve prior audit findings, the auditors noted "Current Status" as "Partially Implemented" [DR2.10]. The first of these two findings pertains to long-term fiscal planning with respect to OPEB and is addressed at length in the Response to District Recommendation 1, which delineates how this finding has been resolved. (See also Recommendation 1).
In the second finding, the District implemented corrective actions necessary to resolve the deficiency halfway through the fiscal year. So, while sample testing in the first half of the year resulted in examples of non-compliance, samples in the latter half demonstrated compliance. The auditors state this fact clearly: "While it was noted that the District did implement a new process during the Spring (2015) semester, thereby addressing the issue, several instances of noncompliance were noted during the Fall (2014) semester. The District should continue to monitor the procedures surrounding the COD reporting at all Colleges to ensure continued compliance" [DR2.11].

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

IV. Summary of the Resolution of Ongoing Deficiencies

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

Below is a summary of the six ongoing deficiencies taken from the Corrective Action Matrix:
2014-002:   Reporting- Common Origination and Disbursement (COD)

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

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

Status: Resolved.

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

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

Resolution: Corrective actions have been implemented at the Colleges to ensure R2T4 calculations are performed and that funds are returned as applicable in a timely manner. The District's Financial Aid Policies and Procedures Manual has been updated to reflect these revised procedures [DR2.16] and training was provided to all Colleges [DR2.17]. The District's Financial Aid team meets monthly with the Colleges to offer continued support and ensure compliance [DR2.18]. Furthermore, key vacancies in the Financial Aid departments at the two Colleges cited have been filled as of November 2015 [DR2.19].

Status: Resolved

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

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

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

Status: Resolved

2014-006:   Equipment Management

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

Resolution: Administrative procedures have been developed by the Purchasing Department, reviewed by the Internal Auditor, endorsed by the Planning and Budgeting

Council and approved by the Chancellor to ensure appropriate controls over the safeguarding of assets and the recording of equipment inventory. Training was provided to the storekeepers and Business Directors at each College [DR2.23, DR2.24, and DR2.25]. In addition, the Purchasing Department has implemented quarterly audits at the Colleges and District Office to ensure compliance [DR2.26].

Status: Resolved

2014-007:   Time and Effort Reporting

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

Resolution: The District Grants Coordinator has established a Compliance Assurance Program (CAP) that includes site training in time and effort reporting, as well as regular communications to responsible College management. The District Grants Manual has been updated and distributed. A new Grants Administration Team (GAT), consisting of representation from the Colleges, Ed Services, Finance, and Student Services, has been formed and meets monthly to monitor grant compliance. Members visit the Colleges periodically to check on status of time and effort certifications and to provide additional training as needed [DR2.27, DR2.28, DR2.29, DR2.30, DR2.31, DR2.32].

Status: Resolved

2014-009:   Residency Determination for Credit Courses

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

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

Status: Resolved

V. Audit Resolution Work Team

In December 2014, the District convened an emergency meeting of Finance, Ed Services, IT, and Student Services personnel to address audit findings related to Financial Aid reporting and other deficiencies [DR2.35]. This group met and then reconvened as the Audit Resolution Work Team the following month (January 2015) when it began its cross functional collaboration of reviewing business processes, identifying root causes of process shortcomings, and developing sustainable solutions to these from a "ground level" perspective [DR2.36]. This group met as needed, throughout the year, and continues to meet, in order to address fiscal and reporting challenges identified by or submitted to the team [DR2.37 and DR2.38].

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

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

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

Corrective Action	• Implement procedures to ensure student data is reported on a timely basis to the U.S. Department of Education's Common Originiation & Disbursement (COD) website within the required 30 days. (Repeat finding for Merritt College) • Accreditation District Recommendation #2 (Standard III.D.2.b, III.D.3.h)
Responsibility/Point	• Responsible: College President; Associate Vice Chancellor of Student Services; Associate Vice Chancellor of Information Technology • Point: Financial Aid Director
Status	• Under the supervision and guidance of the District Financial Aid Director, reports are now transmitted to the Federal Department of Education on a timely basis • To ensure compliance with Federal reporting deadlines, a file transfer submission process & instructions have been developed & disseminated to the Colleges • The District's Policy & Procedures Manual for Financial Aid has been updated
Evidence of Correction	• 2014 Peralta Community College District Financial Aid Policies and Procedures Manual • Merritt College Transmission Activity Log

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

VI. Continual Improvement

A significant cause of the historical internal control deficiencies at the District has been turnover in leadership in the District's Office of Finance and Administration. Over the past five years, for example, the District has employed three Vice Chancellors for Finance and Administration. Lack of consistent and permanent leadership in this area has challenged the District's ability to effectively develop and implement sustainable business process

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improvements.

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

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

The District is confident that the number of recurrent audit findings will be minimal. As the Audit Resolution Work Team and other cross-functional groups—such as the Grants Administration Team— continue their collaborative efforts, District operations and compliance mechanisms are only strengthened. The re-organization of the Finance Division, and the stability of its leadership, will provide the requisite resources to support this crucial work of audit reform.

VII. Conclusion

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

Now that the ongoing deficiencies have been resolved, and the non-recurrent audit functions that are considered key to its operational efficiency, fiscal integrity, and educational services

delivery capacity have been addressed, the District is focusing its attention on other business processes identified as needing improvement, e.g., debt issuance/management and purchasing/contracting processes, thereby ensuring a model for continued improvement as The District strives to exceed ACCJC Standards. The Planning and Budgeting Council (PBC) shared governance body provides a forum for ongoing discussion and evaluation [DR2.44].

Evidence	Title of Evidence Document
RECOMMENDATION 2: DISTRICT RESPONSES	
Evidence	**Title of Evidence Document**
DR2.1	PCCD Annual Financial Report June 30, 2015 (excerpt): Auditor's Definition of Types of Control Deficiencies, page 85
DR2.2	PCCD Annual Financial Report June 30, 2013 (excerpt), pages 70-100 total 14 findings
DR2.3	PCCD Annual Financial Report June 30 2014 (excerpt) pages 95-111, 10 findings
DR2.4	PCCD Measure A General Obligation Bonds Election 2006 Audit Report June 30, 2014 findings
DR2.5	PCCD Annual Financial Report June 30, 2015 (excerpt) pages 94-99 (4) findings
DR2.6	PCCD Annual Financial Report June 30, 2014 (excerpt) pages 100-106, (6) ongoing findings
DR2.7	PCCD Annual Financial Report June 30, 2015 (excerpt) pages 103-111, (6) ongoing findings resolved
DR2.8	PCCD District Annual Financial Report June 30, 2015 (excerpt) pages 103-111, (8) ongoing findings resolved
DR2.9	PCCD Measure A General Obligation Bonds Election 2006 Audit Report June 30, 2015 pages 6-7, Status FY2014 (2) findings resolved
DR2.10	PCCD Annual Financial Report June 30, 2015 (excerpt) pages 101-103, (2) findings partially resolved
DR2.11	PCCD District Annual Financial Report June 30, 2015 (excerpt) page 103, COD finding partially resolved
DR2.12	PCCD Corrective Action Matrix 2014-15 Audit Updated July 27, 2016
DR2.13	PCCD Financial Aid Policy and Procedures Manual, pages 1-73
DR2.14	Merritt Transmission Activity Log- Part 1
DR2.15	Merritt Transmission Activity Log - Part 2
DR2.16	Peralta Community College District Financial Aid Policy and Procedures Manual, pages 1-73
DR2.17	PCCD District Financial Aid Training Schedule
DR2.18	PCCD Financial Aid Supervisors Meeting Minutes
DR2.19	PCCD Financial Aid Supervisor Job Description
DR2.20	PCCD Direct Loan Reconciliation Procedures
DR2.21	Laney Direct Loan Reconciliation
DR2.22	Merritt Direct Loan Reconciliation
DR2.23	District Fixed Asset Training Presentation Material

RECOMMENDATION 2: DISTRICT RESPONSES	
Evidence	Title of Evidence Document
DR2.24	College Federal Asset Tag Training Session Notice
DR2.25	Revised AP 6551 Inventory of Property and Equipment Maintenance
DR2.26	Example of Email Notification of Equipment Inventory Audit
DR2.27	Compliance Assurance Program (CAP) for Grant Management
DR2.28	PCCD Revised Draft Grant Manual
DR2.29	Grants Administration Team Organization Chart and Charter
DR2.30	Revised Time and Effort Certification Form
DR2.31	Grants Training Schedule for Colleges
DR2.32	Sample Notification to College of Time and Effort Certification Follow-up Monitoring and Training
DR2.33	A&R Training Meeting Agenda July 10, 2014
DR2.34	A&R Training Meeting Agenda July 7, 2015
DR2.35	PCCD Emergency Financial Aid Meeting Minutes Dec. 19, 2014
DR2.36	Audit Resolution Meeting Minutes Jan. 23, 2015
DR2.37	Audit Resolution Meeting Minutes Apr. 12, 2016
DR2.38	Links to Audit Resolution Workgroup Meeting Minutes
DR2.39	Board Document Audit Resolution Progress Oct. 20, 2015
DR2.40	Corrective Action Plan 2014-15 Board Presentation Oct. 20, 2015
DR2.41	Audit Resolution Work Group Team Minutes, Feb. 23, 2016
DR2.42	Grants Training Schedule for College Grant Administration
DR2.43	District Organization Charts, Sept. 2016
DR2.44	PBC Meeting Minutes Apr. 29, 2016

Recommendation 3

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

I. Introduction

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

II. PCCD's Action Plan for TCO

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

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

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

work by meeting with each College to address the TCO elements that are College specific and the resources needed to achieve College objectives. A list of Capital Projects and scheduled and deferred Maintenance Projects was then generated. [DR3.2]. The initial meetings with each College were as follows:

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

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

In November 2015, the Department of General Services presented a revised Total Cost of Ownership (TCO) plan to Peralta's Planning and Budgeting Council so as to establish and document institutionally agreed upon, systematic procedures for evaluating facilities and maintenance needs at all four Colleges. In this document, the term "total cost of ownership" was explained as a financial projection to help identify direct and indirect costs of facility and equipment needs, to include the total economic value of the physical property investment. scheduled and deferred maintenance needs of the Colleges, custodial maintenance, and costs of technology acquisition and replacement. [DR3.8].

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

A. BERKELEY CITY COLLEGE (BCC)

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

1. **New Acquisition:** On May 7, 2015, the District and the College procured new property for BCC (located on 2118 Milvia Street, Berkeley, CA) so as to provide more areas for student services, to deploy technology laboratories and "smart classrooms," and to decongest the single building College. The TCO operational

expenditures for the new BCC site were outlined in the TCO Plan presented to the Board of Trustees on April 28, 2015 [DR3.9].

2. **Indirect Costs:** The College has expressed a need for additional indirect costs to be budgeted annually to meet its basic obligations. For example, because BCC is located in an urban site, parking for staff and faculty has to be rented (as compared to sister Colleges with their own parking spaces) and the District funds BCC parking on an annual basis. The College pays for Security Guard services on an annual basis, whereas the District pays for security by hiring and contracting with the Alameda County Sheriff's Office. The District Administration has also established a memorandum of understanding (MOU) with the Berkeley Police Department as the College is only one block away from Police Headquarters.

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

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

B. MERRITT COLLEGE

In early October 2015 DGS met with Merritt College stakeholders to discuss TCO as it impacts the teaching and learning environment at the College. Most of Merritt College's buildings and infrastructures were built in the early 1970's when the College moved from its historical site on Martin Luther King Blvd. to its present location in the Oakland Hills). The need to update Educational and Facility Master Plans was a major discussion item, as was the need for DGS to revise its Integrated Educational Facilities and Technology Master Plan (DGS is currently reviewing bids for this undertaking). Other topics included:

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

2. **Weed Abatement:** Weed abatement is also a major requirement, not just for campus aesthetics, but as a requirement of the City of Oakland Fire Department. There are three Grounds workers/gardeners assigned to the campus year round, but the District contracts out to vendors to assist with major weed abatement every summer. All weed abatement was completed in August 2015 and again in August 2016.

3. **Maintenance Software:** Merritt stakeholders argued that the District should be more responsive to deferred maintenance conditions. The District explained that it was acquiring maintenance software which is "user friendly" and will enable the College work order originators to know the ongoing status of their requests (the software called "Maintenance Connection" was implemented in May 2016 and will be evaluated in December of 2016) [DR3.11].

4. **Keys and Electronic Key cards:** The College leadership stated that the demand for keys is a major issue, e.g., some keys are not returned and some are not issued in a timely manner. Custodians note that they have to spend about 25% of their time opening doors. The crux of the issue here is the District and College's ineffective key/card management process. Plans to develop a new Key/Card procedure District wide are ongoing and this issue should be resolved in Fall 2016 [DR3.12].

5. **Equity:** Merritt College asked for more equity in the distribution of maintenance resources to the Colleges, the main issue being the claim of an inequitable distribution of custodians. The equity concern was discussed at the DFC with a recommendation to the PBC for consideration of their equity request [DR3.13]. Currently, advertising is underway to hire two additional custodians which should diminish Merritt's concern for equity.

6. **Safety Issues:** The DFC unanimously agreed that issues of human safety should take priority over all College project requests [DR3.14]. For example, the College raised the issue of security cameras that were not operable. In response, the DGS staff

indicated that a vendor had been hired to fix and maintain all cameras District wide. The District hired a vendor and all cameras are now operational [DR3.15].

7. **Re-lamping:** The issue of re-lamping the College sidewalks and other dark areas was raised at the March 2016 DGS Task Force meeting [DR3.16]. In response, the District has implemented the following:

   - By March 2016, Parking lot C lighting was restored.
   - Portable lighters were rented to serve areas that were not well lighted.
   - The lighting manufacturing company that installed most of the existing sidewalk lighting was contracted to replace the units that have burned out or give poor illumination. This project was completed in August 2016.

8. **Staffing Needs:** An assessment of personnel determined that Maintenance Stationary Engineers with licenses to maintain HVAC and mechanical, electrical, and plumbing (MEP) were needed. These new staff will not only serve Merritt College, but its sister Colleges as well. The College also opened a new Science building in September 2015, the Barbara Lee Science and Allied Health Center, with a total square footage of approximately 104,000. This building received a LEED Gold award [DR3.17]. An additional Stationary Engineer was hired and advertising is underway for hiring an additional Custodian. Also, existing Stationary Engineers from all of the Colleges were cross-trained for electrical, HVAC work, and preventive maintenance work for the Barbara Lee building by the end of August 2016.

9. **Training of existing staff:** Extended training of existing staff is vital to the success of any maintenance program as modern building technology requirements are constantly changing. The Director of Facilities & Operations has been given the charge to ensure that existing maintenance personnel get additional training from their Local 39 Union. Subsequent meetings to plan and implement training are on-going and are reflected in the DGS Program Review [DR3.18].

10. **New facility:** The College plans to build a new Child Development Center that will house the current Child Development Program on the southeast end of the campus. The TCO Guidelines are being considered as the College moves forward on this project. The Center will be paid for with District Capital Bond Outlays and leveraged with the California Community Colleges' Chancellor's Office funds (contingent upon the passage of state-wide Capital Outlay Bond initiatives scheduled for the November

2016 election). The total cost of the Project is approximately $18 million dollars [DR3.19].

C. COLLEGE OF ALAMEDA (COA)

1. **Repairing or Replacing the Infrastructure:** College of Alameda opened in 1970. After 46 years, much of its infrastructure needs repairs and/or replacement, while existing buildings need modernization.

2. **Maintenance Personnel:** Generally, TCO discussions centered on hiring. Initially, DGS hired an hourly Assistant Chief Stationary Engineer. In January 2016, a regular employee assumed this position. An Assistant Grounds Supervisor has been hired, as well as an additional grounds worker.

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

- Elevators (replacement to meet ADA requirement)—An elevator design company has been contracted to do the work.

- Light fixtures (LED lighting for the Library)—A Contract has been established to replace all lighting.

- Additional space—To date, the College is not pursuing this request.

- Building a new Theater—This project is included in the ongoing Facilities Master Planning.

- Bookstore renovation—This project has been completed.

- Health Services (renovation of space)—A Contractor has been hired and is now working on the design of this project.

- New Fence for Auto and Diesel Building—Project is ongoing.

- Chemistry Hoods project to offer additional classes on the main campus—This project was completed in March 2016.

- Completion of the Veteran Center—The project was completed in November 2015.

- Landscape contracting—In August 2015, phase one was completed and the remainder of the project was completed in August 2016.

- External painting of all Buildings along Webster Street and Appezzato Memorial Parkway—A Contractor was hired for this project.

- Internal painting of selected doors—Project completed in 2015.
- Mechanical HVAC project for the Library—The design is ongoing.
- Ergonomic furniture for DSP—All furniture has acquired.

3. **New construction:** The District and the College are planning a New Building C that will house general classrooms and Administration. In keeping with this Educational Master Plan requirement, the Administration sold additional Measure A Bonds ($50 million dollars) in Summer 2016 to fund the construction of this building. A Steering Committee of the District and the College was formed to continue planning for this project [DR3.20].

D. LANEY COLLEGE

Laney College, adjacent to the Peralta District Offices, is the largest of the four Colleges that comprise the Peralta Community College District. About 43% of all Peralta students attend school at Laney College. This urban academic institution is situated in 60 acres of land.
A plan for the on-going collaboration of the District and College leaders was established as part of the efforts to improve institutional effectiveness. The areas of discussions included:

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

1. **Personnel Needs:** The DGS recruited two maintenance staff that will assist the College to deal with MEP related repairs. The Assistant Chief Engineer has been hired and the Director of Facilities & Operations position is anticipated to be filled by November 2016. Laney has also hired two additional Stationary Engineers and one Grounds worker/Gardener.

2. **Work Orders and Maintenance Software:** As mentioned in the Merritt discussion, the Laney stakeholders were concerned also with the District's ability to stay abreast of work orders. The new "Maintenance Connections" software is sophisticated in terms of functionality and will store data in the cloud while providing stakeholders the status of their work orders via email. This new software system should improve

the execution of deferred maintenance project lists. DGS, Stationary Engineers, and Grounds maintenance personnel (including custodians) have reduced outstanding work orders from 1,200 in August 2015 to 105 in August 2016.

3. **Action Plans to Implement Work Orders:** The DGS is conducting a formal bid to contract with outside vendors in the areas of MEP. These vendors will undertake the implementation of those work order requests that cannot be accomplished by the College Stationary Engineers due to their complexity and sheer volume. All work contracted for Laney (outside vendors) was completed by Summer 2016. Future contracting with outside vendors will assist all four Colleges.

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

- Alignment with the College Mission and Budget Planning Principles
- Importance of TCO
- Objectives of TCO as it relates to the facility
- Cost of utilities
- Establishment of ownership guidance
- Building Modernization and Maintenance
- Guiding Principles for TCO in Strategic Planning
  [DR3.21]

4. **New Projects and Modernization:**

   A. **Elevator Replacements:** Vendors have been contracted for a total of approximately $1. 2 m to replace the elevators at the Laney Tower and Building E.

   B. **Women's & Men's Locker Room Modernization:** There is an urgent need to relocate the students' locker rooms in the main campus as the distance between the LC Athletic Field House and the women's and men's locker rooms does not meet Title IX requirements. An architect was hired to design the project.

   C. **BEST Center (also known as the Zero New Energy building):** The Building Environmental Sustainability for Tomorrow (BEST) Center will allow for additional student training, especially in the Career Technical Education (CTE) Program for Solar and Environmental Control Technology. The District broke ground in February 2016 for a Zero New Energy building for community

education, to boost the local economy, and to promote environmental sustainability. Construction is ongoing and anticipated to be completed by Summer 2017 [DR3.22].

D. **Swimming Pool Heating and Chlorination:** Chlorination machines and commercial heaters will replace the existing units that often break down and impact swim lessons (as these units were not commercial by design). The final project design has been completed.

E. **Student Center:** New construction is being considered to replace the existing Student Center. Funding costs have escalated and the project is dependent on the November 2016 state elections. Swing space has been designed were the project to go forward.

F. **Laney Parking Lot Overflow:** This project will add additional parking to accommodate College parking needs. This parking lot will be situated across the Highway 880 overpass. Striping has been done and the parking lot was used by students at the beginning of Fall 2016 semester.

G. **Laney Library Learning Resource Center:** This will be the biggest new construction project in the District and is expected to cost over $70 million. Like the Student Center, however, the project funding is dependent on the November 2016 state elections. This proposed four-story building will provide study access to over 16,000 students that attend the College [DR3.23].

H. **Laney Culinary Program Facilities:** Since 2004, Laney has had numerous issues with the kitchen facilities in this Program. However, as the new Chancellor was made aware of ongoing issues, steps have been taken in collaboration with the Vice Chancellor of General Services, in the past several months, to correct various deficiencies [DR3.24]. Additionally, the District has expended $1.22 million to modernize, refurbish, and repair the existing Student Center and Student cafeteria to meet health and safety needs.

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

A. College Facilities Committees' Scheduled and Deferred Maintenance Needs

Each College's Facilities Committee works with the President, Departmental chairperson, Business Director, and the College Assistant Chief Engineers to develop a list of Scheduled and/or Deferred Maintenance needs.   Furthermore, work orders are sent to the DGS on a daily basis and the DGS then publishes this list of the Colleges' deferred maintenance needs. All annual scheduled and Deferred Maintenance items (which may require outside contractors) are sent to the District wide Facility Committee (DFC) for evaluation and planning. The Vice Chancellor for DGS and a faculty member usually co-chair this Committee which prioritizes project proposals and ranks them using the California Community College Chancellor's Office's (CCCCO) three broad criteria as follows [DR3.25]:

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

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

- Roofs
- Utilities
- Mechanical
- Exterior
- Other projects

Capital projects include (in order of priority):

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

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

B. Deferred Maintenance and Scheduled Maintenance Projects' funding

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

This year, the PBC recommended that the Chancellor fund projects utilizing the State allocation of $1.9 million with the caveat of giving priority to life safety projects. Those projects that are in excess of this amount are deferred to the following fiscal year. Presently, there is an estimated deferred maintenance need of over $8 million dollars District wide. The cumulative average number of work order requests and preventive maintenance requests has been up to 1,000 in any given week. This dire backlog occurred during the State of California budget crisis (2009) and the District utilized most of its funding for classroom instruction. In 2009, all PCCD stationary engineers' positions were vacant due to resignations and retirements and were not filled. The State of California Scheduled Maintenance allocations to the Colleges were also suspended between 2009 through 2013 due to the State of California Budget shortfall.

C. Progress in Addressing Deferred Maintenance Needs

To date, the District has made significant progress in addressing deferred maintenance projects across the Colleges: for example, there were 1,270 work orders in August 2015 and by the end of August 2016, there remained 105 outstanding work orders— only approximately 8% of deferred maintenance projects had not yet been addressed [DR3.26].

Additionally, there are plans to hire a one-time outside Stationary Engineering service for HVAC and MEP that will address applicable back-logged work orders. The understanding is

that the remaining requests will be managed by the existing Stationary Engineering staff.

D. Addressing Safety Needs and Providing Safety Training

In addition to attending to ongoing safety needs already discussed such as lighting and broken windows, Peralta has distributed 250 digital radios District wide. These 2 way radios bridge communication between law enforcement officers and all PCCD constituents and ensure safety at the Colleges and the District. In July 2016, a 40-hour District wide safety training was conducted at Merritt College. Topics included: parking lot security, reporting incidents, emergency preparedness, etc. At the end of the training, participants were awarded a certificate to enable them to work as Safety Aids [DR3.27].

E. Capital Project Programs and Instructional Equipment

The District sold $50 million in Measure A bond monies in July 2016 in order to begin the design and construction of the College of Alameda building C (general purpose Humanities building). The money may also enable the Laney Library and/or the Laney Learning Resource Center project to be implemented, depending on matching state funding that will be determined by the November 2016 statewide election. Additionally, all the Colleges received $100,000 each in 2014-2015 and $160,000 each in 2015-2016. $1,885,321 dollars (total) will be allocated to the Colleges during the 2016-2017 fiscal year for Instructional Equipment.

V. Specific College Projects

A. BERKELEY CITY COLLEGE

1. **Modernization of New Facilities**
   Stakeholders have recommended renovation of the newly acquired 2118 Milvia building.

2. **Technology Acquisition**

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

3. **Critical Deferred Maintenance**
   The District has contracted with Netronix to fix and maintain gateway access controls

for classroom locks in rooms 224, 218, and 227 at BCC.

B. LANEY COLLEGE

1. **Elevators**

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

2. **Theatre Flooring and Rigging**

    This project has been completed.

3. **Welding Lab**

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

4. **Broken Windows and Glass Doors**

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

5. **L.E.D. Lighting**

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

6. **Cafeteria Modernization/ Construction**

    Construction is ongoing.

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

    This project is under construction.

8. **Upgrading Restrooms**

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

9. **HVAC air intake filters**

    are being replaced at Laney and District wide.

C. MERRITT COLLEGE

The following projects were completed by August 2016:

- The replacement of sidewalk lighting
- Parking lot striping and curbside painting

- Deep cleaning in the quad area and terrain, Chemistry and Biology Labs

D. ALAMEDA COLLEGE

The following projects were completed by August 2016:

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

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

A. The Inclusion of IT Considerations into the TCO Guidelines

In May 2016, DGS called together a "brainstorm" meeting of IT leadership, the Vice Chancellor of General Services, the Project Manager of Maintenance and Operations, the Director of Energy and Environmental Sustainability, the Executive Assistant of General Services, and the Facilities Project Coordinator, to examine current revisions to the TCO Guidelines and to ensure that additional revisions needed would be embraced to inform ongoing work during the summer of 2016.   At the meeting, the participants brainstormed ways to refine TCO Guidelines to best suit PCCD. Specific steps were outlined to expand participation to guide continued revisions to the document [DR3.28].

Because major changes in leadership to IT occurred in 2015-1016, the renewed interest in the urgency of including an IT Plan as an integral element of PCCD's TCO Guidelines became apparent and a separate IT section was added. In the TCO Guidelines, IT leadership determined that the cost of acquiring technology and equipment was key to the network infrastructure across the Colleges and must be expended to attract and retain students, faculty, and staff.

Currently, the Colleges have both (FF/E) and IT funding allocations from the Measure A & E Bond Measures. The Colleges have been procuring computers, printers, and other network infrastructure needs utilizing these allocated funds [DR3.29].

Each College now develops a list of priority technology requests that is vetted though the College shared governance process and submitted to the District Technology Committee (DTC) and PBC Planning Budget Council (See also Recommendation 4 for an explanation of PCCD's shared governance). During the 2016-2017 fiscal period, the District IT unit was allocated $1.8 million which is equivalent to approximately 1.4 % of the District's total adopted budget [DR3.30]. It should be noted that while some Colleges (Laney, COA and Merritt) have adequate Bond funding for equipment procurement from Bond Measure A, Berkeley City College has depleted its Information Technology (IT) allocations and thus needs to have annual budgeted IT allocations.

Plans to update the 2008/2009 Road Map that utilized Bond Measure A and E monies will be undertaken once the Education Master Plans District wide are completed [DR3. 31]. It is anticipated that the updated Road Map will be completed in the 2016-2017 academic year and will include an IT Plan.

Technology acquisitions on a District wide basis go beyond network and personal computer purchases. Other critical elements include PeopleSoft Enterprise deployment for student registration, modules for instruction, and the infrastructure necessary for the Colleges to communicate, such as VOIP. Additionally, the District established standards developed for the deployment of Smart Classrooms in 2009 are currently under revision. [DR3.32].

In 2014-2015, the Colleges received $100,000 each for Instructional Equipment and Library Materials (for a total of $400,000) as part of the 2014-2015 Physical Plant and Instructional Support Block Grant from the California Community College Chancellor's Office, in addition to the Bond measures [DR3.33]. During 2015-2016, each College also received the sum of $150,000 for Instructional Equipment and Library Materials from the Physical Plant and Instructional Support Block Grant (California Chancellor's Office) for a total sum of $600,000. Though these are expressly one-time funds, there is a possibility that funding from the State may continue in the future [DR3. 34].

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

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

B. Adoption of TCO Guidelines

The TCO Guidelines were reviewed by DGS in April and PBC in May 2016. A special TCO Workshop was held during the PCCD August 2016 Flex Day [DR3.35]. 2016 PCCD's year-long work to revise TCO Guidelines incorporated many collaborative projects to include: 1.) Meetings with each College to determine TCO needs and expectations 2.) the inclusion of IT in PCCD's revision TCO Guidelines, and 3.) Continued efforts to implement TCO Guidelines while, at the same time, working to revise and to improve the existing TCO Guidelines. The new TCO Guidelines were adopted by the DTC in September 2016 [DR3.36]. It is anticipated that at its September 2016 PBC meeting, the shared governance body will recommend that the TCO Guidelines be sent forward to the Chancellor for consideration.

VII. DGS Action Plan for Hiring within TCO Guidelines

A proposal to hire additional maintenance staff for all the Colleges has gone through the shared governance process and a recommendation was sent to the Chancellor for implementation [DR3.37]. The staffing needs require the recruitment of competent electricians, plumbers and (HVAC) engineers that have licenses in their various trades. The PBC also recommended that the Chancellor allocate 1.5% or $1,800,000 of the District adopted General Fund budget to the DGS with an understanding that outside contractors will be hired to undertake some of these work orders, especially those that cannot be done in-

house.

A. Custodial Staff

The summaries per College relative to custodian needs and aligned with APPA Industry Standards for Facilities maintenance are as follows [DR3.38].

1. BCC: 6 custodians, calculated standard 31,969 square feet per custodian (casual inattention)

2. COA: 6 custodians, calculated standard 37,142 square feet per custodian (casual inattention)

3. District: 6 custodians, calculated standard 20,111 square feet per custodian (ordinary tidiness)

4. Laney: 15.5 custodians, calculated standard 35,120 square feet per custodian (casual inattention)

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

This analysis indicates that Merritt College, for example, with a total square footage area of about 463,765 and 9 custodians, needs to hire 3 more custodians in order to approach equity with the other Colleges. The District and the College plans to hire additional custodians for Merritt College especially given that the New Science and Allied Health facility alone, with approximately 104,000 square feet, opened in 2015 [DR3.39].

The overall need for custodial staff is critical. In this year's evaluation of PCCD's existing Budget Allocation Model (BAM) presented at the District's PBIM August 2016 Summit, the Task Force recommended that the District "allocate the appropriate level of staffing to all Colleges, based on industry best practices and an acceptable level of facility cleanliness. Analysis reveals that some Colleges are staffed appropriately and others fall short" [DR3.40].

B. Additional Staff

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

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

3. **A Director of Capital Projects** was hired to address modernization and new construction.

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

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

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

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

VIII. Facility Conditions Assessment Study (FCA)

The District conducted a Facility Conditions Assessment Study (FCA) in collaboration with the California Community Colleges in 2013. As part of the Colleges 5-year plan, the Colleges conduct this assessment every five years. Another update, Facilities Assessment Index (FCI) is due to be completed by the Foundation for the California Community Colleges in September 2016 and will help to determine ongoing Facilities and Maintenance planning. The study will include the use of the California Community College's Facilities Utilization Space Inventory Options Net (FUSION), a web-based application used by all 72 California Community College Districts and the CCCCO facilities staff will submit, plan, review, approve, and track facility activities [DR3.41]. Finally, one suggestion of the TCO Guidelines is to establish an in-house Task Force to monitor the implementation of the FCA study recommendations.

IX. Conclusion

The Team recommended that the District's General Services work with College personnel to implement a plan to address Total Cost of Ownership for new facilities and equipment, including undertaking critical deferred maintenance and preventive maintenance needs at the Colleges, in order to assure safe and sufficient physical resources for students, faculty, and staff." Accordingly, the District constructed a DGS Action Plan for creating new TCO Guidelines in collaboration with the Colleges. Furthermore, the District is currently soliciting

bids for the revision of the 2009 Integrated Educational Facilities and Technology Master Plan.

The District continues to make progress in addressing and satisfying deferred maintenance needs at the Colleges, "in order to assure safe and sufficient physical resources" for all members of the Peralta community and the reorganization of DGS has revitalized leadership presence and efficiency. The Colleges will be adding Directors of College Operations to work in conjunction with DGS and the implementation of TCO Guidelines and will assist in creating better systems for addressing facilities, maintenance, and IT needs. Beginning in summer 2016, the Chancellor's C-Direct featured DGS reports that detailed progress on deferred maintenance. These reports have improved communication District wide as TCO objectives are implemented [DR3.42]. By listening to, and collaborating with the Colleges, concerted efforts to work together have resulted in tangible results in meeting Standards (III.B.1, III.B.1.a, III.B.2.a).

RECOMMENDATION 3: DISTRICT RESPONSES	
Evidence	Title of Evidence Document
DR3.1	DGS Action Plan, Aug. 28, 2015
DR3.2	DGS Team: TCO Meeting Minutes, Oct. 2, 2015
DR3.3	Merritt Team: TCO Meeting Minutes, Oct. 9, 2015
DR3.4	Laney Team: TCO Meeting Minutes, Nov. 4, 2015
DR3.5	COA Team: TCO Meeting Minutes, Nov. 24, 2015
DR3.6	BCC Team: TCO Meeting Minutes, Nov. 23, 2015
DR3.7	BCC Town Hall Meeting, Apr. 13, 2016
DR3.8	TCO Action Plan, Introduction, page 1: Nov. 2015
DR3.9	Total Cost of Ownership and Operational Expenditures 2118 Milvia Property, Apr. 28, 2015
DR3.10	Weekly Work Order July 21, 2015
DR3.11	Maintenance Connect Executed Agreement
DR3.12	PCCD Draft Administrative Procedures - Key Control
DR3.13	PBIM DFC Meeting Minutes, Feb. 5, 2016, pages 9-10
DR3.14	PBIM DFC Meeting Minutes, Mar.4, 2016, pages 4-5
DR3.15	OJO Technology Contract
DR3.16	DGS Task Team Meeting, Mar. 22, 2016, page 3
DR3.17	USGBC LEED Gold Letter, Jan. 12, 2016
DR3.18	DGS Program Review, Fall 2015
DR3.19	FUSION, JCAF-32, Child Development Center Project Details, 2016, 2009 COA Integrated Educational and Facilities Master Plan excerpt, pages 46-50

RECOMMENDATION 3: DISTRICT RESPONSES	
Evidence	**Title of Evidence Document**
DR3.20	COA New Building C Meeting Notes, Sept. 6, 2016
DR3.21	Laney Total Cost of Ownership Mission and Planning Principles
DR3.22	Laney College Facilities Master Plan, 2012, pages 3 and 18
DR3.23	FPP Laney Resource Center Project
DR3.24	Culinary Academy Maintenance Emails
DR3.25	CCCCO Deferred Maintenance Criteria, 2014-2015
DR3.26	Work Order Report, Aug. 12, 2016
DR3.27	Campus Safety Aide Training Schedule Aug. 2016
DR3.28	TCO Brainstorm Meeting Notes, May 17, 2016
DR3.29	Bond Measures A & E: Equipment IT and FF/E Procurement, June 2008
DR3.30	IT Allocation and PCCD Adopted Budget, Sept. 8, 2015
DR3.31	Road Map to the Future, page 37
DR3.32	Standards for Smart Classrooms 2009
DR3.33	2014-15 Physical Plant & Instructional Support Block Grants Certification for Expenditures, 2014, page 3
DR3.34	2015-16 Physical Plant & Instructional Support Block Grants Certification for Expenditures, 2015, page 3
DR3.35	District Flex Agenda, Aug. 17, 2016
DR3.36	TCO Guidelines, Sept. 15, 2016
DR3.37	Facility Maintenance and Operations: Proposed Reorganizational Structure
DR3.38	APPA Custodial Service Levels
DR3.39	Custodial Standards for Colleges
DR3.40	What is the BAM Task Force?
DR3.41	FCI 2016 Timeline
DR3.42	C-Direct, Aug. 24, 2016

Recommendation 4

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

I. Introduction

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

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

Peralta's Planning and Budgeting Integration Model (PBIM) includes two major components to support integrated planning and resource allocation: (1) the District Strategic Plan and, (2.) Program Review which is conducted every three years, with an Annual Program Update (APU). The original PBIM Model was created in 2009 and continues to function as the central mechanism in providing the shared governance structure for oversight of the PCCD Strategic Plan. The purpose of the PBIM is to provide a clear process for planning and budgeting decision-making throughout the District. The specific functions of the PBIM are to: (1) Integrate planning and budgeting across the four Colleges and the District Service Centers; (2) Bring the expertise of the four Colleges together to focus on trends, best practices, and student learning and success; (3) Support a culture of collaboration; (4) Streamline decision making among the Colleges and District Service Centers by providing a transparent process of collaboration and making recommendations leading to decisions; (5) Provide a mechanism for implementing the District's Mission, Strategic Goals, and Institutional Objectives, and (6) Guides the PBIM membership in recommending shared governance decisions to the Chancellor [DR4.1].

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

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

III. District wide Advisory Committees

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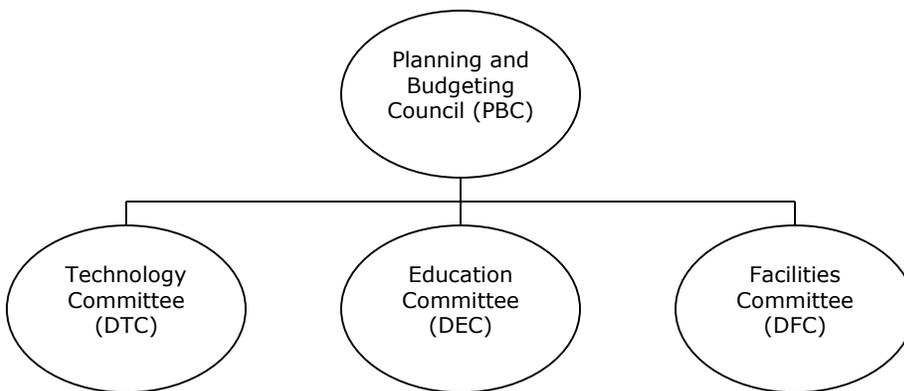
Specifically, the DTC, DEC, and DFC are charged to:

1. Stress the use of Program Reviews and Annual Program Updates (APU) in making decisions.

2. Seek collaborative solutions that utilize resources on a District wide basis.

3. Assist in developing District wide strategies that are acceptable to all Colleges.

4. Provide feedback to the Colleges on decision making.

5. Provide technical reviews of College priorities.

6. Ensure consistency between College requests and existing approved projects and identify opportunities for College-to-College collaboration where resource sharing could be useful and economical.

7. Make recommendations based on long-term Strategic Goals, annual Institutional Objectives, and Program Reviews (and Annual Program Updates).

8. Forward recommendations to the Planning and Budgeting Council (PBC).

   [DR4.2]

IV. Planning and Budgeting Council (PBC)

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

The PBC performs the following specific functions:

1. Affirms consistency in Strategic and educational plans

2. Recommends a coordinated, District wide planning approach

3. Recommends a prioritization of plans across subject areas and Colleges

4. Identifies funding approaches to support priorities.

5. Focuses on educational and resources priorities, Board policies and administrative procedures, and integrated planning and budgeting.

6. Critically reviews recommendations from the subject area Committees.

7. Makes final recommendations to the Chancellor.

The PBC is also responsible for oversight of the District's and Colleges' Strategic Plans. Oversight includes tracking various recommendations and determining whether the recommendations are implemented. If particular recommendations are not implemented, the PBC documents a rationale for its decisions. Finally, the PBC ensures accountability in

planning deliberations by determining whether agreed upon steps in the PBIM process are followed.

V. PBIM Annual August Summit

Each year the District holds its annual PBIM Summit (often referred to as the August Summit) as the "kick-off" event for initiating dialog that will inform the PCCD goals and objectives for the new academic year. In attendance are Senior staff, participatory governance Committees, and other College and District leaders.   The PBIM Summit exists to inform annual work plans, to provide accountability, and to help the leadership to identify where improvements need to be made. This event serves as a valuable planning tradition for the District. The August Summit is generally held offsite and PBIM members are expected to attend and participate. The Chancellor provides a brief overview of the State of the Peralta Community College District. The 2015 August Summit included10 presentations that were intended to reveal a broad understanding of the PBIM to the new Chancellor [DR4.3].   In November 2015, a PBIM Workshop training was held for all Committee members, the goal being to provide more in-depth training for those who serve on the PBIM Committees, especially for those new Committee members [DR4.4].

VI. Implementation of the Strategic Plan Under PBIM

The PCCD Strategic Plan—prepared every 6 years-- is implemented to ensure the participatory process of the institution and the autonomy of the four Colleges [DR4.5]. The PCCD Plan is aligned with the 2013 California Community Colleges System Strategic Plan. [DR4.6].

The PCCD Plan provides the broad direction from which the Colleges can develop their own strategic and operational plans in responding to the populations they serve. The Strategic Plan has sections that include:

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

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

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

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

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

<u>Section VI, Appendix</u>: contains sources utilized in completion of the Plan.

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

In September of each academic year, the PCCD Governing Board also approves the budget that is used in conjunction with the Strategic Goals and Institutional Objectives. In 2015-2016, the budget was approved at the September 8, 2015 Governing Board meeting [DR4.7].

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

PCCD provides a yearly Planning and Program Review calendar, developed by the Vice Chancellor for Finance and Administration and PBC co-chair and used by the PBC. This calendar includes a timeline to develop research, District and College-wide planning, and budget development for use in the evaluation of Strategic Goals and Institutional Objectives. The PCCD Planning and Program Review calendar is a useful reference document for integrated planning for the District [DR4.8].

VIII. PBIM Resource Allocation Processes

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

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

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

In March 2016, the PBC approved a mechanism for the appointment of Ad Hoc Committees. The first Ad Hoc Resource Allocation Task Force to be appointed was the Resource Allocation Taskforce for Classified Staff (RATF-CS), a task force formed to provide more equitable distribution of resources and to strengthen Human Resource Planning by providing a structure for requesting classified staffing not under the purview of DTC, DEC, or DFC [DR4.9].

The following diagrams illustrate the PCCD PBIM resource allocation processes:

A. Faculty Resource Allocation Process

College governance committees prioritize faculty hiring lists based on program reviews and other data and send to President for approval

DEC approves or makes revisions and sends to PBC. PBC does the same and sends to the Chancellor and Cabinet

Chancellor, with advice of Cabinet, and subject to budget considerations, finalizes list
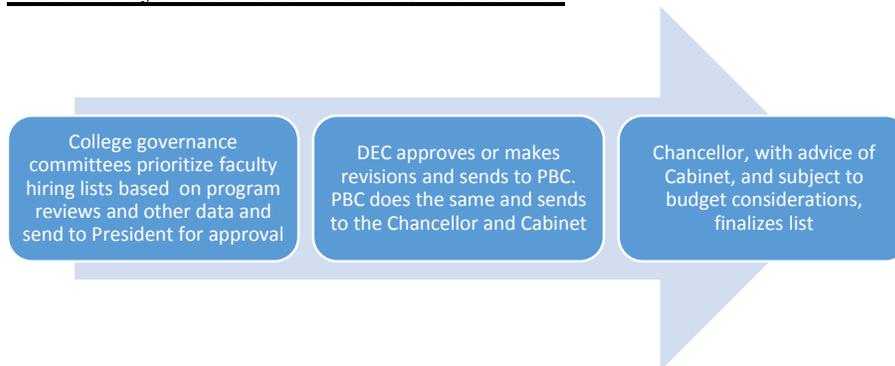
B. Staff Resource Allocation Process (includes addition of Ad Hoc Staff Resource Committee)

| College governance committees and District Service Centers prioritize staff hiring lists based on program reviews and other data | Prioritized staff hiring lists are sent to Ad Hoc staff resource committee, who merges lists into one list and sends to DEC | DEC approves or makes revisions and sends to PBC. PBC does the same and sends to Chancellor and Cabinet | Chancellor, with advice of Cabinet, finalizes list |

C. Technology Resource Allocation Process

| College governance committees and District Service Centers prioritize technology request lists based on program reviews and other data | Prioritized technology request lists are sent to DTC, who merges lists into one list and sends to PBC | PBC approves or makes revisions and sends to Chancellor and Cabinet | Chancellor, with advice of Cabinet, finalizes list |

D. Facilities Resource Allocation Process

| College governance committees and District Service Centers prioritize facilities request lists based on program reviews and other data | Facilities request lists are sent to DFC, who merges lists into one list and sends to PBC | PBC approves or makes revisions and sends to Chancellor and Cabinet | Chancellor, with advice of Cabinet, finalizes list |
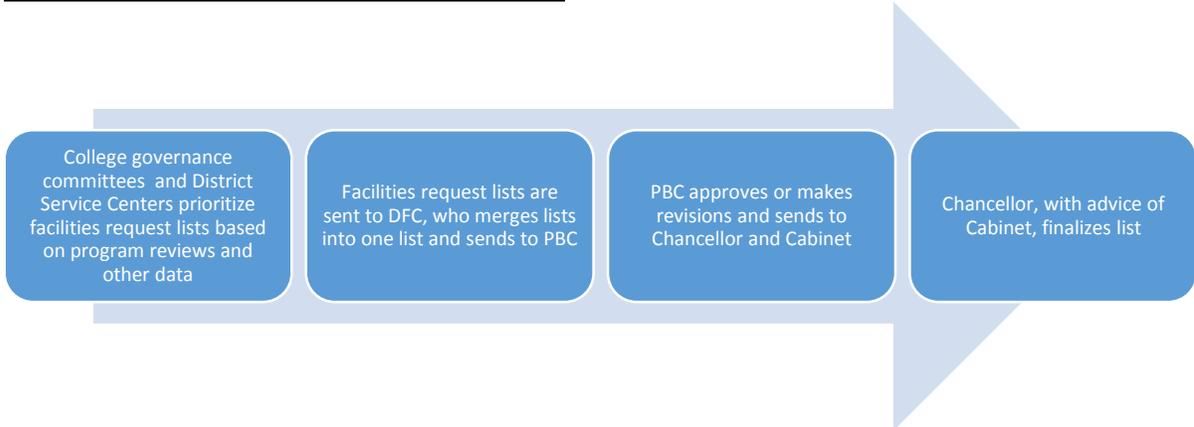
IX. Planning and Budget Collaboration in Shared Governance

Regular and ongoing budget updates are provided to the Planning and Budgeting Council and it is the expectation that information from the three subordinate Committees will be taken back to the Colleges by Committee members. Information is widely shared at College planning committees as well as posted on the District website. Historically, the Vice

Chancellor for Finance and Administration and a faculty member have served as co-chairs. In 2015-2016, the Vice Chancellor for Finance and Administration and the District Academic Senate President served as co-chairs of PBC assuring that reports regarding institutional planning and budget were regularly addressed and/or referred for additional research and discussion. The latter two will co-chair PBC again in 2016-2017 providing planning and budget continuity and leadership from the previous academic year.

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

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

As discussed in Recommendation 8, an ongoing revision of the District's BAM promises to improve the equitable distribution of resources in overall PCCD budget planning, as will the proposed IT Tactical Plan seek to refine and better integrate the role of technology in District wide planning at PCCD. Finally, the Human Resources Staffing Plan which was introduced to PBC in May 2016 [DR4.10] and presented as a "Q and A" Session at the District August 2016 Flex Day, should frame the much needed structure for providing the data to ensure sufficient staffing [DR4.11].

XI. District Program Review

In addition to the District Strategic Plan, the second component of PBIM is Program Review. Every three years, Comprehensive Program Reviews are conducted (and Annual Program Updates in the off years). The Program Review provides a structure and process for resource allocation based on data. Throughout these planning cycles and activities (yearly, every three years, and every six years), the collective results aim to achieve the strategic goals of the Peralta Community College District.

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

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

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

The primary goals for Program Review aim to:

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

The District Program Review process of 2015-2016 began with a Program Review Task Force that met frequently beginning in Fall 2014, with the ongoing purpose of updating all

Program Review Handbooks [DR4.12]. The Colleges and District Service Centers completed their Program Reviews at the end of January 2016. In February 2016, the Task Force validated all Program Reviews and created a matrix of all results using the validation rubric that is listed in the appendix to the District Service Center Program Review Handbook [DR4.13].   All Program Reviews have sections for Human Resource needs, Equipment and Technology needs, Facility needs, Professional and Organizational Development needs, as well as sections to include "other" needs. Each of these areas require the linking of requests to an Administrative Unit Outcome and a Program Improvement Objective, and the provision of a specific reason and/or evidence of the need.

In May 2016, 13 recommendations developed by the Program Review Task Force were distributed to the District Academic Senate (DAS) and the District Education Committee (DEC). Specific recommendations included the creation of a permanent District wide Program Review Committee, the revision of the College Program Review Handbooks, the recommendation to conduct more training opportunities for researchers on data collection, the recommendation to provide specific training for faculty and staff, and a recommendation to require each College to provide annual summaries and lists that address all components of Program Review and Annual Program Unit (APU) documents [DR4.14].

XII. PBIM Annual Assessment

At the end of each academic year, a PBIM assessment is conducted. The goal is to assess what worked well and what could be improved. The results are reviewed by the PBIM Committees at the next academic year's August Summit and during the first PBC meeting of the academic year. Setting annual objectives and reporting progress in attaining those objectives are critical tools for effectively managing the District and the Colleges. The 2014-2015 goals assessment suggested the need for making some revisions to the overall PBIM process [DR4.15].   The primary areas of improvement were:

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

4. The alignment with PCCD Strategic Goals and Institutional Objectives

The PBIM 2015-2016 assessment revealed that there are areas where PBC is well received. For example, survey comments included: "good engaged participation," "having a forum for people across the District to get informed," "The PBIM process is good for promoting communication across the District...," "meeting regularly," etc. Other comments indicated dissatisfaction, e.g., "not clearly defining task…," "downsize the group…too many people," "Too many agenda items," "too often the District perspective is lost and College-level discussions take over meetings…," etc. [DR4.16].

At the May 2016 meeting of PBC, the Chancellor addressed the PBC and distributed a draft plan that envisions a restructure of PBC for the membership to consider in the 2016-2017 academic year, his reasoning being that restructuring could improve PCCD's overall existing planning and budget decision making process based upon the current PBIM and the District reorganization [DR4.17]. The Chancellor emphasized the need to respond to PBC recommendations and resolutions and asked that either the Chancellor or the Chief of Staff be regularly scheduled on the PBC agenda to be provided an opportunity to engage in discussion and to present reports. His suggestion was a direct response to discussions in PBC in Spring 2016 that revealed what is missing in the charge of the PBC is a more collaborative consultation with the Chancellor. In order to ensure that the Chancellor can formally address PBC recommendations, a PBC form was created to document recommendations forwarded to the Chancellor, thus reducing the potential for miscommunication. The 2015-2016 Strategic Goals and Objectives will be assessed and results discussed at the first PBC meeting in September.

XIII. PBIM Summit: August 2016

The 2016 PBIM August Summit was held on August 26, 2016. The agenda reflected suggestions from the PBIM May 2016 Assessment such as "create protocols for all communication streams," "communication should be task oriented," "provide budget, planning, and/or policy info at the first meeting of the year…" [DR4.18]. The principle focus of this year's PBIM was to strengthen the shared governance process by including more

specific training for the PBC members, e.g., familiarizing participants with the Brown Act and Robert's Rules of Order, and addressing the need to create more uniform Agenda and Minute taking protocols.

Additionally, Summit activities were designed so that all PBIM members understood their roles and that there would be opportunities to progress in meeting 2015-2016 goals and objectives, to encourage collaboration in creating more uniform systems to enhance communication between the District and Colleges, and to effect brainstorming innovative ways in which all District and College constituents could assist in expanding student success. The District PBIM Committees convened to initiate dialogue in the developing of Goals and Objectives for the academic year. These suggestions will be brought forward to PBC where 2016-2017 goals will be determined. As PBC has now created a mechanism to develop Ad Hoc Committees, the PBIM Committees should be able to accomplish more in between the monthly PBC meetings so as to streamline PBC agendas and to be more productive and efficient.

XIV. Conclusion

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

The PBIM links program review, planning, and the equitable distribution of resources with the goal of reordered planning priorities to support student learning and achievement. The recent recommendation that the District should create a standing District wide Program Review Committee, revise College Program Review Handbooks, conduct more training opportunities for researchers, faculty, and staff, as well as to require each College to provide annual summaries for Program Review, will set the conditions for better utilization of Human Resources, Facilities, Technology, and Fiscal Planning strategies by the District and the Colleges.

The District will continue to be engaged in the ongoing assessment of PBIM, and as changes are being discussed and implemented, plans to further refine the PBIM structure and to consider more innovations applicable to improving shared governance planning and budgeting in 2016-2017 will be reviewed. The District has met Standards III.A.6, III.B.2, III.C.2, III.D.4, IV.B.3.g, and will continue its work to improve, identify, document, and assess the structures that lead to the improvement of student success.

RECOMMENDATION 4: DISTRICT RESPONSES	
Evidence	**Title of Evidence Document**
DR4.1	PBIM Overview Aug. 14, 2014
DR4.2	PBIM Overview Aug. 14, 2014 Roles and Responsibilities
DR4.3	PBIM Summit Agenda Aug. 28, 2015
DR4.4	PBIM Workshop Nov. 19, 2015
DR4.5	2015 Strategic Plan Apr. 29, 2015
DR4.6	CCCCO System Strategic Plan June 20 2013 Excerpt
DR4.7	PCCD Board Agenda Sept. 8 2015 Budget Approval
DR4.8	PCCD Planning and Program Review Calendar
DR4.9	RATF-CS May 27, 2016 Minutes
DR4.10	PBC Meeting Minutes May 27, 2016
DR4.11	District Flex Agenda, Aug. 17, 2016
DR4.12	PR Task Force May 10, 2016 Meeting Minutes
DR4.13	Program Review Handbook
DR4.14	Spring 2016 Program Review Task Force
DR4.15	PCCD Planning & Budgeting Council 2014-2015 Assessment of Goals
DR4.16	PBIM Assessment Survey, May 2016
DR4.17	Chancellor's Proposed PBIM Restructure
DR4.18	PBIM Summit Agenda Aug. 26, 2016

Recommendation 5:

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

Overview:

Recommendation 5 addresses the need for the District to: 1.) Retain key leaders, and, 2.) Ensure that adequate staff is available to meet the demands of three critical areas: Institutional Effectiveness and Leadership, Institutional Research, and Financial Accountability and Management**.**

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

A. Introduction

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

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

B. Appointment of New Chancellor

In January 2015, the extant Chancellor announced his intent to retire effective July 2015. The Board of Trustees initiated a national search for the next Chancellor and instructed the Human Resources Office to begin the search. Through a public and competitive process, the Board selected a search firm from the California Community College Search Services [DR5.1]. In February 2015, the PCCD Governing Board then utilized a Survey Monkey to solicit public input in the community regarding what characteristics and attributes were desired in the next Chancellor. [DR5.2].

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

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

Additionally, in February 2015, the Board conducted a public forum with the search consultant to discuss the Survey Results and to finalize the Chancellor's profile [DR5.3]. Following a successful search, the Board appointed a new Chancellor who assumed his post on July 1, 2015.

The Chancellor's Opening Address at the Districtwide Flex Day in August 2015 reflected his commitment to strengthen Institutional Effectiveness and to make changes that would include professional development opportunities to retain key leadership. At this time, the "New Peralta Way" was introduced, a District initiative calling for changes to strengthen and retain leadership and to redouble efforts to provide better District Support Services to the Colleges and to improve student success. [DR5.4]. In part, his "New Peralta Way" vision was informed by a comprehensive Chancellor survey (August 2015) that encouraged the PCCD

community to make suggestions to guide the new Chancellor to effect change [DR5.5]. After considerable consultation and deliberation, in February, the Chancellor announced plans for a Reorganization, which would be ongoing throughout the academic year [DR5.6].

In less than one year, the Reorganization has been gradually implemented, to include the addition of new positions or the reassignment of in-house personnel to reflect the Chancellor's pledge to ensure that staffing and leadership are more stable and centered on student success and serving the community.

II. PCCD's Reorganization of Select Administrators and Staff

In implementing the "New Peralta Way," with its aim to provide more District support to the Colleges and to further student success, certain new key leadership positions were developed. Other existing positions were evaluated and modified to best fit the needs of the District and the Colleges.

A. Vice Chancellor for Finance and Administration

A new Vice Chancellor for Finance and Administration was hired in August 2015 [DR5.7]. Since the new Vice Chancellor for Finance and Administration assumed the post, much of the initial focus has been to resolve the District's financial audit findings, some of them recurring, to address a plan for the District's OPEB Program, and to lead a cross functional Task Force to evaluate and refine the existing Budget Allocation Model (BAM) for the District [DR5.8].

The new Vice Chancellor for Finance and Administration also recognized the need for some additional staffing to enhance the District's internal controls and to improve support service levels to the Colleges. Two new positions were created and filled: a Payroll Manager (filled in June 2016) and a Senior Accountant (filled in March 2016). [DR5.9]. In November 2015, a new Budget Director was hired to replace the interim [DR5.10]. Further evaluation of staffing is in progress to ensure succession planning and strengthening of the Finance and Administrative operation.

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

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

As the District reassessed its needs and determined how best to effectively provide District level support to the Colleges regarding institutional research and institutional effectiveness, the District decided to eliminate the position of Deputy Chancellor and developed, in its place, the position of Special Assistant to the Chancellor and Chief of Staff. [DR5.11]. In addition, under the District's reorganization, the Chief of Staff was assigned responsibilities for the Institutional Research Office, Child Development Centers and District Policy and Procedure Coordination, which were previously under the office of Educational Services. The Chief of Staff also provides supervisory support of the Coordinator of Contracts and Legal Affairs in liaison with external legal counsel.

C. Vice Chancellor for Student Services (reestablished)

The Vice Chancellor for Student Services position was eliminated in 2013 and at that time, the Associate Vice Chancellor assumed leadership. However, under the Chancellor's Reorganization, the Vice Chancellor for Student Services position was re-established in July 2016 to provide a higher level of leadership to Student Services and to replace the departing Associate Vice Chancellor for Student Services. Additionally, the reinstatement of the Vice Chancellor of Student Services was a direct response to the Governing Board/Chancellor goal to improve Student Services throughout the District. Because many PCCD students attend more than one College, reestablishing this position should ensure greater interaction among the Colleges, the District, and Student Services' staff [DR5:12].

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

The Executive Vice Chancellor (EVC) position was developed to provide support for strategic direction, to develop partnerships, to build community support, and to provide government and corporate advocacy. The EVC will lead efforts to fund innovation in the District [DR5:13].

E. Vice Chancellor for Academic Affairs (new)

As part of the District's reorganization and to provide additional support to the Colleges for strengthening student success, the District developed the position of Vice Chancellor Academic Affairs; an interim was appointed to this position and began work on August 1, 2016 [DR5:14]. The Vice Chancellor for Academic Affairs, who oversees all academic and student affairs for the District and Colleges, serves to strengthen the overall academic character of PCCD.

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

The District--with a renewed commitment to lead efforts to expand contract education, to develop noncredit education, and to expand contact to the business community--developed the position of Associate Vice Chancellor for WDCE. In the past, the District has lacked the leadership to provide the non-credit opportunities that could foster support for social justice. The Interim Associate Vice Chancellor began work on July 1, 2016 [DR5.15].

G. Assistant Vice Chancellor for Enrollment Management (new)

To increase the four Colleges' outreach efforts to their respective high schools and to the communities served, the District developed the position of Assistant Vice Chancellor for Enrollment Management. Because the District had not adequately planned for enrollment volatility-- as is seen in its recent struggle to maintain sufficient enrollment--funding was reallocated to establish the new Assistant V.C. for Enrollment Management to address enrollment management issues District wide.   An interim was appointed and began duties on July 1, 2016. [DR5.16]

H. Director of Human Resources

In February 2016, the PCCD Governing Board ratified the Chancellor's appointment of an Interim Director of Human Resources [DR5.17]. The new Interim Director has extensive experience in Human Resources which has enhanced Human Resource support and services to the District and Colleges.

I. Risk Manager (re-classified)

The Office of Risk Management provides support and training to the Colleges regarding worker's compensation, hazardous materials, health and safety training for employees, and emergency preparedness. In November 2015 the District Director for Risk Management accepted another position in private industry. To ensure that the Colleges maintained the support provided by the Risk Management Office, the District engaged its insurance JPA (Joint Powers Agreement) and leveraged the services provided under this Agreement to augment and provide risk management training and support services to the Colleges. [DR5.18]. In addition, the Risk Management function was removed from the Office of the General Counsel and returned to the administrative oversight of the Vice Chancellor for Human Resources and Employee Relations. The District then reassessed the Director position and determined that it would not be filled at the "Director" level, and, instead, the position was reclassified to that of Risk Manager. This position is expected to be filled by December 2016.

J. Director of Facilities and Operations

The current Director of Facilities and Operations (interim) provides support to the Colleges regarding physical facilities and resources; the position is expected to be filled on a regular basis again by November 2016 [DR5.19].

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

This position was developed to support and provide fiscal oversight to the Workforce Development and Continuing Education Program.   The District appointed an interim Budget Director who began duties on August 3, 2016. [DR5.20].

L. Director of Capital Projects was hired in August 2016 and will provide much needed support for the management of bonds [DR5.21]. The Director position and the reorganization of DGS, allows for strengthening bonds' maintenance, while at the same time, allowing Maintenance & Operations (under DGS) to pay greater attention to facilities. The Director will also provide support to PCCD's TCO implementation.

III. Administrative Support for Enhanced Institutional Effectiveness at the Colleges

The District has sought to provide the necessary Human Resources' support and budget allocations to the four Colleges to continue to ensure leadership retention and adequate staffing positions that address institutional effectiveness and enhance institutional research. Two positions (below) have the potential to expand and refine District/College coordination:

A. Director of College Operations (under consideration)

The Director of College Operations is now being considered and will be brought to PBC in Fall 2016 for discussion. The intent of this position is to provide additional support for Facilities and IT, with special consideration to strengthen safety and security functions.

B. Associate Deans of Educational Success (new)

The Associate Dean of Educational Success, allowing for one Associate Dean at each College, was developed to provide additional support to the Colleges' Student Success Programs. The positions are grant funded and will be filled on an interim basis beginning Fall 2016. This position fulfills a need to integrate services provided to special populations that are normally scattered among the Colleges. Furthermore, the position is designed to strengthen support and to ensure continuity to Programs that address the achievement gaps among various student groups as well as to support equity goals [DR5.22]

Furthermore, new positions and reassigned positions have included the following key personnel changes at each College.

A. LANEY COLLEGE

1. **Laney College President**

In February 2016, the President of Laney College accepted the new position of Executive Vice Chancellor for Strategic Partnerships and Advancement at the District Office. The District ensured continuous leadership and support to Laney College through the appointment of an experienced college president (retired) as Interim President who began on March 1, 2016, and an anticipated start date of January 2017 for the new President.

2. **Dean of College Research and Planning (new)**

In February 2015 the College initially established the position of Vice President of Strategic Planning and Institutional Effectiveness, which was filled as an Interim, as the College wanted to access whether a Vice President or a different administrative classification (e.g., Dean) was most effective to meet its needs. The assessment determined that the creation of a new Dean of College Research and Planning would provide sufficient outreach and planning to support both Laney and Berkeley City Colleges [DR5.23]. On July 1, 2016, the District appointed an interim Dean of Research and Planning to provide 50/50 support to both Laney and Berkeley City College.

B. BERKELEY CITY COLLEGE

1. **President, Berkeley City College**

In December 2015, the President of Berkeley City College who had served for four (4) years, accepted the Chancellorship at another community college district. A new President of BCC assumed the position on July 18, 2016, following two interims.

2. **Dean of College Research and Planning (new)**

In July 2015, the College established the position of Vice President, Planning and Institutional Effectiveness to serve through June 30, 2016 [DR5.24]. The BCC Vice President of Student Services was temporarily reassigned to this position After assessing this position, BCC determined that a Dean of College and Planning would best fit its needs. Currently, the new position is shared with Laney (see above).

3. **Vice President Student Services and Dean(s) for Student Services**

Currently BCC has an interim Vice President of Student Services with the position expected to be filled on a regular basis in January 2017. Moreover, to provide additional support and leadership to the College, the District, at its July 2016 Board meeting, appointed on a one-year interim basis, one additional Dean for Student Services, for a new total of two Deans. The one-year assignment will provide the College the opportunity to evaluate the effectiveness of a second Dean position.

C. MERRITT COLLEGE

1. President

The President of Merritt College served for two years. However, in June 2016 the President, with a background in student services, was reassigned to serve as the District's Vice Chancellor of Student Services (this position had been eliminated in 2013). The District then appointed an interim President for Merritt, who assumed the position on August 2, 2016. The District will recruit to fill the regular position with an anticipated start date of July 2017.

2. Vice President of Instruction

In April 2016, Merritt College appointed a Vice President of Instruction who assumed duties on May 2, 2016.

3. Researcher (reassessed position)

In assessing its staffing to better support institutional research, Merritt College determined that a classified full-time position best met this need. In November 2015, the College hired a full-time classified employee in the position of Researcher.

D. COLLEGE OF ALAMEDA

1. President

On June 30, 2016, the College President resigned to accept the position of Superintendent/ President with another district. The District then appointed an experienced Interim President. A search is underway for a permanent President.

2. Vice President of Student Services

The Vice President of Student Services assumed full-time duties on July 26, 2016.

3. **Dean of College Research and Planning (new)**

After careful assessment, College of Alameda determined that the position of Dean of College Research and Planning best met its needs. A full-time position is currently being re-advertised [DR5.25].

IV. Human Resources' Support for Faculty Hiring and Evaluation

A. Hiring

During 2014-2016, and without an augmentation in regular staffing, Human Resources handled approximately 100 recruitments, including 41 new faculty positions for Fall 2015, which resulted in Human Resources receiving and processing over 1,500 applications for 41 vacancies. For the Fall 2016 hire, during the Spring 2016 semester, the District recruited and filled an additional 14 faculty vacancies.

B. Evaluations of Part-time Faculty

Since the ACCJC Team visit in 2015, the Colleges have made considerable progress to complete all outstanding part-time faculty evaluations on time. In order to ensure that all evaluations due were completed by the end of the Spring 2015 semester, each College developed an Evaluation Action Plan. As a result, Merritt College, Berkeley City College, and College of Alameda achieved their goals. Laney College did not achieve its goal in completing timely evaluations for all part-time faculty for the following reasons:

- The sheer quantity of part time evaluations. Over 100 part-time evaluations due to be completed by Fall 2015 were not completed.

- Lack of effective management oversight at the Colleges to ensure evaluations were on schedule.

- Turnover in the administrative leadership of the College, in particular Student Services (vacancy in November 2015), and the reassignment of the Vice President of Student Services.

In Fall 2015, release time was assigned to a faculty member to provide support to Laney to schedule and coordinate the part-time faculty evaluation cycle. Nevertheless, several grievances were filed by the Peralta Federation of Teachers (PFT) over the College's failure

to comply with a former grievance resolution to evaluate timely all part-time faculty. As of the Spring 2016 semester, however, Laney College has made significant progress and attained an 85 % evaluation completion rate.   Furthermore, evaluation grievances have been resolved. Additionally, the three other Colleges have evaluated all part-time faculty within the contracted timeframe, i.e., Merritt College completed 100% of all evaluations in Fall 2015 and Spring 2016; Berkeley City College completed 84 of 89 evaluations and is scheduled to complete all evaluations in Fall 2016; College of Alameda will be completing 100% of all evaluations in Fall 2016.

V. PCCD Commitment to Retain Key Leadership

Since the March 2015 accreditation visit, the District has made a commitment to ensure the ongoing retention of key leadership.   "Strengthen accountability, innovation and collaboration" was a stated Strategic Goal for the PCCD 2015-2016 Academic Year and enhancing leadership to support student success was a primary focus [DR.5.26]. Given this focus, the following activities were emphasized:

A. Enhanced Professional Development Opportunities

In addition to the new Chancellor's District Reorganization, as a deliberate response to the Institutional Goals to "strengthen institutional effectiveness and leadership," "to advance student success," and "to engage and leverage partnerships in the community and abroad," another District Goal in 2015-2016 was the goal to enhance professional development opportunities to encourage retention of high caliber leaders and to encourage innovation.

In Spring 2016, a PCCD Management Leadership Development Academy of Peralta (MLDAP) was instituted by the Chancellor. MLDAP was created to develop leaders within the existing PCCD faculty and staff, to provide greater depth to the organizational structure, and to reduce administrative turnover. The MLDAP participants engaged in an intensive three-day training program that was centered on the enhancement of professional goals. All were asked to design and implement innovative projects that will improve the District's services to the Colleges. For example, one such project "On-Boarding Cohort," was initiated by the District's Benefit Coordinator, along with six other colleagues. This project is

comprised of a "cross-section of District managers from a breadth of administrative and student service professions who will collaborate to deliver a streamlined, efficient and transformative opportunity to the new Peralta employee." The project has four phases focusing on 1.) new employee orientations, 2.) training, 3.) professional development, and 4.) employee recognition and appreciation [DR5.27].   Furthermore, the faculty development budget was increased by 50%, a budget that had been static for numerous years.

B. Leadership Retreats

The District has held the following leadership retreats, organized by the new Chancellor: in September 2015, December 2015, and July 2016 (Board Retreats) and in December 2015 and January 2016 (Leadership *and* Management Retreats). The focus of these retreats was to provide mentoring and professional growth opportunities for all PCCD leaders and to strengthen leadership stability. [DR5.28]. Another Board Retreat is scheduled for October 2016.

C. Leadership Evaluation

During the 2014-2015 evaluation cycles, with very few exceptions, all managers were evaluated. In those cases where an evaluation was not conducted, turnover in supervision was sometimes the cause.   At the time of the last Team visit, some senior level evaluations had not yet been completed by the retiring Chancellor and therefore, could not be located. However, all senior level evaluations are now up to date.

During the 2015-2016 Management Performance Evaluation cycle, which began on July 1, 2015 and ended on June 30, 2016, all evaluations were conducted and placed in the Human Resources personnel file. As part of the ongoing efforts to improve assessment and to ensure that management goals are better defined and tracked for results, the Chancellor has added a component to the Management evaluation instrument applicable to the members of the Chancellor's Cabinet. The performance indicators will be assessed in the 2016-2017 year [DR5.29].

VI. Creation of a Human Resources Staffing Plan and Exit Interviews

The Human Resources Office has developed a Staffing Plan that was reviewed in Chancellor's Cabinet and presented to the Planning and Budgeting Council (PBC) at their May 2016 meeting. Specifically, the Staffing Plan will:

- Forecast the recruitment needs by assessing employee's potential retirement date

- Establish an objective method to assess the need for replacement and recruitment based on the Colleges and District's needs

- Develop a vacancies prioritization process to identify the most critical vacant positions and to expedite the recruitment process of vital positions, within budget constraints

- Include an evaluation mechanism

At the end of the 2016-2017 academic year, the District will evaluate the effectiveness of the Human Resource Staffing Plan [DR5.30]. Furthermore, the Interim Director of Human Resources created an "Exit Interview" form, with the purpose of collecting specific data pertaining to employee satisfaction [DR5.31].

In August 2016, the Vice Chancellor of Human Resources and the interim Director of Human Resources conducted a presentation of the Staffing Plan during the District's Flex event to provide an opportunity for all College and District constituents to make suggestions and to ask questions about the new Staffing Plan and the Exit Interview form. Here, the forum for dialogue was central to the ongoing evaluation of the new documents. Finally, the implementation of the Exit Interview forms were initiated in August 2016. Both the Exit Interview Form and the Staffing Plan will be evaluated in April 2017.

VII. Conclusion

Under the leadership of the new Chancellor, PCCD leadership has been significantly re-evaluated to ensure adequate staffing capacity, and to introduce new measures to retain key leadership. Additionally, the expertise of the new Vice Chancellor for Finance and Administration has fulfilled a critical need at Peralta for strengthening financial accountability and stability. With increased emphasis on sharpening institutional

effectiveness, enhancing financial accountability, and advancing a more strategic approach to the development of institutional research, PCCD has improved its overall educational focus and meets Standards III A.2 and III A.6.

RECOMMENDATION 5: DISTRICT RESPONSES	
Evidence	Title of Evidence Document
DR5.1	Special Board Meeting Minutes, Feb. 3, 2015: New Chancellor Search
DR5.2	Survey Monkey for Selection of Chancellor, Feb. 18, 2015
DR5.3	Public forum summary for Chancellor's Profile
DR5.4	Chancellor's Address to Faculty and Staff, Aug. 19, 2015
DR5.5	Chancellor's Survey Aug. 2015
DR5.6	Chancellor Reorganization Memo, Mar. 1, 2016
DR5.7	Governing Board Minutes, July 2015: Appointment of Vice Chancellor for Finance & Administration.
DR5.8	Budget Allocation Model (BAM)
DR5.9	Governing Board Minutes, June 14, 2016 Payroll Manager and District Senior Accountant appointments: JDs and Board Minutes
DR5.10	Governing Board Minutes, Nov. 10, 2015: Budget Director's appointment
DR5.11	JD for Special Assistant to the Chancellor and Chief of Staff
DR5.12	JD for Vice Chancellor of Student Services
DR5.13	JD for Executive Vice Chancellor for Strategic Partnerships
DR5.14	JD for Vice Chancellor of Academic Affairs
DR5.15	JD for Associate Vice Chancellor for Workforce Development Continuing Education (WDCE)
DR5.16	JD for Assistant Vice Chancellor of Enrollment Management
DR5.17	Feb. 23, 2016, Report of Closed Session Actions regarding the Interim Human Resources Director's appointment
DR5.18	Joint Powers Agreement for Risk Management
DR5.19	Approved ePAF #21211 for the Interim Director of Facilities and Operations
DR5.20	JD for Budget Director for Workforce Development and Continuing Education
DR5.21	JD for Director of Capital Projects
DR5.22	JD for Associate Dean of Educational Success
DR5.23	JD Dean of College Research and Planning
DR5.24	JD VP of Planning and Institutional Effectiveness
DR5.25	COA Dean of College Research and Planning Job Posting Details
DR5.26	Strategic Goals and Institutional Objectives 2015-2016
DR5.27	MLDAP agenda for June 1-3, 2016 Sessions
DR5.28	PCCD Leadership Retreat Agendas
DR5.29	Management Goals and Measurable Outcomes Matrix Memo, Dec. 14, 2015
DR5.30	District's Human Resources Staffing Plan
DR5.31	Exit Interview Form

Recommendation 6

"In order to meet the Standards, the team recommends that the District clearly delineate and communicate the operational responsibilities and functions of the District from those of the Colleges and consistently adheres to this delineation in practice; and regularly assesses and evaluates the District role and delineation and governance decision-making structures and processes to assure their integrity and effectiveness in assisting the Colleges in meeting educational goals (IV.B.3)."

I. Introduction

The substance of Recommendation 6 urges the District and Colleges to attend to the following five key responsibilities: 1.) Delineate functions and responsibilities between the District and the Colleges. 2.) Effectively communicate the functions of the District and the Colleges. 3.) Regularly assess the respective functions and responsibilities of the District and the Colleges, and, 4.) Create a plan to implement assessment findings and to monitor progress.

II. Creation of a Specific PCCD Strategic Goal to Respond to Recommendation 6

In August 2015, the District held its annual participatory governance Summit meeting, one of its primary purposes being to construct Strategic Goals for 2015-2016. In response to Recommendation 6, Strategic Goal D, "Strengthen Accountability, Innovation and Collaboration," was created, and has, as one of its objectives, to: "Evaluate and update policies and administrative procedures, the overall PCCD organizational structure, and functional responsibilities within the District" [DR6.1]. The PBIM Summit attendees determined that one method of more clearly delineating the functions and responsibilities between the District and the Colleges was to conduct a more comprehensive District Program Review, work which was originally initiated in late Fall 2014.

The Vice Chancellor of Educational Services, in consultation with faculty and District Service Center leadership then developed an Action Plan to address the following tasks:

- To design and implement a District Service Center Customer Satisfaction Survey (follow-up from the 2013 Survey) as a means to more finely evaluate the services provided by the District to the Colleges.

- To continue the work of the District Program Review Task Force to refine the existing District Program Review process.

- To create a series of Delineation of Function Charts to more clearly articulate the operational functions of the District as compared to the Colleges. [DR6.2].

III. Refining District Program Review

PCCD defines its Program Review as a "Systematic process for the collection, analysis, and interpretation of data……providing accountability….to inform integrated planning, resource allocation, and decision-making." More specifically, Program Review serves to:

- Ensure quality and excellence of academic programs.

- Provide a standardized methodology for review of instructional areas.

- Provide a mechanism for demonstrating continuous quality improvement, producing a foundation for action.

- Identify effective and exemplary practices.

- Strengthen planning and decision-making based upon current data.

- Identify resource needs.

- Develop recommendations and strategies concerning future directions and provide evidence supporting plans for the future, within the department, at the College and at the District level.

- Inform integrated planning at all levels within the College and the District.

- Ensure that educational programs reflect student needs, encourage student success, nd improve teaching and learning.

The District recognized that in order to better articulate the delineation of functions between the District and the Colleges that Program Review was indeed the right mechanism by which that differentiation could be made. Accordingly, the District began its reform of Program Review in the Fall of 2014 with the appointment of a Program Review Task Force comprised of appointments from the District Academic Senate and appointments from the administration.

As discussed in District Recommendation 4, the purpose of the Program Review Task Force is to evaluate the District Program Review process and to make Program improvements. The Task Force continued to meet in Fall 2015 and Spring 2016 to examine and to validate all District Office Service Center Program Reviews [DR6.3].

The District Service Centers and sub-units who completed the Program Review were: Educational Services (which includes Admissions and Records, Institutional Research, Financial Aid, International Education, and Childcare Centers); Department of General Services; General Counsel and Risk Management; Human Resources; Finance and Administrative Services; Public Information, Media, and Communication; and, Information Technology. All Program Reviews have sections for Human Resource needs, Equipment and Technology needs, Facility needs, Professional and Organizational Development needs, as well as a section to specify "other" needs. Each section requires linking requests to an Administrative Unit Outcome and a Program Improvement Objective, and to provide a reason and/or evidence of a specified need.

The Program Review Task Force determined that in order to more effectively evaluate the delineation of functions between the District and the Colleges, a new component was needed. The new component, namely "section 4," addresses services provided from the District to the Colleges and reads as follows:

"Please describe the primary functions of your administrative unit as they relate to District wide operations and the goals of the Colleges. Include the relationship and engagement with other District Service Centers and /or administrative units, the services that are provided the Colleges versus the District Office, and the effect these relationships have on the ability of the administrative unit to meet its previous goals and objectives" [DR6.4].

In addition to adding this new section to Program Review, the Program Review Task Force determined that the District's Service Center Administrative Unit Program Review Handbook needed to be evaluated and revised.

In November 2015, training was provided for the leadership of all District Office Service Centers to review the new requirements for Program Review. At the training meeting, a

revised Program Review Handbook was distributed to all [DR6.5].

After Program Reviews were completed, they were submitted to the Program Review Task Force for further review and validation. Once the Program Reviews were validated, the Program Review Task Force compiled resource requests and sent them to the various PBIM Committees for prioritization, i.e., DEC, DFC, and the DTC. Finally, a list of all requests was forwarded to the PBC for review and potential recommendation to the Chancellor [DR6.6].

In February 2016, the Task Force conducted a survey of Program Review for the District and the Colleges. The survey included questions pertaining to timelines, data collection methodology, and training. Common concerns across the District pertained to the utilization of data and program review timelines, in addition, some protested that the distribution of data was incomplete and that training was often inadequate [DR6.7]. As reported in Recommendation 4, in May 2016 recommendations developed by the Program Review Task Force advocated for a permanent District wide Program Review Committee to continue to refine Program Review function [DR6.8].

IV. Development of Interactive District Functions Charts

In December 2015, the Vice Chancellor of Educational Services prepared an initial draft of the District Function Charts to provide details of the operational responsibilities and delineation of functions that the District Service Centers provide to the Colleges. The Functions Charts, when viewed online, allow the user to navigate among the different District Service Centers and their sub-units to see the functions provided for the Colleges.

There are three levels of charts: District Service Centers, Service Center Sub-Units, and Functions of Service Center or Sub-Units. The following screen shot provides the schema:

DISTRICT SERVICE CENTER

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DISTRICT FUNCTIONS

Human Resources
Employee Relations

Conduct complaint investigations relating to harassment, unlawful discrimination, complaints, and employee conduct.
Provide advice and assistance to managers/supervisors related to employer-employee relations and interpersonal conflict.
Provide guidance and counsel to managers on matters related to employee disciplinary actions and the implementation of the progressive disciplinary process.
Develop, recommend, and implement district-wide procedures regarding EEO, nondiscrimination, sexual harassment awareness and prevention, and Title IX compliance.
Develop and provide initial and on-going district-wide training related to all aspects of EEO and diversity for purposes of compliance and enhancing awareness and sensitivity.
Coordinate and implement the District's diversity program and activities.
Implement plans to increase workforce diversity, and develop initiatives to enhance and promote diversity district-wide.
Provide guidance and direction to managers/supervisors on the collective bargaining grievance process and the resolution of grievances.

The Functions Charts were sent to the District Educational Committee, the PBC, the Deans and Vice Presidents, the District Academic Senate, the District Classified Senate, and the Chancellor's Cabinet and posted to the Web for all constituents to review and to make any suggested edits [DR6.9]. The revisions to the District Functions charts are particularly valuable as the District has initiated a Reorganization, and constituents continue to provide feedback to perfect the understanding of District/College functions.

V. District Organization Charts

In addition to the Functions Charts, District Organization Charts were created to better depict the delineation of functions between the District and the Colleges. The Organization Charts

show the personnel positions for each District Service Center and the hierarchy of each position, whereas the Functions Charts show the responsibilities inherent in each position at the Center level. The Organization Charts complement the Functions Charts. Both are necessary to understand the workings of the District Service Centers and are essential to understanding the structure and dynamics of a work environment with its numerous independent units. As the District has engaged in its reorganization, the Organization Charts have needed revision to complement the Functions Charts; the District will continue to revise both documents [DR6.10].

VI. District Functions Matrix

In Spring 2016, the Vice Chancellor of Educational Services and the Executive Vice Chancellor of Strategic Partnerships and Advancement collaborated to revise a 2014 District Functions Matrix that provides a comprehensive narrative of the delineation of functions. The Matrix details indicators that depict College/District responsibilities labeled as Primary, Secondary, Shared, or Not Applicable, and is organized around Accreditation Standards. The most recent version of the Functions Matrix was completed in May 2016 and brought to the PBC for distribution to the Colleges, Cabinet, and the Presidents' Meeting, for review and discussion, was published in C-Direct, and posted on the Accreditation Web page [DR6.11]. As the Colleges and District continue to review the District Functions Matrix, revisions will undoubtedly be forthcoming.

VII. 2015 District Service Center (Customer Satisfaction) Survey

In November 2015, the Vice Chancellor of Educational Services developed and administered a District Service Centers Customer Satisfaction Survey to evaluate services provided by the District Service Centers. This survey was a follow-up survey to a similar one administered in 2013 [DR6.12].

The aim of the 2015 Customer Satisfaction Survey was to determine if, in fact, the District Service Areas put into practice their stated goals and to assess the effectiveness of the Service Center operations. The Customer Satisfaction Survey stated: "we ask your opinion about experiences you have had with each of the District Service Centers during the past

year." The survey was available to be completed online through November 24, 2015. Those Service Centers addressed in the satisfaction survey were:

- District Admissions and Records (A&R)
- Chancellor's Office
- Educational Services
- Finance
- District Financial Aid
- General Counsel
- General Services
- Human Resources (HR)
- Information Technology (IT)
- Institutional Research (IR)
- International Education
- Public Information
- Risk Management

A. Comparison of Fall 2015 and Fall 2013 District Service Centers Survey Results

To assess whether the utilization of and satisfaction with the services provided by the District Service Centers had changed between Fall 2013 and Fall 2015, the results for the 10 Service Centers that were evaluated for both periods were compared.

In Fall 2013, 286 respondents completed the survey, about 19.6% of the population (N = 1,459; data from Fall 2013 MIS report). Approximately 12% of the participants were from Berkeley City College, 14% from College of Alameda, 27% from Laney College, 17% from Merritt College, and 22% from the District Office. At PCCD, approximately 46% were faculty, 39% were staff, 14% were administrators, and 1% were contractors.

Similar to Fall 2015, Human Resources had the highest utilization rate (66.1%), followed by Information Technology (61.7%), Admissions and Records (58.8%), Finance (47.1%), and General Services (40.2%) in Fall 2013. The utilization rates for all 10 Service Centers in Fall

2013, however, were lower than for Fall 2015. Human Resources, Information Technology, Finance, General Services, and the Chancellor's Office exhibited an over 10% increase in the utilization rates in Fall 2015 [DR6.13].

Overall, the utilization of 10 District Service Centers has increased from Fall 2013 to Fall 2015; that is, an over 10% increase for Human Resources, Information Technology, Finance, General Services, and the Chancellor's Office.

A majority of the District Service Centers provided satisfactory "accommodation" and "timeliness" of services. Four District Service Centers were below the standard for accommodation and timeliness in Fall 2015: Risk Management, General Services, Finance, and Information Technology. Risk Management, General Services, and Information Technology evidenced substantial decreases in the satisfaction level for accommodation and timeliness over the two survey periods.

In their Fall 2015 comments, the respondents provided a mixture of positive and negative feedbacks for the 13 Service Centers. For accommodation and timeliness, positive feedbacks included "There have been many improvements…," "Outstanding staff, accessible Vice Chancellors good teamwork," and "Receive needed information in timely manner." However, a few of the Service Centers received a greater number of negative than positive feedback (e.g., Finance, General Service, HR, IT, and Risk Management). Some comments included, "It is very hard to get answers," "Request responses take too long," and "My issues have not been resolved yet."

Many of the Service Centers received negative feedback regarding *communication*: "It is difficult to communicate with staff as the phones are not answered," "So difficult to reach a real person for resolution;" *technology-related issues*: "The current system doesn't provide updated information…," "problems with Passport and its portals persist…;" *policies and processes*: "processes are unclear," "constant rule changes and procedural difficulties cause problems;" and *student-related issues*: "not given clear information to convey to students," "student issues take a long time to resolve."

The most positive feedback for all categories of responses involved the competency of staff. In general, staff in most Service Centers received more positive than negative evaluations. Comments included: "good competent staff" "…went out of her way to help me" or "the staff in Educational Services are amazing and responsive!"

Finally, the most common suggestion was the desire for additional staff in A&R, HR, and IT; the three most utilized Service Centers; comments included, for example, "HR needs additional staff and/or more active processes to handle hiring in a timely manner" and "IT is understaffed."

Given the results of the 2015 Customer Satisfaction Survey, as compared to the results of the 2013 Survey, it seems that the District's need for improvement centers on issues pertaining to clear and timely communication, the need to recruit staff in a more timely manner, and the desire to provide more staff in some Service Centers [DR6.14].

B. District Responses to Service Center Survey
Since the District Service Center Survey was conducted, the District has taken steps to strengthen District Service Centers' ability to meet the needs of the Colleges. Specific steps include the following:

1. The Chancellor in his December 9, 2015 C-Direct, stated:
   "…To address several issues, the service centers are going through a program review process. I encourage you to participate in these surveys. The qualitative will consist of focus groups to further understand what we should do to continue or improve services we receive…in terms of resource allocations and delineation of duties between the District and the Colleges. One step we will endeavor to take is to strengthen the relationships between like units at the District and the Colleges" [DR6.15].
2. Human Resources has designed a comprehensive Staffing Plan that was presented to the Presidents, Cabinet, and finally to the PBC. Included in the Plan was the recent

addition of the PBC approved Staffing Resources Staff Ad Hoc Taskforce, its purpose being to ensure that staffing needs are addressed and resources allocated equitably (See Recommendation 4).

3. The District, under its new Reorganization Plan, has added key leadership positions to provide better oversight and collaboration with the Colleges. For example, the newly appointed Assistant Vice Chancellor of Enrollment Management, is leading the implementation of a more streamlined system to expedite enrollment and recruitment practices for all four Colleges. Similar outreach to the Colleges has been extended to the areas of IT, Finance, and Maintenance and Operations. The addition of key leadership positions and the reassignment of duties for some of the existing leadership include the following:

   - A Vice Chancellor of Academic Affairs has been added to provide District leadership in assisting the Colleges in fulfilling expectations of educational excellence.

   - The Vice Chancellor of Student Services (a position that had been eliminated) was reestablished in order to provide continuous leadership to that Service Area.

   - An Associate Vice Chancellor of Work Force Development and Continuing Education has been added to coordinate College CTE work and the business community.

   - The Vice Chancellor of Educational Services has assumed the leadership of Distance Education (DE) to strengthen DE across the Colleges.

   - The Chief of Staff (new) supports the Chancellor in recommending and maintaining effective organizational goals and objectives and oversees and coordinates Institutional Research.

   - A Vice Chancellor of IT (new) will provide a much needed leadership role in IT to build an effective IT environment.

   - An Executive Vice Chancellor of Strategic Partnerships and Advancement (new) works with community and educational entities to develop partnerships to improve services to the community and to students.

It is apparent that PCCD needs additional staff to better coordinate District/College functions and to enrich student education. To increase staffing requires either a

reallocation of resources or new funding, however, new staffing does not necessarily equate to better services. PCCD's ongoing plan to gain greater resources includes the following:

1. Work to increase enrollment and retention (Assistant V.C. of Enrollment Management)
2. Establish units to increase resources such as Workforce Development and Contract Education training and non credit courses (Associate V.C. for Workforce Development and Continuing Education)
3. Reallocation of resources for institutional effectiveness (EVC for Strategic Partnerships and Advancement and Associate V.C. for Workforce Development and Continuing Education). It is anticipated that WDCE, for example, will be self-supporting in two years and profitable thereafter to increase College revenue to support to a higher level student success, staffing needs, and professional development.

VIII. Conclusion

By taking seriously the task of more clearly identifying the Delineation of Functions (District and Colleges) and by assessing the services provided by the District to the Colleges, PCCD has met Standards IV B.3. In 2016, the Chancellor's <u>Management Leadership District Academy Peralta</u> (MLDAP) was developed to enhance internal leadership skills and to encourage in-house managers to develop innovative programs to meet the needs of the District Service Centers as they strive to better serve the four Colleges and MLDAP is ongoing.

Another concerted effort to strengthen services provided by the District to the Colleges is the improvement of Program Review. The Program Review Task Force continues to refine Program Review, as discussed, and it is anticipated that these renewed efforts to make Program Review more meaningful will strengthen the reciprocal responsibilities between the District Service Centers and the Colleges. Additionally, new leadership positions within the District should enhance District support to the Colleges.

At the PBIM Summit in August 2016, the Executive Vice Chancellor of Strategic Partnership

and Advancement described a new project that will be undertaken, under the direction of the Chancellor, that is, to evaluate all Program Review outcomes and resource requests from 2015-2016 by October 1, 2016, and to present the various requests to the Chancellor's Cabinet for review and action. Activities or recommendations that cannot be funded through the General Fund will be considered as outreach to corporate and governmental funding. The move to develop accountability for District Program Review outcomes aims to enrich support services to all four Colleges and to ensure that outcomes are more meaningful.

RECOMMENDATION 6: DISTRICT RESPONSES	
Evidence	Title of Evidence Document
DR6.1	PCCD 2015-2016 Strategic Goals and Institutional Objectives
DR6.2	Education Services Action Plan
DR6.3	PR Task Force May 10, 2016 Meeting Minutes
DR6.4	2015 District Service Center Program Review Handbook
DR6.5	PR Task Force Meeting Notes Dec. 1, 2015
DR6.6	PBIM Presentation Nov. 19, 2015
DR6.7	PCCD PBC May 27, 2016 Minutes
DR6.8	Program Review Evaluation Summary, June 2016
DR6.9	E-mail - Revised Version of Functions Charts Aug. 22, 2016
DR6.10	District Organization Charts, Sept. 2016
DR6.11	PCCD Functions Matrix May 16, 2016 Revision
DR6.12	2013 Customer Satisfaction Survey Summary
DR6.13	District Service Centers Survey 2015
DR6.14	Peralta District Service Centers "Customer Satisfaction" 2015 Survey Report
DR6.15	C-DIRECT Dec. 9, 2015

Recommendation 7

"In order to meet the Standards, the team recommends the Governing Board adhere to its appropriate role. The Board must allow the Chancellor to take full responsibility and authority for the areas assigned to District oversight (IV.B.1, IV.B.1.a, IV.B.1.e, IV.B.1.j)."

I. Introduction

When the visiting Team conducted its review of the Peralta Community College District in Spring 2015, there appeared to be a Chancellor and the Governing Board disagreement over the Board's role, vis-à-vis the Chancellor's role, pertaining to various governance matters, to include the hiring of District administrators, as well as other personnel concerns. While Peralta's Board Policy 2200 [DR7.1] defines Board duties and responsibilities, some Team interviews at the District and Colleges suggested that members of the Governing Board had engaged in activities that did not always conform to the Trustees' explicit roles. It appeared that there needed to be a clearer understanding of the Trustees'--as well as the Chancellor's--governance roles.

II. Selection of a New Chancellor

When the Chancellor announced his retirement in January 2015, the Governing Board initiated a recruitment for a new Chancellor; a key consideration was that the Contract would include provisions for the new Chancellor to assume more demonstrable responsibility and authority for the areas assigned to District oversight, thereby allowing for the Board to adhere more effectively to its appropriate role. The Governing Board then worked with a search consultant to begin the recruitment process and at the February 24, 2015 Special Workshop of the Governing Board, the Trustees discussed a District Survey which had solicited feedback from the community identifying desirable characteristics for the next Chancellor [DR7.2]. This information included an emphasis on Board/Chancellor roles, and was used to develop the new Chancellor's job description. When the new Chancellor was selected, the Contract provisions clarified Chancellor/Board roles [DR7.3]. The new Chancellor assumed his position on July 1, 2015.

In his August 2015 Flex Address to all PCCD constituents, the Chancellor introduced what he called "The New Peralta Way," an initiative intended to reform Peralta's leadership through the strengthening of competence, passion, integrity, and intimacy—a leadership focused on enhancing student success. He stated: "We must commit to support an impeccable and dedicated Governing Board practicing trusteeship at its best…I am pleased to say it seems that we are working well from the same vibe." At the Flex event, the Board President spoke of the confidence the Board has in its choice of the new Chancellor [DR7.4].

III. Renewed Collaboration between the Governing Board and the Chancellor in Setting Goals:

In September 2015, the Chancellor arranged a "Team Building" Retreat for the Governing Board. The purpose of the Retreat was to discuss the establishment of a new set of goals based on a foundation of trust and mutual support between Board and Chancellor [DR7.5]. At the Retreat, a performance evaluation process was created that included the formation of formal goals, expected outcomes, and timelines. The Governing Board and the Chancellor agreed that evaluations of both parties would be conducted in Summer 2016.

At the December 8, 2015 Board meeting, the Governing Board and the Chancellor formally adopted goals to support the effective operation of the District to ensure that their respective roles would be adhered to. These goals included:

1. Resolve District deficiencies affecting Colleges' Accreditation status specified in Recommendation Seven.

2. Explore the role of Trustees in student achievement and closing the student achievement gap.

3. Review and approval of the College's work in strengthening the financial structure of the District.

4. Review and sanction the technology evaluation and resulting action.

5. Review and accept the plan for improvement of Student Services.

6. Review and accept the Student governance review.

    [DR7.6].

With the establishment of written goals to improve the respective performances of the Chancellor and the Governing Board, additional protocols were developed for sharpening clear communication between all parties based on a "no surprises" principle. Included in these protocols was the stipulation that the Chancellor writes a weekly report (C-GRAM) to keep the Governing Board informed of important District activities. This weekly communication vehicle diminishes the potential for unwelcome surprises and misunderstandings and helps to continue to build trust between the Chancellor and the Board. [DR7.7]. Furthermore, the Chancellor, the Governing Board President and Vice President, Legal Counsel, and the Chief of Staff meet one week prior to each regularly scheduled Board meeting, to ensure that all parties are fully aware of the business being presented at the Board. Finally, a weekly agenda review of the Chancellor's activities invites Board members' input and participation, thereby ensuring that the Board is fully informed of issues arising at the District level. In addition, the Chief of Staff supports the Chancellor in following up on outstanding items to ensure issues are addressed in a timely manner.

IV. More Effective Handling of Citizens' Complaints

It should be noted that a particular difficulty regarding Board/Chancellor relations ensued when some community constituents, apparently frustrated over perceived College administrative inaction on certain issues, began to appeal directly to Trustees for redress. And with the advent of electronic communications, public access to individual Board members was only facilitated, threatening not only Board unity, but causing potential friction in Board/Chancellor functions.

In response to the perceived Board "extra-curricular" issue above, the new Chancellor has pledged that all public issues will be satisfactorily attended to so that constituents will not have to appeal to individual Trustees; most importantly, it is understood that each Trustee who is privately contacted on any issue will refer those individual issues first to the Chancellor's Office and/or the Chancellor's Chief of Staff.

V. Building Leadership Through Self-Assessment

In December 2015, the Chancellor arranged for a joint retreat with the Governing Board, high level administrators, and student leaders to formally introduce his ideas to strengthen leadership. At this retreat, the participants were introduced to an improved leadership model—"the New Peralta Way"—to enhance educational governance. This leadership model embraced these values: competence, passion, integrity, intimacy, and democracy. [DR7.8]. Participants engaged in a self- assessment of leadership competency and created an individual action plan committed to cultivate leadership skills [DR7.9].

In July 2016, another Board of Governor's Retreat was held. At this retreat, the Governing Board discussed PCCD priorities such as the newly instituted efforts to refurbish IT Services, Enrollment Management Planning, a review of newly revised Master Plans for all Colleges, an Accreditation Progress Report, and an update on Financial Planning. Additionally, the Governing Board and PCCD Leadership, along with the Chancellor, engaged in the exchange of ideas led by a facilitator, to build on Trustee and Chancellor complementary goals and to evaluate their progress to date [DR7.10]. Following the July Governing Board Retreat, the Chancellor sent a Survey to the Trustees to evaluate the July Retreat. The Retreat facilitator reported:

> "Board clearly recognizes the progress that the Chancellor has made and respects and supports his goals and objectives for the District under his leadership. The results of the self-evaluation of the Board--a good practice for all Boards to engage with--demonstrates that there is strong agreement on the Board that they are working well with one another and with Chancellor Laguerre and that there is consistent and constructive communication and coordination between the Chancellor and the Board. The Board feels appropriately engaged and supported and has a good working relationship with the Chancellor and his team" [DR7.11].

Prior to the July Retreat, the Governing Board and the Chancellor had evaluated the mutual goals that had been established in December 2015. The summary revealed that Board/Chancellor relations had definitely improved and that clearer avenues of communication are being established and respected [DR7.12].

Another Board Retreat is planned for October 2016. At this Retreat, the Governing Board, PCCD leadership, and the Chancellor will continue to build on their efforts to work collaboratively and to examine PCCD's desire to improve student success.

VI. Regular Review of All Board Policies and Procedures

Board policies are reviewed and vetted through PBC and the Chancellor's Cabinet. To facilitate policy and procedure revisions, the District has given reassigned time to a faculty member over the past few years to create and/or revise Board policies and procedures. The faculty member reviews the Community College League of California (CCLC) updates. After policies are adopted, a PCCD announcement is electronically sent to all Peralta stakeholders so that everyone is aware of new policies [DR7.13].

At the time of the ACCJC Team visit, members of the Team noted that they could not locate a formal schedule for an ongoing, regular review of all Board policies and administrative regulations. In the past, PCCD has reviewed Board policies and administrative procedures, as needed, but beginning in Fall 2016, the District will publicize a calendar to ensure that all Governing Board policies are, in fact, scheduled for review and to ensure that the Colleges participate more routinely in expressing policy and procedure needs. The new schedule includes a timeline for reviewing all existing policies and continued attention to the CCLC policy review calendar, thereby ensuring that PCCD policies remain current.

The draft review schedule for 2016-2018 addresses a comprehensive review of policies. In Fall 2016, Board Policy series 1000, 2000, and 3000 are slated for review. The renewed focus on policy review is in keeping with the 2015-2016 Strategic objective: "D.2: Institutional Leadership and Governance: Evaluate and update policies and administrative procedures, the PCCD organizational structure, and functional responsibilities within the District."

One policy that pertains to Recommendation 7, is Board Policy 2715, Code of Ethics, which was revised in April 2015, [DR7.14]. The Governing Board and the new Chancellor will review BP 2715 in Fall 2016 semester pending CCLC's recommended revisions, as both

acknowledge that adhering to the Board's Code of Ethics adds clarity and expectations for effective trusteeship. Furthermore, the Governing Board will engage in a Code of Ethics training session in Fall 2016 lead by Legal Counsel.

On August 17, 2016, the Chancellor addressed the PCCD community at Flex and reiterated that "many aspects of the District, including the Governing Board, are functioning well." The emphasis on his newly launched PCCD Leadership Academy will further substantiate the goal to create a "New Peralta Way," and to continue to build the strong working relationship between the Board, the Chancellor, and PCCD [DR7.15].

VII. Conclusion

Recommendation 7 addressed a perceived governance issue that existed at the time of the former Team visit, one that has now been resolved with the hiring of a new Chancellor and the emergence of a more effective working relationship between Board and Chancellor, along with the adoption of more intensive leadership training. The Governing Board and the Chancellor have addressed Recommendation 7 by adhering to their clarified respective roles and Standards (IV.B.1, IV.B.1.a, IV.B.1.e, IV.B.1.j) have been met.

With the arrival of a new Chancellor, the Peralta Community College District evinces a continued sense of optimism regarding Board/Chancellor leadership effectiveness based on:

1. The bona fides of the New Chancellor.
2. A renewed determination to focus on the good of the whole and not be caught up in the clamoring of special interests.
3. The agreement of a "no surprise" approach to Board and Chancellor relationships.
4. The adherence to Board policies, e.g., BP 2430 (Delegation of Authority to the Chancellor); BP 2715 (Code of Ethics and Standards and Practices); and BP 2200 (Board Duties and Responsibilities), policies that specify the collaborative relationship between Board and Chancellor.
5. The ongoing evaluation of the Governing Board and the Chancellor with the aim of clarifying roles and setting forth collaborative strategies to enhance the overall effectiveness of the District.

6. The Governing Board's support of the shift to a "New Peralta Way" for the PCCD community. This "New Peralta Way" rests on a renewed commitment of the Governing Board and the Chancellor to provide more effective and accountable educational leadership for the District.

7. Broad inclusion of the College leadership in ongoing assessment and improvement of the PCCD and enhancement of student success.

RECOMMENDATION 7: DISTRICT RESPONSES	
Evidence	**Title of Evidence Document**
DR7.1	PCCD BP 2200 - Board Duties and Responsibilities
DR7.2	Development of Chancellor Profile Part I, Feb. 24, 2015, Governing Board meeting
DR7.3	Excerpt from 2015 Chancellor's Contract, page 8
DR7.4	Chancellor's 2015 Fall Flex Address
DR7.5	Board of Trustees Retreat Agenda, Building a New Team, Sept. 22, 2015
DR7.6	Governing Board Goals, 2015-2016: Dec. 8, 2015 Board meeting
DR7.7	July 3, 2016 C-GRAM
DR7.8	New Peralta Way Leadership Retreat Agenda, Dec. 13, 2015
DR7.9	New Peralta Way Leadership Action Plan
DR7.10	Governing Board Retreat Agenda, July 12, 2016
DR7.11	Peralta Board Report July 2016 from Facilitator
DR7.12	Board Retreat July 12, 2016 Survey Responses
DR7.13	Example Policy Update Announcement
DR7.14	PCCD BP 2715 Code of Ethics and Standards of Practice
DR7.15	Chancellor's Flex Speech, Aug. 17, 2016

Recommendation 8

"In order to meet the Standards, the team recommends that the District systematically evaluate the equitable distribution of resources and the sufficiency and effectiveness of District-provided services in supporting effective operations of the Colleges (IV.B.3.b, IV.B.3.c, III.D.1.a, III.D.1.b, III.D.1.h)."

I. Introduction

Recommendation 8 addresses the need for the District to systematically evaluate: 1.) the equitable distribution of resources, and, 2.) the effectiveness of services provided in supporting the operations of the Colleges.

II. Equitable Distribution of Resources: PCCD's Budget Allocation Model (BAM)

Each year, the Peralta Community College District establishes Institutional Goals and Objectives that are assessed throughout the year. One of the five 2015-2016 Strategic Goals was: "Strengthen Accountability, Innovation and Collaboration." Tied to this Institutional Goal was Objective D.3: Institutional Effectiveness: Evaluate and update the PBIM participatory governance structure and the Budget Allocation Model (BAM) [DR8.1]. The reason for updating BAM was due primarily to the need for the District to evaluate BAM's system for the distributing resources equitably.

A. Description of the PCCD Budget Allocation Model (BAM)

Since 2011, when it was adopted by the District's Planning and Budgeting Council (PBC), the District's Budget Allocation Model (BAM) has functioned as the primary mechanism for determining equitable resource allocations for the District's four College, and, indirectly, to the District Office for its Support Services [DR8.2]. The model has been revised four times, with the most current iteration approved by the PBC in December 2014 [DR8.3].
The core elements of the BAM are:

1. a demonstrative linkage between strategic planning and funding at all levels;
2. an allocation methodology that is equitable and clearly documented;
3. a model that closely tracks how revenues are received from the State of California.
4. a model based on the SB 361 State allocation model.

The BAM was designed to allocate fiscal resources (unrestricted revenues) in a transparent and equitable manner, i.e., treating similar things similarly, to the four Colleges and is comprised of state apportionment funds, non-state apportionment funds, and Parcel Tax proceeds. State apportionment funds represent approximately 70% of the District's unrestricted revenues. The remaining 30% of unrestricted revenues is comprised of Parcel Tax proceeds, state lottery funds, and non-resident tuition/fees.

The BAM provides each of the four Peralta Colleges with an allocation based on its *pro-rata* share of the credit FTES revenues generated by each College. In order to provide stability, to minimize the impacts of annual enrollment swings, and to assist in multi-year planning, these revenues are distributed based on a three-year rolling enrollment FTES average. These distributions are equitable given the *pro-rata* basis of FTES generation.

Additional growth funding, when provided by the State, is allocated to the Colleges based on incremental FTES generated, as well as on the achievement of certain productivity targets, i.e., productivity = FTES/ FTEF or a workload/ efficiency measure that determines full time equivalent faculty need to generate "x" amount of FTES (full time equivalent students) upon which our state funding is based. Moreover, the Model has a built-in 'incentive program' with respect to productivity levels, rewarding those Colleges that meet their productivity targets with additional resources. This incentive measure, however, was never implemented.

The BAM takes into account, albeit indirectly, relevant District responsibilities such as the 50% law, full-time/part-time faculty requirements, attendance accounting, audit requirements, fiscal accounting standards, procurement and contract law, employment relations and collective bargaining, OPEB debt, and payroll processing and related reporting requirements. The District Office—including Admissions and Records, Financial Aid, Educational Services, Human Resources, Finance, IT, Maintenance and Operations— provides centralized support services that align with the District's Mission [DR8.4]. Subsequently, from the Total Revenue Allocation by College, the cost of District Office Support Services, as well as other centralized services, e.g., services for students with

disabilities or the payment of debt service on bonds, is deducted. What remains, then, is each College's Annual Budget Allocation.

The intent of the original BAM was that each College would develop its non-discretionary and discretionary budgets based upon its Annual Budget Allocation. Non-discretionary budgets consist of salaries of full-time and part-time faculty, full-time and part-time classified staff, administrators, and related benefits. These budgets approximate 90% of a College's Annual Budget Allocation. Discretionary budgets include supplies, equipment, utilities, and other miscellaneous expenditures, comprising approximately 10%.

In 2014, in order to achieve a more equitable allocation of resources, the BAM was revised twice to include, among other changes, allocating non-resident tuition revenues to those Colleges who were generating them (and, indeed, directly supporting the non-resident students) as opposed to distributing them on a pro rata share of total FTES generated by each College as the Model required. This change to the Model, while approved and documented, was not implemented as two Colleges would have benefited from the change and two would have suffered hardship.

In August 2015, a new Vice Chancellor for Finance and Administration (VCFA) was hired. The VCFA quickly determined that, while the BAM had been partially implemented over the past few years from the revenue side, the District had yet to fully implement accountability on the expenditure side of the equation. Colleges had continued to underspend or overspend, compared with annual resource allocations, based on their respective situations. The VCFA then recommended to the Planning and Budgeting Council (PBC) the establishment of a Task Force to evaluate and revise the existing BAM.

B. Establishment of a BAM Task Force

The BAM Task Force was convened under the purview of the PBC and began its work in October 2015. The nine-member Task Force includes: representatives from each College (including faculty, staff, and administration), a Student Trustee, the District's Budget Director and the VCFA. The BAM Task Force was charged with reviewing the current

allocation Model and making recommendations to the PBC to enhance the equitable distribution of resources to all four Colleges. The following goals were established by the Task Force at its initial meeting: 1.) to become conversant with the current Budget Allocation Model; 2.) to possess an understanding of budgeting language; 3.) to determine if the Budget Allocation Model is the right model for the District; 4.) to identify disparities/inequities in the current model; and, 5.) to determine the level of understanding across the District of the BAM [DR8.5].

In addition to establishing the above goals, at its November 2015 meeting, the Task Force examined what was perceived to be inequities in the BAM having to do with the distribution of full-time faculty seniority. Another perceived inequity in the BAM had to do with the high-cost programs such as nursing (and their relation to productivity), non-resident enrollment distribution, and fixed costs [DR8.6].

The Task Force conducted a survey to solicit feedback regarding perceived strengths and shortcomings of the current BAM. Recurrent concerns included the need for: more education (training), CTE dialogue, accountability, alternative funding sources, inclusion of administrative costs, considerations for classified hiring, and the examination of fixed costs. Results were evaluated, further defining the work of the Task Force [DR8.7].

Meeting twice per month, on average, over the past year, the Task Force reported its progress monthly to the PBC, and Task Force minutes were posted on the District's Website [DR8.8].

C. Recommendations of the BAM Task Force
Forums were held in Spring 2016 to allow the College and District constituents to discuss BAM Task Force findings [DR8.9] [DR8.10] [DR8.11].

In August 2016 the BAM Task Force presented its preliminary recommendations to the District during its annual Flex event [DR8.12]. Intended to enhance the equitable distribution of resources within the existing BAM, recommendations included:

1. Removing all full time faculty salary and benefits costs from each College's allocation. The FTF expense, then, will be accounted for "above the line" meaning that salary and benefits will be deducted from the pool of 'available funds' prior to applying the distribution formula and thereby reducing available revenues. Colleges will then be held "harmless" for the seniority of its faculty pool.

2. Maintaining the decentralized allocation of fixed costs and basing future allocations on prior year actuals. Further, centralizing all security costs under the District Office budget so that they are shared more equitably by all Colleges.

3. Making no changes with respect to resource allocations and capped courses. The Task Force concluded that CTE courses have no significant disproportionate impact on College productivity levels.

4. Forming a separate Task Force to review and assess service levels, efficacy, and reasonableness of costs associated with all District Office support services.

5. Allocating the appropriate level of Custodians based on Industry Best Practices and an acceptable standard of facility cleanliness.

A final Task Force Recommendations Report was presented to the District's PBIM Summit in August 2016 [DR8.13]. The Task Force anticipates concluding its work in early Fall 2016 with final recommendations presented to the PBC in November. Upon adoption of the revised BAM, the District's goal is to approve a revised allocation model to be implemented in the development of the 2017-2018 budgets.

III. District Program Review and Resource Allocation Processes

In addition to the BAM, there are four Planning and Budgeting Integration (PBI) resource allocation processes that pertain to the effectiveness of District Services and the operation of the Colleges. These processes are central to Program Review (College and District) and govern the distribution of:

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

The resource allocation processes begin with each College's respective governance committee prioritizing its resource needs as part of Program Review. The College resource requests, along with requests from the District Service Centers, are then moved forward to the appropriate District PBIM Committee, typically in the form of prioritized lists and without regard to budget considerations. The final requests are moved to PBC [DR8.14].

IV. Faculty and Staff Resource Allocation

The District Education Committee receives prioritized faculty and staff requests, the District Technology Committee receives prioritized technology requests, and the District Facilities Committee receives prioritized facilities requests from the Colleges. These requests are discussed in their respective PBIM Committees and forwarded to the District's Planning and Budgeting Council (PBC) for deliberation and endorsement. The various resource requests, along with PBC recommendations, are then sent to the Cabinet for review and to the Chancellor for final approval.

The District Educational Service Committee reviews the prioritized requests for replacement and new faculty hires that are forwarded each year from the Colleges. This year, the PBC approved the development of a Resource Allocation Task Force for Classified Staffing (RATF-CS) that will prioritize College and District staff requests into a master list for PBC review [DR8.15]. The addition of this Task Force will aim to prioritize replacement and new staffing needs in the same way that new and replacement faculty needs are now currently ranked, i.e., each College creates a prioritized list which are reviewed by the appropriate District PBIM Committee and then forwarded to PBC for discussion and approval (contingent on funding). These resources allocations are explained in more detail in District Recommendation 4.

V. District Technology Resource Allocation

In the past few years, PCCD has not produced an effective technology environment, although the District has had some dedicated IT members. And although there exists an IT Plan to serve the District and the four Colleges, the District has faced unforeseen challenges in executing the IT Plan. Challenges include: turnover of key leadership, insufficient

knowledge of Best IT Practices and methodologies, lack of clearly defined business practices and funding models, and the lack of sound priorities. Additional challenges include the lack of District wide policies and procedures that align College IT support with District IT support, and inadequate human and capital resources to support the ever-changing IT environment.   Nevertheless, the District has had a dedicated IT team doing their best with limited resources.

Because IT Planning has not always been acknowledged as a high priority, PCCD did not always appropriate adequate financial resources, nor display a commitment to assure the quality and continuity for District wide IT support. The four Colleges compensated by having to develop their own IT plans which have not been typically shared with District IT leadership, nor reviewed by District leadership.   College IT related planning information has generally been secured on an "as needed" basis, or whenever the Colleges faced a crisis situation. What's more, much equipment is approaching "end of life" or is at "end of life" condition, which has put additional strain on the limited staff resources and resulting in College projects not being addressed or taking too much time to implement.

In February 2016, the Chancellor recommended a major restructuring and change of leadership in the IT District Service Center owing primarily to security, safety, and student success considerations. A consultant firm had been brought in at the end of 2015, to conduct an IT assessment [DR8.16]. The consultant firm presented a draft five-year Tactical Plan to management, which will be presented to DTC in early Fall 2016. DTC will then make a recommendation to PBC regarding the adoption of the Plan. Furthermore, the Tactical Plan was reviewed and internally vetted by IT Leadership and the VP for Finance and Administration in March 2016. The consultant firm presented highlights of the Tactical Plan at the July Governing Board Retreat [DR8.17].

The change in IT leadership brought about a change in IT goals. Changes included plans to increase IT staffing and supplemental training for existing staff [DR8.18]. In May 2016, an interim Director of IT Services was appointed, an experienced IT Senior Analyst who had served Laney College for over 15 years. The Interim Director hired one new hourly Help

Desk Support Technician. It is anticipated that another Help Desk Support Technician will be hired in September 2016. These Technicians will be working alongside IT leadership in the creation of a comprehensive IT Service Center. The Service Center will include: helpdesk ticket prioritization, the upgrading of software, the creation of an Information Technology Infrastructure Library (ITIL), a Service Catalog, configuration management, call scripts, and Service Level Agreements.

In Summer 2016, the consultant firm conducted a Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis of IT Staff which is scheduled to be completed in late August. A summary will go to DTC in early Fall. After DTC review, steps will be taken to make changes to the infrastructure and to enhance service-oriented processes [DR8.19]. Currently, the ITIL is being introduced to the IT department as a guide for the creation of processes that follow IT Best Practices [DR8.20]. IT has also contributed significantly to the design of the PCCD TCO Guidelines (See Recommendation 3, TCO Guidelines). Furthermore, PCCD has established an IT Steering Committee that provides oversight for the District Office of IT. This Steering Committee, comprised of Vice Chancellors, and IT Administration and Staff originally met monthly and is now moving to bi-weekly (every other week) meetings to prioritize the project work of IT and to review new IT requests [DR8.21].

The District Technology Committee (DTC) is the central body that reviews and recommends various IT Projects for the Colleges. At times, the DTC was hindered by lack of leadership which affected morale resulting in weakened oversight to the District and Colleges. Nevertheless, the DTC worked in collaboration with District General Services to develop the TCO Guidelines and to adopt better practices for addressing deferred maintenance and security needs. Finally, the DTC worked to complete a room scheduling software project, completion of a master map of IT infrastructure, and continues to make progress on other goals [DR8.22]. The DTC will be evaluating its 2015-2016 goals at its September 2016 meeting [DR8.23].

VI. District General Services (DGS) Resource Allocation

The District General Service Center addresses the following prioritized requests: Daily Work order requests (to include emergencies), routine maintenance requests, deferred maintenance requests, and preventive maintenance requests. Since October 2015, the DFC has met with all the Colleges to determine their needs regarding the Total Cost of Ownership (TCO) Guidelines that are being crafted by the District. These Guidelines were presented to the DFC and PBC at their May meeting, revised in Summer 2016, and presented at the District August 2016 Flex and District PBIM August 2016 Summit for discussion.

In Spring 2016, the number of outstanding facilities and maintenance requests has been significantly reduced and safety conditions addressed. In July 2016, a Director of Capital Projects was hired to address Bond projects such as new construction. A Staff Services Specialist, Project Manager for Maintenance and Operations, a Director of Facilities and Operations, among other staff, are expected to be hired by October 2016. The hiring of additional staff has enabled the Vice Chancellor of General Services to more effectively utilize his time to address critical facilities and maintenance operation needs (See Recommendation 3 for an extended discussion of DGS provided services for the Colleges and the revision and implementation of TCO Guidelines).

VII. Human Resources Staffing Plan

As described in District Recommendation 5, in May 2016, the Vice Chancellor of Human Resources presented PCCD's Staffing Plan to the Presidents Council, Cabinet, and PBC [DR8.24]. This comprehensive Plan addresses the allocation of staffing resources and includes a new component, Resource Allocation Task Force-Classified Staffing (RATF-CS) wherein new staffing requests that are not addressed in Program Review will be included. (See Section IV. Faculty and Staff Resource Allocation).

During the District August 2016 Flex, the Staffing Plan was presented at a "Q and A" session [DR8.25]. College forums may be held in Fall 2016 to respond to questions and to elicit further suggestions. The Staffing Plan will be assessed in April 2017. (See Recommendation 5 for an extended discussion of Human Resources Services).

VIII. Conclusion

PCCD has a variety of resource allocation mechanisms in place that were revised this year. The 2015-2016 year was focused on revising and implementing plans to review and enhance the equitable distribution of resources. Most importantly, changes such as the revision of the BAM, the creation of a comprehensive Human Resources Staffing Plan, the creation of TCO Guidelines, the revision of the IT Plan, the refinement of Program Review, and the addition of much needed staffing in DGS, promise that the District will continue to ensure the sufficiency and effectiveness of District-provided services in supporting effective operations of the Colleges and continue to meet Standards IV.B.3.b, IV.B.3.c, III.D.1.a, III.D.1.b, III.D.1.h. The continued evaluation of District support for the effective operations of the Colleges in 2016-2017, will serve to measure the District's revised planning efforts.

RECOMMENDATION 8: DISTRICT RESPONSES	
Evidence	**Title of Evidence Document**
DR8.1	PCCD 2015-2016 Strategic Goals and Institutional Objectives
DR8.2	PBC Meeting Minutes May 20, 2011 BAM Model
DR8.3	PBC Meeting Minutes, Dec. 12, 2014
DR8.4	BAM Power Point Presentation, Nov. 17, 2014
DR8.5	BAM Task Force Minutes, Oct. 16, 2015
DR8.6	BAM Task Force Minutes, Nov. 19, 2015 Inequities
DR8.7	BAM Opinion Survey Results
DR8.8	Screen Shot BAM Task Force Report of Progress to PBC
DR8.9	BAM Task Force Forum, Feb 29, 2016
DR8.10	Laney College BAM Forum
DR8.11	BCC BAM and Budget Forum
DR8.12	District Flex Agenda and Meeting Notice
DR8.13	PBIM Summit Agenda and BAM Task Force Recommendations
DR8.14	PBC Meeting Minutes, Dec. 18, 2015: College/District Resource Requests
DR8.15	PBC Meeting Minutes, Mar.18, 2016: Ad Hoc Committee-Classified Staffing
DR8.16	IT Assessment
DR8.17	July 12, 2016 Board Retreat agenda
DR8.18	IT Goals
DR8.19	SWOT Analysis Handout
DR8.20	ITIL Presentation & Service Training
DR8.21	IT Steering Committee Notes, Aug. 3, 2016
DR8.22	PCCD IT PMO Dashboard
DR8.23	DTC Goals and Objectives
DR8.24	PBC Meeting Minutes, May 27, 2016
DR8.25	District's Human Resource Staffing Plan

INDEX OF ABBREVIATIONS AND ACRONYMS

A&R	Admissions and Records
ACCJC	Accrediting Commission for Community and Junior Colleges
ADA	American Disabilities Act
AP	Administrative Policy
APPA	Association of Physical Plant Administrators
APU	Annual Program Update
BAM	Budget Allocation Model
BAMTF	Budget Allocation Model Task Force
BCC	Berkeley City College
BEST	Building Environmental Sustainability for Tomorrow
BLVD	Boulevard
BP	Board Policy
C	Chancellor
C-DIRECT	Chancellor's Direct Communication
C-GRAM	Weekly report from Chancellor keep the Governing Board informed of important District activities
CAP	Compliance Assurance Program
CARS	Convertible Auction Rate Securities
CCCCO	California Community College Chancellor's Office
CCLC	Community College League of California
COA	College of Alameda
COD	Common Origination and Disbursement
CTE	Career Technical Education
DAC	District Administrative Center
DAS	District Academic Senate
DE	Distance Education

DEC	District Education Committee
DFC	District wide Facilities Committee
DGS	District General Services
DR	District Response
DSP	Disabled Service
DTC	District Technology Committee
DW	District Wide
EMP	Education Master Plan
EVC	Executive Vice Chancellor
FCA	Facility Conditions Assessment
FF&E	Furniture, Fixtures and Equipment
FTEF	Full Time Equivalent Faculty
FTES	Full Time Equivalent Student
FUSION	Facilities Utilization Space Inventory Options Net
FY	Fiscal Year
GASB	Governmental Accounting Standards Board
GAT	Grants Administration Team
HR	Human Resources
HVAC	Heating, Ventilating, and Air Conditioning
IPB	Institutional Planning Budget
IR	Institutional Research
IT	Information Technology
ITIL	Information Technology Infrastructure Library
JD	Job Description
JPA	Joint Powers Agreement
LAO	Legislative Analyst Office
LC	Laney College

LED	Light Emitting Diode
LOC	Letter of Credit
LRC	Learning Resource Center
M&O	Maintenance and Operations
MEP	Mechanical, Electrical and Plumbing
MIS	Management Information Systems
MLDAP	Management Leadership Development Academy Peralta
MOU	Memorandum of Understanding
OPEB	Other Post-Employment Benefits
PBC	Planning and Budgeting Council
PBC	Planning Budget Committee
PBI	Planning and Budgeting Integration
PBIM	Planning and Budgeting Implementation Model
PCCD	Peralta Community College District
PFT	Peralta Federation of Teachers
PMO	Project Management Office
R2T4	Return to Title IV
RATF-CS	Resource Allocation Task Force—Classified Staff
RBC	Royal Bank of Canada
RBOA	Retirement Board of Authority
RFP	Request for Proposal
RFQ	Request for Qualifications
SAS	School Account Statement
SWOT	Strengths, Weaknesses, Opportunities and Threats
TCO	Total Cost of Ownership
VC	Vice Chancellor
VCFA	Vice Chancellor of Finance and Administration

VOIP	Voice Over IP
WAN	Wide Area Network
WDCE	Workforce Development and Continuing Education
WSCH	Weekly Student Contact Hours

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