
COLLEGE OF ALAMEDA SPECIAL REPORT:

A FOLLOW-UP RESPONSE TO ACCJC'S JANUARY 27, 2020, FINDINGS



NOVEMBER 1, 2020

COLLEGE OF ALAMEDA

555 Ralph Appezato Memorial Parkway

Alameda, CA 94501

Certification Page

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

From: Dr. Don Miller, Interim President/Chief Executive Officer
College of Alameda
555 Ralph Appezato Memorial Parkway
Alameda, CA 94501

We certify there was broad participation/review by the campus community and believe this report accurately reflects the nature and substance of this institution.

Signatures:

Dr. Don Miller, Chief Executive Officer

Date

Dr. Carla Walters, Chancellor

Date

Dr. Julia Bonilla, Board of Trustees, President

Date

Dr. Tina Vasconcellos, Accreditation Liaison Officer

Date

Dr. Matthew Goldstein, Academic Senate President

Date

Kawanna Rollins, Classified Senate President

Date

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Report Preparation

The following Special Report intends to address the deficiencies and concerns raised by the Accrediting Commission for Community and Junior Colleges (ACCJC) in its letter to College of Alameda (COA) President Dr. Tim Karas dated January 27, 2020, in which probation status was imposed on the College/District.

The aforementioned January 27, 2020, ACCJC letter cites that insufficient information was provided in the May 2019 Special Report and December 2019 Five-Year Fiscal Plan submitted to ACCJC by the Peralta Community College District (PCCD), in order to verify that the deficiencies identified by ACCJC had yet been resolved, addressed, or corrected.

Since being placed on probation status, College of Alameda has engaged in the necessary self-reflection and internal assessment to ensure that improved fiscal health and institutional accountability are sustained moving forward.

Special Report Contributors	Title or Position
Dr. Don Miller	Interim President
Chungwai Chum	Director of Business and Administrative Services
Lilia Celhay	Acting Vice President of Instruction
Dr. Tina Vasconcellos	Vice President of Student Services, Accreditation Liaison Officer
Dominique Benavides	Director of Research and Planning
Angie Harris	Financial Aid Director
Jackie Vo	Financial Aid Officer
Min Wu	Senior Academic Services Specialist
Campus forum participants	Faculty, staff, and administrators

Throughout the spring and summer 2020, discussions and preparations for the Special Report response were conducted in Chancellor’s Cabinet weekly meetings, College of Alameda Executive Cabinet, and District President’s Cabinet meetings, and in consultation with academic senate and classified senate leadership. On September 10, 2020, Interim President Miller held an open campus forum to discuss the most recent draft of the response to the Commission and campus constituent feedback was added to the content of the letter. A status update of the draft was shared with the Board of Trustees in the September 29, 2020, board meeting for Board feedback. College meetings were held in October 2020 in which the Special Report was reviewed by Academic and Classified Senates as well as College Council. The list of meetings demonstrating college-wide involvement and transparency is in the following chart:

President’s Cabinet/Managers Meeting	College Council/Campus Forum	Board of Trustees
<ul style="list-style-type: none"> ▪ April 2020 – Special Report discussion for response ▪ August 12, 2020, August 26, 2020– Discussion in Exec and Review of Documents ▪ September 23, 2020– Managers Mtg. Review 	<ul style="list-style-type: none"> ▪ Sept. 9, 2020 – President's Open Forum for campus feedback & review of Special Report ▪ October 7, 2020– Special College Council Meeting – Accreditation report actions ▪ October 28, 2020 – Discussion of final submission, signatures obtained post-board approval 	<ul style="list-style-type: none"> ▪ September 29, 2020 – Special Report Power Point Presentation ▪ October 13, 2020 – Special Report Power Point Presentation and Second Read/ Response approved ▪ October 28, 2020 – Special Report response approved

Table 1: list of meetings demonstrating college-wide involvement

The reading and final approval was completed by the College Council on October 7, 2020, and the Board of Trustees on October 13/28, 2020.

Response to the January 27, 2020, Commission Letter

The following Special Report addresses the findings enumerated in the ACCJC's January 27, 2020, letter, in order to make clear the substantive and explicit corrective actions that College of Alameda has taken to address the six key deficiencies noted in the aforementioned letter: a) a continued structural deficit, b) lack of adherence to Board policies and administrative procedures, c) deficiency in reconciliation and financial control issues, d) key staffing issues, e) Peralta Community College District's OPEB obligations, and f) ongoing unaddressed audit findings ([Evidence 1.0](#)).

The eight topics of concern cited in the January 27, 2020, ACCJC letter that will be addressed in the following Special Report are as follows:

1. Establishing FTES Targets and Enrollment Management Plans
2. Establishing a Student Success Infrastructure Plan to comply with the Student-Centered Funding Formula as announced by the California Community College Chancellor's Office
3. Establishing guidelines to reduce operational overspending and eliminate the structural deficit
4. Adopting a Board policy to adopt sustainable fund balances and reserves
5. Adopting a restructuring plan to improve efficiencies and accountability at the District office and the Colleges
6. Addressing all audit findings
7. Establishing strategies to improve the management of the OPEB debt
8. Providing an executive-level staff turnover analysis and recommendations to retain these staff at the District

The January 27, 2020, ACCJC letter also raised concerns that the Special Report submitted in December 2019 lacked the organizational structure, clarity, and specificity to make evident that the College/District has addressed the following foundational issues that impact its fiscal health. The following table summarizes the overarching actions taken by College of Alameda to address the key deficiencies identified across the eight topics of concern listed above:

Topics of Concern	College Actions	Deficiency Area Addressed
Establishing FTES Targets and Enrollment Management Plans	<ul style="list-style-type: none"> ▫ Annual Discipline Planning and Scheduling Processes ▫ Access to Consistent Data and Reporting ▫ Target Student Enrollments During Intersession 	<ul style="list-style-type: none"> • Structural Deficit
Establishing a Student Success Infrastructure Plan – SCFF Metrics	<ul style="list-style-type: none"> ▫ Financial Aid Strategies ▫ Implementation of AB 705 ▫ Guided Pathways ▫ Embedding the SCFF in Enrollment Management ▫ Program Review ▫ District Block Scheduling 	<ul style="list-style-type: none"> • Structural Deficit
Establishing guidelines to reduce operational overspending and eliminate structural deficit	<ul style="list-style-type: none"> ▫ Balanced Budget ▫ Adherence to FTEF Allocations ▫ Resource Allocation Processes 	<ul style="list-style-type: none"> • Structural Deficit
Adopting a Board policy to adopt sustainable fund balances and reserves	<ul style="list-style-type: none"> ▫ BP/AP 6450 	<ul style="list-style-type: none"> • Adherence to board policies and administrative procedures
Adopting a restructuring plan to improve efficiencies and accountability at the District office and the Colleges	<ul style="list-style-type: none"> ▫ Division Reorganization ▫ Key Staffing Needs ▫ Hiring Plans 	<ul style="list-style-type: none"> • Reconciliation and financial control issues • Key Staffing Issues
Addressing all audit findings	<ul style="list-style-type: none"> ▫ College is free of audit findings 	<ul style="list-style-type: none"> • Ongoing unaddressed audit findings
Establishing strategies to improve the management of the OPEB debt	<ul style="list-style-type: none"> ▫ District primary responsibility 	<ul style="list-style-type: none"> • OPEB obligations
Providing an executive-level staff turnover analysis and recommendations to retain these staff at the district	<ul style="list-style-type: none"> ▫ Campus Executive Leadership 	<ul style="list-style-type: none"> • Key staffing issues

Table 2: key deficiencies identified across the eight topics of concern

This special report is organized according to the original eight bullet points that the ACCJC used to outline their concerns with the College and District processes, procedures, and addressing of standards. Within those eight points are also highlighted the six major areas that continue to be of concern for the ACCJC as expressed on page 2 of the January 27, 2020, letter. The conclusion of this report will speak to the direction of the College as it moves forward in the areas. Each section below will focus first on the College response, then the District response will appear in an appendix. Content will vary in depth depending upon which entity has primary responsibility to address the concern expressed by the Commission.

Part 1: Special Report College Response



Establishing FTES Targets and Enrollment Management Plans

For the past five years, the Peralta Community College District (PCCD) has published FTES targets and FTEF allocations based on the California Community Colleges Chancellor’s Office Budget Allocation Model (BAM) ([Evidence 1.1](#)).

The funding allocation uses three-year FTES averages while the FTES targets use a productivity rate of 17.5 (ratio of the number of weekly student contact hours (WSCH) generated by the full-time equivalent faculty) to maximize efficiency (see table below of 2020-21 districtwide targets).

ANNUAL DISTRICT TARGETS	
2020-21 RES FTES Target	16,000
BAM 3 yr ave - NON-RES FTES	1,507
2019-20 TOT FTES Target	17,507
Productivity Target	17.5

ANNUAL COLLEGE ALLOCATIONS	Alameda	BCC	Laney	Merritt	Total
BAM 3 yr ave - RES FTES	3,133	3,389	6,286	3,882	16,690
BAM 3 yr ave - RES FTES %	18.8%	20.3%	37.7%	23.3%	100%
Annual 2020-21 RES FTES allocation	3,003	3,249	6,026	3,722	16,000
BAM 3 yr ave - NON-RES FTES	233	491	556	230	1,507
TOTAL FTES	3,236	3,740	6,582	3,952	17,507
TOT FTES %	18.49%	21.36%	37.59%	22.57%	100%
Annual 2020-21 TOT FTES allocation	3,236	3,740	6,582	3,952	17,510
2020-21 FTEF allocation based on TOT FTES Allocation and Total Productivity Target	184.9	213.7	376.1	225.8	1,000.6
High Productivity FTEF Set Aside	6.80	7.30	13.50	8.40	36.0
Dual Enrollment FTEF					26
Allocations by Semester	Alameda	BCC	Laney	Merritt	Total
Summer 2020 (10% of annual)					
RES FTES	300.3	324.9	602.6	372.2	1,600.0
TOT FTES	323.6	374.0	658.2	395.2	1,751.0
FTEF	18.5	21.4	37.6	22.6	100.1
Fall, Spring, 2020-21 (45% of annual each)					
RES FTES	1,351.4	1,461.9	2,711.8	1,674.8	7,200.0
TOT FTES	1,456.4	1,683.0	2,961.8	1,778.5	7,879.7
FTEF	83.2	96.2	169.2	101.6	450.3
Annual 2020-21					
RES FTES	3,003.2	3,248.7	6,026.1	3,721.8	15,999.9
TOT FTES	3,236.5	3,740.0	6,581.8	3,952.2	17,510.5
FTEF	184.9	213.7	376.1	225.8	1,000.6

Table 3: 2020-21 districtwide targets

Continuously working towards a systematic enrollment management culture that incorporates FTES and FTEF targets, the faculty, staff, and administrators of College of Alameda have

applied innovative interventions from our Enrollment Management Framework to address and improve declining enrollment numbers and educational outcomes for students.

Census Enrollment and Productivity by Year and College

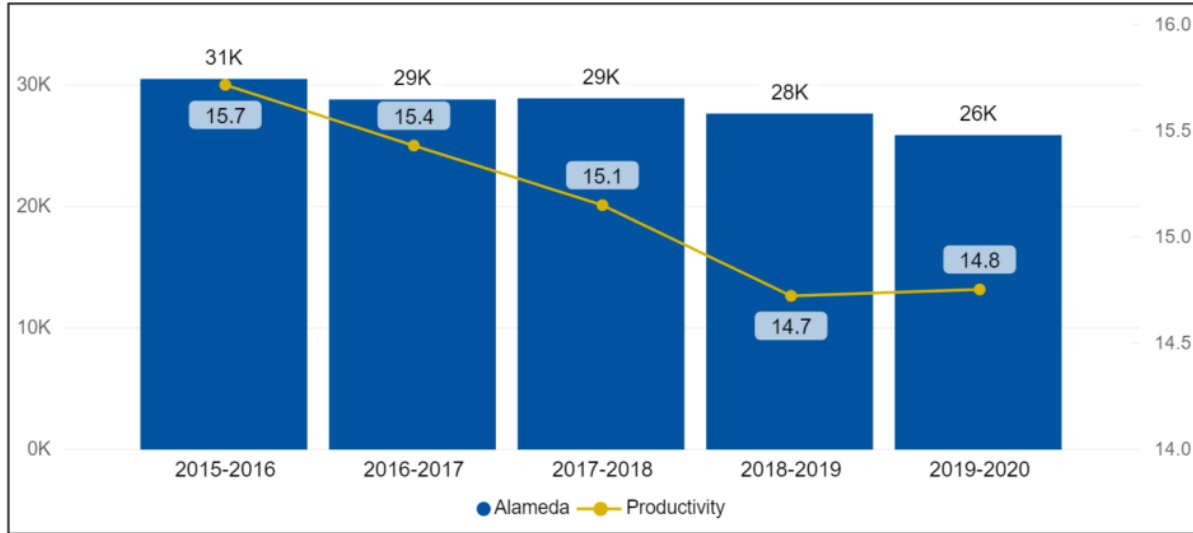


Figure 1 Census enrollment and productivity by year and college

Establishment of Annual Discipline Planning and Scheduling Processes

Addressing two of our seven enrollment management concentrations, “Systems and Data” as well as “Planning and Reporting”, featured in our Enrollment Management Framework, the College developed a process for FTEF resource allocation and FTES review by discipline in January 2018 ([Evidence 1.2](#), [Evidence 1.3](#)). Created by a team of volunteer department faculty chairs, deans, and the vice president of instruction, the annual discipline planning tool was developed after extensive research of neighboring community college planning processes.

The Microsoft Excel based planning tool features robust spreadsheets that provide an allocation based on a three-year average usage of FTEF by discipline. In January 2020, the tool was updated to incorporate additional metrics, including metrics featured in the Student-Centered Funding Formula ([Evidence 1.4](#)).

		C	D	E	F	G	H		I	J	K
		Term	Year	Discipline		20-21 FTEF Allocation		Sp 20-21 FTEF	FTEF	PROD	
		Spring	21	DENTL		4.80		2.57	26.117	10.16	
Remaining FTEF for 2020-21								-0.43			
Faculty Name Carla Pegues											
Subject	Course/X-listed Course(s)	Set Cap Per Section	Expected Enrollment Per Section (Est.)	Planned Section(s)	Total Enr. (Est.)	Weekly Contact Hours Per Week	Equated Hours Per Section	Total FTEF	FTEF	PROD	NOTES:
DENTL	224B		21	1	21	1.00	1.00	0.07	0.700	10.50	
DENTL	226		19	1	19	2.00	2.00	0.13	1.267	9.50	
DENTL	227		18	1	18	2.00	2.00	0.13	1.200	9.00	
DENTL	228A		22	1	22	2.00	2.00	0.13	1.467	11.00	
DENTL	228B Lab		22	1	22	18.00	14.40	0.96	13.200	13.75	
DENTL	229		22	1	22	1.50	1.50	0.10	1.100	11.00	
DENTL	230		22	1	22	0.25	0.25	0.02	0.183	11.00	
DENTL	224B Lab		8	3	24	3.00	2.40	0.48	2.400	5.00	
DENTL	226 Lab		12	2	24	3.00	2.40	0.32	2.400	7.50	
DENTL	229 Lab		24	1	24	2.00	1.60	0.11	1.600	15.00	
DENTL	230 Lab		8	3	24	0.75	0.60	0.12	0.600	5.00	
DENTL					0			0.00	0.000	#DIV/0!	
DENTL					0			0.00	0.000	#DIV/0!	
DENTL					0			0.00	0.000	#DIV/0!	
DENTL					0			0.00	0.000	#DIV/0!	
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DENTL					0			0.00	0.000	#DIV/0!	
DENTL					0			0.00	0.000	#DIV/0!	

Table 4: Example page from the Microsoft Excel based planning tool

Automated formulas present department chairs with information about how FTEF generation is affected by student enrollments, how faculty instructional load figures into FTEF and FTES calculations, and provides discipline level targets based on the enrollments they project per section. The department chairs work with their deans throughout the year to discuss and update the discipline plans and scheduling documents to reflect the changing needs of their students and programs. Data transparency and access has allowed for robust dialog. The utilization of this tool has enabled faculty and administrators to use data to improve scheduling while analyzing enrollment patterns and maximizing productivity.

Access to Consistent and Accurate Data and Reporting

Access to consistent and accurate data was a challenge for College of Alameda with the departure of the Interim Dean of Research, Planning & Institutional Effectiveness in June 2018. These were noted by the Academic Senate in a request for faculty to have access to accurate student data (Evidence 1.5 CoA Academic Senate Minutes – Oct 3, 2019). The College worked with the District to fill the position in 2019 noting it was critical and essential in addressing the College’s enrollment management concentrations of “Systems and Data” and “Planning and Reporting”. In the absence of a full-time researcher, the College focused efforts on utilizing the internal data

warehouse by developing weekly reports to monitor daily enrollment (FTES), college allocations (FTEF) by class for all disciplines.

TERM	CAMPUS	Sum of Resident FTES Target	Sum of Resident FTES Actual	Sum of Resident FTES Deficit	Sum of Resident FTES % of Target	Sum of Nonresident FTES Actual	Sum of Total FTES Actual
Summer 2020	Alameda	300.30	292.34	-7.96	97.35	16.80	3
Summer 2020	Berkeley	324.90	354.03	29.13	108.97	32.87	3
Summer 2020	Laney	602.60	575.03	-27.57	95.43	41.89	6
Summer 2020	Merritt	372.20	362.98	-9.22	97.52	13.68	3
Summer 2020	PCCD	1600.00	1584.38	-15.62	99.02	105.23	16
Fall 2020	Alameda	1351.40	1024.78	-326.62	75.83	71.47	10
Fall 2020	Berkeley	1461.90	1336.80	-125.10	91.44	151.96	14
Fall 2020	Laney	2711.80	2077.29	-634.51	76.60	191.95	22
Fall 2020	Merritt	1674.80	1412.26	-262.54	84.32	82.00	14
Fall 2020	PCCD	7200.00	5851.13	-1348.87	81.27	497.38	63
Spring 2021	Alameda	1351.40	0.00	-1351.40	0.00	0.00	0
Spring 2021	Berkeley	1461.90	0.00	-1461.90	0.00	0.00	0
Spring 2021	Laney	2711.80	0.00	-2711.80	0.00	0.00	0
Spring 2021	Merritt	1674.80	0.00	-1674.80	0.00	0.00	0
Spring 2021	PCCD	7200.00	0.00	-7200.00	0.00	0.00	0

Table 5: Example of weekly report to monitor daily enrollment

Created by the College’s Senior Academic Services Specialist, the daily enrollment report also features an analysis of low-enrolled courses on a day-by-day basis. Access to data allows for open conversations amongst department chairs and deans around low-enrolled courses, student needs, and where to best expand offerings by discipline. In addition, the daily enrollment report provides insight to marketing efforts. The report is used in weekly discussions between instructional deans and the vice president of instruction as they prepare marketing plans with our Marketing/Public Information Officer (PIO) consultant. The PIO consultant gives updates on marketing efforts as they may correlate with upswings in student enrollments post-advertising, and they plan for future marketing, especially related to low-enrolled courses, late-start courses, and future online intersession offerings.

Target Student Enrollments During Intersession

To actively address declining enrollments each year, College of Alameda has engaged in a campaign to build/increase enrollments through its course offerings through Winter and Spring Intersessions (December/January and May/June). Each intersession focuses on transferable, high-impact courses that students at College of Alameda and throughout the Peralta Colleges can take for degree completion. In the past two semesters the campus has also engaged in special advertising campaigns to nearby UC/CSU student publications, and Google/Facebook campaigns to increase enrollments in new sections that the academic divisions continue to add.

As reflected in the following chart, the College continues to grow this set of offerings to meet student demand in the District and increase its overall FTES.

Term - Intersession	FTES	FTEF	Productivity (FTES/FTEF)
Fall 2015	75.73	3.93	19.27
Spring 2016	75.10	4.07	18.45
Annual Total	150.83	8.0	18.86
Fall 2016	82.60	4.27	19.34
Spring 2017	67.01	3.72	18.01
Annual Total	149.61	7.99	18.68
Fall 2017	92.20	5.13	17.97
Spring 2018	77.40	4.13	18.74
Annual Total	169.6	9.26	18.36
Fall 2018	104.57	5.73	18.25
Spring 2019	67.87	4.47	15.18
Annual Total	172.44	10.02	16.72
Fall 2019	121.43	7.00	17.35
Spring 2020	111.67	6.40	17.45
Annual Total	233.10	13.4	17.4

Table 6: College of Alameda Intersession offerings increase from 2015 to 2020

As can be seen in the growth of FTES between the 2015/16 Academic Year and 2019-20, the expansion of numbers of sections (FTEF) has led to growth in FTES. The College will continue to balance growth with productivity/efficiency.

Update of the Strategic Enrollment Management Framework

The Institutional Effectiveness Committee continues to update the work done under its Strategic Enrollment Management Framework ([Evidence 1.6](#), [Evidence 1.7](#)) As the College carries out the hard work of enrollment management during a decline in student enrollment, further work needs to take place districtwide to update the Budget Allocation Model (FTEF allocation specifically) to include key elements of the Student-Centered Funding Formula (similar to what College of Alameda did with its own FTEF allocations). The first meetings of the workgroups of the Planning and Budget/Planning and Governance Committee focused on Budget Allocation Model (BAM) are expected to occur in November 2020, after feedback from constituents is obtained as to the main needs in a new budget allocation model.

By following the Strategic Enrollment Management Framework and Student Equity Plan, the College seeks to address all aspects of enrollment management through a broad and collaborative process ([Evidence 1.8](#)). As shown in evidence of the daily review of FTES generation, targets, and FTEF usage, the Commission's concerns related to this item are addressed.

Establishing a Student Success Infrastructure Plan to comply with the Student-Centered Funding Formula as announced by the California Community College Chancellor's Office

Aligned with the California Community College's Vision for Success and with College of Alameda's Enrollment Management Framework, the College consistently reviews and addresses student success metrics in multiple ways that connect daily college efforts with the Student-Centered Funding Formula ([Evidence 2.0](#), [Evidence 2.1](#)). Highlighted below are:

- Financial Aid Strategies
- Implementation of AB 705
- Guided Pathways
- SCFF Enrollment Management Practices
- Program Review
- Block Scheduling

The formula consists of a base allocation (reflective of enrollment), a supplemental allocation based on the numbers of students receiving a College Promise Grant, students receiving a Pell Grant, students covered by AB540, and a student success allocation based on outcomes, including the number of students earning associate degrees and credit certificates, the number of students transferring to four-year colleges and universities, the number of students who complete transfer-level mathematics and English within their first year, the number of students who complete nine or more career education units, and the number of students who have attained the regional living wage.

Financial Aid Strategies

Since the announcement of the Student-Centered Funding Formula (SCFF), and the shift of primary financial aid responsibilities to the College, the College has begun to create systems intended to improve the number of CA Promise Grants and PELL recipients (see below for details). The College has clearly noted a decline in these awards in recent academic years.

SCFF Metrics	2017-18	2018-19	2019-20	% diff from prior year
CA Promise Grant	5700	5403	4462	-17%
Pell Grant	1375	1234	1069	-13%
AB540	186	135	108	-20%

Table 7: Financial Aid awards decline

As can be seen in the above chart, the significant decline in Pell and California Promise Grant recipients is of direct concern to the College under the new SCFF funding metrics. It is possible that there are some data warehouse issues and the District has engaged the services of Cambridge West to carry out data review. However, recognizing the seriousness of the situation and decline in financial aid under the SCFF in the form of Pell, AB540, and California Promise Grant recipients in recent years, the Financial Aid Office has taken/is taking the following steps to maximize the supplemental allocation:

- Completed the successful hire of a Director of Financial Aid Services in June 2020 after a gap in executive Financial Aid leadership at the District, that led PCCD to decentralize Financial Aid services in 2019.
- Provided Financial Aid hands-on workshops to assist students with their FAFSA/Dream Act applications. Additionally, Financial Aid Labs are offered to assist students in completing their financial aid files. It should be noted that due to COVID-19 the Financial Aid Office has been virtually providing a combined Financial Aid & Lab workshop twice per week.

SCFF Supporting Activities	2018-19	2019-20	% diff from prior year	2020-21 Goal	2020-21 Stretch Goal
Financial Aid Applications (FASFA)	3570	3182	-11%	3182	3214
CA Dream Act Applications	83	82	-1%	82	83
Financial Aid Workshops	62	75	21%	75	76
Financial Aid Labs	23	28	22%	28	28
Financial Aid Classroom Presentations	11	13	18%	20	20

Table 8: SCFF Supporting Activities

- Established ongoing partnerships with faculty and special programs to promote financial aid programs; encourage students to apply; and provide one-on-one appointments to complete their financial aid files. The Financial Aid Office provided presentations to classrooms and special program events. The number of presentations increased from 11 in 2018-19 to 13 in 2019-20, with a goal to increase to 20 in 2020-21.
- Improved procedures on running monthly reports to capture all students that have outstanding financial aid requirement or incomplete files. The Financial Aid Office follows-up with students via phone, email, and text messages to ensure all requirements are fulfilled.
- During COVID-19, we have been utilizing *Tawk.To Chat*, a live chat software plugin tool that embeds to our website and allows us to assist students with Financial Aid questions.
- Secured agreement with *CampusLogic*, a third-party vendor that provides students the ability to submit verification files online so that students can complete and upload their financial aid documents online without having to visit the Financial Aid Office.
- Continued use of *Ocelot Chat Bot* (previously known as FATV), an artificial intelligence advising platform that gives colleges the ability to produce easy- to-digest videos and

create financial aid publications. This resource allows students access to us 24 hours a day. This will increase our reach to students.

- Improved financial literacy. Partnering with other departments to build a financial literacy program that will help students be more fiscally responsible while at CoA and beyond their time here.
- Expanding partnerships with community groups to provide financial aid presentations to prospective students.
- Partnered with the *East Bay Cash for College Coalition* and regional secondary schools within a 20-mile radius of College of Alameda to provide Financial Aid presentations and hands-on workshops on FAFSA/Dream Act Applications. During the 2018-19, the Financial Aid Office supported six events and in 2019-20 supported five events.
- Partnered with the COA Outreach Office to present and table at events both at COA and at feeder high schools. During 2018-19 the Financial Aid Office participated in four events and in 2019-20, five events.
- Reassessed each quarter the number of California College Promise Grant (CCPG) recipients to ensure that qualified students are accurately awarded a tuition waiver.
- Beginning January 2020, we implemented the *Remind* communication platform. *Remind* allowed the Financial Aid Office staff to send text messages to students about upcoming financial aid workshops, events, and services. Each month, an average of 1,700 students benefit from this service.
- Promoted financial aid workshops on *I Can Afford College website* for students or the community to get workshop schedule.
- Created a year-long financial aid calendar with a topical focus for each month to raise awareness and promote various financial aid programs and application processes. In 2018-19, the Financial Aid Office served 331 students, and 287 during 2019-20.

Looking ahead, College of Alameda's Financial Aid Office will continue to be proactive when it comes to gearing-up outreach and in-reach efforts and plans to hire more student workers to support the department efforts. Additionally, once *CampusLogic* goes live in November 2020, the College will have further tools to help increase the number of Pell/financial aid recipients. Besides targeting both former financial aid students and current students who have not completed their financial aid files, the Financial Aid Office is developing a process to target all students who are enrolling at the institution.

SCFF Metrics	2017-18	2018-19	2019-20	% diff from prior year	2020-21 Goal	2020-21 Stretch Goal
CA Promise Grant	5700	5403	4462	-17%	4661	5188
Pell Grant	1375	1234	1069	-13%	1101	1226
AB540	186	135	108	-20%	111	143

Table 9: SCFF Metrics

The following goals are calculated by calculating the three year mean less one standard deviation. Stretch goals are calculated by calculating the three year mean and adding one standard deviation.

SCFF Student Success Metrics	2017-18	2018-19	2019-20	% diff from prior year	2020-21 Goal	2020-21 Stretch Goal
No. of students completing both transfer level mathematics and English within the first year	182	242	220	21%	152	199
No. of students with nine or more career education units	735	792	794	0%	746	774
No. of students awarded an associate degree for transfer (ADT)	143	139	120	-14%	124	134
No. of students awarded an associate degree	262	242	266	10%	246	257
No. of students awarded a credit certificate	375	407	319	-22%	331	367
No. of students who transferred to a four-year institution	314	292	241*	-17%	252	282

*2019-20 transfer data is a projected figure as transfers to private institutions is unavailable.

SCFF Student Success Metrics	2015-16	2016-17	2017-18	% diff from prior year	2020-21 Goal	2020-21 Stretch Goal
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**No. of students who are earning greater than or equal to the regional living wage	654	556	564	1%	547	591
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**Data for 2018-19 or later is unavailable. Data source: [CA Community College Pipeline](#)

Table 10: SCFF Student Success Metrics and goals

Implementation of AB705 and initial outcomes

As a key outcome in the Student-Centered Funding Formula, increasing the number of students who complete transfer level mathematics and English within their first year has been strengthened with the implementation of CA Assembly Bill 705 (AB705) ([Evidence 2.2](#)). AB 705 legislation identified major barriers for students (often students from under-served populations) who were taking standardized placement exams and often placing 2, 3 or 4 levels below transfer-level coursework. Student success data showed that students who began at these lower levels often were over-prepared and misplaced by the assessment instruments, or they became discouraged and stopped completing the basic skills sequence of courses. Research revealed that the greatest barriers were being faced by our disproportionately impacted/under-served populations.

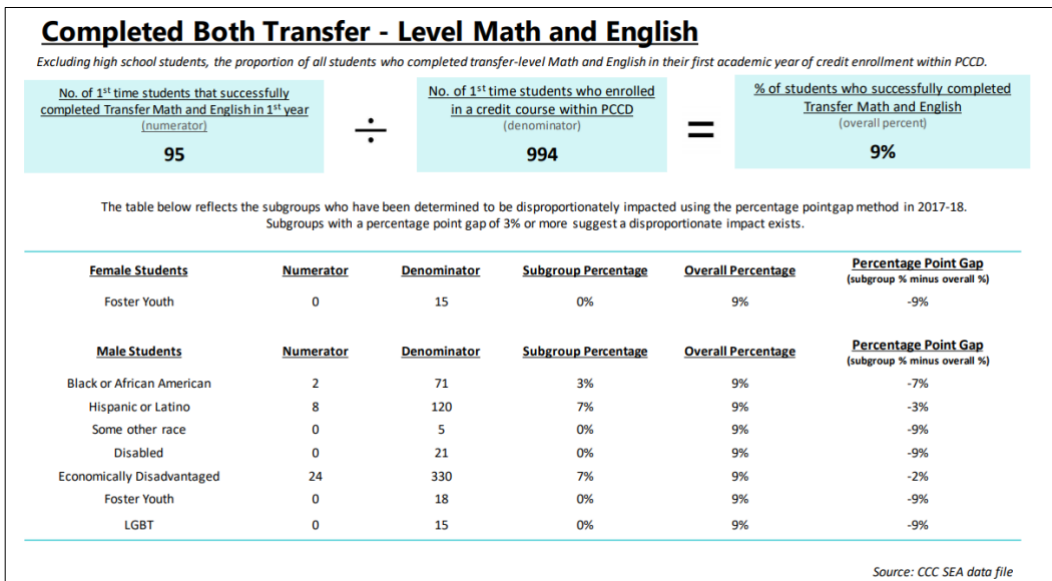


Table 11: CCC SEA data on PCCD students who completed both transfer level math and English

Beginning in 2018, a robust series of discussions and review of research took place throughout the College and around the District within AB705 team meetings ([Evidence 2.3](#)). College of Alameda’s mathematics and English faculty committed to build support courses that could be attached to transfer-level courses (or an expanded transfer-level course) to assist the overall

student-body (and those that might struggle most) to achieve success and pass the transfer-level courses in their first year. By Fall 2019, students had options to enroll in a standalone transfer level English course (English 1A) or a transfer level English course with embedded support (English 1AS) that included study skills such as note taking, time management, stress management and campus resources. In mathematics, support courses for Statistics, Trigonometry and Pre-Calculus were expanded for students who felt like they needed additional help in successfully completing transfer level mathematics.

On the Student Services side, all standardized placement tests were eliminated and the department created and implemented a Guided Self-Placement Tool in Spring 2019 to assist students with English and mathematics placement using their high school grade point average, high school coursework and high school grades ([Evidence 2.4](#)). Within the year of implementation, over 800 students utilized the tool to assist them in determining a transfer level mathematics or English course and over 40% enrolled in a subsequent course ([Evidence 2.5](#)).

Number of students completing both transfer level math and English within their first year, by Ethnicity				
By Ethnicity	2018	2019	2020	% change from 2018
Asian	66	84	80	21%
Black/African American	16	15	29	81%
Hispanic/Latinx	48	55	51	6%
Two or More	16	18	15	-6%
Unknown	n/a	n/a	14	n/a
White	30	39	31	3%

Table 12: Students using College of Alameda’s Guided Self-Placement Tool

Outcomes within the first year of implementation reflect a 21% increase in first time students completing both transfer level English and mathematics compared to the number in 2018. By ethnicity, all categories less the Two or More group showed increases compared to 2018; most significant is reflected in the African American student population where the number of students almost doubled from 2018 to 2020 ([Evidence 2.5](#)).

Guided Pathways

The College has continually engaged in the work of addressing student success metrics as highlighted in the Student-centered Funding Formula through the new Guided Pathways program. The Guided Pathways design team focused the entire 2018-19 academic year on research and discovery of student achievement gaps in degree completion and transfer at the college and breaking down institutional barriers through better mapping and program design ([Evidence 2.6](#)). Informative workshops were conducted throughout the year to engage faculty, staff and administrators on understanding the graduation and transfer numbers, the average length of time to complete, and to discuss how to reduce the number of units to completion ([Evidence 2.7](#)).

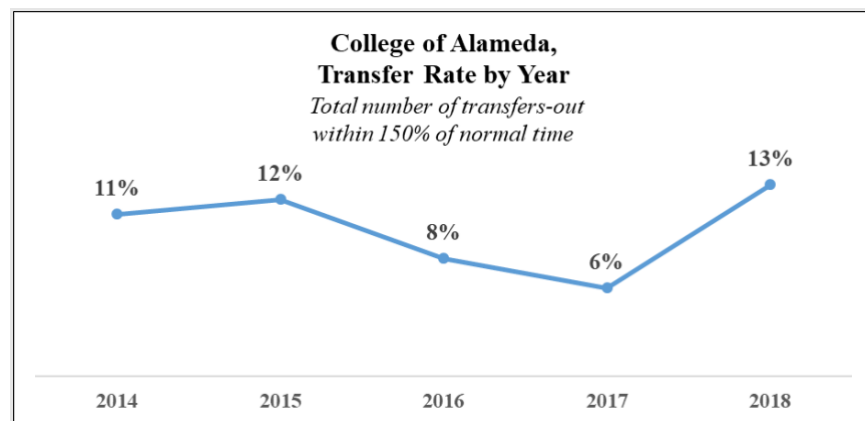


Figure 2: College of Alameda Transfer Rate by Year

During 2019-20, the Guided Pathways Mapping and Meta-majors Team engaged with more than 40 discipline faculty, counselors, deans, staff, and the articulation officer to create two-year program maps to provide better pathways for student degree completion by shortening the path, suggesting general education sequencing per degree/certificate, and updating to curriculum to align with the changes. The first Associate Degree for Transfer maps are contained in the *2020-21 College Catalog* ([Evidence 2.8](#)).

College of Alameda 2020-2021 Catalog		ART (ART) • 87		
ART HISTORY ASSOCIATE IN ARTS FOR TRANSFER RECOMMENDED COURSE SEQUENCE				
FALL 1	Course	Units	Requirement	CSU GE Area
	ART 20 Beginning Drawing and Composition	3	Major	
	ART 2 History of Western Art: Prehistory through the Middle Ages	3	Major	C1
	ENGL 1A/1AS Composition and Reading (w/ support)	4 or 5	GE	A2
	MATH 15 Mathematics for Liberal Arts Students	3	GE	B4
	LIS 85 Introduction to Information Resources	2	Elective	
Total Number of Units		15 to 16		
SPRING 1	Course	Units	Requirement	CSU GE Area
	ART 46 2-D visual Design	3	Major, List B	
	ART 3 History of Western Art: Renaissance to Contemporary Art	3	Major	C1
	ENGL 5 Critical Thinking in Reading and Writing	3	GE	A3
	COMM 45 Public Speaking	3	GE	A1
	ART 22 Intermediate Drawing and Composition	3	Elective	
Total Number of Units		15		

Table 13: Guided Pathways Mapping Recommended Course Sequence

The mapping work for local degrees and certificates is projected for completion by November 2020 and will be included in the 2021-22 catalog and published in Fall 2020 on the college website.

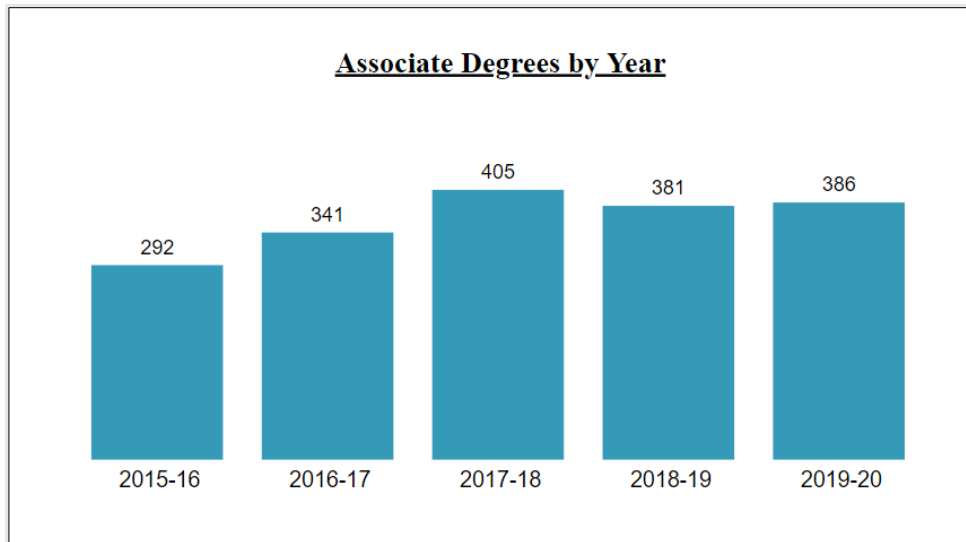


Figure 3: College of Alameda Associate Degrees by year

The second Guided Pathways team for 2020-21 is focused on Equity as it relates to all Student Support Services. This research-focused team will explore best practices in equitable and successful services to students, including areas not limited to the library, tutoring center, classroom, counseling, admissions and records, and financial aid. Recommendations will be

made with the goal of helping students have the greatest success and equitable experiences in all their contact moments at the college. If experiences at the College are similar to successes at other colleges statewide (reported by the California Guided Pathways statewide first cohort), the College will be able to promote greater student success, focus on course completion, and decrease time to degree completion. For this work, the College has set the following goals for shortening time to degree/certificate completion. As the meta majors (areas of emphasis) get implemented in 2020-21 the College expects even greater improvement in this area.

SCFF Supporting Activities	2018	2019	2020	% change from 2018	2020-21 Goal	2020-21 Stretch Goal
Number of total credit units to completion	85	81	84	-1%	83	80

Table 14: Number of total credit units to complete

Embedding the SCFF Within Our Enrollment Management Practices

The annual FTES targets and FTEF allocations for 2020-21, as highlighted in the previous section, were discussed, reviewed and addressed at the College in special department chairs/deans meetings in January 2020 ([Evidence 2.9](#)). Those meetings were significant since declining enrollments required a significant reduction in allocations given to each discipline to offer courses in 2020-21. Since 2018 the College has maintained adherence to its annual FTEF allocation and has also focused on productivity, while allowing some variance for courses students need for completion and that promote student success.

Annual Allocation	FTEF Allocation	FTEF Actual
2018-19	224	227.97
2019-20	221.65	216.66
2020-21 – Summer/Fall only	101.7	95.78 + 5.0 (Intersession)

Table 15: Annual Allocation

By following said allocations, the College helps the District maintaining fiscal stability and is able to balance the college’s instructional faculty budgets.

Towards greater fiscal stability as it relates to enrollment management the college held robust discussions with the Department Chairs for all disciplines at the College, along with the Director of Institutional Research and Planning, and Instructional Deans (also in attendance were the

Academic Senate President and our local union representative). Meetings were held at the beginning of the Spring Semester on January 24, 2020, and January 31, 2020, to discuss allocation reductions, and a holistic approach to dividing up the new allocations for FY2020-21 amongst departments.

As noted in the attached 2020-21 FTEF Scenarios PowerPoint used in the January 24, 2020, and January 31, 2020, special chairs meetings to describe the proposed process, we reviewed overall College targets for FY2020-21 and brought in new elements related to the Student-Centered Funding Formula to allocate resources for the upcoming academic year.

That formula breakdown is as follows:

- 25% - Three Year Average FTEF usage by discipline
- 40% - Productivity (based on a 17.5 productivity (FTES/FTEF) target
- 5% - Student Educational Plan Demand - SEP (review of planned courses within SEPs)
- 10% - Degrees & Certificates (3-year average of awards)
- 10% - Course Success Rate (3-year average)
- 10% - Course Retention Rate (3-year average)

Weighted Average																			
Department	# of FT Faculty	3Y FTEF AVG	Productivity	Demand	Awards Conferred	Success Rate	Retention Rate	2020-21 Proposed FTEF Allocation	Diff from 2018-19 FTEF	Department	# of FT Faculty	3Y FTEF AVG	Productivity	Demand	Awards Conferred	Success Rate	Retention Rate	2020-21 Proposed FTEF Allocation	Diff from 2018-19 FTEF
ADAM	2.0	1.1	1.5	0.2	0.6	0.5	0.5	4.3	-0.9	ESCL	1.0	2.8	4.6	0.2	0.7	1.3	1.3	10.9	-2.6
AFRAM	1.0	0.4	0.3	0.2	0.1	0.1	0.1	1.1	-0.7	GEOG	1.0	0.9	1.6	0.2	0.3	0.5	0.5	3.9	-1.1
AMT	3.0	2.1	4.0	0.2	1.1	1.0	1.0	9.3	-0.8	GEOI	0.0	0.1	-0.5	0.1	0.0	0.0	0.0	0.1	-0.3
ANTHR	1.0	0.9	2.1	0.3	0.3	0.4	0.5	5.6	-0.9	GERM	0.0	0.0	0.0	0.1	0.0	0.0	0.0	0.0	0.0
ART	1.0	1.0	2.3	0.2	0.3	0.5	0.5	4.9	-1.0	HIST	2.0	1.4	2.8	0.3	0.6	0.5	0.7	6.4	-0.8
ASTR	0.0	0.3	0.4	0.1	0.1	0.1	0.0	1.0	-0.2	HITB	0.0	0.0	0.1	0.1	0.0	0.0	0.0	0.1	0.0
ATECH	4.0	2.5	4.0	0.2	1.3	1.1	1.2	9.3	-2.8	HLTOC	0.0	0.5	0.5	0.1	0.1	0.2	0.2	1.6	-1.0
ATHL	0.0	0.2	-0.2	0.1	0.1	0.1	0.1	0.7	-0.6	HUMAN	1.0	0.5	0.7	0.1	0.1	0.1	0.2	2.0	-0.4
AUTOB	2.0	0.9	1.6	0.1	0.5	0.4	0.4	4.0	-0.6	KIN	0.0	0.7	0.9	0.1	0.2	0.3	0.3	2.5	-0.8
BIOL	2.0	2.9	4.8	0.5	0.7	1.3	1.3	11.4	-2.4	LLIS	0.0	0.1	0.2	0.1	0.0	0.0	0.0	0.6	-0.1
BUS	3.0	1.7	2.4	0.4	0.8	0.5	0.5	6.3	-1.1	LRNRE	0.0	0.8	0.8	0.1	0.2	0.3	0.1	2.4	-1.6
CHEM	1.0	1.3	2.2	0.3	0.3	0.4	0.4	4.9	-1.5	LRNRE-LRC	0.0	0.1	0.1	0.1	0.0	0.0	0.0	0.3	0.0
CHIN	0.0	0.3	0.5	0.1	0.1	0.1	0.1	1.1	-0.2	MA TH	3.0	5.1	8.4	0.9	2.6	2.1	2.3	20.0	-3.9
CIS	3.0	2.0	3.2	0.3	1.1	0.7	0.7	8.0	-1.6	MUSIC	1.0	0.5	0.7	0.2	0.1	0.2	0.2	2.0	-0.7
COMM	1.0	1.4	2.7	0.3	0.8	0.7	0.7	6.6	-1.1	PHIL	0.0	0.4	0.0	0.1	0.1	0.1	0.1	0.7	-0.7
COPEP	0.0	0.1	0.3	0.1	0.0	0.0	0.0	0.6	-0.1	PHYS	1.0	0.6	0.8	0.2	0.1	0.2	0.0	2.3	-0.6
COUN	0.0	0.6	0.7	0.1	0.1	0.2	0.0	1.8	-0.9	POSOCI	1.0	1.0	1.6	0.3	0.6	0.4	0.5	4.4	-1.4
DANCE	1.0	0.4	0.8	0.1	0.1	0.2	0.2	1.7	-0.3	PSYCH	3.0	1.9	3.3	0.3	1.1	0.7	0.9	7.6	-2.0
DENTL	1.0	1.0	2.1	0.3	0.6	0.5	0.5	5.0	-0.4	SOC	1.0	1.0	2.1	0.3	0.6	0.3	0.5	4.8	-0.6
DMECH	2.0	0.8	1.3	0.1	0.5	0.4	0.4	4.0	-0.2	SPAN	0.0	0.5	0.1	0.1	0.1	-0.1	0.1	1.0	-1.0
ECON	1.0	1.1	1.9	0.2	0.3	0.4	0.5	4.5	-1.3	VIET	0.0	0.2	0.4	0.1	0.0	0.0	0.0	1.0	0.0
ENGL	6.0	4.0	6.4	0.6	1.0	1.6	1.7	15.2	-3.9	TOTAL	50.0	46.2	74.2	9.3	19.3	18.5	18.9	184.9	-43.1

- 25% - Three Year Average FTEF
- 40% - Productivity
- 5% - SEP Demand
- 10% - Degrees & Certificates
- 10% - Course Success Rate
- 10% - Course Retention Rate

Table 16: The new College process for FTEF allocation for instruction is based on multiple elements of the SCFF

Adherence to this new formula was also adjusted partially due to number of full-time faculty, reduced productivity capabilities in certain career education, science, and other disciplines with mandated lower-class caps or physical space limitations for labs. Details are listed in the notes section of the 2020-21 FTEF Scenarios presentation ([Evidence 2.9](#)).

While reviewing overall FTES targets, and declining enrollments, this new focus on student success metrics in the instructional resource allocation processes will lead to the appropriate reallocation of resources to meet student needs, student demands, and encourage a focus on SCFF elements that relate to student achievement. Student equity needs will also be a constant factor in future conversations. As the College completes its first year of use of this new allocation model in 2020-21 it will track results of offerings and enrollments in these courses

As described above, the new College process for FTEF allocation for instruction is based on multiple elements of the Student-centered Funding Formula and represents the College's constant attention to these metrics as they affect students and programs. This focus on elements of the Student-Centered Funding Formula will support greater student success and bring in new revenue to the College which will in turn address ongoing structural deficit concerns through improved enrollment management. As mentioned previously, this is the first year of the new allocation model and the College will track student enrollment data, degree and certificate completion, and so forth to determine success. As an added note, since 2018 the College has consistently lived within its financial means for allocation of faculty teaching resources, staying within its District-provided allocations and striving for higher productivity. The College will monitor metrics regularly and adjust class and program offerings to meet student demand and maximize SCFF metrics.

Program Review

Student success metrics like those of the Student Funding Formula such as assessing the number of degrees and certificates awarded are visible in all programs assessed in the Comprehensive Program Review Process ([Evidence 2.10](#)). Career education programs also assess whether students secured employment in their field within three months of completion and review labor market demand ([Evidence 2.11](#)). In 2020-21, the Program Review process will incorporate all supplemental allocation data metrics of the Student-Centered Funding Formula by discipline.

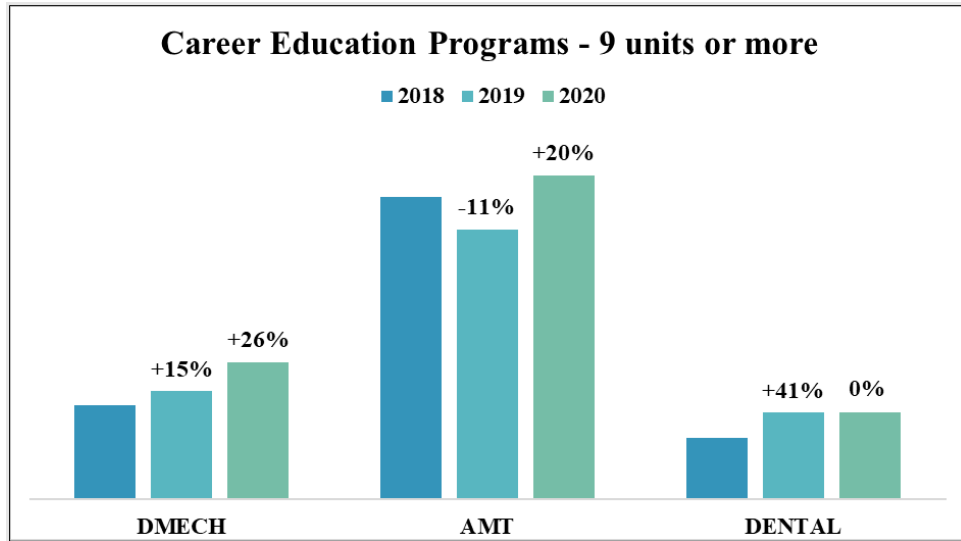


Figure 4: Career Education Programs 2018-2020

Block Scheduling

The Academic Senate Presidents and Vice Presidents of Instruction met multiple times during 2019-20 to discuss common block scheduling and collaborative discussion across the District by discipline around class offerings ([Evidence 2.12](#)). With the help of the Collaborative Brain Trust, District Institutional Research created POST, the Peralta Online Scheduling Tool that shows live enrollment data across all disciplines and scheduling formats in order for disciplines to better analyze current offerings and better meet student demand and promote student success ([Evidence 2.13](#)). Academic Year 2020-21 is the first complete year that block scheduling would have occurred. However, given the shift to almost fully online schedules during the pandemic, full implementation will not occur until the regular face-to-face offerings return to campus. In the meantime, faculty desiring to carry out synchronous online instruction are instructed to use times/days within the following common block schedule.

Peralta Community College District Block Scheduling Pattern												
17.5 Week Calendar												
	2 hours	3 hours	3 hours	3 hours	4 hours	4 hours*	5 hours*	6 hours	6 hours*	3 hours	3 hours	4 hours
	2 days per week	1 day per week	2 days per week	3 days per week	1 day per week	2 days per week	2 days per week	2 days per week	3 days per week	Saturday	Saturday	Saturday
7:30 - 8:00 AM	7:00-7:50 AM MW/TTH			7:00-7:50 AM MWF								
8:00 - 8:30 AM	8:00 - 8:50 AM MW/TTH		8:00-9:15 M/W or T/Th	8:00 - 8:50 AM MWF			7:30 - 9:45 M/W OR T/TH		8:00 - 9:50 MWF			8:00-11:50
8:30 - 9:00 AM				9:00 - 9:50 AM MWF	8 - 11:50 OR 8:30 TO 12:20 M, T, W, TH OR F			8:00- 10:50 OR 9:30 TO 12:20 M/W or T/TH		9:00-11:50	10:00-12:50	
9:00 - 9:30 AM	9:00 - 9:50 AM MW/TTH		9:30-10:45 M/W or T/Th	10:00 - 10:50 AM MWF			10:00- 11:50 M/W OR T/TH		10:00- 11:50 MWF			
9:30 - 10:00 AM		8:00-10:50 OR 9:30 TO 12:15 M, T, W, TH OR F		11:00-12:15 M/W or T/Th	11:00 - 11:50 AM		10:00 - 12:15 M/W OR T/Th					
10:00 - 10:30 AM	10:00 - 10:50 AM MW/TTH											
10:30 - 11:00 AM												
11:00 - 11:30 AM	11:00 - 11:50 AM MW/TTH											
11:30 - 12:00 PM												
12:00 - 12:30 PM										BREAK		
12:30 - 1:00 PM	12:30 - 1:30 PM College Hour	12:30-1:30 College Hour	12:30-1:30 College Hour	12:30 - 1:30 PM College Hour	12:30-1:30 College Hour	12:30-1:30 College Hour	12:30-1:30 College Hour	12:30-1:30 College Hour	12:30-1:30 College Hour			
1:00 - 1:30 PM												
1:30 - 2:00 PM	1:30 - 2:20 PM MW/TTH		1:30-2:45 M/W or T/Th	1:30 - 2:20 PM MWF						12:30-3:20	1:30-4:20	
2:00 - 2:30 PM				2:30 - 3:20 PM MWF	1:30-5:20 OR 2:00 - 5:50 M, T, W, TH OR F		1:30 - 3:20 M/W OR T/TH	1:30 - 3:45 M/W OR T/TH	1:30 - 4:20 or 3:00 - 5:50 M/W or T/TH			
2:30 - 3:00 PM	2:30 - 3:20 PM MW/TTH	1:30 - 4:20 or 3:00 - 6:20 M, T, W, TH OR F	3:00-4:15 M/W or T/Th	3:30 - 4:20 PM MWF			3:30 - 5:20 or 4:00 to 5:50 M/W OR T/TH	4:00-6:15 M/W or T/TH	3:30 - 5:20 MWF			
3:00 - 3:30 PM	3:30 - 4:20 PM MW/TTH		4:30-5:45 M/W or T/Th	4:30-5:20 MWF						3:30 - 6:20		
3:30 - 4:00 PM				5:30-6:20 MWF								
4:00 - 4:30 PM	4:30-5:20 MW/TTH											
4:30 - 5:00 PM												
5:00 - 5:30 PM	5:30-6:20 MW/TTH											
5:30 - 6:00 PM												
6:00 - 6:30 PM												
6:30 - 7:00 PM	6:30-7:20 MW/TTH	6:00-8:50 OR 6:30-9:20 M, T, W, TH OR F	6:00-7:15 M/W, T/TH	6:30-7:20			6:00-7:50 M/W OR T/TH	6:30-8:50 or 7:00 - 9:20 M/W or T/TH	6:00-7:50 MWF			
7:00 - 7:30 PM												
7:30 - 8:00 PM	7:30-8:20 MW/TTH		7:30-8:45 M/W, T/TH	7:30-8:20	6:00 - 9:50 M, T, W, TH OR F		8-9:50 M/W OR T/TH		8-9:50 MWF			
8:00 - 8:30 PM												
8:30 - 9:00 PM	8:30-9:20 MW/TTH											
9:00 - 9:30 PM												
9:30 - 10:00 PM												

* SEE EACH NEW TERM'S BLOCK SCHEDULE CALENDAR FOR MORE DAYS PER WEEK AND FURTHER OPTIONS

Table 17: College of Alameda Block Scheduling

Common block scheduling should address the swirl of students from one campus to another, and allow for more appropriate program scheduling following our two-year degree and certificate patterns created through Guided Pathways. However, full results can only be analyzed after we have carried out a full year of normal scheduling using the common block times/days. That is expected in the 2021-22 Academic Year, post-pandemic.

Establishing Guidelines to Reduce Operational Overspending and Eliminate the Structural Deficit (subcategory A Continued Structural Deficit)

Balanced Budget

As described above College of Alameda operates under a strict Budget Allocation Model and annually balances its budgets. The College very carefully limits its spending of discretionary dollars (less than 8% of our overall budget), monitors carefully spending of Student Equity and

Achievement, Guided Pathways, and other categorical funding sources (including federal and other grants ([Evidence 3.0](#) , [Evidence 3.1](#)). The outcomes for the College are consistent fiscal stability and directing of resources to where they need to be at the College. For further details see examples below for Lottery and Instructional Equipment/Library Materials allocations.

Adherence to FTEF Allocations

As presented earlier in this response, College of Alameda, since January 2018 has adhered to its FTEF Allocation from the District (based on the Budget Allocation Model) which represents salaries and benefits for all instructional faculty and courses taught at the College.

Prior to 2018, it was not uncommon for the college to simply “roll over the schedule,” and as a result exceed its District Allocation by many FTEF, costing at times more than \$1,000,000. For example, in 2017-18 the estimated allocation to the college was 220.9 FTEF and 234.11 FTEF was spent. Taking an average full-time faculty salary and benefits cost of \$98,089 per FTEF, this overage of 13.21 FTEF cost an additional \$1,295,756 above the allocated budget. In 2018-19 the overage was reduced to 3.97 FTEF or \$389,413 (used for supported dual enrollment and intersession sections). In 2019-20, 234.88 FTEF was allocated and the College spent 219.15. This represented a savings to the District of \$1,542,940. Since implementing the new scheduling approach, the college has shifted from a deficit spending model for allocations to returning cost savings to the District.

Resource Allocation Processes

Several other local processes are pertinent to managing our resource allocations on an annual basis. These processes exhibit a collaborative, shared governance approach that assists the College in meeting as many of its needs as possible while maintaining a balanced budget. For example, as each discipline completes its full Program Review or Annual Planning Update, faculty, staff, and/or administrators discuss their student success metrics, update their program planning, and outline any needed financial or other resource needs. Instructional Programs indicate here their need for Instructional Equipment or Library Materials (IELM) ([Evidence 3.2](#)) .

Through the Office of Instruction, the Vice President of Instruction reviews the program review materials annually that were validated by the Institutional Effectiveness Committee. With assistance from the Director of Research and Planning a spreadsheet is produced of all funding requests. The Vice President of Instruction reviews all requests and then works with the

Business Office, Instructional Deans, the President’s Office, and other program leads to determine potential funding sources for each request.

2019-2020 Resource - Faculty Prioritization

Department	Improvement Action	Resource Request	Justification	Cost	Student Services
ADAM	Personnel	Student Worker	Two ADAM student instructional aides without 20 hour restrictions.	\$ 18,000.00	
ADAM	Personnel	Classified Staff	ADAM Classified Staff for Recruitment, Job Placement, Tracking and Data Input, Counseling, Faculty and Faculty/Student Assistance.	\$ 58,000.00	
ADAM	Other		Find other funding resources available to enhance or as an alternative to Strong Workforce Funding the the ADAM Annual Fashion Event.	\$ 12,000.00	
ADAM	Personnel	Full-time Faculty	Replacement for retirement faculty within the next three years. 1.0 contract ADAM faculty position.	\$ 102,000.00	
ADAM	Supplies	Instructional Supplies and Materials	ADAM is funded mainly by Strong Workforce and Perkins Funds. ADAM will continue to need funding for instructional supplies and materials. ADAM sometimes finds it difficult to order certain items according to the District's guidelines. CE programs rely entirely on these funds to operate and maintain their viability. Due to this, there needs to be a continued dialogue about the ordering process in relation to CE needs and funding.	\$ 4,000.00	
ADAM	Technology and Equipment	Replacement	ADAM will be moving to its new space in the Liberal Arts Build as of Fall 2020. ADAM will have new facility space as well as new furnishings and equipment thanks so much to COA and the District. Because of this, ADAM does not anticipate needing any major new purchases for technology/equipment for at least the 2020-2021 academic year. However, some of its older technology/equipment being moved over; ie sewing machines, laptops etc. may need to be maintained or replaced.	\$ 4,000.00	
ADAM	Supplies	Software	ADAM may need to lease or update software licenses. At this time cost is unknown but it would include software for the ADAM Adobe Illustrator and PhotoShop Suite, the Geber System, ADAM office computers and licenses for rights to use YouTube commercial free. These cost would likely occur during or after the ADAM 2020-2021 academic year.	\$ 10,000.00	
ADAM	Supplies	Noninstructional Supplies and Materials	ADAM office and non instructional supplies/materials are ongoing each academic year.	\$ 2,000.00	
ADAM	Other		COA/District Stipend	\$ 750.00	
ADAM	Other		May need to introduce consultants or hire part-time instructors to teach additional courses and/or short term classes/seminars. Additional instructional and equipment may need to be purchased when such courses are introduced and taught. ESTIMATED COSTED ARE UNKNOWN AT THIS TIME.		
ANTHR	Facilities	Labs	The Anthro Program has 60 boxes of artifacts that need to be cleaned and processed before they can be incorporated into the program. WE NEED A WORKING SINK IN ORDER TO PROVIDE STUDENT RESOURCES! Having no working sink has put the Archaeology Lab Facility on hold for over two years.	\$ 500.00	
ANTHR	Technology and Equipment	New	The Anthro Lab room C-104 needs to be smart-classroom equipped. We cannot access available learning resources for students without smart-classroom equipment: audio/computer/overhead integration with internet and screen	\$ 1,000.00	
ART	Personnel	Part-time Faculty	Review, plan and assess art program with full time faculty member.	\$ -	
ART	Personnel	Full-time Faculty	To fulfill the mission of the department.	\$ 1,000.00	
ART	Professional Development	Department-wide PD needed	The department needs time and support to implement the varied tasks of assessment, curriculum, scheduling, enrollment, new curriculum and exhibitions.	\$ 5,000.00	
ART	Technology and Equipment	New	As the department transitions to the new building computers with larger screens will benefit instructors in the process of program review, curriculum development, meetings with students and completing reports.		
ART	Supplies	Instructional Supplies and Materials	The resource request supports collaborative creativity and personal expression.	\$ 500.00	

Table 18: Snapshot of the most recent Program Review resource requests spreadsheet

The above chart gives a snapshot of the most recent Program Review resource requests spreadsheet. Furthermore, as can be seen in the documentation of the 2018-19 IELM funding process, resource requests were made and funded through multiple resources (May 2020 process was paused due to pandemic and will be completed in November 2020). The College’s resource allocation process was created to maximize all resources available to the college to meet programmatic needs.



College of Alameda

Office of the Vice President of Instruction
 555 RALPH APPEZZATO PARKWAY | ALAMEDA, CA 94501
 510-748-2301 www.alameda.peralta.edu

TO: Budget Advisory Committee
 SUBJECT: 2018-2019 IELM Allocation

DATE: April 10, 2019

INSTRUCTIONAL EQUIPMENT/LIBRARY MATERIALS (IELM) 2018-2019

IELM FY18/19 Allocation: \$51,700

Allocations based on information provided in department/area Program Review/APU documents and detailed budget requests. Department/Areas not submitting were not allocated funding. Consideration was given to alternative funding sources (SSSP, Equity, Strong Work Force, Perkins) available to support department instructional equipment needs. The FY17/18 allocation is significantly less than FY16/17. There was approximately 40% less funds available.

Area	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019 Awarded
ADAM	9000.00	12700.00	15000.00	10000.00	8000
Aeronautical and Aviation Tech*	8100.00	Measure A	15000.00	12000.00	
AFRAM*	0.00	0.00	0.00	0.00	
ANTHRO**	0.00	0.00	0.00	1000.00	
Art*	0.00	11000.00	5000.00	5000.00	
Automotive Paint*	0.00	Measure A	12000.00	9000.00	
Automotive Tech*	12500.00	Measure A	20000.00	14000.00	
BIOL	7700.00	14000.00	10000.00	10000.00	6300

Table 19: Items not covered through IELM sources funded through Strong Workforce Program dollars, institutionally held grant funds, or Measure A Bond funds

Items not covered through IELM sources were often funded through Strong Workforce Program dollars, institutionally held grant funds, or Measure A Bond funds. The lottery funds allocation process is another robust manner by which the college reviews and allocates instructional resources. Allocations are based on FTES, program need, and the availability of additional funding sources. Once program review, IELM, and Lottery funds data is collected annually, the Vice President of Instruction sends out to the campus a proposed expenditure plan for a two-week review to allow campus constituents to give feedback to their department chairs. S/he then takes the plan to the next Department Chairs group meeting for review and approval ([Evidence 3.3](#)). After discussion, updates, and support by the Department Chairs, the Vice President of Instruction then takes each plan (IELM in fall, Lottery in spring) to the campus Budget Committee for final review ([Evidence 3.4](#)). From there s/he takes the plans to the President for

final approval and allocation of funds and disburses funds through our local finance processes. This detailed work ensures allocation of resources through appropriate participatory processes which meets student needs and maintains fiscal stability by collaboratively and appropriately expending state-allocated resources.

In conclusion, although 90% of the college's overall general fund unrestricted budget are tied to salary and benefits, through implementation of enrollment management in alignment with the new SCFF, IELM, and Lottery funds distribution, and other processes, the college continues to support the PCCD Office of Finance and Administration to address its structural deficit and support its efficient use of resources. Another important example is that general fund unrestricted discretionary budget spending is being monitored closely and regularly. Categorical programs and grants budget reports are sent to program managers monthly and any misalignment is being corrected on a monthly basis. The College Director of Business and Administrative Services sends out monthly emails to all budgets managers reminders and documentation of expenditures of general and categorical funds. She also sends out position control spreadsheets prior to the launch of budget planning for the new fiscal years. At years end each manager receives information on year-end closing and how to completely spending and budget drawdown before June 30. These are among the multiple ways in which the College avoids overspending, adheres to strict budgeting practices, and assists with the District structural deficit by careful resource allocation and management.

Adopting a Board Policy to Adopt Sustainable Fund Balances and Reserves (subcategory - Lack of Adherence to Board Policies & Administrative Procedures)

The College is fully compliant with adhering to board policies and procedures. It continues to follow through on its shared governance processes, including Program Review, Curriculum Development, Technology and Safety, Planning and Budgeting, Facilities, Institutional Effectiveness, and others ([Evidence 4.0](#) , [Evidence 4.1](#)). Board Policy and Administrative Procedure 6250 address the Fund Balances and Reserves specifically noted by the Commission ([Evidence 4.2](#)). The College complies with all fiscal and planning processes as outlined by the District through all finance related Board Policy and Administrative Procedures and District standard operating procedures.

Parcel Tax Plan

Related to compliance with finance-focused board policies and administrative procedures, College of Alameda recently submitted a two-year Parcel Tax usage plan to the District

Participatory Governance Council and the District Planning and Budget Committee in compliance with fiscal policies and procedures outlined in BP/AP 6741 ([Evidence 4.3](#) , [Evidence 4.4](#)) . This board policy and administrative procedure specifically detail the new Measure E parcel tax funding process. The plan lays out how dollars received from the parcel tax (approximately \$1.5 million dollars per year) are spent strictly on instructional and instructional support services as outlined in AP 6471. As per the same Administrative Procedure these expenditures are linked to specific Student Success Metrics and College of Alameda Goals, PCCD Goals, and the California Community College Chancellor’s Office Vision for Success. As evidence of compliance with this fiscal monitoring practice we have linked the new plan here which covers AY 2020-21 and 2021-22 ([Evidence 4.5](#)).

In all other practices at the institution, College of Alameda adheres to board policies and administrative procedures.

Subcategory – District Deficiency in Reconciliation and Financial Control Issues

College of Alameda is compliant in this category and does not exhibit reconciliation and financial control issues. All bank reconciliation is being performed at the District level. See the PCCD response in Part 2 of the Special Report for further details that address this concern.

Addressing All Audit Findings (subcategory Ongoing Unaddressed Audit Findings)

At present College of Alameda does not have any audit findings and continues to comply with all fiscal monitoring needs. We will address any future findings that are specific to our campus. See the PCCD response in Part 2 of the Special Report for further details that address this concern.

Adopting a Restructuring Plan to Improve Efficiencies and Accountability at the District Office and the Colleges

College of Alameda has worked consistently since 2018 to improve efficiencies and accountability in its overall structure as a College. It has tightened its fiscal expenditures by freezing/not replacing several college positions that are no longer deemed necessary or suspending, where necessary and practicable, replacements which allows us to stabilize the budget. During 2018-19, then College President, Dr. Tim Karas spent a year introducing a shared governance restructuring plan and division clusters restructuring through local shared governance processes ([Evidence 6.0](#) , [Evidence 6.1](#)). In 2018-19 and 2019-20 the College froze multiple positions in order to address ongoing fiscal concerns districtwide. Several of these positions remain on hold and only critical positions are being replaced. The college has also highlighted several key positions that must move forward for the proper functioning of the College (Evidence 6.2 CoA Frozen Positions)

Key Staffing Needs

In the areas of Key Staffing Issues, we go through multiple processes as discussed in the section above related to restructuring. College of Alameda addresses needed positions through its Program Review process each year. Program Review validation of requests are handled through teams of campus community members under the guidance of the Institutional Effectiveness Committee. Each fall the Department Chairs and Academic Senate discuss faculty hiring prioritization and the Academic Senate submits their proposed full-time faculty prioritization to the College President. The College President reviews and makes final determinations which s/he then shares with the Academic Senate. Campus Executive leadership reviews hiring requests of all types made through program review and determines whether funding is available for said faculty or staff positions or any needed administrative replacements. Position control and new position requests for each College are discussed in Chancellor's Cabinet each year (in June, July, and August of 2020 this occurred bi-weekly).

Hiring Plans

The District considers annual position requests of the colleges in meetings of Chancellor's Cabinet as the annual budget book and next year budget is developed. This occurred again in May-August 2020. College of Alameda submitted to the Chancellor and her cabinet the personnel needs of the College for 2020-21. As the District is currently operating well above its

Full-time Faculty Obligation Compliance Number the College paused hiring new full-time faculty in 2019-20.

The College continues to hire only key replacement positions or new grant-funded positions designed to meet specific needs including science lab technician, staff assistants, program managers, and a few other key positions. In Summer 2020 the College hired replacement positions required by Title 5 and State/Federal programming, added a Director of Financial Aid, replaced the Dean of Counseling and Special Programs, and hired a grant-funded Staff Assistant, a Director, and faculty counselor, to oversee the work of our five-year, \$3,000,000 Federal Hispanic Serving Institutions Grant.

The College has filled key positions and will continue to weigh programmatic needs against available funding to maintain strict fiscal solvency. Programmatic needs are brought forward every year through the Program Review process as detailed above. The College carried out its last formal restructuring of shared governance and department cluster in Spring 2018 when final campus constituent survey results were shared and the College Council reviewed final recommendations for restructuring at its March 28, 2018, meeting ([Evidence 6.0](#)).

Current structural organizational charts can be found here ([Evidence 6.1](#)) as evidence of our attention to efficiency and restructuring as needed. The College administration takes program review feedback from the Institutional Effectiveness Committee, looks at the overall organizational structure, then prepares a list of vacancies and frozen positions ([Evidence 6.2](#)) to be discussed in the Chancellor's Executive Cabinet. The president advocates at cabinet for campus needs and then the College moves forward with necessary/approved hiring. Each of these important elements show evidence of attention to the ACCJC concern related to restructuring and key staffing needs and a systemic review by the campus itself to address its organizational superstructure.

Establishing Strategies to Improve the Management of the OPEB Debt

The College does not manage the OPEB Debt for the District, however a full accounting of those details can be found in the PCCD response in Part 2 of the Special Report.

[Evidence 7.0 PCCD OPEB District Accounting Details](#)

Providing an Executive-level Staff Turnover Analysis and Recommendations to Retain These Staff at District (additional category Key Staffing Issues)

Campus Executive Leadership

As relates to Executive Turnover at College of Alameda, former President Tim Karas took a permanent position as Superintendent/President at Mendocino College in July 2020. Vice President of Student Services Dr. Tina Vasconcellos and Vice President of Instruction Dr. Don Miller filled in as acting president while he was on vacation/leave. As of July 21, 2020, Dr. Don Miller was approved by the Board of Trustees to serve as interim president of the College to provide continuity of leadership until the current permanent president hiring process is finished by November 1. See the PCCD response in Part 2 of the Special Report for further details that address this concern.

Overall Summary

College of Alameda has engaged in substantive and explicit actions to ensure fiscal accountability, sustainability, and overall fiscal health in collaboration with the Finance and Administration Department of the Peralta Community College District. This Special Report provides college and district-level evidence to show corrective actions to ACCJC concerns. For each of the noted deficiencies in the January 27, 2020, letter, this report highlights specific examples to clarify the College's work and actions as well as those that have been addressed by the District. We believe that evidence provided shows stability and direct efforts to address each of the findings that led to the decision of the ACCJC to put the College on probation. The detailed District response contained in the Appendix highlights all the efforts to address each area of concern, especially where it has primary responsibility

Appendix of Evidence – Part 1: College Response

[Evidence 1.0 Memo from ACCJC](#)

[Evidence 1.1 California Community Colleges Budget and Accounting Manual](#)

[Evidence 1.2 College of Alameda Enrollment Management Framework](#)

[Evidence 1.3 Discipline Plan Tool - Dental](#)

[Evidence 1.4 Department Chairs Enrollment Management Meeting – January 2020](#)

[Evidence 1.5 CoA Academic Senate Minutes – Oct 3, 2019](#)

[Evidence 1.6 Institutional Effectiveness Committee Agenda - Sept. 10, 2020](#)

[Evidence 1.7 College of Alameda Enrollment Management Framework 2020](#)

[Evidence 1.8 College of Alameda Student Equity Plan](#)

[Evidence 2.0 College Council Minutes - Sept 26, 2018 - Item #5](#)

[Evidence 2.1 CoA Goals to Vision 2020 Framework](#)

[Evidence 2.2 CA Community Colleges AB705](#)

[Evidence 2.3 CoA AB705 Math Report Spring 2019](#)

[Evidence 2.4 CoA Self-Guided Placement Tool](#)

[Evidence 2.5 CoA AB705 Fall 2020 Update](#)

[Evidence 2.6 Guided Pathways 2018-2019](#)

[Evidence 2.7 Guided Pathways Student Voice Presentation](#)

[Evidence 2.8 College Catalog – Program Mapping](#)

[Evidence 2.9 Department Chairs Enrollment Management Meeting – January 2020](#)

[Evidence 2.10 CoA Program Review Homepage](#)

[Evidence 2.11 CoA Program Review 2019 - Aviation Technology](#)

[Evidence 2.12 College Council Minutes – Oct, 25, 2017 - Item #8](#)

[Evidence 2.13 Peralta Online Scheduling Tool](#)

[Evidence 3.0 Budget Committee Homepage, Mission & Responsibilities](#)

[Evidence 3.1 College of Alameda Student Equity Plan](#)

[Evidence 3.2 Program Review 2019, p.19-20](#)

[Evidence 3.3 Department Chair Minutes - Nov 27, 2018](#)

[Evidence 3.4 CoA Budget Committee Minutes - May 15, 2019](#)

[Evidence 4.0 CoA Program Review Homepage](#)

[Evidence 4.1 CoA Participatory Governance Handbook](#)

[Evidence 4.2 Peralta CCD Board Policy 6250](#)

[Evidence 4.3 Peralta CCD Administrative Procedure 6741](#)

[Evidence 4.4 College Council Agenda – Sept 2, 2020](#)

[Evidence 4.5 CoA Parcel Tax Plan](#)

[**Evidence 5.0 District Audit Response – Fiscal Monitoring**](#)

[Evidence 6.0 College Council Meeting Minutes - March 28, 2018, Item #5](#)

[Evidence 6.1 Participatory Governance Survey Results - Nov. 2017](#)

[**Evidence 6.2 CoA Frozen Positions**](#)

[**Evidence 7.0 PCCD OPEB District Accounting Details**](#)

Part 2: Special Report District Response



In response to the Accrediting Commission for Community and Junior Colleges, (ACCJC or Commission) letters of January 25, 2019^[1] wherein the Peralta Community College District (PCCD) Colleges were to inform the Commission on its actions relative to eight points

1. Establishing FTES Targets and Enrollment Management Plans
2. Establishing a Student Success Infrastructure Plan to comply with the Student-Centered Funding Formula as announced by the California Community College Chancellor's Office
3. Establishing guidelines to reduce operational overspending and eliminate the structural deficit
4. Adopting a Board policy to adopt sustainable fund balances and reserves
5. Adopting a restructuring plan to improve efficiencies and accountability at the District office and the Colleges
6. Addressing all audit findings
7. Establishing strategies to improve the management of the OPEB debt
8. Providing an executive-level staff turnover analysis and recommendations to retain these staff at the District

PCCD submitted a special report, entitled “*Peralta Community Colleges Integrated Financial Plan 2019-2024, A Living Document*” ^[2] to the Commission on December 2, 2019 (PCCD 2019 Special Report). The intention of the PCCD 2019 Special Report was to address the eight points noted in the January 25, 2019 Commission letter to Merritt College, Berkeley City College, Laney College, and College of Alameda (Colleges). In response to the PCCD 2019 Special Report, the Commission issued letters to each of the Colleges, on January 27, 2020 imposing probation on them.^[3]

The January 27, 2020 ACCJC letter stated the Commission found the PCCD 2019 Special Report had six deficiencies and findings (Six Deficiencies):

“It is not evident from the special report that the College/District has addressed foundational issues which have bearing on its fiscal health; this includes:

1. a continued structural deficit
2. lack of adherence to Board policies and administrative procedures
3. deficiency in reconciliation and financial control issues
4. key staffing issues
5. its OPEB obligations
6. ongoing unaddressed audit findings”

Additionally, the January 27, 2020, Commission letter to the Colleges stated:

- “In several areas of the special report, the College/District has responded with corrective intent, but no evidence was provided that corrective actions are being implemented to address the noted deficiencies.
- The special report lacks the organizational structure, clarity and specificity of content.”

Each of the Six Deficiencies are addressed here providing evidence and brief statements of corrective actions PCCD has taken at the District. The structure of this report is designed to refer to each of the above the Commission’s statements individually and apply a related standard from the [*ACCJC Guide to Institutional Self-Evaluation, Improvement, and Peer Review, January 2020 Edition*](#) to submit evidence of meeting the standard.

1. A continued structural deficit – ACCJC Standard IIID 2

Evidence for Standard III D 2 includes budgeted or planned fiscal expenditures that have supported or that support the achievement of institutional plans or goals; Minutes from any governance group when institutional planning and financial planning are connected or coordinated.

a. To show that PCCD has continued to address its financial strength, please refer to PCCD’s FCMAT Initial Risk Assessment Ratings that have changed from indicating an extended financial risk from over 60% ^[4] to a stable FCMAT Risk Assessment Rating in May 2020 of less than 6%.^[5]

b. To show that PCCDs net position has strengthened please see the 2019 Audit Report.^[6]

The issue is with the net position of the District’s finances. “The Statement of Revenues, Expenses, and Changes in Net Position presents the financial results of the District's operations, as well as its non-operating activities. The distinction between these two activities involves the concepts of exchange and non-exchange. Operating activities are those in which a direct payment or exchange is made for the receipt of specified goods or services. For example, tuition fees paid by the student are considered an exchange for instructional services. The receipt of State apportionments and property taxes, however, do not include this exchange relationship between the payment and receipt of specified goods or services. These revenues and related expenses are classified as non-operating activities. *It is because of the methodology used to*

categorize between operating and non-operating, combined with the fact that the primary source of funding that supports the District's instructional activities comes from State apportionment and local property taxes, results in a net operating loss for the District's operations [italics added], p. 9.”

- c. To demonstrate PCCD’s adherence to participatory governance please see the evidence from participatory governance groups that engage in evaluating PCCD’s financial health.^{[7],[8]}
- d. To demonstrate PCCD’s attention to its long-term health and viability, the Board of Trustees adopted an update to the Five Year Integrated Financial Plan on November 19, 2019.^[9]
- e. To demonstrate the change from 2019/20 Adopted Budget which used funds from the ending fund balance,^[10] the Adopted Tentative Budget for 2020/2021 presented a balanced budget.^[11] Because of the COVID 19 pandemic the State Chancellor’s Office issued Executive Order 2020-06^[12] to allow for District’s to adopt the final budget by October 30, 2020. A draft of the Final Adopted Budget was shared with the Board of Trustees on September 15, 2020 as a first reading.^[13] The Final Adoption Budget and a second reading for their approval is scheduled on October 13, 2020.^[14] **INSERT FINAL**
- f. Understanding that the District operates in a COVID 19 Pandemic environment as well as in one that is macro economically situated in shifting demographic patterns for college attendance, the District has contracted with [Cambridge West Partnerships](#) to assist with data integrity and systems in support of the Student Centered Funding Formula (SCFF) metrics and in planning to avoid negative consequences of the end of the hold harmless provision. ([Presentation to the College Presidents 9/10/2020](#))
- g. The District has an outdated budget allocation model which needs to be revised. This model will be part of the work of the participatory governance groups over the academic year, with an eye toward revising the structure of the governance process, and, recommending a revised the budget allocation model to the chancellor. ([PGC Minutes, January 31, 2020](#))
- h. The human resources department is in negotiations with the collective bargaining units to consider an early retirement program. If accepted, the program would begin in late 2020 and into 2021.
- i. The District has effectively continued to closely align the full time faculty hired with the Faculty Obligation Number from the State Chancellor’s Office, in consideration with the total FTES and productivity targets.

- j. Enrollment management procedures will include using quantifiable data and calculations to align productivity with FTES, and, will take into consideration all faculty on special assignment, sabbatical, etc. [LINK TO DRAFT SPREADSHEET](#)
2. Lack of adherence to Board policies and administrative procedures – ACCJC Standard IIID 3

Evidence for Standard IIID 3 includes procedures that define guidelines and processes for financial planning and budget development; Minutes from finance or budget committee meetings verifying that established financial planning and budget development processes are followed; Roster of a finance or budget committee; Documented budget development process that identifies responsible parties for steps in the planning process and that identifies opportunities for input from constituencies; A documented timeline of institutional planning coordinated with budget development process, including reporting deadlines for various types of reports to or reviews with different audiences

- a. To demonstrate PCCD’s adoption of board policies and administrative procedures relative to financial planning please see Board and Administrative 2410 Policy Development.^[15]
- b. To demonstrate PCCDs regular adherence to board policies and processes for integrated planning and budget development please see the planning and budget calendar^[16] and the board approved budget development calendar^[17] and minutes and agendas from the Planning and Budget Council, and the Planning, Budget and Integrated Model agenda and calendars.^[18]

3. Deficiency in reconciliation and financial control issues – ACCJC Standard IIID 5

Evidence for Standard IIID 5 include policies or procedures for internal control mechanisms; policies or procedures for purchasing; budgets, financial reports, audit reports presented to the campus and to the Board; reports of decisions for financing or allocation of resources presented to the campus community or to constituent groups; monthly, quarterly, or other reports of revenues and expenditures

- a. To demonstrate PCCD’s sufficiency in reconciliation and financial control issues, the District hired a fulltime employee as Internal Auditor in April 2020.^[19]
- b. The District continues to enforce internal controls through its technology applications and contracted with Oracle to complete a comprehensive system upgrade at the May 29, 2020 - SPECIAL MEETING OF THE BOARD OF TRUSTEES.^[20]

- c. To demonstrate PCCD's public presentation of financial reports, please see cash flow and budget to variance reports presented to the board of trustees on May 26, 2020 and July 28, 2020.^[21] The finance department will present financial statements to the board quarterly.
 - d. PCCD's Audit Reports are readily available and demonstrate financial controls.^[22]
 - e. PCCD's policies and procedures for internal closing and control mechanisms have been disseminated and applied.^[23]
4. Key staffing issues – ACCJC Standard IV B 2

Evidence for Standard IVB 2 include policies that outlines CEO responsibilities; Organizational charts; Policies and procedures that provide for the delegation of authority from the CEO to administrators and others.

- To demonstrate evidence of addressing key staffing issues, in May 2020, the District produced an updated [organizational chart](#) that demonstrates key positions had been filled. These included those of full time permanent Chancellor, Vice Chancellor of Finance and Administration, Vice Chancellor of General Services, an Internal Auditor, and a Director of Purchasing.^[24] However, on July 16, 2020, the then permanent CEO submitted her resignation; on July 18, 2020 the board of trustees accepted her resignation, and utilized the following delegation of authority policies and procedures.
 1. Chancellor Succession, the District has Board Policy 2432.^[25]
 2. For delegation of authority, the District has Administrative Procedure 2430 which outlines delegation of authority to the chancellor's staff,^[26] and Administrative Procedure 6100 which delegates authority for business and fiscal affairs.^[27] These together outline the delegation of authority and roles and responsibilities of each of the designees.
 3. With these in place the passage of the authority from the former CEO to the Vice Chancellor of Finance and Administration was seamless and indicated the District and board's ability to continue operations. An open recruitment for an interim chancellor was completed October 1, 2020.
 4. Prior to the former chancellor submitting her resignation, two new presidents were hired at Berkeley City College and Merritt College, while the two presidents at Laney College and College of Alameda accepted positions at other institutions. The District was able to appoint interim presidents from within the administrative organization at each of the colleges. An open recruitment is in process for full time presidents.

Though these have been accomplished, the District is developing plans to hire and retain employees that includes effective equity and diversity considerations, through professional development. The District has not implemented a turnover analysis mechanism, nor a mechanism to conduct timely exit interviews. These will be forthcoming at some point in the future.

5. Its OPEB obligations – ACCJC Standard IIID 12

Evidence that can be applied to Standard IIID 12 include actuarial valuation reports for pension and OPEBs and the Notes to financial statements dealing with employee benefit plans, commitments and contingencies; Records of annual required contributions for pension and OPEB obligations.

Regarding the OPEB obligations for PCCD, several statements were pointed out by FCMAT, and they have been [addressed as follows](#):^[28]

1. *Terminate and restructure some of the more volatile bonds.* Completed; evidence, board resolutions and briefings.^[29] As presented at the Jul 14, 2020 Resolution No. 19/20-65 approved a Reoffering Circular in connection with the District's Remarketing and restructuring of its Series B-3 OPEB Bonds.
2. *Reconsider the current goal of fully funding the OPEB liability.* In progress; PCCD has engaged with its financial advisors to evaluate the OPEB structure in totality. A plan is being formulated and will be forthcoming in fall 2020.
3. *Consider eliminating annual general fund payments to the OPEB trust funds since they are fully funded at this time.* This is in progress, as shown in the 2020/21 Adopted Tentative and Adopted Final Budget (the Final Budget is to be presented to the board on October 13, 2020).^[30]
4. *Consider renegotiating (i.e. ending) retiree health benefits for new employees.* This item is not completed because this is a Collective Bargaining Agreement issue. At this time, the District does not have immediate plans to change its benefits plans. The District's current consultant group for its group health insurance has advised that cost savings may be realized by entering into a Joint Powers Authority (JPA). While considering the proposal, to date, the District has not entered into a JPA for several reasons: (1) The District has been unable to verify the actual long term savings as valued against its current plan; (2) Any change in benefits structure must be negotiated with all collective bargaining groups; and (3) There must be an undertaking to realign the current retiree

Benefit Plan Year to a Fiscal Year coverage period. The District will continue to engage its benefit plan consultant group to determine the best cost saving measures for both its active and retiree plans.

5. *Ensure that the governing board approves the annual OPEB actuarial study.* Completed, evidence board meeting minutes and agenda items found in Resolution No. 19/20-44 Accepting the OPEB June 2019 GASB Actuarial Report, July 2019 OPEB Supplemental Actuarial Report and the June 2019 Investment Performance Update and Adopting the OPEB Trust 1 Surplus Determination and Disbursement Procedures which was adopted on April 7, 2020.^[31] This will be done yearly.
6. *Conduct an actuarial study at the estimated rate rather than the long-term return on employee assets, so it has a more realistic liability number for the pre-2004 amount.* Completed, the District's consultant Total Compensation Systems completed the actuarial study used the required GASB rules 74/75 to conduct the actuarial study of the pre-2004 liability^[32] and the post 2004 liability.^[33] This will be done yearly.
7. *Audit annual enrollment eligibility in the OPEB program.* This item is in progress and the District has a goal to develop plans for institutionalizing it in 2021.
8. *Contract for an addendum to KNN's 2011 report^[34] that would include an update of actions taken by the District to date related to its OPEB bond program since the 2011 report was published.* This item is in progress. The District contracted with Backstrom McCarley Berry & Co., LLC as its financial advisor, to move forward with the revisions and changes needed to the OPEB funds. The District's financial advisors are in the process of gathering the materials and board approvals discussed above, into a plan that would suffice as an addendum to the KNN 2011 report. This compilation is expected to be completed in fall 2020.

Additionally, the District is in the process of working with the Retirement Board to codify transfers from Trust Fund 1 to cover employee benefit costs and debt service payments.^[35] These codifications are to be put into place in fall 2020.

6. Ongoing unaddressed audit findings – ACCJC Standard IIID 7

Supporting evidence of meeting the standard for Standard IIID 7 include formal responses to external audit reports and findings; Minutes of meetings when audits and findings are discussed, and responses are planned; minutes of meetings where the reports are disseminated

- a. When the District receives an audit finding, it takes steps to respond in a timely manner. As of this writing, the most recent audit for the District took place for the fiscal year ending June 30, 2019. The report provided an “unqualified opinion.” However the District is in the process of attending to furthering internal controls especially in the area of financial aid. One aspect of this is through a more robust accounting program that as mentioned, is being implemented with an Oracle upgrade. This item was approved on May 29, 2020, by the Board of Trustees and is in process of implementation.^[36]

The District continues to inform staff of procedures and policies relative to internal controls in the areas of reconciliation monthly closing^[37] and the finance department has hired sufficient staff to adhere to separation of accounting duties and functions.^[38] However, more still remains to be done to ensure that separation of duties and timely responses to reporting and student financial aid matters need to be addressed. To that end, the District is developing a plan that would implement a reporting structure aimed at ensuring that all financial aid matters are handled timely and with appropriate oversight by adequate numbers of skilled and professionally developed individuals.

- b. PCCD adheres to its Board Policy, 6400 Financial Audits.^[39]
- c. Aside from the Oracle upgrade mentioned above, the internal technology systems specific to Finance and Accounting have been upgraded to allow for internal controls and system access is granted by employee role. Access to fund transfers is limited to employee role and within particular accounting areas. Required adherence to administrative and board policies regarding expenditures, contracts, and purchase orders is being driven into goals and performance requirements for employees. And, now, with key positions filled, and the technology system is set to be upgraded in fiscal year 2020/21, with an estimated completion and migration time of January 2021.^[40] The upgrade will include finance modules, position control modules, student financial aid, and student accounts receivables integration.

Evidence Links

^[1]ACCJC’s representative letter of January 25, 2019

[PCCD’s FCMAT’s Initial Risk Assessment Ratings](#)

^[5]PCCD’s FCMAT Risk Assessment Rating in May 2020

<https://web.peralta.edu/accreditation/files/2020/05/PCCD-FCMATSelfAssessmentMay2020.pdf>

^[6]2019 PCCD Audit Report

<https://web.peralta.edu/accreditation/files/2020/05/Peralta-CCD-Final-Report-2019.pdf> (6)

^[7] Planning and Budget Council Minutes <https://web.peralta.edu/accreditation/files/2020/05/PBC-Minutes-030819-Draft.pdf>

^[8] Planning and Budget Council Minutes <https://web.peralta.edu/accreditation/files/2020/05/PBC-Resolutions-20190423.pdf>

^[9] PCCD Five Year Integrated Financial Plan <https://web.peralta.edu/accreditation/files/2020/05/Approval-of-F19-Update-to-5yr-Plan.pdf>

^[10] PCCD 2019/20 Adopted Budget <https://web.peralta.edu/accreditation/files/2020/05/FY20-Final-Budget-Book-090619-1.pdf>

^[11] PCCD Adopted Tentative Budget 2020/2021
[https://go.boarddocs.com/ca/peralta/Board.nsf/files/BRQVBU7FF8C6/\\$file/2020-21%20Tentative%20Budget%20Book%20Board%20Notes%207%2016%2020%20Rvised%207.21.2020FBAA.pdf](https://go.boarddocs.com/ca/peralta/Board.nsf/files/BRQVBU7FF8C6/$file/2020-21%20Tentative%20Budget%20Book%20Board%20Notes%207%2016%2020%20Rvised%207.21.2020FBAA.pdf)

^[12] State Chancellor's Office Executive Order 2020-06 <https://www.cccco.edu/-/media/CCCCO-Website/Files/Communications/COVID-19/2020-06-executive-order-re-extension-of-fiscal-reporting-due-dates-revised.pdf?la=en&hash=405E4210F01D62CACB52FAE8DCC7CC784A0B62E2>

^[13] Draft Adoption Budget 2020/2021 Board Agenda September 15, 2020
[https://go.boarddocs.com/ca/peralta/Board.nsf/files/BT8SKU7317E3/\\$file/Official%20Budget%20Book%202020%20\(Versio%201.2\)%20Reduced%20Size%20-%201.pdf](https://go.boarddocs.com/ca/peralta/Board.nsf/files/BT8SKU7317E3/$file/Official%20Budget%20Book%202020%20(Versio%201.2)%20Reduced%20Size%20-%201.pdf)

^[14] The PCCD Final Adoption Budget is scheduled for Board of Trustees approval on October 13, 2020.
<https://web.peralta.edu/business/files/2020/09/FY-2020-21-Adopted-Budget-Draft-Reduce-5.pdf>

^[15] PCCD Board and Administrative 2410 Policy Development and Procedure:
<https://web.peralta.edu/trustees/files/2013/12/BP-2410-Board-Policy-and-Administrative-Procedure.pdf>
<https://web.peralta.edu/trustees/files/2013/12/AP-2410-Policy-Development-Process1.pdf>

^[16] District Planning and Budget Calendar
<https://web.peralta.edu/accreditation/files/2020/05/2019-20-Planning-And-Budget-Integration-Model-Annual-Integrated-Planning-Calendar.pdf>

^[17] PCCD Board of Trustees Budget Development Calendar
<https://web.peralta.edu/accreditation/files/2020/05/Budget-Development-Calendar-2020-21-Board-approval.pdf>

^[18] PCCD Planning Budget Integration Model and Planning and Budget Council Minutes, Calendars, and Agendas <https://web.peralta.edu/pbi/planning-and-budget-committee/agenda-and-minutes/>
<https://web.peralta.edu/pbi/files/2020/05/PBC-Mintues-02212020.pdf>
<https://web.peralta.edu/pbi/files/2020/05/PBC-Agenda-05082020.pdf>

<https://web.peralta.edu/pbi/files/2019/08/PBIM-Summit-Agenda-8.13.19.pdf>

<https://web.peralta.edu/pbi/files/2020/04/PBIM-Meeting-Calendar-2019-2020.pdf>

<https://web.peralta.edu/accreditation/files/2020/05/2019-20-Planning-And-Budget-Integration-Model-Annual-Integrated-Planning-Calendar.pdf>

^[19] Internal Auditor <https://web.peralta.edu/internal-audit/>

^[20] May 29, 2020 - SPECIAL MEETING OF THE BOARD OF TRUSTEES Board Approved Oracle Contract
<http://go.boarddocs.com/ca/peralta/Board.nsf/goto?open&id=BQ2SFL727C04>

^[21] PCCD Cash Flow and Budget to Variance Reports
[https://go.boarddocs.com/ca/peralta/Board.nsf/files/BPTTGN773AD4/\\$file/Copy%20of%202020-5-20%20Financial%20Report.pdf](https://go.boarddocs.com/ca/peralta/Board.nsf/files/BPTTGN773AD4/$file/Copy%20of%202020-5-20%20Financial%20Report.pdf) .

[https://go.boarddocs.com/ca/peralta/Board.nsf/files/BPTTGJ77340C/\\$file/Copy%20of%20FY2019-20%20Monthly%20Cashflow_Rev_2020.05.20%20Updated.pdf](https://go.boarddocs.com/ca/peralta/Board.nsf/files/BPTTGJ77340C/$file/Copy%20of%20FY2019-20%20Monthly%20Cashflow_Rev_2020.05.20%20Updated.pdf)

[https://go.boarddocs.com/ca/peralta/Board.nsf/files/BRBU8Y77235C/\\$file/Copy%20of%202020-6-30%20Financial%20Report.pdf](https://go.boarddocs.com/ca/peralta/Board.nsf/files/BRBU8Y77235C/$file/Copy%20of%202020-6-30%20Financial%20Report.pdf)

[https://go.boarddocs.com/ca/peralta/Board.nsf/files/BRBU8W771F04/\\$file/FY2019-20%20Monthly%20Cashflow_Rev_2020.07.02.pdf](https://go.boarddocs.com/ca/peralta/Board.nsf/files/BRBU8W771F04/$file/FY2019-20%20Monthly%20Cashflow_Rev_2020.07.02.pdf)

^[22] <https://web.peralta.edu/accreditation/files/2020/05/Peralta-CCD-Final-Report-2019.pdf>

^[23] PCCD Closing Directives <https://web.peralta.edu/accreditation/files/2020/05/Monthly-Closing-Update-Announcement-2.pdf>

^[24] PCCD Organizational Chart <http://web.peralta.edu/strategicplan/files/2020/10/District-Office-Organizational-Chart-September-2020.pdf>

^[25] Chancellor Succession <https://web.peralta.edu/trustees/files/2011/04/BP-2432-Chancellor-Succession.pdf>

^[26] Delegation of Authority to the Chancellor's Staff <https://web.peralta.edu/trustees/files/2013/12/AP-2430-Delegation-of-Authority-to-the-Chancellors-Staff3.pdf>

^[27] Delegation of Authority for Business and Fiscal Affairs, Administrative Procedure
<https://web.peralta.edu/trustees/files/2013/12/AP-6100-Delegation-of-Authority-for-Business-and-Fiscal-Affairs.pdf>.

^[28] FCMAT Matrix <http://web.peralta.edu/strategicplan/files/2020/10/FCMAT-Updated-Matrix-Oct-1.pdf>

^[29] Meeting Jul 14, 2020 - REGULAR MEETING OF THE BOARD OF TRUSTEES Category ACTION ITEMS Subject Consider Approval of Resolution No. 19/20-65 approving a form of Reoffering Circular in connection with the District's Remarketing of its Series B-3 OPEB Bonds,

[https://go.boarddocs.com/ca/peralta/Board.nsf/files/BRK24P00632B/\\$file/District%20Resolution%20Authorizing%20Documents%20-%20Peralta%20CCD%20OPEB%20Remarketing%202020%20\(signed\).pdf](https://go.boarddocs.com/ca/peralta/Board.nsf/files/BRK24P00632B/$file/District%20Resolution%20Authorizing%20Documents%20-%20Peralta%20CCD%20OPEB%20Remarketing%202020%20(signed).pdf)

^[30] <https://web.peralta.edu/pbi/files/2020/08/2020-21-Tentative-Budget-Book-Board-Notes-7-16-20-Rrvised-7.21.2020FBAA-FINAL-7.21.2020.pdf>

^[31] Resolution No. 19/20-44 Accepting the OPEB June 2019 GASB Actuarial Report, July 2019 OPEB Supplemental Actuarial Report and the June 2019 Investment Performance Update and Adopting the OPEB Trust 1 Surplus Determination and Disbursement Procedures which was adopted on April 7, 2020
[https://go.boarddocs.com/ca/peralta/Board.nsf/files/BNC4VL0D6981/\\$file/Peralta%20CCD%20Reso%20re%20Trust%201%20Process%20and%20OPEB%20Reports%20v9%20\(202004002\)%20v2%20CLEAN.pdf](https://go.boarddocs.com/ca/peralta/Board.nsf/files/BNC4VL0D6981/$file/Peralta%20CCD%20Reso%20re%20Trust%201%20Process%20and%20OPEB%20Reports%20v9%20(202004002)%20v2%20CLEAN.pdf)

^[32] Total Compensation Systems Actuarial Study 2018 Pre 2004 Retirees
<https://web.peralta.edu/business/files/2020/05/Actuarial-Study-GASB75FFinal2018Report.pdf>

^[33] Total Compensation Systems Actuarial Study 2018 Post 2004 Retirees
<https://web.peralta.edu/business/files/2020/05/Actuarial-Study-GASB75FFinal2018Report-Post-2004.pdf>

^[34] KNN OPEB Final Report 2011 <https://web.peralta.edu/accreditation/files/2012/01/3.-OPEB-Final-Report-June-28-2011-KNN.pdf>

^[35] Retirement Board July Special Meeting <https://web.peralta.edu/retirement-board/july-2-2020-retirement-board-special-meeting/>

^[36] Oracle Contract Approved by the Board of Trustees
<http://go.boarddocs.com/ca/peralta/Board.nsf/goto?open&id=BQ2SFL727C04>

^[37] Monthly Closing Announcement <https://web.peralta.edu/accreditation/files/2020/05/Monthly-Closing-Update-Announcement-2.pdf>

^[38] Staff separation of duties <https://web.peralta.edu/business/finance-contacts/>

^[39] Board Policy Financial Audits <https://web.peralta.edu/trustees/files/2013/12/BP-6400-Financial-Audits1.pdf>

^[40] Oracle Dashboard Presentation September 29, 2020 Board of Trustees Meeting
[https://go.boarddocs.com/ca/peralta/Board.nsf/files/BTR98N21C77B/\\$file/Board%20Meeting%20Report_v3.pdf](https://go.boarddocs.com/ca/peralta/Board.nsf/files/BTR98N21C77B/$file/Board%20Meeting%20Report_v3.pdf)