COLLEGE OF ALAMEDA

Standard III

Resources

III.A. Human Resources

The institution employs qualified personnel to support student learning programs and services wherever offered and by whatever means delivered, and to improve institutional effectiveness. Personnel are treated equitably, are evaluated regularly and systematically, and are provided opportunities for professional development. Consistent with its mission, the institution demonstrates its commitment to the significant educational role played by persons of diverse backgrounds by making positive efforts to encourage such diversity. Human resource planning is integrated with institutional planning.

IIIA.1. The institution assures the integrity and quality of its programs and services by employing personnel who are qualified by appropriate education, training, and experience to provide and support these programs and services. Criteria, qualifications, and procedures for selection of personnel are clearly and publicly stated. Job descriptions are directly related to institutional mission and goals and accurately reflect position duties, responsibilities, and authority.

Description

Human Resources are organized and staffed as a District function, supporting the needs of the Colleges. The Office of Human Resources works closely with College of Alameda to ensure that qualified personnel are employed at all levels to support student learning programs and services and improve institutional effectiveness.

Developed through the participatory governance process, District hiring policies and procedures for faculty, classified staff, and administrators are available for all screening committees. In addition, a representative from the Office of Human Resources is available to all screening committees to assist with the recruitment, paper screening, and interview processes.

The employment process begins with adhering to the hiring policies and administrative procedures of each respective classification: administrators, full-time faculty, part-time faculty and classified staff. Peralta Community College District (PCCD) Board Policies and Administrative Procedures provide clear direction on identifying and hiring qualified staff and faculty. PCCD Board Policies and Administrative Procedures are published online at http://web.peralta.edu/trustees/bps-aps/ listed by category.

Board Policies 3410 Nondiscrimination, 3420 Equal Employment Opportunity, and 7100 Commitment to Diversity subscribe to principles of human resource management that promote equal access, equal employment opportunity, and equal treatment and fairness. .

Board Policies 7120 Recruitment and Hiring, 7210 Academic Employees, 7230 Classified Employees, 7240 Confidential Employees, 7250 Academic Administrators, and 7260 Classified Managers set forth the policies for each category of employment. Administrative Procedures 7121 Faculty Hiring, 7123 Hiring Procedures for Regular Academic and Classified Managers, and 7125 Hiring Acting and Interim Academic and Non-Academic Administrators detail the steps in the hiring processes for each category of employment. Additional procedures are contained in the collective bargaining agreements which mutually establish the terms and conditions of employment and the rights of the parties to these agreements for classified staff and faculty at http://web.peralta.edu/hr/employee-relations/employee-relations-2

These policies were developed in collaboration with the District Academic Senate, the Peralta Federation of Teachers (PFT), and the Operating Engineers and Service Employees International Unions. These policies are publicly accessible to all via the Peralta Community College District website. The District governing board ratifies union contract clauses that address hiring policies.

These policies have provisions that include, but are not limited to:

- Providing full, objective, and equal access for all applicants
- Actively seeking applicants who demonstrate the required technical expertise, competency, and sensitivity that will enable them to work effectively in a multicultural educational environment.
- Complying with all federal, state, and local laws
- Ensuring participation by faculty, classified staff, and administrators in their respective roles throughout the process
- Ensuring diversity on all screening committees
- Ensuring that screening committee members have knowledge in the position area
- Reviewing all components of the process for ensuring the integrity of the process
- Maintaining confidentiality throughout the process

Self Evaluation

The College meets this standard.

College of Alameda has clearly described policies for ensuring that all personnel are qualified as evidenced by education, training, and experience to provide and support programs and services. These policies are in the Board Policy Manual as referenced in the description in the above section. College of Alameda in collaboration with the Human Resources Office utilizes a comprehensive hiring process to employ highly qualified personnel. The guidelines for the selection of employee groups – classified staff, faculty, and administrators- cover the development of the job announcement, selection of the screening committee, development of screening criteria and interview questions with desired responses, the screening of application materials, the screening of candidates, the recommendation of finalists, the conduct of final interviews, the checking of references, and the final approval of the candidate. This collaborative process ensures that each constituency (classified staff,

faculty, administrators) is well represented in the selection of highly qualified personnel. This comprehensive process also includes safeguards to ensure personnel are highly qualified. For instance, the Office of Human Resources monitors each phase of the selection and interview process ranging from approval of the composition of screening committees up to reference checking. [REF: Employee Demographics- College of Alameda]

College of Alameda attracts highly qualified faculty by leveraging the District wide Faculty Diversity Internship Program. This program in particular positions the College to attract diverse faculty and to provide training and professional development tailored to College of Alameda to faculty interns while in graduate school.

Actionable Improvement Plans

None

IIIA.1.a. Criteria, qualifications, and procedures for selection of personnel are clearly and publicly stated. Job descriptions are directly related to institutional mission and goals and accurately reflect position duties, responsibilities, and authority. Criteria for selection of faculty include knowledge of the subject matter or service to be performed (as determined by individuals with discipline expertise), effective teaching, scholarly activities, and potential to contribute to the mission of the institution. Institutional faculty play a significant role in selection of new faculty. Degrees held by faculty and administrators are from institutions accredited by recognized U.S. accrediting agencies. Degrees from non-U.S. institutions are recognized only if equivalence has been established.

Description

As stated in the Board Policy Manual and in collaboration with the Office of Human Resources, College of Alameda follows a comprehensive hiring process that ensures that institutional faculty play a significant role in selection of new faculty, that job criteria, qualifications, and procedures for selection are clearly and publicly stated, and that among many other factors that criteria for faculty include knowledge of the subject matter. College of Alameda also follows Board policy in regards to an equivalency process.

Selection of employee groups – classified staff, faculty and administrators – covers the development of the job announcement, selection of the screening committee, development of screening criteria and interview questions with desired responses, screening of application materials, screening of candidates, the recommendation of finalists, final interviews, reference checks, and the final approval process by the College President and the Chancellor.

To ensure that qualifications for each position match programmatic needs and the mission of the College, the hiring process begins at the department or unit level with development of clearly defined and relevant job descriptions. The job descriptions for classified staff and

managers are created based upon the needs of the College and are reviewed by the Office of Human Resources so that the employment announcement states the necessary knowledge, skills, and abilities required to carry out the duties and responsibilities in an effective manner.

The District Office of Human Resources maintains job class specifications and descriptions for classified staff on the HR website at http://web.peralta.edu/hr/titles-pay-ranges/ providing access to job classification information for all internal and external applicants. Consistent with Board Policy 7230 and Administrative Procedure 7260, the Office of Human Resources maintains a classification plan which defines all classified positions. This plan allocates classified positions to appropriate classes, arranges positions into occupational hierarchies (job families), determines relationships between classes, and prepares written class specifications. Each class specification includes: class title, definition of the class, distinguishing characteristics which differentiates the class from other related or similar classes, examples of duties allocated to the class, and a statement of the minimum qualifications for service in the particular class. When a vacancy occurs and approved to be filled, the Director of Human Resources ensures that the employment opportunity notices contain the correct class specifications. If there is a proposed change in the duties of existing positions, the Director of Human Resources conducts a review to determine whether the position should be allocated to a new of different class.

Program planning drives the faculty hiring processes: all faculty positions are based upon documented needs in the departmental Program Review or in Annual Program Update reports. Once positions are identified faculty play a critical role in the development of the job announcement. Faculty job announcements clearly state the minimum qualifications, emphasizing the importance of disciplinary knowledge, current pedagogy, and commitment to student learning. Minimum qualifications are predicated on the minimum standards adopted by the Board of Governors of the California Community Colleges that are outlined in Minimum Qualifications for Faculty and Administrators in California Community Colleges. These serve as a statewide benchmark for professionalism and academic rigor and a guideline for day-to-day decisions regarding suitability for employment. However, the department is given the latitude to also include "desirable qualifications" to the job announcement. These desirable qualifications go beyond the minimum qualifications as a means to reflect those qualities that are considered necessary and of highest value to the department and the College and are aligned with the College mission and goals. [REF: Minimum Qualifications]

Administrative Procedure 7211 Minimum Qualifications and Equivalencies details the District's equivalency policy. The procedure states that all applicants for faculty positions who possess "qualifications that are at least equivalent" to the State's minimum qualifications shall be provided an avenue to request a determination of equivalency. When an applicant seeks equivalency review, the District Academic President appoints an Equivalency Committee, comprised of three contract faculty in the discipline, to evaluate the applicant's academic qualifications, pertinent experience, and relevant coursework. Each member of the Equivalency Committee makes an independent assessment of the materials submitted by the applicant. The final decision of the committee is by majority vote. Denial of equivalency by the Equivalency Committee is final and cannot be re-opened unless the applicant provides new and additional information. Only formal education is considered the

equivalent in a discipline which requires a Master's degree as a minimum qualification. The District Office of Human Resources maintains the files of all equivalency determinations.

The District Office of Human Resources ensures that job announcements are directly related to the mission and goals of the College by reviewing and updating job descriptions prior to each recruitment announcement. Criteria, qualifications, and procedures for the selection of personnel are clearly and publicly stated in a variety of sources accessible to the public via the District's website under the Office of Human Resources [REF: Human Resources]. All job descriptions contain general responsibilities, distinguishing characteristics, representative duties, supervisory relationships, minimum and desired qualifications, and any license or certification required to perform the duties of the position. Job announcements are advertised via the District's website, through internal memos regarding employment opportunities and through the California Community College Registry. Additionally, the PeopleAdmin applicant tracking system provides for an on-line application process for all applicants and web-based advertising. Dependent upon the position, additional recruitment may include resources such as The Chronicle of Higher Education, Women in Higher Education, Diverse Issues in Higher Education as well as many on-line job boards and recruitment fairs or events.

Initial screening of application materials begins at the District Office. Human Resources personnel review the applications to ensure that candidates meet the respective minimum qualifications and hold degrees from institutions accredited by a United States accrediting agency. Complete transcripts of all lower and upper division and graduate level College/university course work with the degree conferral date show are required. Transcripts from countries other than the United States must be evaluated by an agency that is a member of the National Association of Credentials Evaluation Service (NACES). Any applications that do not meet the minimum qualifications are eliminated from the process.

Subsequently, files of eligible candidates are sent to selection (hiring) committees. Faculty plays a significant role in the hiring process in all selection committees. Administrative Procedures 7121 Faculty Hiring, 7123 Hiring Procedures for Regular Academic and Classified Managers, and 7125 Hiring Acting and Interim Academic and Non-Academic Administrators detail the steps in the hiring processes for each category of employment and the composition of the selection committees. The College Academic Senate President appoints faculty to hiring committees. The College Classified Senate President appoints classified staff. The College President appoints an administrator to each hiring committee. Once appointments are recommended, the Office of Human Resources reviews the selection committee composition for gender and ethnic diversity. Faculty participation is integral in all steps in the hiring process. Faculty members are involved in the development of job descriptions and associated criteria, development of paper screening rubrics, interview questions and prompts for teaching demonstrations, screen applications for determining who is to interviewed and conduct first level interviews.

The selection committee interviews candidates and determines a list of recommendations for final interviews. The College President, with the appropriate Vice President, the Academic Senate President (for faculty hires) and the chair of the selection committee conduct the final interview. Candidates are evaluated for their potential to contribute to the mission and goals

of the department and the institution. Following the final interviews, reference checking is conducted to verify the qualifications of the finalists. The College President recommends the finalist to the Chancellor for approval.

Part-time faculty members are hired through one-on-one interviews with the Department Chair and the Dean of the respective area. The same rigor applies to meeting minimum qualifications and screening of application materials. Part-time faculty members are hired on an as needed basis with assignments that are for one term only and part-time faculty members are evaluated in the first year of employment at the College.

Self-Evaluation

The College meets the standard.

The process for hiring personnel operates successfully. In close collaboration with the Office of Human Resources the College meets this standard. The Human Resources routinely advertises classified, faculty, and administrative positions that include criteria, qualifications, and procedures for selection publicly through the District Human Resources website, the California Community Colleges Registry, and through communication to local Colleges. In addition, positions are publicly advertised in resources such as The Chronicle of Higher Education, Women in Higher Education, Diverse Issues in Higher Education, as well as many on line websites and listservs. All job announcements provide criteria, qualifications, procedures for selection and a description of the College or District. Specific duties and responsibilities of each position are clearly outlined.

Job descriptions are directly related to the institutional mission and goals and accurately reflect the duties and responsibility of the position. Job announcements for classified staff and managers are based on the needs of the College and edited by Human Resources. Job announcements include broad content relevant to the position and state the necessary knowledge, skills, and abilities pertaining to each position. In regards to faculty hiring, the initial "Request to Hire" personnel action includes an attachment confirming that the department chair or discipline expert, the Academic Senate President, the Peralta Federation of Teachers representative and the hiring manager has been consulted on the justification for the hire and the description of the position. This process of inclusiveness of all the constituencies produces job descriptions that are an overarching perspective of the needs of the College and reflective of the essential duties and responsibilities of the position that includes the perspective of a subject expert. Candidates are evaluated for their potential to contribute to the mission, needs, and goals of the College and department.

Job announcements emphasize the importance of discipline knowledge, current pedagogy, commitment to student learning, and the importance of an applicant being able to demonstrate sensitivity and experience in working within a multicultural educational environment. Many screening committees require skills demonstration or a teaching demonstration as part of evaluating discipline knowledge, pedagogy, and effective teaching. District procedures ensure faculty has a significant role in the selection of new faculty. Screening committees for faculty positions include at least three faculty members in the

discipline, or an aligned discipline, and an administrator. All faculty screening committees are chaired by a faculty.

College of Alameda in collaboration with the Office of Human Resources has an equivalency process for applicants who do not directly meet minimum qualifications as stated in Board Policy 3.26. Degrees from non-U.S. institutions are recognized only if equivalence has been established. The equivalency process includes review by an equivalency committee comprised of discipline experts, as well as by the District Academic Senate President. The equivalency process includes all applicants holding degrees from non-U.S. institutions to have the degree evaluated through an external evaluation agency.

Actionable Improvement Plan

None

IIIA.1.b. The institution assures the effectiveness of its human resources by evaluating all personnel systematically and at stated intervals. The institution establishes written criteria for evaluating all personnel, including performance of assigned duties and participation in institutional responsibilities and other activities appropriate to their expertise. Evaluation processes seek to assess effectiveness of personnel and encourage improvement. Actions taken following evaluations are formal, timely, and documented.

Description

Procedures and policies have been set in place for continuous evaluation of the faculty, staff and administration at the institution. Created through collaborative discussions between District wide constituent groups including the Human Resources (HR) Office, Board of Trustees, Union, Academic Senate, faculty, staff and administrators, the forms and policies are reviewed every few years and can be found on the District website. Documentation is filed confidentially at both the institution and District office. [REF: HR Forms]

All personnel (full time and part-time faculty, classified support staff, and managers) are evaluated systematically and at stated intervals. The evaluation process, criteria, and evaluation schedules are contained in the collective bargaining agreements and PCCD Board Policies and Administrative Procedures [REF: AP 7126 Management Performance Evaluations ; BP 7210 Academic Employees; SEIU Local 1021, Article V. ; I.O.U.E. Local 39, Article].

Contract faculty members (full-time) are evaluated every three years. Part-time faculty members are evaluated in their first-year of employment and six semesters thereafter. The evaluation process includes peer observations, student evaluations, an administrative evaluation and a portfolio. The evaluation process provides opportunities for commendations and recommendations for improvement. If a rating below satisfactory is assigned, a plan for improvement is developed and a re-evaluation is scheduled for the next academic year. Division Deans monitor and document the process. Complete instructions are detailed in the

Faculty Evaluations Policies and Procedures Handbook [REF: Faculty Evaluations Policies and Procedures Handbook].

Tenure-track faculty members are evaluated yearly for their first four years of employment, and adjunct faculty are evaluated every three years. During the four-year tenure track review process, evaluations are completed by a four-member committee, including the Division Dean and three faculty members from the discipline or a closely aligned discipline. The evaluation process includes peer observations, student evaluations, an administrative observation, a portfolio, and a self-evaluation each year. All evaluation materials are discussed and reviewed by the tenure candidate. Files are kept in the Office of Instruction at the campus. The tenure track process is coordinated by a tenure review facilitator at the campus. Each fall semester the tenure review facilitator and the Academic Senate President attest that the tenure review process has been followed. Each year, the appropriate Vice President or College President, based upon the recommendation of the tenure review committee, recommend continuance, non-continuance, or probation for each candidate. At the end of the four year process, the College President makes a final recommendation whether to grant tenure to the Chancellor and the Board of Trustees. The tenure review process is detailed in the Faculty Evaluations Policies and Procedure Handbook [REF: Faculty Evaluations Policies and Procedures Handbook].

Classified staff are evaluated during a probationary period and then annually in the month of hire by their first-level manager. The evaluation process is detailed in the respective collective bargaining agreements and monitored by the Office of Human Resources. [REF: HR Forms].

Managers are evaluated annually with the process coordinated by the Office of Human Resources. The purpose of the Management Performance Evaluation is to demonstrate a commitment to organizational excellence and align performance with the District-wide strategic goals and institutional objectives. The process was designed to assist with improvement of individual performance, thereby increasing institutional effectiveness. The management performance evaluation recognizes achievements, establishes training needs, including suggested areas for improvement, and encourages professional development. Additionally, every third year a comprehensive evaluation is conducted [REF: Management Evaluation Procedures; HR Forms]

Self-Evaluation

The College meets the standard.

The processes for evaluation personnel are well established, detailed, and comprehensive in scope. The College follows the Collective Bargaining Agreements of Local 1021 and Local 39 and the Peralta Federation of Teachers "Faculty Evaluation Guidelines." Each manager keeps a spreadsheet on his/her tenured and part-time faculty with information on date of hire, load, evaluation date, and committee chair. The Human Resources Department sends notice of the deadline for classified evaluations to the administrators who supervise classified.

New full-time, tenure-track faculty members undergo a tenure review process that includes evaluation by a four-member committee consisting of an administrator and three faculty

members from the same or closely aligned discipline. The evaluations include peer, administrative and student observation in addition to self-evaluation; this happens each of the four years during the probationary period. At the end of each academic year, the committee compiles the materials and reviews the materials with the faculty member. Following, the files are stored in the office of the Vice President of Instruction where a 50% employee has been designated to track the data. [REF: Faculty Evaluations Policies and Procedures Handbook].

Part-time faculty members are evaluated within the term of employment. Following, evaluation is done once every six regular semesters. Similarly, tenured faculty members are evaluated once every three years. If a candidate receives a negative evaluation, as in #4 or #5 (Does not consistently meet requirements or does not meet requirements), more frequent evaluations may be required. [REF: Faculty Evaluations Policies and Procedures Handbook].

Distance Education faculty members also receive feedback, but the evaluation follows different guidelines: student-teacher contact, forum activity and vibrancy of discussion. The committee is comprised of a content expert, pedagogy expert (distance education expert) and dean. Other procedures are similar to those of face-to-face courses.

Classified and Management evaluation forms are accessible through the District Website. [REF: HR Forms]

Structures for evaluation are clear to those who have been evaluated, and these are used for professional growth and student success.

Actionable Improvement Plans

None

IIIA.1.c. Faculty and others directly responsible for student progress toward achieving stated student learning outcomes have, as a component of their evaluation, effectiveness in producing those learning outcomes.

Description

Formal evaluations standards, procedures, and processes are negotiated between the District Office of Human Resources and the Peralta Federation of Teachers. There are established procedures for including an assessment of student learning outcomes as a component of faculty evaluations. The faculty self- evaluation form requires faculty to reflect on how Student Learning Outcomes (SLOs) or Service Area Outcomes affect teaching and how faculty members can become more effective at producing the desired learning outcomes, or affect services to students. One of the items in this self-evaluation states, "In terms of classroom instruction (or counseling services, etc.), including the assessment of Student Learning Outcomes, what have you learned about student needs, issues and your own

teaching? How will you implement what you learned?" By including this in the self-evaluation, all faculty members must identify the extent to which they are participating in the SLO/SAO process and the degree of effectiveness of the SLOs/SAOs, whether faculty members are teaching in traditional classroom mode or Distance Education mode, or in any aspect of the faculty assignment. [REF: PFT Side Letter]

Additionally, there are other components in the evaluation process that emphasize assessment of the teaching and learning process in the section that details the requirements for "applications of knowledge base". Faculty members are encouraged to file additional information on assessment of student learning outcomes as a part of their evaluation portfolio.

The College has also established an addendum to the official course outline of record as the location for listing student learning outcomes and assessment methods. Faculty members in the discipline are responsible for keeping this addendum up-to-date. Faculty members are evaluated, in part, on whether course outlines are followed, and evaluators may review syllabi and sample assessment tools to ascertain this.

Student learning outcomes (SLO) exist in courses throughout the College and are used for student success. Discipline specific faculty members develop SLO's at the course level with the assistance of the Institutional Effectiveness Committee (IEC) and upload assessment results to TaskStream.

Additionally, assessment of student learning outcomes is directly addressed and considered in the Program Reviews and Annual Program Updates completed by faculty in the discipline, who realize that ongoing assessment is fundamental to institutional planning and the evaluation of institutional effectiveness. The results of SLOs/SAOs are assessed every year at the department level as a part of the program planning process, in order to measure and improve effectiveness. Full-time faculty members are required to participate in this discussion and adjunct faculty are strongly encouraged to participate. As a result of these discussions, several departments have made changes to teaching methodologies, course content and sequencing. Changes include content updates as well as using different methods to teach courses, including online and hybrid courses.

Self-Evaluation

The College meets the standard.

The College has focused on student learning outcomes in instruction, student services, and administrative services with a focus on ensuring student success and student completion of basic skills, transfer, or career technical education programs and successfully attaining learning outcomes for courses, services , and programs, as well as institutional learning outcomes.

Faculty effectiveness is measured using a variety of criteria. Faculty are required to discuss student learning outcomes and the assessment of those outcomes as a part of program review,

as a component of curriculum development, and part of the faculty evaluation process in the self-evaluation. [REF: Articulation Officer Self Evaluation; Classroom Faculty Self Evaluation; Counseling Faculty Self Evaluation; Learning Assistance Faculty Self Evaluation; Librarian Self Evaluation; Nurse Self Evaluation]

Work around SLO's has been made public to the College community through the IEC website. [REF: Institutional Effectiveness Committee] This includes resources for developing, assessing and analyzing data of the SLO's. Professional development (FLEX) days over a few years were used to roll out implementation, at both the College and District. [REF: Assessment Presentations]

Actionable Improvement Plans

None

IIIA.1.d. The institution upholds a written code of professional ethics for all of its personnel.

Description

College of Alameda has a written code of professional ethics for all of its personnel, Board Policy (BP) 5.15 Code of Faculty Professional Standards. The institution's strong commitment to upholding and fostering ethical behavior throughout the campus community is demonstrated in a number of ways. First, the mission statement of the Peralta Community College District [REF: PCCD Mission Statement] includes a commitment to encouraging a civil and ethical environment that values the perspective of all individuals. Secondly, Administrative Procedure 7380 Institutional Code of Ethics, civility and Mutual Respect provides a definition of, and expectation for, ethical and civil behavior that all employees are required to adhere to [REF: BP 7380 Code of Ethics]. The Office of Human Resources and the Department of Employee Relations are responsible for overseeing this procedure. There are multiple avenues for reporting violations of the institutional code of ethics or unprofessional conduct. Written or verbal complaints can be reported to an area supervisor/manager, Dean or Vice President. Complaints can also be reported directly to the Office of Human Resources and/or the Department of Employee Relations. Additionally, the District has also implemented Board Policy 7700 Whistleblower Protection [REF: BP 7700 Whistleblower Protection] and Administrative Procedure 7700 Whistleblower Protection [REF: AP 7700 Whistleblower Protection] where individuals can also anonymously report allegations of fraud. Such allegations can be reported directly to the Internal Auditor, the Office of Human Resources, or the Department of Employee Relations. Any reported violations of the Institutional Code of Ethics or allegations of fraud are immediately investigated by the Office of Human Resources and/or the Internal Auditor and may result in mandatory training for the individual and/or the imposition of appropriate discipline.

Self-Evaluation

The College meets the standard. All personnel have a written code of professional ethics in which to abide.

Actionable Improvement Plans

None

IIIA.2. The institution maintains a sufficient number of qualified faculty with full-time responsibility to the institution. The institution has a sufficient number of staff and administrators with appropriate preparation and experience to provide the administrative services necessary to support the institution's mission and purposes.

Description

Currently, College of Alameda has ten administrators. Four of the ten are top-level administrators (President, Vice President of Student Services, Vice President of Instruction and the Director of Business and Administrative Services who serve with four Deans and three Directors. All administrators hold at least a Masters degree and six of the ten administrators hold Doctorate degrees and all of the administrators bring a wide range of experience that support the institution's mission and purpose. The racial/ethnic and gender breakdown is as follows: 6 females and 4 males, 4 African Americans, 2 Whites, 2 Filipinos, 1 Asian, and 1 Latino.

Self Evaluation

The College meets the standard.

The institution has a sufficient number of staff, faculty, and administrators to support the College mission. [REF: Employee Demographics- College of Alameda]

Actionable Improvement Plans

None

IIIA.3.a The institution systematically develops personnel policies and procedures that are available for information and review. Such policies and procedures are equitably and consistently administered.

Description

The institution has an effective process for the development of personnel policies and procedures. Led by the Office of Human Resources, all constituencies, including the bargaining units (Peralta Federation of Teachers, SEIU Local 1021, and IUOE local 39) and the District Academic Senate participate in shaping personnel policies and procedures. Additionally, new policies and procedures and changes in existing policies and procedures are reviewed by the Planning and Budgeting Council, a component of the District-wide participatory governance structure. This review includes policies and procedures regarding personnel topics.

Personnel policies and procedures are readily available by faculty, staff and the public via the District's website. All Board policies and Administrative Procedures are posted under the Governance tab [REF: Board Policies]. Additional procedures regarding tenure track faculty can be found in the Faculty Evaluations/Tenure Review Handbook [REF: Faculty Evaluations Policies and Procedures Handbook]. Other personnel policies, including labor agreements, are published on the Office of Human Resources website [REF: HR Forms].

The personnel policies and processes are designed to result in fair treatment of all personnel. In the event an employee or prospective employee feels unfair or inappropriate actions have taken place, the Vice Chancellor of Human Resources is responsible to advise, investigate, resolve conflicts, and ensure fairness in areas of hiring, discipline, and resolution of complaints and grievances.

Self-Evaluation

The College meets the standard.

Actionable Improvement Plans

None

IIIA.a. The institution establishes and adheres to written policies ensuring fairness in all employment procedures.

Description

Written policies attributable to personnel are contained in Chapter 7 of the District's Board Policies and Administrative Procedures Handbook. These are as follows:

BP 7100 Commitment to Diversity

BP 7110 Delegation of Authority for Human Resources

AP 7110 Delegation of Authority for Human Resources

BP 7120 Recruitment and Hiring

AP 7121 Faculty Hiring

Faculty Evaluations Policies and Procedures Handbook (for Tenured, Tenure Track, and Part-time Faculty)

Faculty Evaluation Forms

AP 7123 Hiring Procedures for Regular Academic Administrators and Classified Managers

AP 7125 Hiring Acting and Interim Academic and Non-Academic Administrators

AP 7126 Management Performance Evaluations

BP 7210 Academic Employees

BP 7230 Classified Employees

BP 7240 Confidential Employees

BP 7250 Academic Administrators

BP 7260 Classified Managers

BP 7360 Discipline and Dismissal – Academic Employees

BP 7365 Discipline and Dismissal – Classified Employees

In an effort to address constituent concerns in a timely manner, the Vice Chancellor of Human Resources meets regularly with the president of the faculty union (Peralta Federation of Teachers) and the presidents of the classified unions (SEIU 1021 and Local 39). To further support fair and appropriate treatment, the District Union Partnership Committee (DUPC) was established to effectively and expeditiously address issues and concerns affecting classified employees. DUPC meetings occur monthly.

Additionally, all management personnel are trained yearly on contract administration to support the appropriate and consistent administration of personnel related provisions [REF: Management Workshop Agenda 7-22-14].

Self-Evaluation

The College meets the standard.

College of Alameda's policies are established by the Board and are in accordance with all the pertinent state and federal laws. Administrators undergo extensive training in all of these policies.

Actionable Improvement Plan

None

IIIA.3.b. The institution makes provision for the security and confidentiality of personnel records. Each employee has access to his/her personnel records in accordance with law.

Description

Personnel files contain employment applications, performance evaluations, written confirmation of employment actions, personal data, leave and attendance records and any additional information used to determine the employee's qualifications for employment, promotion and compensation. Personnel files are located in a security code file systems accessed only by the Human Resources staff. All medical files are secured and housed separately from personnel files.

Education Code §87031 gives employees the right, "at reasonable intervals and at reasonable times" to inspect personnel records relating to their work performance or any grievance relating to them. The Education Code also outlines reasonable rules regarding the inspection of personnel files. Any employee may make a request to review their personnel file in the presence of Human Resources staff. The process for reviewing personnel files is also located in the various collective bargaining agreements. The release of personnel records (outside of public information) must be approved by the employee through a signed statement. Employees are encouraged to complement their records by adding documents as to additional training and other supplementary material to their personnel files. All employees have online access to their pay information, W2 forms, vacation, medical leave, health benefits and other information through the password-protected PROMPT system. Employee's social security numbers have been replaced by unique employee ID numbers.

Self-Evaluation

The College meets the standard.

Actionable Improvement Plans

None

IIIA.4. The institution demonstrates through policies and practices an appropriate understanding of and concern for issues of equity and diversity.

Description

College of Alameda has made a commitment to equity and diversity as evidenced by the mission statement that the College seeks to achieve and by creating and funding an influx of equity driven programs. The mission of the College states that the institution "serves the educational needs of its diverse community by providing comprehensive and flexible programs and resources that empower students to achieve their goals."

The College has a firm commitment to understanding and addressing issues of equity and diversity in its programs, policies, and practices. Board Policy 7100 Commitment to Diversity recognizes that diversity in the academic environment fosters cultural awareness, promotes mutual understanding and respect, and provides suitable role models for all students [REF: BP 7100 Commitment to Diversity]. Administrative Procedure 7102 Faculty Diversity Internship Program details the District's faculty diversity internship program pursuant to Title 5 §53500 and Education Code §87487 REF: AP 7102 Faculty Diversity Internship Program]. The purpose of the program is to enhance recruitment of qualified persons from diverse backgrounds in efforts towards building a diverse and representative faculty, particularly for disciplines for which recruitment is difficult and/or for disciplines in which a shortage of quailed faculty is anticipated. The District's Diversity Coordinator is a faculty member on release time. Job openings, workshops, resources, forms and documents, as well as "Frequently Asked Questions" for prospective applicants can be found on the Faculty Diversity Internship Program website [REF: Faculty Diversity Internship Website]. In 2013 the Board of Trustees adopted the District's Equal Employment Opportunity Plan (EEO Plan) in compliance with Title 5. A component in the plan was the formation of EEO Advisory Committee which has representation from all constituencies in the District, facilitated by the Director for Employee Relations. This committee meets regularly to review diversity within the institution and in its recruitment and hiring practices. The EEO Advisory Committee also has the responsibility of reviewing and revising the District-wide EEO Plan. The EEO Plan has three areas of focus: 1. Dialogue, intended to specifically create an on-going and intellectual dialogue on the topic of equity as it relates to our students and staff; 2. Recruitment/Hiring, with the intent to increase our efforts to recruit, hire, and retain a diverse workforce that meets the needs of our students; and 3. Policies and Procedures, for the purpose of reviewing and updating policies and procedures related to hiring practices on a regular basis. The EEO Advisory Committee is also tasked with recommending and sponsoring District-wide events that support an inclusive campus community. [REF: PCCD EEO Plan]

Additionally, the Office of Human Resources provides EEO/Diversity training to selection/hiring committees and has conducted FLEX Day (Professional Development) workshops for faculty that specifically focus on issues relating to equity and diversity. Consistently throughout each academic year faculty, staff, students and administration hold campus-wide events such as Black History Month, Women's History Month, Hispanic Heritage Month, and Cinco de Mayo celebrations etc.

Self-Evaluation

The College meets the standard.

Understanding of and appreciation for diversity is a core value of the institution. College of Alameda has demonstrated throughout many institutional practices that the institution is committed to creating and maintaining programs, practices, and services that support its diverse community of students and personnel.

Actionable Improvement Plans

None

IIIA.4.a. The institution creates and maintains appropriate programs, practices, and services that support its diverse personnel.

Description

College of Alameda has made a commitment to equity and diversity as evidenced by the mission statement that the College seeks to achieve and by creating and funding an influx of equity driven programs. The mission of the College states that the institution "serves the educational needs of its diverse community by providing comprehensive and flexible programs and resources that empower students to achieve their goals."

Self-Evaluation

The College meets this standard.

College of Alameda has demonstrated throughout many institutional practices that the College is committed to creating and maintaining programs, practices, and services that support its diverse community of students and personnel. For instance, College of Alameda has created and provided support to many equity driven programs such as EOPS, Programs and Services for Students with Disabilities, College to Career, Brotherhood: A Men of Color Initiative, Alameda Promise, Open Gate, Adelante, Amandla, and APASS. These are all programs designed at achieving equity through providing additional resources and support for students at College of Alameda. All of these programs also employ diverse personnel that are reflective of the students being served by the programs.

Moreover, all faculty job descriptions contain the following statement: "The (PCC) District is strongly committed to achieving staff diversity and the principles of equal employment opportunity. The District encourages a diverse pool of applicants and does not discriminate on the basis of race, color, national origin, ancestry, sex, age, religion, marital status, disability, or sexual orientation in any of its policies, procedures, or practices. "Further, the

minimum qualifications of all job descriptions note that the applicant must have an "understanding of, sensitivity to, and respect for the diverse academic, socioeconomic, cultural, disability, and ethnic background, of community College students."

College of Alameda also has shown a commitment to diversity in hiring diverse faculty and administrators. 70% of current administrators are African American, Latino, and Filipino. The College continues to demonstrate commitment as evidenced by the ongoing Faculty Diversity Internship Program designed to recruit and retain diverse faculty members.

Actionable Improvement Plans

None

IIIA.4.b. The institution regularly assesses its record in employment equity and diversity consistent with its mission.

Description

The Peralta Community College District is committed to equal employment opportunity and full recognition of the diversity of cultures, ethnicities, language groups, and abilities. The District is an equal opportunity employer that provides an educational and work environment in which no person is denied access to any program or activity of the District on the basis of ethnic group identification, national origin, religion, age, gender, sexual orientation, color, or physical or mental ability. This includes decisions about employment, compensation, promotion, termination, and/or employment status. The College is guided by the mission, values and strategic plan which represent the College's core commitments and beliefs. In particular "we recognize and celebrate the strengths of our diverse students, communities, and colleagues" [REF: District Strategic Plan].

While the institutional policies and procedures clearly promote diversity, the Office of Human Resources and Employee Relations is responsible for recruiting, hiring, retaining, and cultivating equity and diversity through regular assessment of its progress. The Vice Chancellor for Human Resources is responsible to ensure that all aspects of Title 5, §53023 are adhered to and monitored effectively. Every position description is reviewed for language and qualifications that respect and promote diversity and to ensure that job announcements are written to be sensitive to diverse individuals. Comprehensive recruitment is conducted to reach diverse groups and attract a highly qualified and diverse pool of applicants. Recruitment practices and advertising is reviewed annually to determine the effectiveness of each publication. The data provides a longitudinal view of the ethnicity of applicant pools, hires, and current employee groups. [REF: Employee Demographics- College of Alameda]

Self-Evaluation

The College meets this standard.

College of Alameda is proactive in recruiting and hiring diverse personnel and in assessing its record in employment equity and diversity. College of Alameda in collaboration with the District implements various strategies in recruiting diverse personnel and in assessing its employment equity. For example, the District office has hired a Director of Employee Relations to provide oversight on non-discrimination and equal opportunity policies.

The District also follows Equal Employment Opportunity policies and all candidates for positions at College of Alameda are expected to demonstrate sensitivity to and ability to work with the diverse academic, socioeconomic, cultural, and ethnic backgrounds of students, faculty, staff, including national origin, religion, age, gender, sexual orientation, race, and color as well as physical and mental ability. Moreover, the College continues to demonstrate commitment as evidenced by the ongoing Faculty Diversity Internship Program designed to recruit and retain diverse faculty members.

Actionable Improvement Plans

None

IIIA.4.c. The institution subscribes to, advocates, and demonstrates integrity in the treatment of its administration, faculty, staff and students.

Description

All constituencies at College of Alameda have representative bodies that advocate on their constituents' behalf. The Peralta Federation of Teachers and the Academic Senate represent faculty. SEIU Local 1021, I.U.O.E. Local 39, and the Classified Senate represent classified staff. The Associated Students of College of Alameda, the Peralta Student Council, and the two non-voting student members of the Board of Trustees represent students. The Peralta Community College District and College of Alameda also have other mechanisms in place to ensure integrity in the treatment of personnel and students such as policies, procedures, and statutes.

Through its representative bodies, the institution has established avenues for advocacy for administrators, faculty, staff, and students. District-wide policies and procedures assure integrity in the treatment of administrators and non-represented/confidential employees. The advocacy groups for faculty are the Peralta Federation of Teachers and the Academic Senate. Advocacy groups for classified staff are SEIU Local 1021, IUOE Local 39 and the Classified Senate. The Associated Students of College of Alameda advocates for students. Relationships between faculty, staff and student advocacy groups and the administration are collegial and respectful. Shared governance committees are inclusive. Students are invited to participate in shared governance and their voice is respected.

Administrative Procedure 7380 Ethics, civility and Mutual Respect clearly delineates the standard by which management, classified staff and faculty are to be treated and how to conduct themselves during the course and scope of the performance of assigned responsibilities. The policy defines the spirit in which the District intends employees to conduct business and guides daily behavior [REF: AP 7380 Ethics]. The expectation is that all employees exercise due diligence in the ethical performance of duties, model the highest standard of ethically responsible behavior, facilitate a climate of trust, mutual support, and courteous consideration through actions that demonstrate respect for reason, freedom of expression, and the right to dissent. Employees should also avoid knowingly making false or malicious statements about other employees or students, use care and integrity in sharing information, guard privacy rights of all individuals, and avoid disclosing information about selection processes, colleagues or students obtained in the course of professional service and promote a team environment, without prejudice.

Administrative Procedure 5500 Student Standards of Conduct, Discipline Procedures and Due Process also addresses the treatment of staff and students and defines general expectations of student conduct [REF: AP 5500 Student Code of Conduct]. Administrative Procedure 5530 Student Rights and Grievance Procedure [REF: AP 5530 Student Grievance Procedure] student rights and the processes for student grievances.

In addition to advocacy groups, published policies and procedures, statutes such as the Americans with Disabilities Act and Title IX, specific policies are published online and in the College Catalog that include but are not limited to: Policy Prohibiting Discrimination, Sexual Assault Policy and Procedures, Student Grievance Procedures, Student Conduct, Discipline and Due Process Rights, and Procedures Prohibiting Harassment or Discrimination Towards Students Because of Sex, Race, and/or Disability.

Self-Evaluation

College of Alameda meets this standard.

Through its representative bodies, the institution has established avenues for advocacy for all personnel and students. College of Alameda has committed to integrity in the treatment of not only all personnel, but also students as evidenced by the College funding a full-time Director of Student Activities and Campus Life to advise the Associated Students of College of Alameda to most effectively participate in College and District wide decision making and advocacy. The District also has a Director of Employee Relations to provide oversight on non-discrimination and equal opportunity policies.

In addition, the College adheres to policies, procedures, and statutes, such as the American Disabilities Act, in its treatment of all constituencies. The District has specific policies which are published in the College Catalog and include the following:

- Policy Prohibiting Discrimination
- Implementing Procedures Prohibiting harassment or discrimination towards students because of their sex, race, and/or disability
- Sexual Assault Policy and Procedures

- Student Grievance Procedures
- Student Conduct, Discipline, and Due Process Rights

College of Alameda's treatment of its administration, faculty, classified staff, and students is guided by representative bodies and advocacy groups and District-wide policies and procedures which are clear and upheld. Relations between faculty, staff, and student advocacy groups and the administration at College of Alameda are collegial, collaborative, and respectful. All personnel constituent groups and students work together towards the achievement of the College mission.

Actionable Improvement Plans

None

IIIA.5. The institution provides all personnel with appropriate opportunities for continued professional development, consistent with the institutional mission and based on identified teaching and learning needs.

Description

Through the work of the College's staff development committee, which is comprised of faculty, staff and administrators, systems have been created to regularly offer opportunities for personnel at the College to grow professionally. Additionally, the District office offers professional development for all campuses through the academic year.

The Peralta Community College District provides District-wide professional development for all employee groups; management, classified support staff, and faculty (full and part-time). Faculty training is by far the most comprehensive because funding is provided by the State Chancellor's Office specific to faculty staff development. However, many professional development opportunities are coordinated by the District Office of Educational Services and are for all employees. Professional development workshops and activities occur primarily during Flex days (the week before the fall and spring semesters begin). Other professional development workshops and programs are also offered during the year. Ongoing, individual technical support and training resources are available online. The College also provides some funds for travel to conferences and other professional development events as well as sabbaticals for faculty. Information about professional development opportunities is disseminated via e-mail, District and College websites, and in shared governance meetings.

Self-Evaluation

The College meets the standard.

The participatory governance of the staff development committee plans activities for FLEX days and throughout the academic year. Each semester, the College community is invited to host a workshop for the campus on FLEX days. Proposals are reviewed by the committee and selected based on the needs of the faculty, staff and administration. [REF: FLEX Program]

Faculty members are also afforded monies through Professional Development Fund of up to $600 per full-time faculty and up to $300 per part-time faculty member; these requests are also reviewed and approved through the Staff Development Committee. [REF: Sample Staff Development Request]

Additionally, the District office offers training for faculty, staff and administrators at all campuses. This includes training for all employees in workplace safety and other policies and procedures: [REF: Professional Development Opportunities]

The following structures are in place for professional growth:

- Tuition Fee waiver for employees who wish to take a job related class within the Peralta Community College District
- Faculty Diversity Internship Program

In the same spirit, each College of the District often opens trainings to the rest of the Colleges in the District.

Sabbaticals are offered for tenured faculty to carry out an approved project for the benefit of the District, students and the faculty member. [REF: Staff Development]

In summer 2014, a two-day faculty institute was offered for the College.

Actionable Improvement Plans

None

IIIA.5.a. The institution plans professional development activities to meet the needs of its personnel.

Description

In-service training is regularly offered for all administrative personnel for cultural change (improving campus climates), diversity awareness/appreciation, leadership skills, management tools (Peoplesoft, BI tool, etc), personnel administration, collective bargaining contracts, contract compliance, performance evaluations, progressive discipline, and other Human Resource practices [REF: Management Workshop Agenda 7-22-14] .

Although classified staff currently do not have professional development obligations the District has provided professional development activities for classified employees focused upon customer service, diversity awareness/appreciation, student services operations, workplace safety, and personal development. Recently, a full-day of activities for classified staff occurred during the spring break entitled "Classified Matters [REF: Classified Matters]. Additionally the Office of Employee Relations periodically runs workshops on "employee benefits" and "retirement planning." The Office of Risk Management has provided specific workshops or trainings on emergency preparedness, such as "earthquake preparedness" or "what to do if there is a shooter on campus."

All faculty members with a teaching assignment have a staff development responsibility. Everyone else (non-teaching faculty, classified staff, confidential employees and managers) are welcome and invited to attend staff development activities. [REF: Staff Development]

Faculty members have opportunities for on-going training in diversity; technology; use of smart classroom equipment; distance education; Peoplesoft updates including financial aid; Microsoft applications; use of TaskStream (used for reporting assessment of SLOs); CurricUNET (used for curriculum management); student success; assessment; curriculum development; classroom teaching techniques; and health and safety. Faculty members are also offered step/column professional development credit for completing Educational Technology (EDT 1, 2, and 3) that introduce faculty to teaching via distance education and utilization of the Moodle platform. Moodle workshops are also offered throughout the academic year. Additionally, Curriculum Committee chairs offer workshops on a regular basis regarding Title 5 and distance education curriculum development.

The Peralta Federation of Teachers contract prescribes three Flex days before the beginning of each semester in the fall and spring. One day is a District-wide professional development day and the ensuing two days are College Flex days. On the District Flex day, learning assessment, student success, teaching methods, cultural change, diversity awareness/sensitivity are emphasized by the keynote speakers and/or afternoon workshops.

The Peralta Federation of Teachers negotiates funding, faculty obligations, the process for selection of a District-wide Staff Development Officer, and the structure of the Professional Development Committees. The District Staff Development Officer coordinates professional development activities District-wide. Additionally, the Staff Development Officer and the individual College professional development committees plan additional activities and review requests for funds to travel to conferences, pay professional association fees, cover the cost of courses related to fields of study, or subscribe to professional journals. Recently, the Peralta Federation of Teachers negotiated the return of sabbaticals in the 2013-14 and 2014-15 years. Prior to 2013, sabbaticals were suspended for over 6 years, due to budgetary constraints. The contractual agreement between the Peralta Federation of Teachers and the District deems that the District provide $120,000 for professional development travel and activities (Laney $48,000, COA $24,000, BCC $24,000, Merritt $24,000). Additionally, the District-wide Staff Development Office receives $18,000 per academic year for District Flex days [REF: Employee Relations].

Self-Evaluation

The College meets this standard.

College personnel are encouraged to host workshops for the College, filling out a proposal form to be reviewed and approved by the committee. This inclusive process allows for College personnel to directly provide input on FLEX activities by holding their own, faculty-led, workshops. Some of these include:

- Pedagogy
- Technology in the classroom
- Classroom management
- Diversity in the classroom
- Self-Care

Often, faculty request similar workshops at future FLEX day events.

The College was invited to share suggestions on content and guest speakers of the Faculty Institute in June 2014, a 2-day workshop for faculty.

Actionable Improvement Plans

None

IIIA.5.b. With the assistance of the participants, the institution systematically evaluates professional development programs and uses the results of these evaluations as the basis for improvement.

Description

Evaluation of the professional development program follows the guidelines set forth by the California Community College Council for Staff and Organizational Development. Online surveys, evaluations of District and College workshops and suggestions provided by the College Staff Development Committee all provide input into planning and training needs. Each of the faculty staff development Flex day workshops are evaluated by participants using forms designed for that purpose. Attendance rosters are reviewed to gauge participation. Evaluation results are discussed at campus staff development meetings and in District staff development meetings. The District Office of Educational Services generates various reports about staff development participation for further review.

The District Staff Development Officer submits a Flex day calendar report to the State Chancellor's Office at the end of each academic year. Flex day staff development activities are required to be organized by the nine criteria listed in AB1725. Those nine criteria are:

- Course instruction and evaluation
- In-service training and instructional improvement

- Program and course curriculum on learning resource development and evaluation
- Student personnel services
- Learning resource services
- Related activities, such as student advising, guidance, orientation, student success, and diversity
- Departmental or division meetings, conferences, workshops, and institutional research
- Other duties as assigned by the District
- Necessary support activities of the above

Self-Evaluation

The College meets this standard.

The evaluations are discussed in the Staff Development Committee and Staff Development Chair District meetings; evaluations are used to improve current performance and plan future offerings of professional development. Additionally, evaluations are provided to workshop presenters, many of whom are faculty at the College; these results are processed by each individual presenter. Reports can be generated at the District Office of Staff Development.
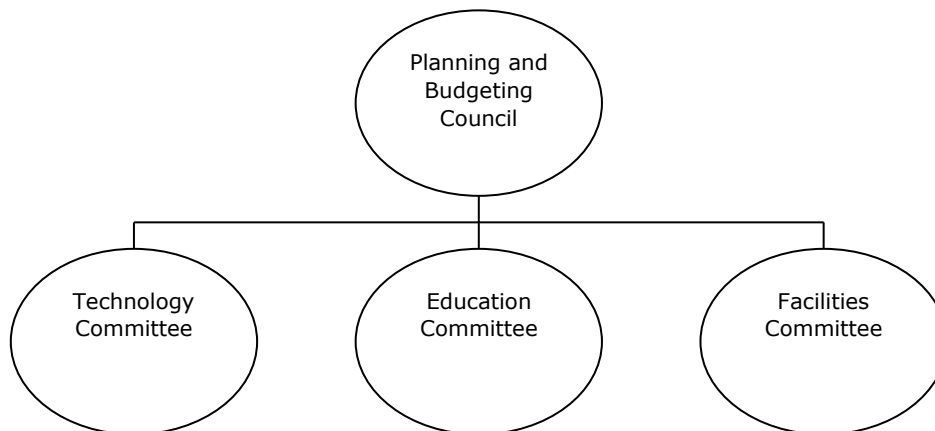
Actionable Improvement Plans

None

IIIA.6. Human resource planning is integrated with institutional planning. The institution systematically assesses the effective use of human resources and uses the results of the evaluation as the basis for improvement.

Description

The College regularly assesses its human resource needs in a number of ways which integrate human resources planning with institutional planning. Comprehensive Program Review, Annual Unit Plan Updates and Administrative Unit Reviews allow for the identification of staffing needs that fulfill the mission of individual units and programs. The College relies on a participatory governance process to review and provide input into all plans, including human resources decisions.

The College's human resources planning is integrated with the District's institutional planning through participatory governance processes that channel campus requests through the District's Planning and Budgeting Integration Model (PBIM). The PBIM is an integrated District-wide planning and budget advisory system comprised of four committees that receive planning inputs from the Colleges, review them, and make final recommendations to the Chancellor.

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                    Planning and
                     Budgeting
                      Council
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   Technology         Education         Facilities
   Committee          Committee         Committee
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The District Vice Chancellor of Educational Services serves as the Education Committee co-chair, providing guidance and support in making human resource recommendations. College administrators, classified staff and faculty serve on both the Education Committee and the Planning and Budgeting Council. This planning structure provides integration between the District and College to assure effective coordination of human resource requests. The planning structure also provides an opportunity for administrators, faculty, staff, and students from the District and all four PCCD Colleges to discuss, preview, prioritize, introduce, and recommend human resource priorities. For example, the College's prioritized classified staff and faculty hiring requests detailed in the College's Program Review and Annual Program Updates are sent to the District Education Committee each spring for review and discussion. Subsequently these requests are sent to the Planning and Budgeting Council before final recommendations are forwarded to the Chancellor for approval and implementation. [REF: PBC Agendas]

Self-Evaluation

The College meets the standard.

Actionable Improvement Plans

None

List of Evidence (in alphabetical order)

AP 5500 Student Code of Conduct
AP 5530 Student Grievance Procedure
AP 7102 Faculty Diversity Internship Program
AP 7126 Management Performance Evaluations
AP 7380 Ethics
AP 7700 Whistleblower Protection

Articulation Officer Self Evaluation

Assessment Presentations

Board Policies

BP 7100 Commitment to Diversity

BP 7210 Academic Employees;

BP 7380 Code of Ethics

BP 7700 Whistleblower Protection

Classified Matters

Classroom Faculty Self Evaluation

Counseling Faculty Self Evaluation

District Strategic Plan

Employee Demographics- College of Alameda

Employee Relations

Faculty Diversity Internship Website

Faculty Evaluations Policies and Procedures Handbook

FLEX Program

HR Forms

Human Resources

I.O.U.E. Local 39, Article].

Institutional Effectiveness Committee

Learning Assistance Faculty Self Evaluation

Librarian Self Evaluation

Management Evaluation Procedures

Management Workshop Agenda 7-22-14

Minimum Qualifications

Nurse Self Evaluation

PBC Agendas

PCCD EEO Plan

PCCD Mission Statement

PFT Side Letter

Professional Development Opportunities

Sample Staff Development Request

SEIU Local 1021, Article V.

Staff Development

IIIB. Physical resources, which include facilities, equipment, land, and other assets, support student learning programs and services and improve institutional effectiveness. Physical resource planning is integrated with institutional planning

Physical resource planning, including facilities, equipment, land and other assets is integrated with institutional planning and supports student learning programs and services. The planning for major projects is guided by the College's Educational and Facilities Master Plans supported by the District Integrated Educational and Facilities Master Plans [REF: College of Alameda Educational and Facilities Master Plan; District Integrated Educational and Facilities Master Plans]. Both long and short range planning are informed by the District's Strategic Goals [REF: District Strategic Goals] and the Planning and Budgeting Integration Model [REF: Planning and Budgeting Integration Model].

The District Office of General Services provides centralized support for the College's maintenance of buildings and grounds and design and construction of new buildings and renovations. This includes facility and property services as well as maintenance and operations, capital outlay, some centralized mailroom and duplication services, and Peralta Police Services. The facility and property services include capital planning and management, real property leasing, energy management, custodial and security services as well as parking.

IIIB.1.The institution provides safe and sufficient physical resources that support and assure the integrity and quality of its programs and services, regardless of location or means of delivery.

Description

The 6.2-acre main campus is comprised of four original buildings constructed between1967 and 1970: Building A, which contains administrative offices, classrooms and instructional labs; Building B, which contains the Auto Body and Paint Program and the Automotive Technology Program; the two connected Buildings C and D, which contain classrooms, science and computer labs and also houses Programs and Services for Students with Disabilities (DSPS) and Instructional Division offices; and Building F, containing the Student Center, student services offices, cafeteria and bookstore. There are 81 classrooms – although some are vacant presently due to the move by science classes into the Science Annex off campus – and 42 restrooms. Buildings constructed since the original construction are: the G building, with gymnasium, dance and music studios, 1976; the Library/Learning Resource Center, 1976-77; the Child Care Center, 1977; and Building E, containing the Diesel Mechanics program, 1989. Additionally, the College has nine tennis courts, a turf soccer field surrounded by an all-weather track that was reconditioned in 2013, and a grass baseball field built in1996.

The Alameda County Sheriff's Department provides security on campus between 7am to 11pm Monday through Friday, with security guards from Securitas, a private security firm, on campus at other times. Hallways are lit at night, and emergency telephone stations have been situated in each parking lot and at the Aviation Maintenance Technology facility at the Oakland Airport. Safety Aides and Cadets from the Merritt College Administration of Justice Program provide routine

safety-monitoring services on campus and at the Science Annex located at 860 Atlantic Avenue, Alameda.

The Safety Committee monitors safety on campus and recommends College policy in the areas of health, wellness and safety. Members of the committee include faculty, staff and the Director of Business and Administrative Services who serves as Campus Safety Officer.

The Chemistry, Biology, Diesel Mechanics, Dental Assisting, Aviation Maintenance Technology, Automotive Technology, and Auto Body and Paint departments generate hazardous materials. Removal is done by contractors and is coordinated by the Business and Administrative Services office, in concert with the District legal staff and the District Risk Manager. Training is required for employees who handle hazardous materials; for instance, both science technicians have completed the "Management of Hazardous Substances and Chemical Release" course. Additional training for employees is reported later in this section.

The Business and Administrative Services office conducts ongoing facilities evaluations. The campus Facilities Committee, which includes faculty members, staff and the Director of Business and Administrative Services who chairs the committee, communicates the physical plant needs of the College to the College Council and the President. Equipment replacement and maintenance needs are reported annually in annual program updates, which are prepared by individual departments.

Following, is a description of the existing College buildings and other physical resources:

Building A houses the administrative offices; the Employee Mailroom and Photocopy Center; Student Services programs; seven classrooms, 3 computer labs and the Dental Assisting program, which includes a classroom, a lab with 2 dental exam chairs, a locker room and the Asian Health Services Dental Clinic, with 4 exam rooms and waiting room. Renovation of Building A was completed in 2009 and meets ADA Title II accessibility Standards.

The Asian Health Services Center operates under a memorandum of understanding between PCCD, College of Alameda and Asian Health Services, to provide dental care to low income, uninsured and underinsured students, as well as other Alameda County populations in need of dental care. The facility provides practical, on-the-job experience to College of Alameda's dental assisting students. [REF: Memorandum of Understanding between Asian Health Services and Peralta Community College District]

Building B houses the Automotive Technology and the Auto Body and Paint facilities which including 5 classrooms.

Building C includes 12 classrooms and a large maintenance suite.

Building D includes 19 classrooms; two academic division offices; office for Programs and Services for Students with Disabilities (DSPS); a chemistry lab, a large computer laboratory; and faculty and administrative offices for Divisions I and II.

Building E is the site of the Diesel Mechanics Department which includes one classroom with an adjacent computer room; a large shop area; a loft for storage of tools and equipment; bathrooms and a locker area. The department uses seven large, diesel trucks that it keeps on-site.

Building F is College of Alameda's Student Center, which includes a Cafeteria; College Bookstore; Associated Students of College of Alameda offices; Cyber Café; Lost and Found, Safety Services; Student Lounge; Student Health Services; and mailboxes for clubs and organizations.

Building G is the gymnasium and physical education center with five classrooms and two shower/changing room/restrooms. The building has been renovated to expand the weight room and upgrade the music and dance studio.

Building L houses the Library including materials collections; open study areas; study rooms; library offices, the Learning Resources Center including the Tutoring Center; Math Lab; Writing Center; Language and ESL Lab; and open computer lab, Technology and Audio-Visual department, Alameda Transportation and Logistics Academic Support (ATLAS) program, and several faculty and staff offices.

A cluster of seven modular buildings adjacent to Building C has been installed to serve the City/County-supported One Stop Career Center and the Alameda Science and Technology Institute, an early College high school.

The Alameda One Stop Career Center (AOSCC) operates under funding through a contract from the Alameda County Workforce Investment Board (ACWIB) to the Peralta Community College District (PCCD). PCCD and College of Alameda currently provide no operating support other than in-kind support (the building, utilities, administrative services, janitorial, etc.). The Center operates in compliance with the Workforce Investment Act to increase the employment, retention and earnings of residents of the City of Alameda and Alameda County. Partners include Alameda Adult School, Alameda County Social Services Agency, Alameda Housing Authority, Alameda Economic Development Services Department, Alameda Economic Development Services Department, Oakland Department of Adult and Aging Services, Assets Senior Employment Program, California Department of Rehabilitation, California Employment Development Department and Job Corps. The One Stop also serves as the College Career Center.

The Alameda Science and Technology Institute, an early College high school located in the temporary modular buildings next to Building C, operates under an agreement between College of Alameda and the Alameda Unified School District (AUSD). This small high school, with an accelerated associate degree program, occupies classrooms provided by AUSD, although 11th and 12th grade students also attend College classes on campus and at the Science Annex.

College of Alameda occupies two off-campus locations. The Science Annex, located one-half-mile from the main campus, is a retrofitted biotechnology research complex located at 860 Atlantic Avenue.

The Science Annex was first occupied by the Chemistry and Physics Departments in 2011 and by the Biology Department in 2013, in preparation for the demolition and replacement of Building C

and D. The Science Annex currently houses most of the science classes offered by College of Alameda, and also accommodates Merritt College's Genomics Program. Shared occupancy by the two Colleges has worked very well.

The College of Alameda portion of the Science Annex presently includes a Human Anatomy classroom/laboratory with a temperature-modulated cadaver room containing downdraft ventilated cadaver dissection tables, a storage room and an adjacent faculty office. Two other combined lecture/laboratory classrooms serve Human Physiology and General Biology classes. The Biology Stockroom with adjacent Laboratory Technician Office is central to the different classrooms. Plant growth chambers, environmental control chambers, incubators, etc. are located in other nearby rooms.

Chemistry classes are held in the Chemistry Laboratory and one of the lecture rooms, supported by the Chemistry Stockroom and Laboratory technician office. Physics classes are held in a lecture/laboratory classroom with a faculty office and stockroom adjacent to the classroom. Classrooms in the Science Annex have state-of-the-art audiovisual components.

In addition, the Science Annex includes an office suite for adjunct instructors, a student lounge with vending machines, and a mailroom that houses the Scantron reader, and will be the site of a large-volume photocopy machine. A new tutoring program, begun as a satellite of the existing tutoring program on campus, began in 2013. Presently, students tutor their peers in Physics, Chemistry and Biology in the Science Annex Tutoring Center. Development of a satellite library reference desk, with computer access to periodical indices and guidance from an on-site librarian, is under discussion with the campus library staff.

The other off-campus learning center is the Aviation Maintenance Technology Program Facility located at the north end of the Oakland International Airport. The program facilities include two main hangar buildings with classrooms, laboratory rooms, twelve aircraft, and aircraft system mockup trainers.

This Aviation Maintenance Technology Program (AMT) is located at 970 Harbor Bay Parkway, Alameda, bordering the North Field of the Oakland International Airport. The Program is an FAA-certified technical school operating under Federal Aviation Regulation Part 147 to train and certify aircraft maintenance technicians.

The AMT Program is an accredited program with articulations to four-year universities. The program is also an approved technical school certified by the Federal Aviation Administration, under Federal Aviation Regulation 147. The school is approved to train aircraft maintenance technicians for Airframe and Powerplant Technician certificates.

Located at the airport, with secured access to the Airport Operation Areas, are two main buildings, a Powerplant Hangar and an Airframe Hangar, with a ramp area for aircraft parking in the rear of the building, and car parking in the front of the building. The facility houses small aircraft, with mockups and aircraft type engines. The building has one set of restrooms.

The Power plant Hangar (Building A) consists of an engine shop hangar, two offices, storage and 2 machining rooms, paint booth, one classroom, and one multi-purpose room. The Airframe Hangar (Building B) consists of two multi-purpose classrooms, a tool room, storage areas, one general sheet metal shop, a computer Lab, an electronics lab, and three offices. The building has one set of restrooms.

Joint administration of College of Alameda facilities is accomplished under arrangements set forth in memoranda of understanding. The One-Stop Career Center, the Child Care Center, ASTI, the baseball field, a Smog Referee Center in Building B, the Flea Market, the Soccer Field, and the Asian Health Center all operate under these cooperative agreements. These MOU's contain provisions, as required, for rental fees, indemnity and insurance, including liability, workers' compensation, and fire.

Other Campus Facilities:

Campus Drive encircles College of Alameda, providing ingress, egress and access to parking lots. Two connecting links allow access to Campus Drive from Ralph Appezzato Memorial Parkway and a third connects Campus Drive to Willie Stargell Avenue. Campus Drive is a one- or two-way street with a 15-mph speed limit.

College of Alameda maintains three campus parking lots for the use of students, faculty and the public. Students pay a semester parking fee of $40 per car or $20 per motorcycle; visitors may purchase daily parking permits for $2. Parking fees are not enforced on weekends. Summer semester parking rate is $20 per car and $10 per motorcycle. Two parking lots accommodate faculty, administrators and staff. No fees are charged for use of these restricted parking areas. A third parking lot is provided at the south end of the soccer field. Fees are charged here. Students on financial aid receive a 50 percent reduction in price for parking.

A Saturday Flea Market operates in parking lot C. The Flea Market is operated by Community Flea Markets LLC, doing business as West End Flea Market, under a licensing agreement that extends to 2017. The Flea Market operates each Saturday; weather permitting, from 9:00 a.m. to 4:00 p.m., and on occasional Sundays, by arrangement, for a fee of $640.00, plus a custodial fee, per market day. Restrooms at the Soccer Field and in the portable modular restrooms adjacent to Building D are available to Flea Market attendees [REF: Flea Market License Agreement]

A baseball field, constructed in1991, operates under a license agreement between the College of Alameda and the City of Alameda Babe Ruth Baseball League. The City of Alameda has agreed to pay, over the life of the agreement (expiring in 2029), a total of $1 million for construction and upkeep of the field and the associated facilities. [REF: License Agreement for the College of Alameda Baseball Field]

A soccer field with all-weather track, operates in conjunction with Saint Joseph Notre Dame High School in Alameda, serves the needs of the high school, the College, and students from ASTI. [REF: License Agreement for the use of College of Alameda Soccer Fields]

The District places a high level of attention on the safety of its facilities. A commitment to safety is demonstrated through activities that include, but are not limited to, regular meetings of the District Safety Committee, the District-wide Facilities Committee, and the College Safety and Facilities Committee [REF: District Safety Committee]. The Office of Risk Management, periodically offers trainings, safety workshops and a reporting process for accidents or injuries [REF: Office of Risk Management]. The College Business Officer is the Safety Officer for the campus overseeing communication during emergency situations, maintenance of signage, storage and disposal of hazardous materials and facilities inventories.

The District uses the State Chancellor's Office Facilities Planning Unit Guidelines to determine if current facilities provide adequate capacity to support instructional and support needs for the College. Using capacity load ratios, the state guidelines provide foundational information for

determining needs for general lecture, laboratories, library, offices, and support spaces. This information helps to determine if adequate space is available to support current and projected enrollment.

Additionally, through the College's planning processes, program needs are analyzed, discussed, and improvements are identified. This process includes identifying equipment and facilities needs in Annual Program Updates and Comprehensive Program Reviews. Each year, physical resource needs are prioritized and forwarded to the District-wide Facilities Committee where facilities resource needs, including deferred maintenance and emergency items, are discussed, prioritized District-wide, and forwarded to the District's Planning and Budgeting Council for further review and final recommendations to the Chancellor.

Self-Evaluation

The College meets the Standard.

The facilities are sufficient and the College continuously responds to mitigate facilities and safety items.

Actionable Improvement Plans

To facilitate continuous improvement, in collaboration with District General Services Department of Risk Management, a risk management assessment will be conducted of College facilities with recommendations to the College Facilities or College Health & Safety Committees. Recommendations will inform the College Maintenance and Repairs Priority Needs List.

IIIB.1.a The institution plans, builds, maintains, and upgrades or replaces its physical resources in a manner that assures effective utilization and continuing quality necessary to support its programs and services.

Description

The District's comprehensive facilities planning activities ensure that its physical resources are planned and constructed to ensure effective utilization. The comprehensive planning begins in the facilities master planning stage, when campus wide planning identifies broad goals and initiatives. Once any individual project is launched, the project architects, engineers, project managers and facility planners meet often with the College end users to identify the programmatic requirements of the project, develop schematic designs, and ultimately progress to the construction document phase that allows the project to be put out to bid in order for the contract to be awarded.

Upgrades and replacements of facilities have been significant due to the capital construction programs. The passage of two separate bond measures (Measure A and Measure E) provided the majority of the funding for capital construction in the past decade. Information about Measure A and E projects can be found on the District General Services website at [REF: District General Services- Measures A and E]. Alameda County voters passed the $390 million Measure A bond

on June 6, 2006 by an overwhelming 74.7 %, one of the highest support rates for a community College bond measure in the State. The Measure A Financial and Performance Audit report describes how the money has been spent to date for capital projects. The report is available on the PCCD General Services website at [REF: Measure A Financial and Performance Audit].

Every project at the College has a steering committee that is comprised of faculty, students, at least one administrator, immediate end-users, facility maintenance staff, a project manager, an architect (if appropriate) and is coordinated by the DGS manager for planning and development.

Most of the meetings are held at the College. Routine maintenance projects are generated through a centralized work order process. First, staff members at the College send a request to the campus Business Office. The work order request in then input by Business Office staff into Mainstar, the centralized maintenance software application that transmits the request to the Department of General Services (DGS). DSG reviews the request, prioritizes all requests District-wide, and assigns the work for completion. Requests are reviewed on a daily basis to ensure completion in a timely manner, and safety requests are prioritized to ensure immediate attention.

DGS facilities maintenance teams comprise the following units: Facilities Maintenance and Operations Division, Engineering Department, Custodial Department, Grounds Department, Capital Outlay, Design and Construction Division, and the Facilities Planning and Development Division. The role and function of each unit are described in the DGS 2013-14 Administrative Program Review [REF: DGS 2013-14 Administrative Program Review].

The engineers and groundskeepers, based at the College, work through DGS and therefore receive directives from District managers at DGS. However, each College has its own custodial team that falls under the jurisdiction of the College's Business Office.

The routine maintenance schedule includes the following standard elements: system-level operation and maintenance information such as physical descriptions, functional descriptions, troubleshooting, preventative maintenance procedures and schedules, corrective maintenance repair requirements, parts lists, significant drawings, and equipment specific information. This is organized into a centralized vendor/manufacturer data library. Due to budget constraints and limited manpower, preventative maintenance has been limited; most maintenance is performed on as as-needed basis.

When emergencies occur, DGS executes the Public Contract Code §22050 Emergency Contracting Procedures. Under this code, the Chancellor may authorize emergency projects to begin without prior approval from the Board of Trustees, as long as the Chancellor reports the project to the Board at the next general meeting. The following steps are taken to start emergency projects: first, the DGS project coordinator and the project manager send an urgent letter and contract to the Chancellor to institute immediate action. Secondly, upon the Chancellor's approval, the DGS project manager authorizes the contractor to begin work immediately. Finally, on behalf of the Chancellor, DGS prepares a Board report on the emergency project and a request for the Board of Trustees to ratify the project.

The College communicates its facilities needs to DGS in one of three ways. Routine maintenance is through the work order process, which is handled by the campus Business Office. The DGS Chief Engineer assigns the work to the Assistant Chief Engineer that is located on campus for immediate attention and implementation. Secondly, if the scope of work over and above the skill

set of the campus stationary engineers, a capital outlay project is developed and funded for outside contractors to complete the work. Finally, additional urgent repairs that are not covered by the annual maintenance and operations budget are initiated through the District-wide integrated planning and budgeting process (PBIM) each spring. The items requiring attention are brought to the District Facilities Committee, which passes a resolution for immediate action that is sent to the Planning and Budgeting Council. Upon review by this shared governance body, a recommendation is then sent to the Chancellor for approval. The approved project is sent to the Board of Trustees for approval or ratification.

DGS Comprehensive Program Reviews of maintenance operations have been the primary vehicle used to evaluate the effectiveness of facilities and equipment in meeting the needs of the College's programs and services. These reviews have provided great insight into staffing levels relative in facilities service needs [REF: DGS Comprehensive Program Review]. Several additional venues for reporting maintenance needs are in place to ensure effective uses of physical resources, including the College Facilities Committee, the District-wide Facilities Committee and departmental level Program Reviews and Annual Program Updates where facilities needs are prioritized.

The Director of Business and Administrative Services is generally responsible for the operation and maintenance of the physical resources. College facilities are supported by a team of 16 dedicated staff of custodians, engineers and groundskeepers. Delivery and receipt of supplies, pest control, garbage collections, disposal of hazardous materials, processing of utility bills, daily custodial tasks, and other routine functions fall under that office's purview. Maintaining the College grounds, on the other hand, is the responsibility of the District's Physical Plant Office.

College of Alameda is in the process of replacing two of its buildings. Buildings C and D will be torn down and replaced with new buildings as part of the Measure A funded effort to provide safe, sufficient, up-to-date physical resources. This process has begun, with the three science departments already reestablished at the Science Annex at 860 Atlantic Avenue.

The new buildings on campus will feature advanced teaching and laboratory facilities, and discussions are underway to incorporate art, in the form of murals and other displays, to enhance the visual and emotional experience of science students, and to reach that segment of the student population otherwise unmoved by science and technology.

The College's C&D Steering Committee provides recommendations and approves site plans and programmatic items. The College reached a milestone in summer 2014 with the construction sign-off for the swing space, which will be comprised of modular units. All offices, classrooms, and other operational space will be transferred to the swing space. [REF: C&D Minutes]

The cluster of 15 renovated modular buildings will include 3 classrooms; two computer labs; DSPS offices and workrooms, 2 sets of bathrooms; custodial work areas, administrative offices; and faculty offices. This will be augmented with 20 new modular buildings for 18 classrooms [REF: College of Alameda Cougar Village Expansion]

The College, in conjunction with District General Services, began the selection of an architectural firm with a design/build framework for the replacement building. The transition to the swing space will be completed in Summer 2015 and the current building will be demolished beginning Fall 2015. [REF: C&D Timeline]

Maintenance and repair of existing structures is an ongoing process. The 2014-2015 College Maintenance and Repairs Priority Needs List is included in a master document that ranks and briefly describes maintenance needs. Annual Program Updates, from each academic and administrative area, list needed physical resources or needed funds for repair/improvement of physical resources. The resource requests are shared with the College Council for review and recommendation to the President. [REF: Annual Program Updates; 2014-2015 College Maintenance and Repairs Priority Needs List]

Self-Evaluation

The College meets the Standard.

The above activities, processes, and mechanisms demonstrate how the District and the College builds, maintains, and upgrades or replaces its physical resources in a manner that assures effective utilization to support its programs and services. Additionally, the planning processes are sufficient to secure resources in areas of need in multiple situations, including emergencies.

Actionable Improvement Plans

None

IIIB.1.b. The institution assures that physical resources at all locations where it offers courses, programs, and services are constructed and maintained to assure access, safety, security, and a healthful learning and working environment.

Description

College of Alameda constantly reviews and evaluates safety and security for the campus. The Safety Committee, chaired by the Director of Business and Administrative Services, includes staff, faculty and administrators, along with a deputy from the Alameda County Sherriff's Department and the District Risk Manager, monitors campus safety and submits recommendations to the College Council.

The College and the District continually evaluate the College's facilities, particularly when concerns are raised about health or safety issues. When warranted, the College Business manager consults with the District Risk Management Director to assess potentially hazardous conditions and facilitate repairs. The District Office of Risk Management implements policies and procedures for the identification, collection, and analysis of risk related information. This office also provides periodic training for administrators, staff, and faculty, and actively participates in [REF: Office of Risk Management], helps to identify in facilities and safety committees related health, safety and quality improvement.

The District works with a property and liability insurance provider, Alliance of Schools Cooperatives Insurance Programs and POMS and Associates, to conduct annual reviews of

potential facility risks most recently in May 2012. District-wide reviews are conducted every five years. The College Facilities Committee, Department of General Services and Risk Management provide ongoing operational reviews. Air quality tests are performed on a routine basis across the District under Risk Management. Air Quality Management is provided through HVAC System management lead by DGS, Engineers.

The College Health and Safety Committee is a participatory governance committee which makes recommendations on policies that concern health and safety issues. The committee also reviews disaster/emergency preparedness and response information, fire and earthquake information, American with Disabilities Act (ADA) compliance and campus signage. The local Fire Department conducts regular inspections, and the District Department of General Services conducts spot safety inspections to detect unsafe conditions.

For new construction and upgrade projects that involve ADA compliance, the District Department of General Services (DGS) submits construction documents and specifications to the California Division of the State Architect (DSA) for review and approval. DSA provides design and construction oversight and develops accessibility, structural safety, and historical building codes and Standards utilized in various public and private buildings throughout the State. For existing facilities, DGS started a District-wide ADA Improvement Project in 2009. To date, projects have been completed at two of the four Colleges in the District [REF: District ADA Improvement Project - Example].

The District contracts with the Alameda County Sheriff's Department for policing of the campus. In addition to sheriffs, the College provides safety aides to assist in maintaining a safe campus. Safety aides patrol the campus in late afternoons and early evenings, wearing safety aide jackets. The Safety Aides have equipment that provides immediate contact with the sheriff's officers. Additionally, to ensure facilities and parking lot safety, DGS has contracts with two separate vendors, Securitas and American Guard, to perform District-wide security services. Both security company's' scope of services includes, but is not limited to, securing the buildings in the event of damage and destruction, providing training in the appropriate response to unsafe conditions, emergency situations and/or criminal activity, and maintaining logs and reports of criminal activities to the appropriate enforcement agencies. These vendors regularly check facilities and parking lots and look for criminal activities. If criminal activity occurs, the security service contacts the appropriate Police Department to enforce violations. In addition, the Sheriff's Officers constantly patrol parking lots and the campus. The District-wide Security Surveillance Camera project began in 2008 and completed in 2013 was to ensure additional facilities security. Coordination with faculty, staff and police departments was established as part of the project.

Currently underway is a new security project, financed by Proposition 39. The Prop 39 LED Lighting Upgrade is an energy-efficient lighting project that will increase security and safety around facilities and in campus parking lots. This lighting upgrade will give students, faculty, staff, administrators, and visitors safer access as well as reduce liability in the event that crimes or personal injury may happen.

The College Facilities Committee and Health & Safety Committee meet monthly. Each committee has broad-based representation. [REF: Facilities Committee Agenda; Health & Safety Committee Agenda] The committee discusses current items related to facilities, health and/or safety issue on campus. The committee guides items through immediate resolution or forwards recommendations to the appropriate body.

Once per month, a District safety meeting occurs, where the campus maintenance crew, the Risk Management Director, Sheriff's Office representative, and Department of General Services representative discuss and address current security and safety issue that need immediate repairs and correction.

Disaster planning is coordinated through a District-wide effort that involves all four campuses and the District Office. Board Policy 3505 details the District's Emergency Response Plan [REF: District Emergency Response]. The emergency operations plan contains information on assessments on major earthquake threats, tsunami, flooding, landslide/mudflows, wild land fires, transportation and/or train incidents, hazardous materials, civil unrest, terrorisms and other national security emergencies. The plan also lists the Incident Command Structure. During each year, an emergency preparedness workshop is provided for all employees that profiles ways to reduce emergency risks. Evacuation routes are posted in every classroom and each College has an individual College disaster and/or emergency operations plan. The College plans provide emergency phone numbers for key local agencies and College personnel and directions regarding what employees and assigned leaders are to do when specific events occur.[REF: College's emergency operations plan]. Beginning in 2008, the Standardized Emergency Management (SEM) structure was implemented for the College. Periodically, SEMS/NIM courses are offered District-wide and many campus personnel have been trained in CPR and evacuation procedures. Board Policy 6800 Safety [REF: Board Policy 6800 Safety] and Administrative Procedure 6802 [REF: Administrative Procedure 6802] detail compliance with OSHA regulations, establishment of an Injury and Illness Program and procedures for our Hazardous Material Communications Program.

The Department of General Services has completed the following tests to ensure healthy environments:

- Asbestos: abatement reports have been completed for each College. Facilities buildings built before 1970 contain asbestos in construction materials. For these facilities, before construction projects begin, asbestos removal is conducted as required by California's Asbestos Standards in Construction, by asbestos certified consultants if the asbestos fiber content is more than 0.1% and the space is larger than 100 square feet.
- Air Quality: on an as requested basis. DGS conducts the tests in existing buildings. For new construction, best management practices and thresholds of significance are included in construction criteria. At this point in time, a lighting assessment is in progress for classrooms and stairwells.

Finally, when new facility construction and/or renovations of existing facilities occurs, ergonomic furniture designs are incorporated into the project to improve occupational health and safety and productivity. Common ergonomic furniture comprises computer desks, office furniture, keyboards, computer monitors, and chairs.

Self-Evaluation

The College meets the Standard.

Significant measures continue to be taken to assure that the physical resources are constructed and maintained to assure access, safety, security and a healthful learning and working

environment. In a dynamic environment, continuous response and improvements are required to maintain Standards.

Actionable Improvement Plans

None

IIIB.2.To assure the feasibility and effectiveness of physical resources in supporting institutional programs and services, the institution plans and evaluates its facilities and equipment on a regular basis, taking utilization and other relevant data into account.

Description

Physical resources are planned, maintained and/or upgraded based on formal communications between the College employees and the President. These communications take the form of Annual Program Updates (APU's) each year, in which different campus organizations note equipment, maintenance, technology or other needs.

The Business and Administrative Services Office uses the APU's to generate an annual Resource Request List that includes physical-resource needs such as equipment and supplies, office space, maintenance needs, storage, facilities-improvements such as sinks and laboratory benches, smart-classroom development, increased tutoring and math-lab space, lighting upgrades, and on and on. The list also identifies estimated cost of each item and funding sources. [REF: College Resource Request List- 2014]

The Resource Request List is summarized and narrowed down for longer-term planning, which is manifested as the College of Alameda – Summary of Resource Requests for 2014/2015.

This planning process proceeds as follows: After review of the facilities needs as presented in APU's by the President's Senior Team, the resource requests are reviewed and prioritized by department managers, the department chairs, the Student Services Council and the Classified Senate. Division deans next review the list, make any recommendations, and forward priorities to the Vice President of Instruction and the Vice President of Student Services. The Vice-Presidents bring recommendations to the Budget Advisory Committee for review. The College Council receives the list next, and makes recommendations to the College President. The President then announces the final version to the College community. Priorities then are forwarded to the District Budget Committee for final approval. [REF: Integrated Planning and Budget Process]

Long-range planning and evaluation of facilities and equipment in the District and at the College take the form of facilities master planning, regular updates of the College's facilities conditions in the California Community Colleges Chancellor's Office (CCCCO) database, as well as annual updates of the District's Five-year Construction Plan (5YCP) containing capital outlay proposals for the next five years. Each College in the District updates the Statement of College Educational Plans which is collected by the Department of General Services and the information is input into FUSION to formulate the District 5YCP. Guides to understanding and using the

5YCP and understanding cap/load ratios are posted on the District website [REF: Capital outlay proposals]. The latest facilities assessment was completed in December 2013 by a representative from the CCCCO, the District Director of Facilities, and the District Facilities Planning and Development Manager. District-wide, the most recent facilities master plans were completed in 2009 [REF: District Educational Master Plan]. The facilities master planning initiative began with a review of the District Educational Master Plan and the District Strategic Plan [REF: District Strategic Plan]. The facilities master plan discusses in detail enrollment projections, potential space needs and proposed programs and projects.

Annual planning and assessment of facilities and equipment are also done at the program and/or administrative unit level through the comprehensive Program Review and the Annual Program Update processes. These processes identify facilities and equipment needs, which are integrated with annual budgeting processes. Effective utilization of space is monitored at the Division level by the responsible Dean and/or program lead in the scheduling process. Utilization is primarily focused upon serving as many students as possible as effectively and efficiently as possible to meet student learning outcomes at the course, program, and institutional levels. Therefore, needs are first identified by assessment at the course and program level.

Additionally, the College Business Office conducts ongoing facilities evaluations and distributes this information to the College Facilities Committee. The College Director of Business and Administrative Services, the District Risk Manager, in collaboration with District personnel, continually review existing facilities conditions by conducting periodic inspections throughout the campus. College constituents, including custodial staff, maintenance personnel, faculty and other personnel have input into the process via the Facilities Committee. The status of current equipment and/or the need for new or replacement equipment is also documented in these periodic assessments as well as in the Annual Program Update process.

Self-Evaluation

The College meets the Standard.

The basis for planning is the annual program update, which is revised and submitted each year by the employees of every department, who are familiar with the needs of the respective areas. Review at numerous levels ensure that funding will occur based on priorities established by the APU's, the Maintenance and Repairs Priority Needs List and the Summary of Resource Needs List, each of which is reviewed through the participatory governance structure.

Actionable Improvement Plans

None

IIIB.2.a.Long-range capital plans support institutional improvement goals and reflect projections of the total cost of ownership of new facilities and equipment.

Description

The District supports the planning goals of College of Alameda. PCCD strives to fully integrating the planning, assessment and budget processes to be more effective and efficient; to make full use of institutional research and effectiveness indicators and to restructure the

District's budget to further improve financial efficiency, to provide a rational basis for allocating financial resources. The Peralta Community College District Budget Allocation Model of 2013 closely follows the State of California's funding model established in Senate Bill 361.

This new Budget Allocation Model encourages and supports collaboration between College of Alameda and the District Office. The College has broad oversight of institutional responsibilities while the District Office primarily ensures compliance with applicable statute and regulatory compliance as well as essential support functions.

College of Alameda's Facilities Master Plan, part of the Educational Master Plan, links educational objectives and projected space needs with required funding. The Plan estimates a total financial need of almost $112 million for projects through the year 2022.

The College Business and Administrative Services Office, working with the Department of General Services (DGS), submit a "Space Inventory" to the State each year. The inventory provides an analysis of available and needed space, up to fire-code capacity.

The new five-year Construction Plan includes cost of construction for new facilities, and projects costs of upkeep.

The College engages in a participatory governance process to determine facilities and equipment needs via the comprehensive Program Review and Annual Program Update processes. After the passage of Measure A, which includes funds for capital improvement and equipment, College-wide prioritized lists were developed, utilizing the College planning processes. Annually, capital construction projects are prioritized at the District level via the Five Year Capital Outlay Plan and the College's Facilities Master Plan, which are in alignment with the College's mission, goals and objectives. In most instances, the College's facilities requests are driven by institutional improvement goals for instructional programs, student services programs and administrative priorities. For example, renovation of science and Career Technical and Occupational (CTE) labs are driven by needs to reflect state of the art technologies and practices and to prepare students for the workforce.

Every attempt is made to forecast related costs associated with equipment purchases and facility requests. It is imperative that the cost of operating and maintaining facilities – the total cost of ownership – always be considered. The District has several mechanisms in which to ensure that this occurs. Facilities Design Standards ensure that new and renovated facilities are designed and constructed with energy efficiency and sustainability in mind. For new buildings and renovation of existing facilities, energy efficiency is a high priority [REF: Prop 39 Update to PBC]. Additionally, other facilities design criteria include but are not limited to architectural finishes, selection of ergonomic furniture, and selection of mechanical, electrical and building management controls that are state of the art, durable, within the range of knowledge of the staff that maintains them, maintenance contracts and service agreements.

Self-Evaluation

The College meets the Standard.

The Budget Allocation Model requires that the District Office, with responsibility for providing certain centralized functions, assists College of Alameda with fiscal and budgetary oversight, procurement, construction and capital outlay, ongoing facilities maintenance and even security services. Construction costs of new facilities are considered, and long-term operating costs are required to be a significant part of the general equation.
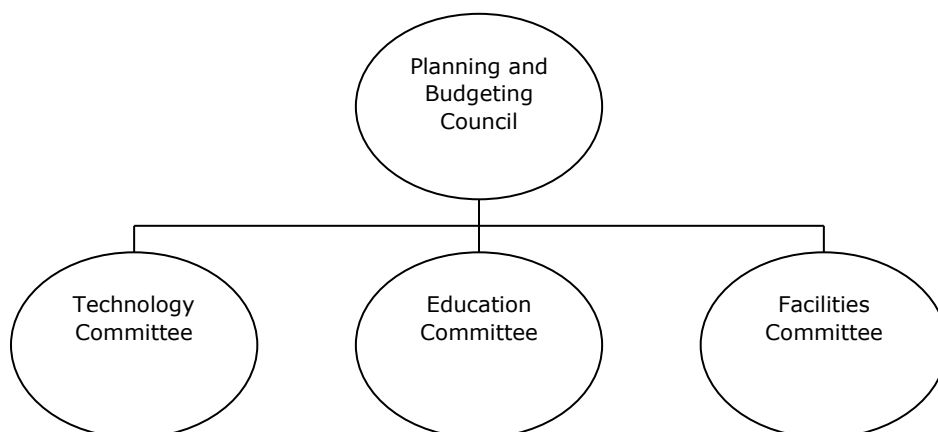
Actionable Improvement Plans

None

IIIB.2.b.Physical resource planning is integrated with institutional planning. The institution systematically assesses the effective use of physical resources and uses the result of the evaluation as the basis for improvement.

Description

Planning for physical resources, central to the operation of any institution, is fully integrated into the planning for the institution as a whole. The College of Alameda Facilities Committee, chaired by the Director of Business and Administrative Services, who is also the Campus Safety Officer, makes recommendations relating to the use of College facilities and reviews proposals for major capital improvement projects. Members of the committee include faculty and staff. Recommendations reach the President via the College Council.

In June 2006, Measure A $390 million bond was approved by voters of the Peralta Community College District. In 2014, money from this bond issue continues to fund capital improvement projects. The 2014-2018 Construction Plan submitted in 2012 will take effect in July 2014, with new construction scheduled to begin in 2016.

Institutional planning precedes and provides direction for physical resource planning. College strategies addressing facilities are evaluated and assessed annually. The College relies on a participatory governance process to review and provide input into plans, including technology decisions. The College's facilities planning is integrated with the District's institutional planning through participatory governance processes that channel campus requests through the District's Planning and Budgeting Integration Model (PBIM). The PBIM is an integrated District-wide planning and budget advisory system of four committees that receive planning input from the Colleges and make recommendations to the Chancellor.

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The Vice Chancellor of General Services co-chairs the District-wide Facilities Committee (DFC), providing guidance and support in making facilities recommendations. District and

College staff and faculty serve on the DFC, providing a liaison between the District and Colleges to assure effective coordination and delivery of facilities services. The DFC provides a forum for administrators, faculty, staff, and students from the District and all four Colleges to discuss, preview, prioritize, introduce, and recommend projects and services, as each relates to teaching and learning.

The Vice Chancellor of General Services meets weekly with the College President during the Chancellor's Cabinet meeting to report upon the implementation of facilities projects in progress. In addition to co-chairing the DTC, the Vice Chancellor of General Services regularly attends all PBIM committee meetings answer questions and provide input on an as needed basis. Every project undertaken at the College has a steering committee comprised of faculty, students, an administrator, immediate end-users, facilities maintenance staff, and a project manager.

The College Director of Business and Administrative Services and the College Facilities Committee, comprised of administrative representatives, faculty, classified staff and students, is charged with the responsibility for all matters related to planning, maintaining, and upgrading the College facilities. The Facility Committee assists in the planning of major capital improvement projects and makes recommendations for improvement in the aesthetics, safety, and security of all College facilities, including buildings and grounds. The committee may make recommendations to higher level planning committees on campus, the President, and the District-wide Facilities Committee (DFC). The College is represented on the DFC by the Director of Business and Administrative Services, faculty, students, and a representative from the campus Facilities Committee. Deliberations and recommendations are vetted and forwarded to the Planning and Budgeting Council, which recommends projects to the Chancellor for approval.

The College also evaluates facility needs based upon the results of Comprehensive Program Reviews and Annual Program Updates. The results of these processes justify requests at both the campus and District levels. The District Office of General Services then works with the College and end-users on prioritization of major building projects to ensure that long-range capital projects are linked to long-term strategic planning, yearly operational planning, and the College's mission and goals.

Self-Evaluation

The College meets the Standard.

The College of Alameda Facilities Committee makes recommendations relating to the use of College facilities and reviews proposals for major capital improvement projects. Members of the committee include faculty, staff, and the campus Safety Officer (the Director of Business and Administrative Services). Recommendations reach the President via the College Council.

Actionable Improvement Plans

None

List of Evidence (in alphabetical order)

2014-2015 College Maintenance and Repairs Priority Needs List

AP 6802

Annual Program Updates

BP 6800 Safety

C&D Minutes

C&D Timeline

Capital outlay proposals

College of Alameda Cougar Village Expansion

College of Alameda Educational and Facilities Master Plan

College emergency operations plan

College Resource Request List- 2014

DGS 2013-14 Administrative Program Review

DGS Comprehensive Program Review

District ADA Improvement Project - Example

District Strategic Goals

District Emergency Response

District General Services- Measures A and E

District Safety Committee

District Strategic Plan

District Integrated Educational and Facilities Master Plans

Integrated Planning and Budget Process

Flea Market License Agreement

License Agreement for the College of Alameda Baseball Field

License Agreement for the use of College of Alameda Soccer Fields

Measure A Financial and Performance Audit

Memorandum of Understanding between Asian Health Services and Peralta Community College District

Office of Risk Management

Planning and Budgeting Integration Model

Prop 39 Update to PBC

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III C. Technology Resources are used to support student learning programs and services and to improve institutional effectiveness. Technology planning is integrated with institutional planning.

III. C. 1. The institution assures that any technology support it provides is designed to meet the needs of learning, teaching, College-wide communications, research, and operational systems.

Description

Technology resources that support student learning programs and services to improve institutional effectiveness are the shared responsibilities of the District Office of Information Technology (IT) and the College. The network, computer services, and information systems are centralized under the direction of the Associate Vice Chancellor of IT at the District Office. District IT staff support the District-wide network infrastructure, telecommunications system, servers, and computers [REF: Matrix for District and College IT responsibilities]. Each College manages their own network adhering to standards recommended by District IT. The College's network coordinator and campus based technicians support faculty and staff at the College.

In recent years there has been progress in the planning, support, and deployment of network bandwidth and availability, distance education, faculty and staff computing, and innovative teaching and learning design of classrooms. The District-wide Technology Committee prioritizes College priorities and aligns them with strategic goals [REF: Information Technology Strategy]. Technology planning is integrated into the District and College planning processes.

Technology resources are used throughout the College to support and increase the effectiveness of student learning programs and services, communication, and the quality of services provided to students. The overarching direction for all decisions about technology comes from the College's Educational Master Plan [REF: College of Alameda Educational Master Plan]. The identification of technology needs is a collaborative process involving all campus constituents. Faculty and staff, through their instructional divisions, identify technology needs and trends through their annual program review updates (Unit Plans) and comprehensive program reviews [REF: 2013-14 Annual Program Updates- Instruction; 2013-14 Annual Program Updates- Student Services]

Technology resources that meet the needs of learning, teaching, and College-wide communication include: Smart Classrooms (18); open computer labs for students; instructional labs; wireless access; library services; audio-visual services; DSPS Adaptive Computer Learning Center technology; Welcome Center computer access; and Cyber Café located in the Student Center.

The College has approximately 800 PCs; 35 switches used to expand network access and interconnection between buildings; 20 servers; 18 smart classrooms; and computer labs ranging from Open Lab to DSPS Adaptive Computer Learning Center.

College of Alameda's IT staff manage the day-to-day needs of campus technology resources via Help Desk requests. Prioritizing greater campus-wide needs occurs via the campus Technology Committee which meets monthly and is a subcommittee of College Council.

Self Evaluation

The College meets the Standard.

Actionable Improvement Plans

None

III. C.1.a. Technology services, professional support, facilities, hardware, and software are designed to enhance the operation and effectiveness of the organization.

Description
District IT has over 100 physical servers consisting of HP, Dell, and Compaq server manufacturers. District IT also utilizes virtualization technology through VMware which rides on HP and Cisco UCS blade servers. Storage for the servers comes from HP SAN systems, EMC SAN systems, and Netapp SAN systems. To date, the District has implemented phase one of its virtualization project which now focuses on HP blade servers and Netapp storage [REF: Information Technology Strategy].

The District has recently moved from a Cisco network Standard to various manufacturers who focus on one area. Fortinet is used for firewall appliances. A10 Networks is currently used for load balancing appliances. Arista is used for distribution core switches. Enterasys/Extreme is used for edge switches. The network is robust, reliable, and scalable and all facets of the network are redundant.

Internet access is provided through the Corporation for Education and Network Initiatives in California (CENIC) Gigaman connections at the District offices and at each of the Colleges. CENIC's California Research and Education Network – Digital California (CalREN-DC) provides high-quality network services for K-20 students and employees. As a CENIC Associate, PCCD must ensure that the user community complies with the CalREN Acceptable Use Policy (AUP). In order to ensure compliance, the PCCD Computer Use and Electronic Mail Guidelines incorporate the same terms specified by the CalREN AUP [REF: Telephone, Computer, Network, and Electronic Mail Guidelines] Email for faculty and staff is provided by a MS Exchange Server. Student email is provided by MS Office365.

District IT staff also support the administrative and voice network for the District. Peoplesoft, an Enterprise Resource Planning (ERP) application system, offers a suite of products designed to solve complex business problems, runs on the administrative network. Peoplesoft ERP typically is used by large corporations, government/educational institutions, and organizations.

In 2005 Peralta implemented the Financial Services Management (FSM) suite, which consists of 27 modules, such as Purchasing, Asset Management, General Ledger, Budget and Expenses, Accounts Payable, Inventory tracking [REF: PS Usage Modules]. These modules support the finance and budgeting (commitment accounting) needs of the District and Colleges. The Commitment Accounting module allows the Colleges and the District unit offices to monitor their expenses and budget. Colleges and District units control their procurements through the purchase requisition workflow process. The College accesses these modules using a web based portal called Peralta Real-Time Online Management Technology (PROMT).

In 2005 Peralta also implemented the Human Capital Management (HCM) suite, which consist of 16 modules, including Payroll, Time and Labor, Human Resources, Talent Acquisition Manager, ePay, Resume Processing. [REF: PS Usage Modules]. These centralized functions support the Colleges and District by processing payroll for all employees (faculty, staff, administrators, student workers, etc.). The intake process of all employees is handled through the centralized District Human Resources Office. In addition, the HR module maintains position and employee data. Data that is stored and updated in this module relates to employee, job, position, compensation, and benefit information. The College accesses these modules using the web based portal called Peralta Real-Time Online Management Technology (PROMT).

In 2005 Peralta purchased; however did not fully implement the Campus Solutions (CS) suite until 2008. Campus Solutions, previously called Campus Administration suite, consists of Gradebook, Campus Self Service, Campus Community, and Admissions and Student Records [REF: PS Usage Models]. This suite of modules primarily benefits students and faculty by efficiently integrating admissions, registration, enrollments, grades, class schedules, and class rosters. Access to the system is via a web-based portal referred to as PASSPORT. The PASSPORT system serves as a Student Administration tool used by staff to process and maintains student information; by to record grades and update rosters; and by students for self-services task such as registering for classes. PASSPORT can be summed up by three different functions as follows:

- Student Center – self-service portal that allows the student to add a class, drop a class, make a payment, search for classes, and view unofficial transcripts.
- Faculty Center – self-service portal that allows faculty access via Web-VPN (remote access) to contact students, download class rosters to MS-Excel, enter grades and positive attendance, indicate an Early Alert, roll-book documentation, submit Attendance Rosters, submit Census Rosters, and view Student Personal Contact Information.
- Student Records – portal that allows the student service staff to search course catalogues, search classes, assign service indicators, activate students, view transfer credit, view transcript requests, update academic calendars, update student programs/plans, update terms/sessions, view grades, view term history, view class rosters, view instructor schedules, view online grade rosters, withdraw students from sessions, withdraw students from terms, and view academic standing.

The District recently implemented the Student Financial Aid Module as a part of the PeopleSoft Campus Solutions suite of applications. Previously, the Student Financial Aid system was running on a Mainframe (legacy) EMAS-Pro/SAFE system that was not web-

based and required an interface to the PeopleSoft system. The new People Soft Financial Aid module has automated many Financial Aid processes that previously required manual processing by staff. Although there are now streamlined and automated processes within the new system, the Financial Aid Office is still required by the Department of Education to collect physical documents from students who are selected for verification, have a "C" comment flag, or must resolve conflicting information. These physical files are stored in a secure file room located in the campus financial aid offices.

PCCD launched the Student Financial Aid Project as a part of the District's IT Strategy to improve the efficiency and effectiveness of its processing of Student Financial Aid. The existing system does not have self-service functions and requires dedicated IT staff to update, setup, run processes, and reports periodically. The current EMAS-Pro/SAFE software has reached its end of life and the implantation of the PeopleSoft module was a top priority.

The new PeopleSoft module is a web-based solution, that requires no manual interfaces to and from other student systems. There are four financial aid module updates per year and the system will provide self-service functionality for the students via the web. Students can now view missing documents requested by the financial aid office and are able to view their financial aid awards online. The functional users have more control over system setup and processes; many of which can run daily. The system is in compliance with the Department of Education file format for Pell Payment processing.

District IT is scheduled to complete the implementation of the PeopleSoft academic advising module by spring 2015 semester. This module will consist of PeopleSoft Academic Advising and Student Educational Plan (SEP) modules. Implementation of the Academic Advising and Student Educational Plans modules will be concluded by spring 2015 as required for State mandated student success initiatives.

The Oracle Business Intelligence (BI) tool was implemented in 2008. The BI reporting tool allows users to pull enrollment and demographic information which assists the College in promoting strategic and operational decisions.[REF: Institutional Research Webpage] Using the BI tool, users have the ability to obtain information in order to make strategic decisions. This tool is important in order as it provides users the ability to access and manipulate information directly, at their own desktops, rather than having to funnel all requests through a central department. Data categories that are included on the BI tool website are student demographics; distance education; enrollment (Watchlist; Master Sections); course history; DSPS; EOPS; student headcount. Administrators and department chairs have access to the BI Tool. Training is provided at Flex Day and a BI Tool user guide is located on the District BI Tool website.

The College currently uses the SARS software product in some student services areas. In the Learning Resources Center, including the Writing and ESL Lab, Math Lab, and Open Lab, students sign in via SARS-Trak which is linked to student schedules. This permits faculty to track student use of LRC resources and also allows LRC staff to identify patterns in student use. All College counseling areas use SARS-GRID, an appointment scheduling software. Counselor drop-in and appointment schedules and student history is maintained in SARS-GRID. SARS data such as student wait time and appointment reason codes is used to inform scheduling decisions. Counselors also record and share notes from student appointments on the Notepad. SARS-GRID also generates automated phone call reminders for counseling

appointments. By spring 2015, the College expects to have implemented additional SARS software features, such as "next in line" text messaging for students waiting for drop-in appointments; the ability for students to self-schedule appointments online; assign students in special populations to a specific counselor; and the expansion of SARS-GRID so students can schedule their assessment test online rather than calling to schedule appointments.

The College's, wireless access points are currently available in buildings A-F, child care, the science annex, and L buildings. All College computer labs also have wireless access. The College does not have a fully integrated wireless network. Wireless access is moderately implemented in regard to autonomous access points and access points deployed throughout the College vary in their capabilities. Purchase and deployment of access points is done on an as needed basis.

Currently the District uses "Alertify" as its Emergency Alert system for emergency and some non-emergency communications. In the event of a campus emergency the District HelpDesk is notified by the Department of General Services or Risk Management and the "Alertify" process is triggered. Information Technology begins a process of sending data collection of student contact information and employee data (primarily email) provided by the HR department and downloaded once per semester after census. The information is then sent to "Alertify" and the students and employees are notified. An analysis in 2013 determined that the "Alertify" system was not adequate because the process required 20 minutes to notify each campus, totaling over an hour to notify the entire four campuses in the District of an emergency. As a result, the Department of General Services and Information Technology have initiated an RFP to procure a new emergency alert system that can adequately support the emergency needs for the District.

District Education (DE) platforms are processed, operated, and managed by the District Office of Educational Services. PCCD has been a local leader in the field of distance education, with an established track record of delivering high quality online courses and linked online student support services for more than five years. Today, all four Peralta campuses have a fully-developed distance education component. In the fall of 2013, PCCD offered 193 online and hybrid classes, with 6,400 enrollments by 4,800 students, resulting in 740 FTES. The four Colleges share a common Learning Management System, Moodle, which is hosted on an external server and fully integrated with Passport/PeopleSoft, Peralta's enterprise software system, for easy registration and tracking of student enrollment and performance.

The PCCD Distance Education (DE) program is overseen by the Vice Chancellor of Educational Services and supported by four DE campus coordinators (.25 each), one per College, and a District DE coordinator (.5), a full-time Moodle/web programmer and a part-time help-desk/troubleshooting support person. There is also a District-wide District Distance Education Committee consisting of faculty members from each College serving as Distance Education Coordinators for their campus, along with a faculty lead (District DE coordinator), supported by release time. This team provides basic technical support to faculty teaching online courses and pedagogical advice in the area of DE, along with the District's IT Help Desk assisting online students.

Peralta's decision to use Moodle for its own District-level programs was based on a comparison of LMS vendors, conducted by IT staff and the Distance Education Coordinators from Berkeley City College (BCC) in 2007. After reviewing the merits of various vendors, such as Blackboard, Angel (absorbed by Blackboard in 2009), and others, the recommendation was to use Moodle due to low start-up costs and the fact that it allowed for maximum institutional control and flexibility—an important consideration as Peralta ramped up its Distance Education Program from one College to four Colleges, each with its own online learning needs and agenda.

The most recent ITC survey affirms this choice and shows that Moodle is gradually emerging as a favored LMS among community Colleges nationwide. Over the last six years, usage of Blackboard by two-year Colleges surveyed has steadily declined, from 39 percent in 2007 to 35 percent in 2012. During the same period, usage of Moodle has steadily grown, from 10 percent in 2007 to 14 percent in 2012, indicating that more and more two-year Colleges are choosing Moodle as their designated LMS.[REF: "2012 Distance Education Results—Trends in eLearning: Tracking the Impact of eLearning at Community Colleges." April 2013. http://www.itcnetwork.org. p. 12].

Moodle's architecture also allows for a certain amount of adaptability, in terms of adjusting to Next Generation LMS and other technological innovations that may emerge in the near future. Its adaptability, low start-up costs, and lack of fees for individual add-on feature allow a greater amount of flexibility than other proprietary systems.

Distance education (DE) courses are viewed as an integral aspect of the instructional program at the College. DE courses are selected to meet student needs and provide flexibility to offer programs in innovative methods. Below is an example, spring 2014, of the types of DE courses offered by College of Alameda and a table listing by subject the DE courses offered fall 2010 to fall 2014.

Term	Campus	Dist Ed Type	Classes
S14	Alameda	100% online	49
S14	Alameda	50% or less online	1
S14	Alameda	51% or more online	8
Alameda total			**58**

Fall 2010 to Fall 2014 DE Courses by Subject

Term	Type	Subject	Classes	Type	Subject	Classes
F10	100% online	ANTHR	2	51% or more	COMM	1

				online		
F10	100% online	ART	1	51% or more online	ECON	2
F10	100% online	BUS	2	51% or more online	COMM	1
F10	100% online	CIS	6	51% or more online	ECON	2
F10	100% online	ECON	2			
F10	100% online	ENGL	2			
F10	100% online	GEOG	3			
F10	100% online	HIST	4			
F10	100% online	HUMAN	1			
F10	100% online	LIS	1			
F10	100% online	MATH	5			
F10	100% online	PHIL	2			
F10	100% online	PHYS	1			
F10	100% online	POSCI	1			
F10	100% online	PSYCH	3			
F11	100% online	ANTHR	2	50% or less online	CIS	1
F11	100% online	ART	1	51% or more online	BUS	1
F11	100% online	BIOL	1	51% or more online	COMM	1
F11	100% online	BUS	5	51% or more online	ECON	2
F11	100% online	CIS	3	51% or more online	MATH	3
F11	100% online	COUN	1	51% or more online	POSCI	1
F11	100% online	ECON	2			
F11	100% online	ENGL	2			
F11	100% online	GEOG	2			
F11	100% online	HIST	4			
F11	100% online	HUMAN	1			
F11	100% online	LIS	1			
F11	100% online	MATH	1			
F11	100% online	PHIL	2			
F11	100% online	PHYS	1			
F11	100% online	POSCI	1			
F11	100% online	PSYCH	2			

F12	100% online	ANTHR	2	50% or less online	BUS	1
F12	100% online	ART	1	50% or less online	CIS	1
F12	100% online	BUS	3	50% or less online	COMM	1
F12	100% online	CIS	3	50% or less online	MATH	1
F12	100% online	COUN	2	51% or more online	BUS	1
F12	100% online	ECON	2	51% or more online	COMM	2
F12	100% online	ENGL	2	51% or more online	ECON	2
F12	100% online	GEOG	1	51% or more online	HUMAN	1
F12	100% online	HIST	5	51% or more online	MATH	4
F12	100% online	LIS	1	51% or more online	POSCI	1
F12	100% online	PHYS	1			
F12	100% online	PSYCH	2			
F13	100% online	ANTHR	2	50% or less online	BUS	2
F13	100% online	ART	1	50% or less online	COMM	1
F13	100% online	BIOL	1	51% or more online	ANTHR	1
F13	100% online	BUS	2	51% or more online	COMM	2
F13	100% online	CIS	3	51% or more online	ECON	2
F13	100% online	COUN	4	51% or more online	HUMAN	1
F13	100% online	ECON	2	51% or more online	MATH	4
F13	100% online	ENGL	2	51% or more online	PHIL	1
F13	100% online	GEOG	2	51% or more online	POSCI	1
F13	100% online	HIST	5			
F13	100% online	LIS	1			
F13	100% online	PHYS	1			
F13	100% online	PSYCH	3			

F14	100% online	ANTHR	2	50% or less online	BUS	1
F14	100% online	ART	1	50% or less online	COMM	1
F14	100% online	BIOL	2	50% or less online	ENGL	2
F14	100% online	BUS	2	50% or less online	MATH	1
F14	100% online	CIS	5	51% or more online	BUS	2
F14	100% online	COUN	4	51% or more online	COMM	2
F14	100% online	ECON	1	51% or more online	ECON	2
F14	100% online	ENGL	3	51% or more online	LIS	1
F14	100% online	GEOG	3	51% or more online	MATH	3
F14	100% online	HIST	5	51% or more online	POSCI	1
F14	100% online	PHIL	1			
F14	100% online	PHYS	1			
F14	100% online	POSCI	1			
F14	100% online	PSYCH	3			
F14	100% online	SOC	1			

In spring 2014, the College held a three-week intersession that was entirely comprised of Distance Education courses. The instructional deans, department chairs, and DE coordinator identified 14 sections that could be offered in a three-week session. In addition, the College of Alameda identified 14 instructors who possessed the skill, as well as a sound pedagogical design background to teach intense three-week online courses. The College extended computer lab access for DE students so that those in need of additional technical support such as navigating the Moodle platform or were in need of access to computers and internet were supported. For faculty support the Distance Education Coordinator was on campus during the first week of the intersession and accessible throughout the intersession to help deal with any issue that arose. Data from a post-intersession faculty survey is being used to implement improvements to the 2014 winter DE Intersession. [REF: Spring 2014 Intersession Report]

PCCD Distance Education classes are accessible to students with disabilities, as required by federal law. The LMS installation is developed in accordance with Section 508, the federally-mandated accessibility code for educational institutions. PCCD is working with a Design Consultant, Jennifer Burke (REF: www.industrious.com], who is an expert in accessibility design. The College also has established an office of Alternative Media that can assist DE instructors to make sure that online offerings are accessible.

The existing PCCD Distance Education website is a WordPress site, which can be integrated with the functionality of Moodle. WordPress is the platform that is being used to create the web site and could easily be used to enhance a Moodle-based LMS with blogging technology. Instructors can also use these technologies to create their own web pages, to promote their class, list resources, and connect with current and prospective students. [REF: Distance Education Webpage]

In addition to the District Education website, District IT also maintains two in-house developed technology tracking shadow systems. One is for Staff Development – software to monitor, maintain, and track staff development flex hours. The other is for EZPass – software to manage and maintain the AC Transit bus passes for students.

For curriculum, PCCD utilizes CurricUNET, a web-based service that automates the processing of submitting course and program proposals via a Web browser. CurricUNET also provides access to course outlines, instructor syllabi, and an opportunity to review the student learning outcomes for each course. PCCD utilizes TaskStream as a management system for student learning outcomes and assessment. During the 2014-15 academic year, the District will be integrating both systems into CurricUNETMeta so that all information related to courses, programs, student learning outcomes, and their assessment can be aggregated into one system. The move to CurricUNET Meta was supported by a formal resolution by the Council on Instruction, Planning and Development (CIPD) and the Planning and Budgetary Council (PBC). This decision was based on a yearlong recommendation after demonstrations to the District Academic Senate, and Vice-President/ Deans meetings which are open to all student learning outcome (SLO) coordinators.

To support the effectiveness of the College, College IT maintains a campus Helpdesk system. Faculty and staff submit College Helpdesk requests via email. Most tickets are resolved within the day. For request that are more complicated, IT works with the user to develop a plan and timeline, often in consultation with the administrator over the area. The College Helpdesk resolves issues related to day-to-day technical support for software, computers, peripherals, and other technology housed on the campus and resolving problems related to campus based servers, switches, and wireless access.

Students, faculty, staff, and administrators also have access to technical support from the PCCD Help Desk. Issues resolved by District Helpdesk are primarily related to PeopleSoft. [REF: District Help Desk]

Self Evaluation

The College meets the Standard.

Since 2009, the College made positive progress in using technology services, professional support, facilities, hardware, and software designed to enhance the operation and effectiveness of the organization. In Student Services, the current use of the SARS software

and the planned upgrades gives the College additional data points for planning and processing for students. Upgrades in Peoplesoft and implementation of various modules have allowed College personnel to rely on less manual processes. End-users/ experts have been included in fit-gap reviews for new Peoplesoft modules such as Student Financial Aid and Academic Advising module.

Actionable Improvement Plans

None

III. C.1.b. The institution provides quality training in the effective application of its information technology to students and personnel.

Description

District coordinated training occurs primarily when projects are implemented and as a part of the System Development Lifecycle Methodology [REF: System Development Lifecycle Methodology (SDLM], implemented in 2013. There is a component of this method that includes training and knowledge transfer. The training is provided by the vendor deploying the software, services, or product. There is no formal trainer in place at this time.

Training currently is identified by the Director of Technology services and Director of Enterprise Services during software upgrades and/or implementations. On several occasions the Director of Enterprise Services, along with the CIO have identified trainings that goes beyond the technical component, but also involve functional departments; such as Admissions and Records and Educational Services staff. Recently, District IT secured training for several staff members in Curriculum and Student records, and security training. The Director of Technology Services identified training needs for the Senior Network Coordinators while planning the refresh of the network infrastructures, along with the implementation of virtual servers in the District IT Main Distribution Facility (MDF).

New employee training is conducted by internal department staff. Training materials and handbooks are available to staff. [REF: ERP manuals]. The District Office of Educational Services identifies and schedules technology training as part of the Staff Development program for the District.

At present, the College does not have a central location for training personnel in using the College's information technology. Training for staff and students is provided in various locations, including the Learning Resource Center, community room, and individual workstations. Job aids with screen shots and directions have been developed to help faculty and staff accomplish concrete tasks such as submitting census rosters; adding students to special student groups for purposes of registration and research and creating electronic personnel action forms. These are sent electronically via campus email to the constituents who use these functions. Process documentation is also available on the District website. DE instructors benefit from a variety of Moodle training opportunities including workshops on District-wide faculty development days, online videos and manuals, and a certificate program in using Moodle for online teaching. [REF: Distance Education Resources;

Resources for Academic Integrity; Open Textbook Resources; Using Moodle] Professional development training for faculty and staff is available both online, on the Distance Education web page, and through Merritt College's Online Education Certificate Program [REF: Online Teaching Certificate]

Students receive technology instruction in the Welcome Center regarding the PASSPORT Student Center (enrollment, financial aid, transcripts, etc), in the Library for research and information literacy, and in the Learning Resource Center labs where instruction and tutoring is focused on specific subjects. For example, students who use the Open Lab and Writing Center receive instruction in conducting online research and navigating Microsoft Office suite for formatting papers and preparing presentations. Veteran students receive support from staff and their peers in the Welcome Center to learn how to navigate websites to track and receive their VA benefits. In the Welcome Center, Student Ambassadors assist new and continuing students with assistance navigating Passport and setting up campus mail accounts. Additional training for students varies by instructional department. For example, the Math Department holds orientations for online or web-enhanced classes at the beginning of the semester.

Students taking distance education courses are provided policies, links to services, and educational resources to increase success and awareness in distance education courses. [REF: Registration and Enrollment; Student Support Services; Academic Conduct Policy; Develop Your Online Voice]

Programs and Services for Students with Disabilities (DSPS) provides technology training in the Adapted Computer Learning Center for students with disabilities as an essential part of regular program and course offerings. Students receive instruction in assistive technology appropriate to their specific disability. These adaptations include programs to increase print size on screen; speech synthesizers that read information on the screen; and voice input to allow "hands" free computer operation.

With the implementation of the Student Success and Support Program (SSSP) theCollege of Alameda is developing promising practices to introduce new students to College-based platforms. For example, Counseling 201 (Orientation to College) incorporates Moodle into all course sections. Using Moodle in 201 allows for the following: 1) Students can make informed decisions as to the compatibility between their learning style and hybrid/online courses for future course enrollment and 2) Students who do enroll in hybrid/ online classes will be familiar with navigating the platform, thus reducing the technological learning curve and allowing students to focus on learning the material of the class. In the areas of course content, 201 students learn how to use their student Peralta email address and how to navigate Passport efficiently and effectively.

Self Evaluation

The College meets this Standard.

Since the 2009 self-evaluation, the College has improved in providing IT training to students and personnel. For example, during the 2014 Student Financial Aid PeopleSoft implementation, the College and District provided regular training and manuals for financial aid staff. There has been an increased use in using job aids with directions and screenshots to

show individuals how to accomplish specific tasks (ex. Update student majors for admissions and records; initiate electronic Personnel Action Forms; submit grades in the Faculty Center). There remains a need for new employee training and ongoing training for existing personnel especially in PeopleSoft modules. Formalized technology training is provided when new modules or processes (ex. Electronic Personnel Action Forms; Student Financial Aid) are implemented.

Despite these gaps, the College IT Team is prompt and responsive in resolving issues at the campus. The College's IT Team manages Help Desk requests in a timely manner and is able to resolve most problems. When necessary, they are able to coordinate and work collaboratively with other departments, make recommendations for resolutions, and most importantly, work creatively with extremely limited resources. [REF: District Help Desk] In the area of training for students, the College has been successful in creating multiple points of entry for providing technology training for students on platforms such as Passport and Moodle. Integrating technology training into mandatory student orientation is a strong positive step towards reducing the impact of the technology gap on student learning.

Actionable Improvement Plans

None

III. C.1.c. The institution systematically plans, acquires, maintains, and upgrades or replaces technology infrastructure and equipment to meet institutional needs.

Description
Technology planning at the College is coordinated with District technology planning. College requests for new technology resources are channeled through the District-wide shared governance groups such as the District Technology Committee (DTC) and Planning and Budgeting Committee (PBC). Requests are submitted through annual program updates (APU) and/or program reviews, which are prioritized by College shared governance committees. Prioritized campus lists are then forwarded to the DTC for dialogue and recommendation to the PCCD Planning and Budgeting Council before going to the Chancellor.

Since the 2009 Self-Study, campus IT has moved from the Office of Instruction to the Office of the President, which now oversees the management, maintenance, and operation of the College's technology infrastructure. In consultation with faculty, staff, administrators and the IT team, hardware needs are agreed upon and purchased through Standard District purchasing policies. The development of the College's comprehensive planning and budgeting process has helped to ensure that an inclusive dialogue occurs.

Yearly, department chairs identify technology needs in annual unit plans or program reviews. The College Technology Committee prioritizes requests that are reviewed by the College Council for recommendation to the College President. In addition to the annual prioritization process, College IT also conducts surveys and evaluations of existing equipment for currency

(computers, peripherals, AV equipment) to inform recommendations of replacement of outdated equipment.

The College provides office technology for each full-time employee and relevant technology resources for faculty. Ongoing funding for these resources remains problematic as they often rely on limited Measure A bond funds.

The IT Team continually evaluates technology and recommends upgrades or potential alternatives when needed. IT works closely with the President's office to identify high priority needs for the College, with funding coming from a mix of general or allowable categorical and bond funds. If department specific needs are identified, IT communicates proactively with department administrators with a request to identify funds for replacement or other recommendations. Occasionally, administrators are able to find department funds to upgrade needs in a particular department. In cases like this, IT works closely with administrators to help prioritize projects and create timelines for deploying new purchases.

As part of the planning and budget cycle, the College has started dialogue concerning total cost of ownership for IT resources to determine the balance between centralized IT needs and departmental requests through annual program updates to drive funding priorities and resource allocation.

College IT carefully manages end of life machines and carefully assesses each older computer that is being replaced for the possibility of using it in another area or keep as an emergency back up. College IT also builds in redundancy for smaller servers that are located at the College. College IT works closely with the President to propose a plan of action to address failures in servers or switches.

Securing College data and providing backup and recovery is the responsibility of the District Office of IT. To maintain the reliability of servers hosted by District IT at the District Office, the Department of General Services has installed and maintains an emergency generator to provide backup electrical power to District buildings during power outages. At the District level, planned schedule services and outages for District upgrades to systems and software are announced in advance via email to the campus community.

Self Evaluation

The College meets this Standard.

The College systematically plans for technology infrastructure and equipment to meet institutional needs using a combination of yearly planning that is integrated with yearly College planning/ resource allocation and ongoing department assessments.

Actionable Improvement Plans

None

III. C.1.d. The distribution and utilization of technology resources support the development, maintenance, and enhancement of its programs and services.

Description

As described in the section above, the College makes decisions about use and distribution of technology through annual unit plans/ program reviews and regular assessment by the IT team. The College also integrates IT into all major projects such as the C/D building construction. An IT staff is assigned to the C/D Workgroup to help plan IT needs such as wireless access and smart classrooms.

The College maintains a large number of workstations and servers over a complex network. District IT, with guidance from the College, is responsible for providing the College's faculty, staff and students with network services. The District, in consultation with the College, also sets standards for campus technology to be purchased and maintained. Standards for technology includes specifications for anti-virus software and policies for updating software that prevents viruses and other damaging situations [REF: Telephone, Computer, Network, and Electronic Mail Guidelines; Lenovo Configuration and Pricing]

General campus technology requests are handled at the College by a Help Desk Escalation Process. Typically, when a user encounters an issue the user submits a request to the College IT coordinator. College IT staff troubleshoot the issue and determine if the problem needs to be addressed at the District level. If the issue is a District issue, then the College IT coordinator will contact the helpdesk at the District for resolution.

Data Security (PeopleSoft) is provided by District IT providing secure databases and sound security principles. System Security (Network) is also provided by District IT which owns a security compliance package that blocks invalid network connectivity. The network is secure, consisting of firewalls and certificates.

As described earlier, funds for IT supplies and requests are primarily on a "by-request" or emergency basis. To offset the impact of extremely limited resources at the campus, the team keeps an inventory of computing hardware that needs to be replaced or machines that can be rolled down into another area of the campus. New and end-of-life equipment is stored in IT on the second floor of the L building. End-of-life equipment is disposed of by submitting a request to warehouse where equipment is disposed of according to PCCD administrative policy 6550 [REF: AP 6550 Disposal of Property]. New equipment, not yet deployed, is housed with IT or the central college storage until ready for distribution.

As described earlier, District Education (DE) platforms are processed, operated, and managed by the District Office of Educational Services. Peralta uses the Learning Management System, Moodle, which is hosted on an external server and fully integrated with Passport/PeopleSoft, Peralta's enterprise software system, for easy registration and tracking of student enrollment and performance. The College DE coordinator provides basic technical support to faculty teaching online courses and pedagogical advice in the area of DE, along with the District's IT Help Desk assisting online students.

College IT's support of individual programs/ departments has led to increased development and maintenance of programs and services. For example, in 2013-14, College IT piloted, evaluated, and fully implemented Thin Client machines in the Welcome Center. Students use

Welcome Center computers to apply for admissions, add/ drop classes, and apply for financial aid. The Thin Client solution saved approximately $800 per student workstation and provided a nicer aesthetic to the area. The Thin Client system was chosen by the Student Services Council as one of its priorities as a result of the APU process.

Self Evaluation

The College meets this Standard.

The distribution and utilization of technology resources are reasonable to support the development, maintenance, and enhancement of programs and services.
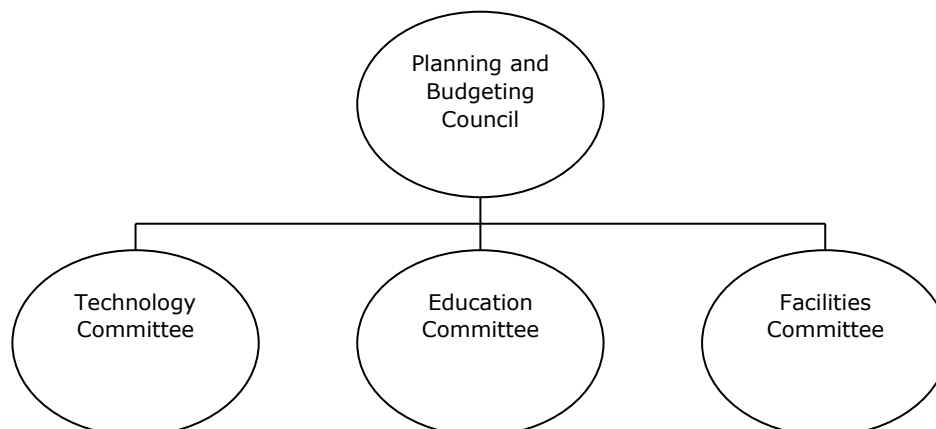
Actionable Improvement Plans

None

III.C.2. Technology planning is integrated with institutional planning. The institution systematically assesses the effective use of technology resources and uses the results of evaluation for improvement.

Description

All major technology decisions are integrated with institutional planning processes. College strategies addressing technology are evaluated and assessed annually. The College relies on a participatory governance process to review and provide input into plans, including technology decisions.

The College's Technology planning is integrated with the District's institutional planning through participatory governance processes that channel campus requests through the District's Planning and Budgeting Integration Model (PBIM). The PBIM is an integrated District-wide planning and budget advisory system of four committees that receive planning inputs from the Colleges and make recommendations to the Chancellor.

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                    │ Planning and        │
                    │ Budgeting           │
                    │ Council             │
                    └─────────────────────┘
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     │ Technology │   │ Education  │   │ Facilities │
     │ Committee  │   │ Committee  │   │ Committee  │
     └────────────┘   └────────────┘   └────────────┘
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The District Associate Vice Chancellor of IT co-chairs the District Technology Committee (DTC), providing guidance and support in making technology recommendations. DTC is a districtwide shared governance committee comprised of District and College IT staff and College faculty, administrators, and students. This broad constituency provides a link between the District and the College assuring effective coordination and delivery of technology services. The DTC provides a forum for administrators, faculty, staff, and students from the District and all four Colleges to discuss, preview, prioritize, introduce, and recommend technology products and services; view application demonstrations;, and discuss pedagogy, as each relates to the use of technology for teaching and learning. For example, the PCCD Information Technology Strategy was documented at the PBIM meeting on February 2012. [REF: PBIM Documents]

The Director of Technology Services is a member of the Facilities Committee, ensuring coordination between District IT and the District Office of General Services. In addition, the Director of Enterprise Services attends the Education Committee providing expertise in making technology related recommendations. The AVC of IT regularly attends all PBIM committee meetings answering questions and providing input as needed.

The District Technology Services staff and the Campus Network Coordinators, along with Senior College Information Systems Analysts are all members of the District-wide Engineering Network Group (ENG). Meetings are held monthly to discuss and propose IT standards and guidelines and resolve District-wide network infrastructure, desktop computing and telecommunications issues. The Director of Technology Services provides reports of issues, concerns, and updates to the District Technology Committee (DTC) monthly. The Director also reports on facilities issues or other pertinent service related information technology issues.

Technology planning is incorporated into capital improvement planning through the Information Technology Strategy [REF: Information Technology Strategy] and the Five-year Facilities/Construction Plan which is updated annually. [REF: 5-year construction plan] The IT Strategy prioritizes projects utilizing an A, B, C hierarchy for projects. Priority A projects are tactical projects that must be worked on first. [REF: Priority A, B, C Projects] Resolution of ongoing issues are reported, tracked, and resolved through the Footprints issue resolution ticketing system.

As described in other areas of this Standard, technology planning is integrated institutional planning. The Technology Committee reviews requests in annual program updates (APU) and program reviews. The College technology Committee prioritizes these requests and forwards them for consideration to College Council; which provides a recommendation to the College President. The Technology committee is a standing committee of the College Council and is established to deliberate and make policy recommendations as they pertain to campus technology needs. Recommendations are forwarded to the College Council for action by the Council. College Council makes recommendations to the President. [College Technology Committee webpage]

Technology needs are also reviewed with the Senior Team to understand campus-wide priorities. Technology planning can also be influenced by workgroups; particularly when that planning is related to construction/ renovation. At least one member of the Technology

Committee (usually an IT staff member) attends facilities meetings to bring forward concerns or ideas from the Technology Committee and to provide technology related consultation to the workgroup.

The Technology Committee reviews and revises the College Technology Plan, which is an addendum to the College Educational Master Plan. Since 2009, the Technology plan has been reviewed and updated in several cycles. [REF: Technology Plan]

Self Evaluation

The College meets this Standard.

Technology planning is integrated with institutional planning. The primary basis for planning is the Annual Program Update, which is revised and submitted each year by every department for campus prioritization. The institution systematically assesses the effective use of technology resources and uses the results of evaluation for improvement.

Actionable Improvement Plans

None

List of Evidence (in alphabetical order)

 5-year construction plan
2012 Distance Education Results
2013-14 Annual Program Updates- Instruction
2013-14 Annual Program Updates- Student Services
Academic Conduct Policy
AP 6550: Disposal of Property
College of Alameda Educational Master Plan
College Technology Committee webpage
Develop Your Online Voice
Distance Education Resources;
Distance Education Webpage
District Help Desk
ERP manuals
Information Technology Strategy
Institutional Research Webpage
Lenovo Configuration and Pricing
Matrix for District and College IT responsibilities
Online Teaching Certificate
Open Textbook Resources
PBIM Documents
Priority A, B, C Projects

PS Usage Modules

Registration and Enrollment

Resources for Academic Integrity

Spring 2014 Intersession Report

Student Support Services

System Development Lifecycle Methodology

Technology Plan

Telephone, Computer, Network, and Electronic Mail Guidelines

Using Moodle

www.industrious.com

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STANDARD IIID: FINANCIAL RESOURCES

Financial resources are sufficient to support student learning programs and services and to improve institutional effectiveness. The distribution of resources supports the development, maintenance, and enhancement of programs and services. The institution plans and manages its financial affairs with integrity and in a manner that ensures financial stability. The level of financial resources provides a reasonable expectation of both short-term and long-term financial solvency. Financial resource planning is integrated with institutional planning at both college and district/system levels in multi-college systems.

IIID.1. The institution's mission and goals are the foundation for financial planning.

Description

College of Alameda's mission is to serve the diverse educational needs of its service population by offering a broad and flexible schedule of programs and resources that enable students to achieve their educational goals [REF: College Webpage- Mission]. The vision defines COA as "a diverse, supportive, empowering learning community for seekers of knowledge…committed to providing a creative, ethical, and inclusive environment in which students develop their abilities as thinkers, workers, and citizens of the world."

COA's strategic goals and institutional objectives support the District's strategic goals and institutional objectives [REF: District Strategic Plan]. The District's strategic goals for 2014-2015 are focused on student success in the core educational areas of basic skills/ESOL (English for speakers of other languages), transfer, and CTE (career technical education) by encouraging accountability, outcomes assessment, innovation, and collaboration while spending within established budgets. The College based its institutional goals and objectives on the District strategic goals by identifying objectives, creating action plans to guide the objectives, and creating quantitative and qualitative outcomes or goals. [REF: COA Goals and Objects 2014-15]

The College communicates its goals and vision through three central themes: Academic excellence, budgetary competence, and community engagement [REF: College Webpage-Mission] Budgetary competence is the foundation for planning and the integration of resource allocation while keeping student success forefront in the planning process. All COA constituencies are responsible for ensuring budgetary competence as part of the planning process. All constituencies are to be responsible stewards of College resources.

Annually, before the planning cycle begins, the College Mission statement is reviewed by College shared governance groups. The College Mission, Vision and Values statements were reaffirmed most recently in fall 2014 during College flex days and were approved by College Council at the October meeting. [REF: President's Flex Day Presentation: Fall 2014; College Council Minutes- October 2014] College of Alameda's (COA) mission and strategic goals are the foundation for all College planning.

The Peralta Community Colleges and District Service Center have an integrated planning and budgeting framework that relies upon the District's Mission and Strategic Goals as a foundation for financial planning. The framework aligns planning, resource allocation, and assessment/evaluation. The District Mission Statement was reviewed and reaffirmed by the Board of Trustees in June 2014 [REF: BP 1200 Mission]. The District's mission is a comprehensive statement that demonstrates a strong commitment to the achievement of student learning and success. It also drives the Strategic Planning Goals and annual Institutional Objectives, which are integrated into every component of the planning and budgeting processes. [REF: District Strategic Plan]

Self-Evaluation

The College meets this standard.

The Mission, Vision, and Goals are forefront in the resource allocation process. Both the College and the District review and update strategic goals and objectives. The College adapts its strategist goals and objectives to those of the District. The College further uses its central themes of academic excellence, budgetary competence and community engagement to ensure planning is in support of student success.

Actionable Improvement Plan

None

IIID.1.a. Financial planning is integrated with and supports all institutional planning.

Description

Financial planning is integrated with and supports all institutional planning.   The allocation of financial resources is structurally integrated into the planning processes at the College and the District. College of Alameda's integrated planning process [REF: Integrated Planning and Budget Process] is evaluated, updated as necessary, and approved by college constituencies. The institutional planning document was approved in fall 2014 [REF: College Council Minutes- October 2014]. The plan is based on COA's mission, vision, and goals, ACCJC standards, District planning processes, and the 2009 Integrated Educational and Facilities Master Plan. [REF: Educational Master Plan]

The planning and assessment process emphasizes the cyclical and systematic nature of planning, implementation, assessment and revision. It is similar to the cycle of inquiry in that it illustrates the cycle of planning and review, with revision of actions after review of data sets, identification of strengths and weaknesses, and with weaknesses being addressed by instituting action priorities. Once the action priorities are crafted, they are measured with data benchmarks.

Annually instructional, student service, and administrative areas are required to complete unit plans; every three years, areas are required to complete program reviews. These plans address the achievement of College mission, goals, institutional outcomes and action priorities. They are written to integrate both college and district-wide planning by addressing resource needs. The reviews or unit plans are data driven. Quantitative examples of instructional data elements: Degrees and/or certificates awarded by major, transfer rates, and enrollment norms; full-time equivalent students served (FTES); faculty load; expenditure levels in the prior fiscal year; and the resource requests for the following fiscal year. Quantitative examples of data elements for student service areas: Students served by age, gender, and ethnicity; student retention, success, and persistence rates; FTES by instructional student service areas; budgetary information for the past fiscal year; and resource needs for the following fiscal year. Student service areas also conduct surveys to determine how well students perceive the services provided. Administrative units plans consist of mission statements based on the College mission, vision, and goals; unit functions; goals and how they are measured; updated goals for the following fiscal year; student learning outcomes; budgetary information for the past fiscal year; and resource needs for the following fiscal year. The Business and Administrative Services unit prepared a survey for the first time this fiscal year to garner quantitative and qualitative feedback in administrative service areas.

All College resource requests are reviewed by the College Budget Committee. The committee may recommend prioritization of requests before submitting them to the College Council. College Council is the College-wide participatory governance body that includes representation from the faculty, classified staff, students and administration [REF: College Council Agendas- 2014; College Resource Request List- 2014]. The College Council assesses the priorities from Annual Program Updates and Program Reviews. The College Management Team, the Academic Senate and the College Council are the primary shared governance bodies that make recommendations to the President.

The top-ranked resource allocation proposals are submitted to the College President, who has the authority to veto or modify any proposal or to request further justifications. The President may consult with the President's Council, which is comprised of faculty, classified staff, and student representatives. Any proposals that are accepted by the President but cannot be adequately addressed within the College structure (those proposals that deal with requests for resource sharing and/or impact district-wide programs) are sent to respective district-wide committees (e.g., Education, Technology and Facilities) for integration into the district-wide planning process. The purpose of these district committees is to review any disputes regarding funding and/or allocations and to develop constructive resolutions.

The Planning and Budget Council (PBC), chaired by the Vice Chancellor of Finance and Administration, is made up of representatives from all four colleges and the service centers, with all participatory governance constituencies included. Such broad-based participation ensures communication between the College constituencies and the District for budgetary, financial, and planning purposes. The Planning and Budgeting Council (PBC) receives and reviews recommendations from the Facility, Education, and Technology Committees and makes final recommendations to the Chancellor.

Conflicts that persist after review by the District Education, Technology, and Facilities Committees are forwarded to the District Planning and Budgeting Council for final recommendations. These are then forwarded to the Chancellor. [REF: District Strategic Plan]

The PBC is charged with developing and modifying the PCCD Budget Allocation Model,; evaluating districtwide budget issues; discussing the impacts of the Governor's budget proposals on ongoing fiscal commitments; making recommendations to the Chancellor for the tentative and adopted budgets; as well as reviewing funding allocations for each of the four colleges and the District service centers. In making its recommendations, the PBC receives information concerning enrollment, trends in revenues, expenditure reports, cash flow, reserves, bond funds, grants, and long-term liabilities. The PBC evaluates resource proposals from the District Education, Facilities, and Education Committees [REF: PBC Planning Documents- 2014]. The PBC also evaluates funding requests brought forward from the Colleges and service center units prioritizing resource needs and requests identified through the program review and annual program update processes [REF: College Resource Request List- 2014]

Self-Evaluation

The College meets the standard.

The College mission, values, and strategic goals are incorporated into unit plans and program reviews. These plans require areas to reflect on their performance as it relates to the College mission and goals. Units are required to give specific data that supports the need for increased resources. After the resource requests are routed through the Campus Shared Governance committees, the finalized resource requests are compiled and they are submitted to District Education, Facility, Technology, and the Planning and Budget Committee. As new sources of funds become available, the prioritized resource lists are used to allocate funding. [REF: College Resource Request List- 2014]

IIID.1.b. Institutional planning reflects realistic assessment of financial resource availability, development of financial resources, partnerships, and expenditure requirements.

Description

Institutional planning reflects realistic assessments of financial resource availability, development of financial resources, partnerships, and expenditure requirements. The campuses are kept abreast of State resource allocations through the Vice Chancellor of Finance and the California Community College Chancellor's Office website. State funding is based on FTES (apportionment); therefore, college funding is highly sensitive to fluctuations in enrollment. As with the state community college allocation model, the District resource allocation model is driven by potential growth in FTES. To ensure fiscal

stability, FTES goals are closely aligned to the state-funded FTES goals each year. The District attempts to be slightly above the FTES targets to maximize state funding. Revenue assumptions are in line with the Governor's proposal in early January and estimates are updated after the May revision. The PCCD Budget Allocation Model [REF: District Budget Allocation Model- 2014] uses a three-year rolling average of FTES for each college, thereby avoiding sharp fluctuations as enrollments rise and fall. In addition to provisions for growth funding, the model has built-in adjustments for new resources such as non-resident tuition, carry-over funds, and benefits adjustments.

Peralta updates the District budget assumptions as necessary to coincide with any changes to funding or expenditure levels [REF: PBC Documents- 2014]. The budget assumptions are posted on the Planning and Budget Integration website and are presented in the Planning and Budget Council meetings [PBIM Overview-2014]. The Peralta Tentative Budget is presented to the Board of Trustees after the May revise, normally at the June meeting [REF: PCCD Tentative Budget- 2014-15] and the Annual Adopted Budget is presented at the September Board meeting [REF: PCCD Final Budget-2014-15]

The College establishes funding priorities via the annual unit review process as identified in IIID.1.a. Funding priorities are identified for new faculty and staff hiring through the unit plan review. For example, Alameda County voters residing within the Peralta Community College District passed Measure B, a special parcel tax, for a period of eight years beginning on July 1, 2012. This measure levies $48.00 on each parcel within the District annually. Revenue from this parcel tax is to be used to maintain core academic programs, such as math, science, and English; train students for their careers; and to prepare students to transfer to four-year universities. It is also used to attract and retain high quality faculty and assure adequate staffing levels in areas that support student access to classes and services. [REF: Measure B]

College of Alameda generates revenues from external contracts with the local community for the use of College facilities. In the last four fiscal years, the College has generated $1M from the use of facilities. These funds are used to supplement general funds for student support programs and general campus upkeep. The Alameda Promise Project is one such example of the use of available funding to develop new programs that enhance student programs and services. The Project is a creative approach designed to address the low success rate of first generation students, students of color, and students of lower socio economic status. [REF: Alameda Promise]

College of Alameda identifies grants as one of its revenue enhancement strategies in its strategic planning process. Through exemplary partnerships with a broad range of organizations and funders, the COA succeeded in receiving grant awards from federal, state, local, and private funding sources totaling approximately $11 million during the last five years.

	2010-2011	2011-2012	2012-2013	2013-2014	2015 Budget
Local	37,497	11,373	143,145	76,944	816
State	357,109	670,057	390,043	353,596	513,658
Federal	1,933,577	2,569,891	1,198,296	1,521,737	1,794,630
Grand Total	2,328,184	3,251,321	1,731,484	1,952,277	2,309,104

2013-14* preliminary prior to building year-end accounts receivables.

Revenue and expense assumptions, along with multi-year projections are reviewed by the PBC each year during the annual budget development process. The District benefits from the work of the Community College League, fiscal analysis provided by the McCallum Group, and the services of the State Chancellor's Office. Daily and weekly reports are received from each of these three Sacramento based organizations and are relied upon for projecting current year and multi-year forecasts and changes to mandated student programs. In addition, the District has found that the Association of California Chief Business Officials is a source of timely and essential financial and program compliance information. With the benefit of all of these sources the Vice Chancellor of Finance and Administration regularly updates the PBC, the Colleges, and the governing board on matters important to fiscal and program planning. In addition, the quarterly CCFS 311 report, incorporated into the governing board agendas, provides the public and all District employees a comprehensive picture of District finances. These quarterly reports present financial information compared to the initial annual budget plan and past quarterly reports. Each quarterly report further includes a budget statement and narrative to convey the projected district ending fund balance and any anticipated major events which could affect the ending fund balance. A four- year history of the District's unrestricted general fund is presented below.

<div align="center">

Schedule of Financial Trends and Analysis
Year Ended June 30, 2013

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	Budget 2013-14	Actuals 2012-13	Actuals 2011-12	Actuals 2010-11
Unrestricted General Fund				
Revenues*	$111,171,357	$107,394,573	$104,769,229	$112,425,309
Other Sources*	12,691,939	9,152,116	8,093,251	10,153,021
Total Revenues and Other Sources	*123,863,296*	*116,546,689*	*112,862,480*	*122,578,330*
Expenditures*	117,782,451	108,128,047	106,228,619	115,033,411
Other Uses and Transfers	6,242,386	5,613,258	6,633,861	4,670,296

Out*				
Total Expenditures and Other Uses	*124,024,837*	*113,741,305*	*112,862,480*	*119,703,707*
Increase (Decrease) in Fund Balance	(161,541)	2,805,384	-	2,874,623
Ending Fund Balance*	$15,326,744	$12,823,280	$10,017,896	$9,322,904
Available Reserves	*$15,326,744*	*$12,823,280*	*$10,017,896*	*$9,322,904*
Available Reserves as a Percentage of Total Outgo	12.36%	11.2%	8.88%	7.79%
Long-term Debt**	$664,718,582	$678,185,799	$677,829,167	$665,464,696
Annual Funded FTES***	18,626	18,191	18,006	19,510

*From Budget Books   **From Audit Reports   ***From State Certifications

Self-Evaluation

The College meets this standard.

Funding levels are generally known when developing short and long-term plans. The District communicates financial resource availability well before budget development. The College generates revenues through state categorical programs, federal, state and local grants, and campus-generated funds.

Actionable Improvement Plans

None.

IIID. 1.c. When making short-range financial plans, the institution considers its long-range financial priorities to assure financial stability. The institution clearly identifies, plans, and allocates resources for payment of liabilities and future obligations.

Description

The Peralta Community College District considers both short and long term interests of the four colleges regarding institutional and financial plans, including planning for long-term liabilities and obligations.

Various tools such as multi-year projections, population demographic trends, fund-balance projections, and cash flow analysis inform group discussions and final recommendations to the Chancellor. Additionally, existing and potential liabilities are identified and considered as they relate to the payment of long-term liabilities and obligations in the budget-development process. [REF: PBC Documents- 2014; REF: Neuberger Berman Investment Performance Update]

The District utilizes multiple methodologies to analyze and project year-end fund balances. With the advice of the District's financial advisor, a cash flow is completed annually. This analysis is used to determine if Tax Revenue Anticipation Notes (TRANS) short-term borrowing will be needed to meet all expenditure requirements during the fiscal year. No TRANS were sought or needed during the 2013-14 fiscal year, or are anticipated for the 2014-15 fiscal year.

The District has developed multi-year revenue and expenditure forecast models. Expenses for fixed costs such as employee benefits, utilities, normal supply cost inflation, retiree benefit obligations, and other non-discretionary expenses are built into the multi-year forecast. Revenue projections are similarly built into the model. Critical data elements for FTES enrollment, state base allocation, and potential staff deficits as well as receipt of local parcel tax revenue and facilities bond revenue are incorporated into the model. The District projects a positive ending balance for the 2014-15 fiscal year and the ability to manage expected expenditure requirements.

Both the College and the District consider short-term liabilities as they affect long-term liabilities. For example, the District negotiates all labor contracts that impact the colleges. The District Office of Finance and Administration projects the impact of changes in labor management agreements as a component of the annual budget assumptions used in preparing the Colleges' budgets. When evaluating potential labor agreements, the district takes into account both the cost of salaries and the related benefits in order to ensure that projected financial resources are available in both the short-term and long-term.

Planning for the payment of long-term liabilities is incorporated into the district-wide budget building process, the Five-Year Construction Plan [REF: 2016-2021 Five Year Construction Plan], and annual financial audits [REF: Annual Financial Audit Report- 2013].

Financial reserves are maintained to meet long-term obligations as well as budget emergencies. Board Policy 6200 Budget Preparation requires the District to build a minimum of 5-percent reserve (minimum fund balance) [REF: Budget Preparation] and that budget projections address the district's short and long-term mission, goals, and commitments. The implementation of this Board Policy is accomplished through Administrative Procedure 6200 Budget Management and the establishment of annual budget assumptions. Both documents mandate that the mission (mission statement) inform the

allocation of resources. The PCCD general fund budget provides adequate resources to support the cost of instruction, student services and institutional support. Planning for long-term liabilities consists primarily of general obligations bonds to cover the cost of future retiree health benefits.

In December 2005, PCCD became the first public entity in the country to issue OPEB bonds to fund lifetime health benefits. The proceeds of the bonds are in an Indentured Trust Fund and can only be used to pay or reimburse the District for payment of retiree health benefit costs. Investments to date have been sound and are regularly reviewed. In the most recent actuarial study, the OPEB actuarial accrued liability (AAL), unfunded actuarial accrued liability (UAAL), and annual required contribution (ARC) were identified as $174,703,920, $174,703,920 and $11,228,305 respectively. The ARC is used as the basis for determining expenses and liabilities under GASB43/45. [REF: PCCD Actuarial Study of Retiree Health Liabilities].

In 2006 and 2009, the District restructured the 2005 OPEB bonds. For the 2006 transaction, three short maturities of current interest bonds were restructured to mature in 2049. In the 2009 transaction, two short maturities of current interest bonds were restructured to mature in 2011 to 2015. As a result, these transactions increased the overall debt service to the program. In October 2011, the District restructured the current interest bonds that were issued in 2006 and 2009. The purpose of this restructuring was to provide debt service payment relief to the unrestricted general fund. At that time, the District was in a position where it had to cut in excess of $15 million to balance its operating fund (unrestricted general fund). Further, plans were developed to cut the District's operating fund in anticipation of additional workload reductions at the State level, increases attributed to CalPERS employer contribution increases, increases in health and welfare expenditures for current employees, and increases in debt services payments attributed to OPEB bonds. A summary of the debt services prior to and after the restructuring is provided below.

	Debt Service Prior to Restructuring	Debt Service Post Restructuring
Estimated Debt Service in 2012	$8,104,282.78	$1,637,033.92
Estimated Debt Service in 2013	$9,159,220.60	$4,247,467.76
Estimated Debt Service in 2014	$10,366,629.27	$5,810,280.98
Estimated Debt Service in 2015	$11,745,840,47	$6,727,396.13
Estimated Debt Service in 2016	$19,823,770.80	$7,646,992.27
Estimated Debt Service in 2017	$9,247,141.55	$13,312,115.32

After fiscal year 2017, the average annual increase in debt service will be approximately 3%. Due to these restructurings, the District's unrestricted general fund saved approximately $29

million in debt service payments over this six-year period. [REF: Peralta CCD – OPEB Substantive Plan, December 2012]

The District has appropriated additional resources to fund the gap between the OPEB Trust assets and the District's Actuarial Accrued Liability (AAL). As a result of a multi-year savings plan, the estimated actual balance held in the District's OPEB Special Reserve Fund, as of June 30, 2014 was $10,256,579 [REF: PCCD Final Budget-2014-15].   Amounts on deposit in the unrestricted OPEB Reserve Fund are available to pay for SWAP Agreement termination payments, debt service on the 2005 Bonds, or Other Post-Employment Benefits. Although the OPEB Reserve Fund is available to pay debt service on the Bonds the District has budgeted for fiscal year 2014-15, sufficient amounts from the General Fund are available to satisfy debt service on the 2005 Bonds.

The Peralta Community College District negotiates with three recognized employee bargaining units. The results of these negotiations often affect the level of benefits provided to employees and future retirees with associated cost to the District. Those bargaining units are Service Employees International Union (SEIU) Local 1021, International Union of Operating Engineers (IUOE) Local 39, and California Federation of Teachers Local 1603 (Peralta Federation of Teachers or PFT). Effective July 1, 2012, the District and the bargaining units successfully negotiated numerous changes including plan design changes, employee contributions, and the incorporation of a variable rate cap limiting the amount the District pays for medical and dental benefits. The changes for medical plans introduced a mid-level self-funded medical plan that provides the same level of benefits as the District's traditional self-funded plan, but exclusively utilizes the network provided by Anthem Blue Cross. Employees that see practitioners outside of the Anthem Blue Cross network now have to pay a premium difference, which varies with the number of dependents, covered ($15 - $45 monthly). The District continues to offer a Kaiser plan free to employees. Employees hired on or before June 30, 2004 are eligible to receive District paid benefits for the duration of the employees' life. Employees hired after June 30, 2004 and retired from the District with 10 years of service are eligible to receive District paid benefits until the age of 65, at which time the employee would then have coverage under Medi-Cal/Medicare. With the incorporation of these plan changes, changes in employee contributions, and the District paid cap, the annual savings to the District is approximately $500,000. In addition to this annual savings, the District also realized a long-term savings or reduction in the long-term liability, as reflected in the reduction of the actuarial determined OPEB liability. Prior to these changes, the District's actuarial determined OPEB liability was approximately $221 million. The current actuarial determined liability is $174,703,920 [REF: PCCD Actuarial Study of Retiree Health Liabilities].

Beginning in fiscal year 2010-11, the District implemented an OPEB liability based on employees' salaries to set aside funds in the OPEB Trust to pay for the cost of current employees' future benefits. For fiscal year 2011-12, the OPEB charge resulted in approximately $7 million of additional deposits into the OPEB trust. Based upon the most recent actuarial study, the OPEB charge was initially calculated at 12.5%. For fiscal year 2014-15, the employee liability is calculated at 9.5%. This amount is applied to all budgets that support positions eligible for OPEB. The District estimates that this will, over the course of a 25-year period, result in approximately $150 million of deposits to the OPEB Trust, not

including any interest earnings or appreciation through investments. The transfers to the OPEB post-retirement fund are made with every payroll. The most recent actuarial study, cited above, was reviewed and discussed with the Planning and Budgeting Council to update committee members on the status of the District's liability for post-retirement benefits [REF: PBC Minutes- March 2013]. The actuarial study was also on the agenda of the Board of Trustees as an information item in relation to submission of an ACCJC report [REF: Board Agenda- March, 26 2013].

At its April 2011 meeting, the PCCD Retirement Board (RB) approved bylaws and a charter that clearly articulates the mission and purpose of the Retirement Board. The RB is comprised of five voting members, with the Vice Chancellor of Finance as Chair. Terms of service for the RB are two years. In addition, there are six advisory members: Each of the three collective bargaining groups within PCCD has an advisory seat and the Peralta Retiree Organization (PRO) has three seats. The RB meets quarterly and all agendas, meeting minutes and documents are posted online [REF: Board of Trustees Website]. At the January 26, 2012 meeting of the RB, Neuberger Berman was selected to serve as the Discretionary Trustee of the OPEB trust. Functioning in this role, the Neuberger Berman Discretionary Trustee ensures the (Investment Policy Statement (IPS) is adhered to by the investment managers; is monitored by the investment managers, and is evaluated them against their established benchmarks. Neuberger Berman also advises and makes recommendations to the RB on changes to the IPS as circumstances and the markets change. Additionally, Neuberger Berman also functions as the custodian of the plan assets. As of September 11, 2014 the OPEB investment trust had assets of $218,549,849 [REF: Neuberger Berman Investment Performance Update] with a projected liability of $174,703,920 [REF: PCCD Actuarial Study of Retiree Health Liabilities]

Two bond measures approved by local voters, support PCCD operations. Measure A, passed in 2006, was a $390 million General Obligation Bond designated for capital improvements, including construction and renovation, and instructional equipment. Measure B – Parcel Tax was a special parcel tax measure approved by voters on June 5, 2012. Measure B provides the District with an annual $48 parcel tax on all parcels located within the District's boundaries each year, for eight years. Measure B's designated use is maintaining core academic programs, such as Math, Science, and English; training students for careers; and preparing students to transfer to four-year colleges and universities. [REF: Measure B].

Recently, taking advantage of historically low interest rates, the District refunded its outstanding general obligation bonds. These bonds, are related to the issuance of Series B, C, and D General Obligation Bonds, Election 2000 Series A and B District General Obligation Bonds, and Election 2006 General Obligation Bonds. Due to its fiscal stability and sound financial stewardship, the refinancing will save local taxpayers nearly $18 million over the 21-year life of the bonds. The District went to market with $157,725,000 in new bonds to refund outstanding bonds approved by voters in 1992, 2000 and 2006 to enhance and modernize District facilities. [REF: Media Release- September 4, 2014]

Self-Evaluation

The College meets the standard.

The District has taken great strides in the past few years to address the issues and concerns raised by the PCCD Governing Board and the ACCJC about the long-term sustainability of the OPEB program. Two of the major achievements that will aid in the long-term sustainability of the program are the debt service restructuring and the implementation of the OPEB liability. As mentioned previously, the debt service restructuring will provide the District with budgetary relief of approximately $29 million and the OPEB charge has created an ongoing and dedicated revenue stream that will over time, fund the Actuarial Accrued Liability (AAL). It is anticipated that any valuation in excess of the AAL will be used to satisfy the OPEB bond debt service obligations. Through sound fiscal management practices at the College and District levels, long-term liabilities and priorities are clearly identified and plans for payments have been developed and implemented to maintain fiscal stability.

Actionable Improvement Plans

None

IIID. 1.d. The institution clearly defines and follows its guidelines and processes for financial planning and budget development, with all constituencies having appropriate opportunities to participate in the development of institutional plans and budgets.

Description

The development of the College budget is driven by COA's mission and strategic goals. Strategic planning is the foundation for all financial planning. All financial planning is done within the parameters of goals and objectives, which are aligned with the five District-level strategic planning goals. [REF: District Strategic Plan]

For operational integrated planning and budgeting, the District implemented the Planning and Budgeting Integration Model (PBIM) in 2009. This participatory governance structure was updated in 2014 [REF: PBIM Overview 2014] to include the alignment with the District Mission, Strategic Planning Goals and Institutional Objectives. [REF: PBIM FLEX Day Presentation]. The PBIM provides the structure for broad constituent and college-based communication and input in the budget development process. The budgeting process becomes the vehicle for the allocation of financial, human, physical and technology resources to address College priorities for student learning programs and services and to meet College educational objectives. The highest level of participatory governance is the Planning and Budgeting Council (PBC).

The College and the PCCD have clearly defined guidelines and processes for financial planning and budget development. Board Policy 6200 Budget Preparation [REF: Budget Preparation] articulates and defines the process by which the College develops its annual fiscal year budget in an open, transparent and communicative manner. BP 6200 defines the criteria for addressing the District's long-term mission, goals, and commitments in the budget building process. BP 6200 also includes a statement, which supports the College and District's educational plans. Administrative Procedure 6200 [REF: AP 6200 Budget Management] details the process to implement this policy, which includes a budget calendar, budget directives, a timeline for budget preparation, budget consolidation, budget presentation, and adoption of the tentative and final budgets each year. Board Policy 6300 Fiscal Management and Accounting [REF: BP 6300 Fiscal Management]establishes

procedures to assure that the District's fiscal management is in accordance with Title 5 Section 58311 of the California Code of Regulations. Title 5 requires that institutions have adequate internal control; fiscal objectives, procedures and constraints are communicated to the Board and employees; adjustments to the budget are made in a timely manner; management information systems provide accurate and reliable fiscal information; and responsibility and accountability for fiscal management are clearly delineated.

Annually the District Office of Finance and Administration sends to the College Presidents and Directors of Business and Administrative Services the guidelines for completing the annual budget. The notice includes the budget development calendar, the most current revenue assumptions from the CCCCO, a record of the current discretionary allocations, and the position control report. The District Finance Office also sends budget worksheets, guidelines, and deadlines for all categorically funded programs. The Director of Business and Administrative Services reviews the information and distributes information and worksheets to each of the cost center managers for review. To ensure that all positions are funded in the future fiscal year, the cost center managers review the information and submit any changes to the Director. The cost center managers work with the College Finance Office to update any changes to the budget worksheets for submission to the District Finance Office. Worksheets are also distributed to cost centers that manage grants so their budgets can be set up during this period to ensure funds are available to July 1. The College Finance Office distributes any new funds as indicated in prioritized resource requests. The College Finance Office works with a broad cross-section of the campus community, including staff, faculty, students, and administrators to develop their budgets. As worksheets are received by the units, the budgets are reviewed and prepared for submission to the District Finance Office. The College meets and often exceeds budget building milestones.

The College returned its budget development documents to the Vice Chancellor of Finance before the deadline in the 2013-14 budget-building calendars. Based upon these documents, and the 2014-15 Final Budget Assumptions, a Tentative 2014-15 Budget was compiled and approved by the Board of Trustees in June 2014. The Tentative Budget was communicated throughout the institution through the participatory governance structure via the Planning and Budgeting Council in their last meeting of the 2013-14 academic year [REF: PBC Minutes May 9, 2014]. When the State adopted its final budget, the District began to work to refine and adjust the Tentative Budget to establish the Final Budget for 2014-15 which was approved by the Board of Trustees on September 9, 2014 [REF: PCCD Final Budget 2014-15]

Self-Evaluation

The College meets the standard.

The College shared governance structure allows appropriate opportunities for all constituencies to participate in the budget development process. The District-wide participatory governance structure ensures that all constituencies are represented throughout the budget development and planning processes by articulating well-defined policies and procedures. In a recent Intuitional Effectiveness survey, 71 percent of faculty and 46 percent of staff surveyed indicated that they mostly or entirely agree that they have opportunity to participate in improving the effectiveness of the College [REF: Institutional Effectiveness

Survey- 2014]. The survey results indicated that 60 percent of those surveyed somewhat agreed, mostly agreed, or entirely agreed that COA reviews and modifies its planning processes. Sixty-three percent somewhat agreed, mostly agreed, or entirely agreed that COA reviews and modifies its resource allocation processes and 55 percent agreed that COA systematically reviews and modifies its evaluation processes.

IIID. 2. To assure the financial integrity of the institution and responsible use of its financial resources, the internal control structure has appropriate control mechanisms and widely disseminates dependable and timely information for sound financial decision making.

Description

Placing high value on financial integrity and responsible use of resources, the College and the District have various internal controls and processes in place. The District's Internal Auditor [REF: Internal Audits] performs regular audits of procurement, as well as routine checks on processes that involve cash-handling. For additional assurance, the external auditing firm annually audits internal controls to ascertain compliance with generally accepted accounting principles. The District utilizes the dynamic PeopleSoft/Prompt system that integrates data from Student Services, Human Resources, Payroll, Finance and Financial Aid modules. To ensure financial integrity of the institution and responsible use of resources, the PeopleSoft/Prompt system has built-in mechanisms, such as user IDs and passwords that allow system access only to appropriate users. For instance, some users may be granted query access only, so that they can review but not change the data.

The PeopleSoft enterprise reporting system (ERP) is used to record journal entries, accounts payable, accounts receivable, revenues, payroll, grants, purchase requisitions as well as budget information. The College and the District disseminate dependable and timely information for sound financial decision making. The District-wide Planning and Budgeting Council regularly reviews and discusses timely budget reports. The College Business Office must electronically approve all budget transfers, electronic personal action forms (epafs), and requisitions. The District Office of Finance must approve all journal entries and budget journals.

The ERP system is used to record and update transactions continually and thus provides accurate up-to-date accounting information. Various reports and queries can be run on demand, including financial and budget reports. All managers are responsible for regularly monitoring their budgets and expenditures and to use these guides for sound decision-making. College administrators review their budgets regularly during the course of the fiscal year.

If there are any changes to permanent positions after the final budget is loaded, those additions or deletions can only be made upon submission of an epaf by the appropriate administrator. The form is reviewed by the manager's immediate supervisor and approved by the Director of Business and Administration and he College President before transmission

to the Office of Human Resources and District Payroll. The purchasing and procurement system has controls that preclude charges to accounts that have insufficient funds. The purchasing approval process requires several levels of approval. Approval is required from the manager of a unit, the Director of Business and Administrative Services, and the District Director of Purchasing. These safeguards protect the College from unauthorized or inappropriate use of funds.

Self-Evaluation

The College meets the standard.

The financial management system has appropriate control mechanisms and dependable and timely information for sound financial decision-making. Internal controls are maintained at both the College and District level.

Actionable Improvement Plans

None

IIID. 2.a. Financial documents, including the budget and independent audit, have a high degree of credibility and accuracy, and reflect appropriate allocation and use of financial resources to support student learning programs and services.

Description

The College and District financial documents have a high degree of credibility and accuracy and the budget reflects appropriate allocation and use of resources to support student learning programs and services. The District prepares financial reports throughout the fiscal year, including the tentative budget, a mid-year report and the final adopted budget. These reports are reviewed by the Planning and Budgeting Council (PBC) and presented to the Board of Trustees. Copies are distributed electronically to the PBC and Board of Trustees and posted online on the District website under District Offices/Business Services [REF: District Business Office]. The allocation of resources to support student learning programs and services is guided by the Colleges' Educational Master Plans, the District Strategic Plan, Comprehensive Program Reviews, and Annual Program Update documents. Resource allocations are distributed based upon base budgets and established allocation processes articulated in the Budget Allocation Model (BAM) [REF: District Budget Allocation Model] and Administrative Procedures AP 6200 Budget Management and AP 2300 General Accounting. [REF: AP 2300 General Accounting ; AP 6200 Budget Management]

The District prepares numerous financial documents, all of which are prepared in a timely manner, broadly distributed, and used for evaluative purposes. Financial documents include, but are not limited to: an annual financial audit report, 311A- Annual Financial and Budget Report, annual external audits, monthly updates to the Board of Trustees, and monthly budget status reports. As required by California Education Code, the State Budget and Accounting Manual, and Board Policy 6400 Audits [REF: AP 6400 Audits] the integrity of financial operations is ensured by an annual audit that is performed by independent Certified Public Accountants (CPAs) who posses the qualifications and credentials required by the

State of California and are experienced auditing California community colleges. The audits are conducted in a manner that complies with Education Code and State regulations, the Federal Single Audit Act and OMB A-133, applicable requirements and standards set forth by the California Department of Finance, and guidelines published by the American Institute of Certified Public Accountants.

The June 30, 2013 fiscal year end audit was completed in a timely manner and submitted to the State Chancellor's Office within the statutory timeframe required. The audit was performed on all financial records of the District. As noted on page 81 of the audit report [REF: Annual Financial Audit Report- 2013], the District received an unmodified (unqualified) audit opinion in relation to its financial statements and received a qualified audit opinion related to federal and state compliance. An unmodified (unqualified) audit opinion indicates that the District's financial statements and records are free from material errors and are maintained within generally accepted accounting standards.

The Vice Chancellor of Finance prepares a management report in response to the annual audit that includes actions taken or planned in response to the auditor's findings and recommendations. Recommendations made by the auditors are either fully implemented or considered completed, or if they are not, an explanation is provided with a plan of action to remedy the situation. The District utilizes a Corrective Action Matrix (CAM), to track and monitor progress resolving all audit findings. The CAM includes responsible parties, a timeline and action plans for remedying the recommendation. [REF: Corrective Action Matrix 9/21/14]

Typically, the major types of audit findings are: 1) financial accounting and reporting, 2) non-compliance with Federal Single Audit requirements, and 3) non-compliance with State program laws and regulations.

The table below provides an overview of the number and types of findings reported with the last three financial reports [REF: Annual Financial Audit Report- 2013; Annual Financial Audit Report- 2012; Annual Financial Audit Report-2011]

Types and Classification of Findings – 3 Year History

Type of Audit Finding	2012-13	2011-12	2010-11
Financial Accounting and Reporting	3	0	12
Single Audit	6	4	7
State Compliance	5	4	4
Total Audit Findings	14	8	23

Classification of Audit Finding

Material Weaknesses	2	0	5
Significant Deficiencies	12	8	18
Total Audit Findings	14	8	23

The 2013-14 Auditor's Report identified certain deficiencies in internal controls that are considered to be material weaknesses and significant deficiencies. A *deficiency in internal controls* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the district's financial statements will not be prevented, or detected and corrected, on a timely basis. Two findings (2013-1 and 2013-2), described in the accompanying CAM, were determined to be material weaknesses. They have, however, been resolved. A *significant deficiency* is a deficiency, or combination of deficiencies, in internal control that is less severe than a material weakness yet important enough to merit attention by those charged with governance. One finding (2013-3), described in the accompanying CAM, was determined to be a significant deficiency. It also has been resolved. There were fourteen findings in the 2012-13 Auditor's Report classified as deficiencies. It should be noted that all of the corrective actions for the findings have been or are projected to be fully implemented by December 31, 2014. [REF: Corrective Action Matrix 9/21/14] The District's annual audit report for the fiscal year ending June 30, 2014 will be publically available in December 2014. At that time, the Vice Chancellor of Finance will reassess its achievements and develop corrective actions for any new findings, if necessary.

Self-Evaluation

The College meets the standard.

The annual audit report, which includes audits of OPEB funds, capital outlay bonds, and the Measure B Parcel Tax, are presented to the Board of Trustees and placed on the District website. Audit findings are supported by recommendations from the external auditor and are responded to in the form of an action plan.

Actionable Improvement Plans

None

IIID.2.b. Institutional responses to external audit findings are comprehensive, timely, and communicated appropriately.

Description

Institutional responses to external audit findings are comprehensive, timely, and broadly disseminated. Audit findings are first reviewed in an exit conference attended by the audit firm, the District Vice Chancellor of Finance, District accounting and finance staff and, depending on the significance of audit findings in any college operational area, the appropriate college staff. The complete audit report is presented to the Governing Board annually, as soon as they are available. The annual audit report was presented to the Board of Trustees by the independent auditor in January 21, 2014 [REF: Board Agenda- January 21, 2014] and subsequently placed on the District website for information and access by all employees and the public [REF: District Business Office]. Through the audit report, the Board is made aware of any audit findings and recommendations provided by the auditors, along with the administration's response to each finding and the management report. The Vice Chancellor of Finance assembles all findings, draft responses, and is responsible for compiling the management responses that are incorporated into the completed audit report. The administration's response to each finding includes actions taken and/or planned in response to the auditor's findings and recommendations. Recommendations made by the auditors are either fully implemented (completed) or if not, an explanation is provided by management. The annual audit report also includes the previous year's audit findings and recommendations, along with a summary of corrective action, responsible parties and timelines for completion, if appropriate. [REF: Annual Financial Audit Report- 2013; Annual Financial Audit Report- 2012; Annual Financial Audit Report-2011 ; Corrective Action Matrix 9/21/14]

Annual audit reports and the corrective action matrix are presented to the Planning and Budgeting Council (PBC) and the Chancellor's Cabinet. In 2014, the PBC first reviewed and discussed the 2012-13 audit report during their January 31st meeting [REF: PBC Minutes- January 31, 2014]. District financial information, including annual audit reports, are published regularly and copies of these documents are made public by posting online. They can be found at the webpage for District Offices/Business Services. [REF: District Business Office]

Self-Evaluation

The College meets the standard.

The District's financial audits are publicly available and reviewed at regularly scheduled Board meetings, participatory governance meetings, and staff and management meetings. When audit findings are identified, the College and the District take timely and appropriate

action to implement corrective actions to address the deficiency. Communication regarding financial planning, budgeting, and annual audits is extensive and information is widely available for public review.

Actionable Improvement Plans

None.

IIID.2.c. Appropriate financial information is provided throughout the institution in a timely manner.

Description

The College and the District provide appropriate and timely financial information. The institution uses the PeopleSoft system to record and monitor functions and activities related to student, financial aid, finance, position control, payroll, grants, and human resources. In the Finance module, revenues and expenditures are accounted for separately. Non-payroll expenditures are recorded through the requisition and procurement processes beginning wih an approval process, which begins with the College level division administrator, is routed for approval to the College Business Office, to either Purchasing or Accounts Payable, and is finalized in the District Office of Finance and Administration. Similar processes are followed for expediting budget transfer, expenses reimbursements, independent contracts and petty cash. Position control is separately maintained with very limited access to campus staff. Each manager has access to the finance accounts, both restricted and unrestricted, for which they are responsible, with the option to either view the PeopleSoft screens or run various reports. These records are reliable and accurate and provide timely information to appropriate end users.

Key financial information is disseminated to the College community throughout the year using a variety of communication methods in a timely manner. Financial and payroll reports are disseminated to the College from the District Finance Office once the month's payroll has been posted. These reports are forwarded to the Directors of Business and Administrative Services and College Presidents for dissemination with campus managers and their staff. Periodic budget reports are periodically presented to the Budget Advisory Committee and to College Council.

Information concerning the California economy, state tax revenues and projections for community college budgets and the breakdown for PCCD are broadly dissemination by the Vice Chancellor of Finance and by constituent leaders throughout the District. Such timely and on-going information is communicated via e-mail distribution groups for the participatory governance committees (i.e. PBC@peralta.edu or DEC@peralta.edu ,etc.) via employee list serves (i.e. PPD Managers@peralta.edu or Laney-FAS@peralta.edu , etc.), and posted online on the District web site under the "planning and budgeting integration" tab. Additionally, the Vice Chancellor of Finance provides separate presentations at PCCD Board

meetings [REF: Board Presentation 9 – 9 -14], on FLEX days and during the PBIM Summit [REF: PBIM Summit Presentation] .

The CCFS 311 quarterly report is shared and discussed at the Chancellor's Cabinet and the Planning and Budgeting Council [REF: PBC Meeting Minutes- October 25, 2013]. The Board of Trustees also receives the CCFS 311 reports and monthly reports as part of the regular Board agenda. Board reports include budget transfers; approval of additional revenue; approval of grants; approval of purchase orders; and approval of consultant contracts. Trustees carefully review all agenda items for budgetary impacts. Presentations on the Tentative Budget and the Final Budget are done annually in two meetings (June and September respectively). [REF: Board Agendas- 2011-12]

Self-Evaluation

The College meets the standard.

The financial management system provides robust timely information on the current budget as well as prior year budget that may be used to support institutional and financial planning and financial management. Financial information is disseminated in a timely manner and readily available throughout the institution as well as available to the public. Financial reports can be run on an as-need basis and shared with the College community.

Actionable Improvement Plans

None.

IIID.2.d. All financial resources, including short and long term debt instruments (such as bonds and Certificates of Participation), auxiliary activities, fund-raising efforts, and grants, are used with integrity in a manner consistent with the intended purpose of the funding source.

Description

All financial resources, including short and long-term debt instruments, auxiliary activities, fund-raising efforts, and grants, are used with integrity and in a manner consistent with the intended purpose of the funding source. In accordance with the California Community College Chancellor's Office (CCCCO) Budget and Accounting Manual, the District has uses a fund-based accounting system. A description of the District fund-based accounting system is included in the annual budget [PCCD Final Budget 2014-15]. Financial statements are produced from the PeopleSoft system to support all funds and other accounts to ensure integrity of information and to provide auditable records.   College administrators have access to the tools and reports that allow managers the ability to practice effective oversight of budgets. The District Finance Office monitors all college funds and recommends any

needed adjustments to and the College and shared governance committees. The Director of Business and Administration approves all purchase requisitions and budget adjustments. Purchase requisitions flow through the Business Office for approval to ensure expenditures meet relevant requirements. This allows corrections or adjustment to be made prior to the actual expenditure. All contracts entered into must be reviewed by the area manager, the Director of Business and Administrative Services, the College President, general counsel, and Vice Chancellor of Finance and Administration. Board Policy 6340 Contracts [REF: BP 6340 Contracts] and Administrative Procedure 6340 Contract [REF: AP 6340 Contracts] sets forth the requirements, procedures, and controls for processing contracts.

Grant applications are reviewed and approved prior to submission ensuring grants align with the mission of the department and the College and support the College and District Strategic Goals and Institutional Objectives. All grants must be approved by the Chancellor and the Vice Chancellor of Finance and Administration prior to submission. Principal investigators monitor grants and categorical funds, grant managers, and Associate Vice Chancellors or Vice Chancellors. Categorically funded and grant reports are prepared collaboratively between college departments and the District Finance Office prior to being submitted to the Vice Chancellor of Finance and Administration for approval and signature. Federal, state, or private grants expenditures are recorded in the PeopleSoft accounting system to ensure that financial records meet all reporting requirements and grant conditions.

As required by Board Policy 6400 Audits [REF: BP 6400 Audits], the District undergoes annual audits on its financial records, internal controls, and compliance with reporting agencies. . The June 30, 2013 fiscal year end audit was completed in a timely manner and submitted to the State Chancellor's Office within the statuary timeframe required by the State's Budget and Accounting Manual and title 5 Section 58305 of the California Code of Regulations. The annual audits cover the review of institutional investments and assets, Federal and State financial aid, auxiliary, capital outlay, capital bond funds, parcel tax, and foundations funds. Board Policy 6320 [REF: BP 6320 Investments] ensures that District funds not required for immediate needs are invested in accordance with California Government Code Sections 53600 et seq. Debt repayment obligations are reviewed on an ongoing basis and are included as part of the District's annual budget development process. All debts are reported within the District's annual financial statements, and audited as part of the annual audit report.

Voters passed a facilities bond measure (Measure A) in 2006 and a parcel tax (Measure B) in 2012 to support and strengthen core instructional programs. Each of these voter-approved programs' income and expenditures are recorded in the PeopleSoft accounting system to provide appropriate financial statements. Annual performance and financial audit reports are conducted on these funds to ensure the funds are appropriately handled and to ensure that the funds are being spent on projects that meet the requirements of the bond language. Measure A, a $390 million capital improvement bond, was passed by voters in 2006. Audits for Measure A can be found at [REF: Measure A Audit Reports]. The bonds are required to meet all of the obligations of a Proposition 39 bond measure, including the establishment of a Citizen's Bond Oversight Committee. The Citizen's Oversight Committee consists of seven members and is charged with reviewing bond use reports and insuring funds are spent in accordance with bond language. Board Policy 6740 Citizen's Oversight Committee [REF:

BP 6740 Citizens Oversight Committee] prescribes the formation of the committee and Administrative Procedure 6740 [REF: AP 6740 Citizens Oversight Committee] details membership, purpose, and operation of oversight committees. Information about the Measure A Citizen's Oversight Committee can be found at [REF: Measure A Committee Membership].

The District is also served by an independent Retirement Board for purposes of managing reserve funds to pay for future retiree health benefits. District funds have been transferred for independent fund management through a revocable trust overseen by the Retirement Board. Neuberger Berman was selected to serve as the Discretionary Trustee of the OPEB trust. Functioning in this role, the Neuberger Berman Discretionary Trustee ensures the Investment Policy Statement (IPS) is adhered to by the investment managers; constantly monitored by the investment managers; and evaluated against established benchmarks. Neuberger Berman also recommends to the RB of changes to the IPS as circumstances and the markets change. Additionally, Neuberger Berman also functions as the custodian of the plan assets. Agendas and meeting minutes of the Retirement Board, can be found at [REF: Retirement Board].

The financial aid departments use PeopleSoft systems to process and administer financial aid. Students submit required financial aid documentation to the College's financial aid department. Each campus has financial aid staff that reviews student financial aid files, determine student eligibility, package and award financial aid, and disburse aid to students. Students eligible for financial aid are disbursed financial aid twice a semester through a third party debit card servicer (Higher One). All state and federal funds are reported to state and federal systems within the required timeframe. The financial aid supervisors at the College complete required data reporting as mandated by state and federal regulations. Each campus financial aid supervisor also confirms that the financial aid department is following proper processes and maintains compliance within federal and state guidelines.

The District Financial Aid Office has created a financial aid policies and procedures manual that has been disseminated to each of the four colleges in the PCCD [REF: Financial Aid Manual]. The District Director of Financial Aid works with the campus financial aid supervisors to update the manual each award year. Each campus financial aid supervisor is responsible for ensuring that all staff are trained and informed of changes to the policies and procedures manual, as well as federal and state updates. The financial aid supervisors attend annual Federal and State financial aid conferences to stay up-to date with regulations. The District Director also meets with the financial aid supervisors on a monthly basis to ensure that guidelines are being met and the required work is completed.

District cash investments are governed by Board Policy 6320 Investments and accompanying Administrative Procedure 6320, both of which are based on California Educational Code 53600 – 53610 (http://web.peralta.edu/trustees/bps-aps/), which lists authorized and suitable investments. The District transfers all tax receipts to the Alameda County Treasurer for safeguarding and investment. The County Treasurer provides monthly reports on District cash and investments. Local voter approved tax revenue is accounted for separately by the County Treasurer and reported to the District. As noted previously, the District has also

transferred funds to the OPEB fund and contracts for investment management services in which this money is invested in a revocable trust fund outside of the District accounting system.

Self-Evaluation

The College meets the standard.

Through established business practices, internal controls are present ensuring that financial transactions are appropriately reviewed and vetted. The Governing Board is responsible for all commitments entered into by the College and the District, as required by Education Code and Board Policy.

Actionable Improvement Plans

None.

IIID.2.e. The institution's internal control systems are evaluated and assessed for validity and the results of this assessment are used for improvement.

Description

The internal control systems are evaluated and assessed for validity and effectiveness and the results of assessments are used for improvement. The District employs an Internal Auditor to ensure the integrity of the District accounting system and to ensure that all funds are used in accordance with the intended purpose of the funding sources. Internal audit reports are used to determine compliance with District policies and government regulations, improve operations, and to insure effectiveness in operations. Following is a partial list of internal audit assignments completed over the past twelve months.

1. Performed a prioritized district-wide risk assessment of key business systems and developed an internal audit plan and strategy, based on the risk assessment results and focusing on improving District personnel's accountability and efficiency.
2. Performed internal control evaluations of several key business systems (e.g. procurement, Independent Contractor Contracts, pension reporting, time and effort reporting, etc.), and provided internal control recommendations.
4. Assisted the Finance department in compiling and packaging business procedures manuals for accounting, time and effort reporting.
5. Provided best business practices and internal control advisories to Human Resource, Finance, Benefits, and Purchasing departments regarding compliance and internal controls.

6. Provided internal control advisories and audit plans to assist the Purchasing Department in creating a best-value, cost-effective approach to procurement of services to ensure effective and optimal use of scarce resources.

7. Coordinated and provided a single point of contact for all external audits, including the CalPERS audit, District annual audit, and IRS 1098T audits.

8. Developed a grants tracking database for the Grants departments to capture critical data for more efficient grants management.

9. Developed a best practices data security policy to be issued for the District.

Under Education Code Section 85266.5 fiscal independence is granted to a college/district by the Board of Governors and is based on the recommendations of the county office of education and the results of an audit of the college/district's internal controls by an independent Certified Public Accountant. When evaluating applications for fiscal independence, the Board of Governors assesses applicants based on four standards.

1. Adequate fund balances. The College/district has avoided deficit balances in its funds and has maintained a prudent reserve in its unrestricted general fund for the past five years.
2. Statute and Governing Board. The College/district makes only lawful and appropriate expenditures in carrying out the programs authorized by statute and by the governing board.
3. Adequate internal controls. The accounting, budgeting, contracts, management information systems, internal audit, human resource, and procurement departmental staff are adequate in numbers and skill level to administer administrative programs independent of detailed review by the county office of education and to provide an internal audit function that assures adequate internal controls.
4. Legality and propriety of transactions. The accounting, budgeting, contract, management information systems, internal audit, human resource, and procurement departmental staff exercise independent judgment to assure the legality and propriety of transactions.

The Vice Chancellor of Finance and Administration and the associated staff at the College and District provide the level of scrutiny called for under Education Code Section 85266.5. The Internal Auditor enhances the internal control structure by providing an ad-hoc independent review and periodic audits on a random basis. A major aspect of the established internal control structure is the ability for authorized users to review budgets and other financial information pertaining to their area of responsibility in a timely manner. College budget managers have access to PeopleSoft through Prompt. That system provides tools and reports to allow managers the ability to practice effective oversight of their budgets. The District Office of Finance and Administration monitors all college funds and recommends any needed adjustments to departments, divisions, participatory governance committees, and administrators. There are checks and balances built into District processes, such as document approvals at different levels and pre-approval of inter-fund transfer, by both the Director of

Business and Administrative Services and the District finance staff. There are routine checks on processes that involve cash handling, materials fees and inventory control.

Self-Evaluation

The College meets the standard.

The College and the District assess their internal controls on an on-going basis and use the results of those assessments to revise procedures as needed. College financial resources, including auxiliary and grant funds, are managed in accordance with appropriate procedures and used with integrity and in a manner consistent with the mission and goals of the College.

Actionable Improvement Plans

None

IIID.3. The institution has policies and procedures to ensure sound financial practices and financial stability.

Description

The PCCD Board of Trustees has developed multiple Board Policies to ensure sound financial practices. There are associated Administrative Procedures that outline the practices to be followed. These policies and administrative procedures are reviewed and revised on a regular basis. Additionally, the College and the District strictly adhere to the California Education Code, the CCCCO Budget and Accounting manual, and Title V regulations.

The following Board Policies and Administrative Procedures ensure sound financial practices and financial stability and can be found at: [REF: Board Policies and Administrative Procedures]:

- BP 6100 Delegation of Authority and AP Delegation of Authority for Business Services
- BP 6110 Workers Compensation Settlement Authority and AP 6110 Workers Compensation Settlement Authority
- BP 6150 Designation of Authorized Signatures and AP 6150 Designation of Authorized Signatures
- BP 6200 Budget Preparation and AP Budget Management
- BP 6300 Fiscal Management and Accounting and AP General Accounting
- BP 6320 Investments and AP 6320 Investments
- BP 6330 Purchasing and AP Purchasing
- BP 6340 Contracts and AP 6340 Contracts and AP 6350 Contracts Construction
- AP 6365 Accessibility of Information Technology

- AP 6385 Refreshments Meals Served at Meetings
- BP 6400 Audits and AP 6400 Audits
- BP 6500 Property Management and AP 6500 Property Management
- BP 6550 Disposal of Property and AP 6550 Disposal of Property
- BP 6600 Capital Construction and AP 6600 Capital Construction
- BP 6620 Naming of Buildings and Facilities and AP 6620 Naming of Buildings and Facilities
- BP 6700 Civic Center and Other Facilities and AP 6700 Civic Center and Other Facilities Use
- BP 6740 Citizen Oversight Committee and AP Citizen Oversight Committee
- AP 6801 Transportation Safety
- AP 6802 Injury Illness Prevention Hazardous Material Program

Self-Evaluation

The College meets this standard. .

The institution has policies and procedures to ensure sound financial practices and financial stability.

Actionable Improvement Plans

None

IIID.3.a. The institution has sufficient cash flow and reserves to maintain stability, strategies for appropriate risk management, and develops contingency plans to meet financial emergencies and unforeseen occurrences.

Description

The College and the District have sufficient cash flow and reserves to maintain stability, strategies for appropriate risk management, and develops contingency plans to meet financial emergencies and unforeseen occurrences.

The District ending fund balance provides for a reserve for economic uncertainty at a minimum of the 5% level recommended by the CCCCO plus a contingency reserve for unforeseen occurrences. The chart below shows the audited General Fund ending balances over the past four years.

<div align="center">

Schedule of Financial Trends and Analysis

For the Year Ended June 30, 2013

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	Budget 2013-14	Actuals 2012-13	Actuals 2011-12	Actuals 2010-11
Unrestricted General Fund				
Revenues*	111,171,357	107,394,573	104,769,229	112,425,309
Other Sources*	12,691,939	9,152,116	8,093,251	10,153,021
Total Revenues and Other Sources	*123,863,296*	*116,546,689*	*112,862,480*	*122,578,330*
Expenditures*	117,782,451	108,128,047	106,228,619	115,033,411
Other Uses and Transfers Out*	6,242,386	5,613,258	6,633,861	4,670,296
Total Expenditures and Other Uses	*124,024,837*	*113,741,305*	*112,862,480*	*119,703,707*
Increase (Decrease) in Fund Balance	(161,541)	2,805,384	-	2,874,623
Ending Fund Balance*	$15,326,744	$12,823,280	$10,017,896	$9,322,904
Available Reserves	*$15,326,744*	*$12,823,280*	*$10,017,896*	*$9,322,904*
Available Reserves as a Percentage of Total Outgo	12.36%	11.2%	8.88%	7.79%
Long-term Debt**	$664,718,582	$678,185,799	$677,829,167	$665,464,696
Annual Funded FTES***	18,626	18,191	18,006	19,510

*From Budget Books   **From Audit Reports   ***From State Certifications

While the recent economic conditions in the State have put a strain on the budget and cash flows, the College and the District have been fiscally conservative in their forecasts ensuring appropriate cash flow. Fund balances are managed through careful budget preparation, continuous monitoring and frequent updates to year-end balance projections. Board Policy

6200 Budget Preparation [REF: BP 200 Budget Preparation] provides the framework for budget preparation and Administrative Procedures 6200 [REF: AP 200 Budget Management] and 6300 General Accounting [REF: AP 6300 General Accounting] detail the practices and guidelines to be followed. These efforts help the College maintain balances at levels deemed necessary to offset the risks associated with both anticipated state deferrals (both intra and inter year) and unanticipated emergencies.

The College's cash flow is closely monitored throughout the year and with the advice of the District's financial advisor, an annual cash flow analysis is conducted each year. This analysis is used to determine if Tax Revenue Anticipation Notes (TRANS) short term borrowing will be needed to meet all expenditure requirements during the upcoming fiscal year. When cash-flow projections have predicted shortfall, the District has participated in tax anticipation programs, which provide low interest, short-term borrowing against future tax revenues. No TRANS were sought or needed during the 2013-14 fiscal year, or are any anticipated for the 2014-15 fiscal year. Active management of payments and receipts is utilized throughout the year to maximize the availability of cash from payables and receivables. Combined, these efforts have provided the College and the District the necessary cash to meet all obligations.

The District calculates known liabilities for employee vacations, faculty banked leave/overloads, and retiree health benefits (OPEB liabilities are described elsewhere in this report). Accumulated unpaid vacation benefits are accrued as a liability as the benefits are earned. The entire compensated absence liability is presorted on the financial statements [REF: Annual Financial Audit Report- 2013]. For government funds, the current portion of unpaid compensated absences is recognized upon the occurrence of the relevant events, such as employee resignations and retirements prior to year end that have not yet been paid with expendable available resources. These amounts are reported in the fund from which the employees who have accumulated leave are paid. The District also participates in "load banking" with eligible academic employees when the employee teaches extra courses in one period in exchange for time off in another period. Sick leave is accumulated without limit for each employee based upon negotiated contracts. Leave with pay is provided when employees are absent for health reasons; however, the employees do not gain a vested right to accumulated sick leave. Employees are never paid for any sick leave balance at termination of employment or any other time; therefore, the value of accumulated sick leave is not recognized as a liability in the District's financial statements. Retirement credit for unused sick leave is applicable to all academic and classified employees. These fiscally prudent actions support a district financial position, which safeguards student learning and student support services.

Self-Evaluation

The College meets the standard.

These fiscally prudent actions result in a financial position, which safeguards student learning, and support services needs for the future. Active management of payments and receipts is also utilized throughout the year to maximize the availability of cash from

payables and receivables. Combined, these efforts have provided the College and the District the necessary cash to meet all obligations.

Actionable Improvement Plans

None

IIID.3.b. The institution practices effective oversight of finances, including management of financial aid, grants, externally funded programs, contractual relationships, auxiliary organizations or foundations, and institutional investments and assets.

Description

To ensure oversight of finances including financial aid, grants, externally funded programs, contractual relationships, foundations, and investments, the institution has an annual external audit, prepared in accordance with generally accepted accounting principles that is comprehensive and thorough [REF: Annual Financial Reports]. As required by state law, the District retains an independent audit agency that performs separate audits of Proposition 39 bond funds and investments annually. Part of the scope of the audit includes an evaluation and review of financial statements,

The Peralta Colleges Foundation (the Foundation) is a legally separate, 501©3 tax-exempt organization and as such has its own audit each year by an independent auditor. The Foundation acts primarily as a fundraising organization to provide grants and scholarships to students and support to employees, programs, and departments of the District. Although the District does not control the timing or amount of receipts from the Foundation, the majority of resources or income the Foundation holds and invests is restricted to the activities of the District by the request(s) of the donors. Because the amount of receipts from the Foundation is insignificant to the District as a whole, the Foundation is not considered a component unit of the District. [REF: Annual Financial Audit Report- 2013]

The District Financial Aid Office works in conjunction with the colleges and the Vice Chancellor of Finance and Administration to ensure that appropriate procedures are followed. There is an oversight committee for the facilities bond, Measure A, and for the parcel tax, Measure B. The group meets regularly to review expenditures and revenue these funding sources. The agendas and meeting minutes are available online at [REF: Measure A].

The Vice Chancellor of Finance and Administration using investment options in order to earn additional revenue and interest manage institutional investments. Those options are reviewed on a regular basis by the Board of Trustees. Assessment and evaluation of District-wide financial processes occurs on an ongoing basis. Tools for the effective oversight of finances may include the annual audit and related corrective action matrixes for audit findings, categorical program reports and grant program reports, which are submitted per compliance requirements. The District also provides monthly reports including budget and expenditure

reports for College analysis. Additionally, the College and the District submit required financial and non-financial reports to the State Chancellor's Office and the Accrediting Commission for Community and Junior Colleges (ACCJC). Many of these reports provide analysis of revenues and expenditures that demonstrate monitoring of fiscal conditions. [REF: ACCJC Special Report- April 2013]. Budget managers have access to and utilize the PeopleSoft system to run reports covering expenditure rates, negative balances, and budget history to analyze trends and make budget adjustments.

The College and the District use a position control structure to monitor and maintain personnel budgets for all funds. Through the use of position control, staffing needs are identified and analyzed in support of program review priorities and recommendations. Human resource requests are identified by annual unit plans and/or program reviews by departments and prioritized through the integrated planning and budget process. College-wide human resource priorities are not only based upon unit plans; they may also be based upon specific criteria such as legal mandates and/or health and safety requirements. Human resource priorities identified in unit plans must support student success, essential operations, and the mission and goals of the College. As funding becomes available, positions are created and filled.

Effective oversight of finances is supported through policies and procedures mentioned in previous sections of this report, including budget development, budget management, and accounting and fiscal monitoring. These policies and procedures articulate and define the process of how the College will develop is annual fiscal year budget in an open and transparent manner. The Integrated Planning and Budget Building Calendar set the timeline for those actions. [REF: Board Policies and Administrative Procedures; 2014-15 Integrated Planning and Budget Building Calendar]

Self-Evaluation

The College meets the standard.

There is sufficient oversight at the College and the District to ensure proper management of all finances, including financial aid, grants and externally funded programs and auxiliary services. There is appropriate monitoring of the student loan defaults as well as the revenue streams and assets. Financial reviews are ongoing at various levels beginning with college-level departments, through the campus finance department, divisions to the VPs, the President and to the District Office of Finance and Administration. Audits are performed by both external auditors and the internal auditor. The external auditor presents the audit results to the Board of Trustees each year. Copies of the audits and financial reports are available to all as they are posted on the District website(s). The oversight structure enforces consistent and uniform application of policies, procedures and accounting principles, emphasizing adherence to internal controls, thus ensuring compliance with federal, state, and local reporting requirements.

Actionable Improvement Plans

None

IIID.3.c. The institution plans for and allocates appropriate resources for the payment of liabilities and future obligations, including Other Post-Employment Benefits

(OPEB), compensated absences, and other employee related obligations.

Description

The College and the District plan for and allocate appropriate resources for payment of liabilities and future obligations. A review of both short term and long term liabilities is part of the annual budget building process. Information related to all liabilities is part of the annual audit. All information is presented to the Planning and Budgeting Council and the Board of Trustees. Additionally the OPEB liability is monitored closely by the Retirement Board. Other compensation-related obligations, such as employee vacation accrual, sick leave, and load banking are calculated annually. Expenses are recorded in the year they occur and adequate resources are set aside to cover the estimated long-term liabilities.

The District has addressed the OPEB liabilities to cover the medical insurance costs for retirees in accordance with negotiated contracts with the various bargaining units of the District. Employees hired on or before June 30, 2004 are eligible to receive District paid benefits for the duration of the employees' life. Employees hired after June 30, 2004 and retired from the District are eligible to receive District paid benefits until the age of 65, at which time the employee would then have coverage under Medi-Cal/Medicare as the primary source of medical coverage with the District's coverage becoming secondary.

Effective July 1, 2012, the District and the three collective bargaining units successfully negotiated numerous changes including plan design changes, employee contributions, and the incorporation of a variable rate cap limiting the amount the District pays for medical and dental benefits. The plan design changes for medical plans introduced a mid-level self-funded medical plan which provides the same level of benefits as the District's self-funded plan, but exclusively utilizes the network provided by Anthem Blue Cross. The District continues to offer its traditional self-funded PPO plan which allows employees to see practitioners outside of the Anthem Blue Cross network, but employees now have to pay the premium difference between this mid-level plan (PPO lite) and the traditional PPO plan. The District continues to offer a Kaiser plan that is free to employees. The District and the bargaining units also agreed upon the maximum contribution the District will pay for dental benefits. With the incorporation of these plan design changes, employee contribution, and the District paid cap, the annual savings to the District is approximately $500,000 [REF: REF: Peralta CCD – OPEB Substantive Plan, December 2012]. In addition this annual savings, the District will also realize a long-term savings, or reduction in long-term liability, as reflected in the reduction of the actuarial determined OPEB liability.

PCCD developed an OPEB Substantive Plan in December, 2012 [REF: Peralta CCD – OPEB Substantive Plan, December 2012]. This plan was revised/updated in September 2014 and

contains four elements. The first element covers associated liabilities, which consist of the debt service associated with the bonds sold to fund the revocable trust, the six tranches of SWAP agreements, and the actuarial study projecting the actuarial accrued liability directly related to the existing OPEB obligation. The second element covers restricted assets set-aside to fund the ongoing expenses and liabilities within the OPEB program. The two assets within the program are the investments currently held in the revocable trust originating from the bond sale in 2005 and the OPEB reserve fund held in the Alameda County Treasurer's Office. The third element consists of the annual expenses incurred related to the operations of the OPEB program. These expenses are a result of fulfilling the OPEB obligations to existing retirees, setting aside funds to pay for future obligations for current employees when they retire, annual debt service payments associated with the bonds, operational expenses related to maintaining the trust, and periodic payments that are contractually required under the existing B-1 SWAP. The fourth element is the revenues that have been and will continue to be transferred into the revocable trust to fund the expenses and liabilities. These revenues include the OPEB charge that is now applied to all budgets that support positions eligible for OPEB, in addition to any appreciation in market value of the portfolio within the revocable trust.

Central to the long-term sustainability and funding of the OPEB program is for the revenues (OPEB charge and Trust appreciation) to be able to support the annual expenses of the trust as well as to fund the Actuarial Accrued Liability (AAL). The District has appropriated additional resources to fund the gap between the OPEB Trust assets and the District's AAL (this is the OPEB Reserve Fund). The estimated balance in the OPEB Reserve, as of June 30, 2013, exceeds $10,000,000. This amount is available to pay for any lawful expenditures of the District, including but not limited to SWAP Agreement termination payments, debt service on the 2005 Bonds, or Other Post-Employment Benefits. Although the OPEB Reserve Fund is available to pay for debt services on the bonds, the District continues to budget sufficient amounts from the General Fund to satisfy debt service obligations and related refunding.

Beginning in fiscal year 2010-11, the District implemented an OPEB charge to supplement funds available in the OPEB Trust to pay for Other Post-Employment Benefits. The OPEB charge is a uniformly applied District-paid charge to all programs and is a function of the current Annual Required Contribution (ARC) calculated as a percentage of payroll for all OPEB eligible active employees. Based on the current actuarial study, the OPEB charge for 2014-15 is calculated to be 9.5%. The funds to which the OPEB Charge is applied each fiscal year are accounted for in the OPEB Reserve Fund. The District estimates that the OPEB Charge will, over the course of a 25-year period, result in approximately $150 million in deposits to the OPEB Trust, not including any interest earnings or appreciation through investments.

The District has made great strides over the last few years to address the issues and concerns raised by the PCCD Governing Board and ACCJC about the long-term sustainability of the OPEB program. Two of the major achievements that ensure the long-term sustainability of the program are the debt service restructuring that occurred in 2011 and the implementation of the OPEB charge. The debt service restructuring provided the District with budgetary relief of over $29 million over a five year period and the OPEB Charge has created an

ongoing and dedicated revenue stream what will, over time, fund the Actuarial Accrued Liability (AAL). Investments to date have been sound and are regularly reviewed. In the most recent actuarial study, the OPEB actuarial accrued liability (AAL), unfunded actuarial accrued liability (UAAL), and annual required contribution (ARC) were identified as $174,703,920, $174,703,920 and $11,228,305 respectively. The estimate of the current value of the assets held in the OPEB Trust is $218,549,849. [REF: Neuberger Berman Investment Performance Update]

Self-Evaluation

The College meets the standard.

Actionable Improvement Plans

None.

IIID.3.d. The actual plan to determine Other Post-Employment Benefits (OPEB) is prepared, as required by appropriate accounting standards.

Description

The District contracted with Total Compensation Systems, Inc. (TCS) to analyze liabilities associated with its current retiree health program (OPEB) as of November 1, 2012. The report was prepared in compliance with GASB 43 and 45, which requires an actuarial study no less frequently than every two years. he actuarial report includes estimates for PCCD's retiree health program and results from a cash flow adequacy test as required under Actuarial Standard Practice 6 (ASOP 6). The cash flow adequacy testing covers a twenty-year period. The estimates, calculated separately for active employees and retirees included:

- The total liability created (the actuarial present value of total projected benefits or APVTPB).
- The "ten year pay-as-you-go" cost to provide these benefits.
- The Actuarial Accrued Liability (AAL).
- The amount necessary to amortize UAAL over a period of 30 years.
- The annual contribution required to fund retiree benefits over the working lifetime of eligible employees (the "normal cost").
- The Annual Required Contribution (ARC), which is the basis of calculating the annual OPEB, cost and net OPEB obligation under GASB 43 and 45.

TCS estimated the "pay-as-you-go" cost of proving health benefits for current retirees, beginning November 1, 2012, to be $10,879,051. For current employees, the value of benefits accrued in the year beginning November 1, 2012 (the normal cost) is $1,256,073. This normal cost would increase each year based on covered payroll. The Actuarial Accrued liability (AAL) is $174,703,920. Combining the normal cost with the UAAL amortization costs produces an annual required contribution (ARC) of $11,228,305. This (ARC) is used as the basis for determining expenses and liabilities under GASB 43 and 45.

Results of the Actuarial Study, dated March 1, 2013, were reviewed and presented to both the Board of Trustees and the Planning and Budgeting Council. [REF: PBC Minutes March 2013]

Self-Evaluation

The College meets the standard.

The District has completed the actuarial plan and has determined the OPEB costs and ARC as required by appropriate accounting standards.

Actionable Improvement Plans

None.

IIID.3.e. On an annual basis, the institution assesses and allocates resources for the repayment of any locally incurred debt instruments that can affect the financial condition of the institution.

Description

On an annual basis, the District assesses and allocates resources for the repayment of locally incurred debt instruments that can affect the financial condition of the institution. As part of the annual budget development process, all debt obligations are recognized and sufficient resources are allocated for the payment of the upcoming fiscal year's debt obligation. As noted previously, the District did not need to issue Tax Revenue anticipation Notes (TRANS) in 2013-14 or fiscal year 2014-15. This significant improvement of the District's cash balances is the result of the passage of the local parcel tax, reduction in statewide deferrals, improved fiscal oversight, and adherence to established policies and procedures. The College and District's overall financial stability is currently characterized as stable and the district's management practices are considered "good" under Standard & Poor's Financial Management Assessment (FMA) methodology [REF: Standard and Poor's Report- 2011]

Both short-term and long-term debt obligations are reviewed by the Vice Chancellor of Finance and Administration and relevant information is provided as part of the annual budget

report to the Board of Trustees. Additionally, independent external auditors examine all debt obligations and related fiscal information as part of the annual audit process [REF: Annual Financial Reports].

Self-Evaluation

The College meets this standard.

The District assesses and allocates resources to meet locally incurred debt. Further, the District maintains a reserve range of over 12%.

Actionable Improvement Plans

None.

IIID.3.f. Institutions monitor and manage student loan default rates, revenue streams, and assets to ensure compliance with federal requirements.

Description

The College and the District monitor and manage student loan default rates, revenue streams, and assets to ensure compliance with federal requirement. At the College level, the Financial Aid Office is under the guidance of the Dean of Enrollment Services. At the District level, centralized Financial Aid services are under the guidance of the District Director of Financial Aid and the Associate Vice Chancellor of Student Services. Types of processes vary among the various funds received and disbursed by the College and/or District [REF: Financial Aid Manual; Financial Aid Department]. All funds are reconciled as required by each state or federal funding source. Federal and state-funded programs are reviewed as part of the annual audit by the District's independent external auditor firm. [REF: Annual Financial Reports].

Federal regulations and statutes contain many default prevention measures designed to ensure that students do not default on their Title IV loans. The default provisions contained in federal regulations and statutes may not specifically state that they are default prevention measures, but thee provisions ensure that the student:

- Knows he/she has a loan obligation and not a grant.
- Understands the terms of the loan and repayment obligation
- Is properly notified as to when the repayment obligation begins
- Receives required notices relative to the loan obligation
- Begins repayment at the proper time.

College of Alameda Financial Aid staff members use the federal National Student Loan Database System and the Department of Education website to review student borrowers.

Students who are interested in taking out loans first meet with a financial aid specialist. During this appointment, students learn about their rights and responsibilities in regard to borrowing. They must also complete entrance counseling before borrowing. Prior to or upon leaving the college, students must also complete exit counseling.

On a monthly basis, the District Finance Office records the amount of Federal financial aid disbursed in the general ledger and a drawdown of the funds from the Department of Education G5 system.

For the past three years, he colleges' and the District's default rate was under 30 percent, which is within federal guidelines. The District Financial Aid Office is working with third party vendors such as Great Lakes and Nelnet to acquire reports of students who are in delinquent loan repayment status and who are at risk of default. COA is also reviewing the possibility of contracting with ECMC for default prevention services. ECMC is a third-party servicer that is recommended by CCCCO.

PCCD Student Loan Default Rates

	2013-14	2012-13	2011-12
Received Federal Financial Aid (PCCD unduplicated head count)	9,487	9,146	9,075
Total Enrolled (PCCD unduplicated head count)	52,307	52,992	54,521

	2013-2014	2012-2013	2011-2012
Direct Loans Default Rate			
• College of Alameda	18.7	28.58.823.826.2	15.0
• Laney College	13.524.1		22.5
• Merritt College			21.8
• Berkeley City College	15.5		25.8

Overall, the District has been pleased with the default rates it has experienced in the past three years, since all campuses are within the 30% threshold set by the US Department of Education. In order to monitor revenue streams and assets, he college staff and the District

work closely together. If default rates were to exceed the 30% threshold, a collaborative effort by institutional leadership will form a default prevention committee that will create a comprehensive plan for the campus and methods to apply this plan to reduce the default rate.

Self-Evaluation

The College meets the standard.

Compliance with all federal and state mandates and regulations is managed through established processes and procedures and extensive use of internal control mechanisms.

Actionable Improvement Plans

None.

IIID.3.g. Contractual agreements with external entities are consistent with the mission and goals of the institution, governed by institutional policies, and contain appropriate provisions to maintain the integrity of the institution.

Description

Contracts with external entities follow an established set of Governing Board policies and administrative procedures aimed at insuring consistency with the mission and goals of the institution. Internal controls have been established to ensure compliance with the Board policies and procedures, which guide those contracts requiring Board approval and those, which can be approved by senior administrators.

Board Policy 6340 Contracts [REF: BP 6340 Contracts] requires that all contracts in excess of $25,000 with a single organization, individual, or vendor per fiscal year be approved by the Board of Trustees. Additionally, contracts that are non-public projects as defined under Public Contract Code 22002 and are funded by Construction/Capital Outlay Bond funds in excess of $83,400 with a single organization, individual, or vendor per fiscal year require prior approval of the Board of Trustees. Administrative Procedure 6340 Contracts [REF: AP 6340 Contracts] further defines contract types and District business processes requiring the bids and issuance of contracts. Administrative Procedure 6350 Construction [REF: AP 6350 Construction] details the provisions of "change orders", the written supplemental agreement, to an awarded construction contract. All change orders must be Board approved or ratified prior to the performance of the work included in the change order. Administrative Procedure 6330 Purchasing [REF: AP 6330 Purchasing] outlines the specifications and procedures for procurement through the use of a purchase order, including selection of vendors, price quotations, bid requirements, and other purchase protocols

PCCD AP 6340 includes a table consisting of contract types and dollar amount thresholds requiring specific approval levels.

All contracts contain standardized language that protect the College and the District and allows for change orders or termination if the required standards of quality are not met.

Self-Evaluation

The College meets the standard.

Board policies and administrative procedures clearly define all contracting requirements and articulate the processes to be followed. There are sufficient controls in place to assure that contracts and agreements are consistent with the mission and goals of the College and ensure the integrity of the process.

Actionable Improvement Plans

None.

IIID.3.h. The institution regularly evaluates its financial management practices and the results of the evaluation are used to improve internal control structures.

Description

Regular assessment of fiscal management processes takes place throughout the year both internally and externally. Internally, all departments go through program planning which includes self-assessment and identification of areas for improvement. The District performs Comprehensive Program Reviews of the accounting, general services and payroll functions every three years and uses the results for improvement. The District-wide Planning and Budgeting Council (PBC), a participatory governance committee, reviews budgeting process and financial information and regularly evaluates financial management processes; results are used to improve internal control structures. The representatives on the PBC include all constituencies including all four college presidents, the Vice Chancellor of Finance, the Vice Chancellor of Educational Services, and the District Budget Director as well as faculty, classified employees, and students. PBC meets monthly, where information about the state and District budgets is shared; budget assumptions are reviewed and updated for use in creating the tentative and mid-year budget reports. The PBC also evaluates the effectiveness of the PCCD Budget Allocation Model and makes recommendations to improve it. Minutes from these meetings can be found at [REF: Planning and Budgeting Council].

PeopleSoft financial reports are available online for all division and units to review and track all expenditures. Divisions and units can request additional financial reports from the Vice Chancellor of Finance and Administration. College staff and District units may request in-person meetings with the District Business Services employees for more in-depth knowledge or guidance regarding financial analysis of their budgets or completion of any required reports.

Externally, independent auditors annually examine College and District finances, along with bond-related activities. The audits include all funding sources, including auxiliary, capital outlay bonds, and parcel tax funds. Audit recommendations are quickly implemented. During the preliminary audits conducted by external auditors, internal control processes are evaluated. The audit staff may identify areas that may need improvements and make recommendations on how to implement said improvements. Audit findings, when identified, are tracked and addressed through the implementation of corrective actions in a timely fashion. Annual audit reports are reviewed and presented at regularly scheduled meetings of the Board of Trustees, participatory governance meetings, and staff and management meetings. [REF: Corrective Action Matrix 9/21/14] The results of these audits provide the catalyst for improvement. [REF: Annual Financial Reports]

Self-Evaluation

The College meets the standard.

Financial management processes are regularly evaluated by the Planning and Budgeting Council and independent external auditors. From these evaluations, processes and procedures are revised to improve the financial management systems to assure adequate internal controls. The College and the District have solid financial management with appropriate processes in place to ensure stability and effective management controls.

Actionable Improvement Plans

None

IIID.4. Financial resource planning is integrated with institutional planning. The institution systematically assesses the effective use of financial resources and uses the results of the evaluation as the basis for improvement of the institution.

Description

The College's resource planning process is integrated with institutional planning. College planning supports the College's mission, vision, and strategic goals while emphasizing institutional effectiveness, academic excellence, student success, and fiscal responsibility. This process provides evidence of planning for the improvement of the COA institutional structures and processes, student achievement of educational goals, and student learning. COA routinely assesses progress toward achieving its stated goals and makes decisions regarding college-wide improvement through a cycle of evaluation, integrated planning, resource allocation, implementation, and re-evaluation.

Academic disciplines, student service areas, and administrative units prepare program reviews every three years, and unit plans annually. Program reviews and unit plans address

the achievement of the College units' mission, goals, institutional outcomes and action priorities. They are written to integrate into both college and district-wide planning by addressing human resources needs, technology, facilities and budget planning.

 Program reviews and unit plans are submitted to coordinating bodies (as appropriate) for review and consideration. Every review and/or update includes an analysis of student data trends, and wide discussion on how to improve student learning and support services and to increase student retention and success.   Resource requests, protocols, and policy issues are submitted to the College Management Team for review and, in the case of resource requests, are ranked. Subsequently, the Academic Senate reviews resource requests and the College Council, where the rankings assigned to the proposals may be changed. Discussion and revisions may take place as the Budget Committee reviews resource requests and campus-wide dialogue occurs. The College Management Team, the Academic Senate and the College Council make recommendations before they are submitted to the College President. The ranked resource allocation proposals are submitted to the College President who has the authority to veto or modify any proposal or to request further justifications. The President may consult with the President's Council. Any proposals that are accepted by the President but cannot be adequately addressed within the college structure, for instance those proposals that deal with requests for resource sharing and/or that impact district-wide programs, are sent to respective district-wide committees (e.g., Education, Technology and Facilities) for integration into the district-wide planning process.

Financial resource planning is also integrated with district-wide institutional planning. The District relies on a participatory governance process to review and provide input into the plans, including all resource requests. College level resource planning is integrated with the District's institutional planning through participatory governance processes that channel campus requests through the District's Planning and Budgeting Integration Model (PBIM). The PBIM is an integrated district-wide planning and budget advisory system of four committees that receive planning inputs from the colleges and make recommendations to the Chancellor.

The District Associate Vice Chancellor of IT co-chairs the District Technology Committee, the District Vice Chancellor of General Services co-chairs the District Facilities Committee, the District Vice Chancellor of Education Services co-chairs the District Education Committee, and the District Vice Chancellor of Finance and Administration co-chairs the Planning and Budgeting Council. This provides a liaison between the district and colleges to assure effective coordination and delivery of centralized services. These committees provide a forum for administrators, faculty, staff, and students from the district and all four colleges to discuss, preview, prioritize and recommend resource priorities.

For example, the College's prioritized classified and faculty-hiring requests detailed in the College Program Reviews and Annual Program Updates are first sent to the District Education Committee each spring for review and discussion. Subsequently these requests are sent to the Planning and Budgeting Council, which further examines the priorities before final recommendations are forwarded to the Chancellor for approval and implementation. [REF: District Education Committee Minutes; PBC Minutes- March 28, 2014]

The PCCD Budget Allocation Model (BAM) provides a means to systematically assess the effective use of financial resources and using the evaluation results of said assessments as the basis for improvements and/or redistribution of resources across the District. The core principals of the BAM are as follows:

- Linkage between strategic planning and funding
- Transparency of information to ensure equitable distributions
- Closely mirrors the State's funding model (SB 361)

The PCCD BAM includes three fundamental revenue drivers: Base allocations, credit FTES, and non-credit FTES. The base revenue allocations take into consideration economies of scale and the size of the colleges. Apportionment funding from the BAM formula represents more than 70% of the District's unrestricted revenue; therefore, the use of SB 361 model is applied to distribute apportionment revenues to the colleges. This ensures that the colleges will receive what they earn.

The shift to this model has defined limits on the majority of resources and expenditures and has encouraged fiscal accountability on all levels. This has enabled the District to ensure the systematic assessment of financial resources as the basis for improvement. The linkage of allocations to expenditures at the college level has moved PCCD to greater fiscal stability and increased clarity as to how colleges, support functions, and auxiliary enterprises are funded.

Credit based funding for the colleges is equal to the funded base credit FTES rate subject to cost of living adjustments (COLA) if funded by the State. To provide stability and aid in multi-year planning, a three year credit FTES average is used to determine the credit base revenue per college, hence tying the generation and use of resources to the basis of improvement of the College. Similarly all funding streams (non-credit, lottery, apprenticeship, parcel tax, etc.) are being distributed using the SB 361 BAM model. [REF: District Budget Allocation Model- 2014]

Budgetary efficiency benchmarks from the District perspective include indicators such as ratio of actual expenditures to total budget, productivity, and load efficiency. Over the course of the year, division deans and program coordinators, as well as District office staff, run financial reports to ensure that spending is on track. The Chancellor's Cabinet regularly reviews reports for the District's unrestricted general fund, grants and other restricted funds to ensure that resources are adequately provided. Corrections to the budget are made as needs are identified throughout the year and as additional resources are received.

Self-Evaluation

The College meets the standard.

Through the integrated planning and budgeting process, the College's mission and annual goals and objectives serve as guidelines for consideration for the allocation of resources. The institution has implemented an on-going, systematic process that integrates, planning,

budgeting, and resource allocation and includes assessment of the effective use of financial resources and the utilization of the results of the evaluation as the basis for improvement.

Actionable Improvement Plans

None.

List of Evidence (in alphabetical order)

2016-2021 Five Year Construction Plan
2014-15 Integrated Planning and Budget
Building Calendar
ACCJC Special Report- April 2013
Alameda Promise
Annual Financial Audit Report- 2012
Annual Financial Audit Report- 2013
Annual Financial Audit Report- 2013
Annual Financial Audit Report-2011
Annual Financial Reports
AP 200 Budget Management
AP 2300 General Accounting
AP 6200 Budget Management
AP 6300 General Accounting
AP 6330 Purchasing
AP 6340 Contracts
AP 6350 Construction
AP 6400 Audits
AP 6740 Citizens Oversight Committee
Board Agenda- January 21, 2014
Board Agenda- March, 26 2013
Board Agendas- 2011-12
Board of Trustees Website
Board Policies and Administrative Procedures
BP 200 Budget Preparation
BP 1200 Mission
BP 6300 Fiscal Management
BP 6320 Investments
BP 6340 Contracts
BP 6740 Citizens Oversight Committee
Board Presentation 9 – 9 -14
Budget Preparation
COA Goals and Objects 2014-15
College Council Agendas- 2014
College Council Minutes- October 2014

College Resource Request List- 2014
College Webpage- Mission
Corrective Action Matrix 9/21/14
District Budget Allocation Model
District Budget Allocation Model- 2014
District Business Office
District Education Committee Minutes
District Strategic Plan
Educational Master Plan
Financial Aid Department
Financial Aid Manual
Institutional Effectiveness Survey- 2014
Integrated Planning and Budget Process
Internal Audits
Measure A
Measure A Audit Reports
Measure A Committee Membership
Measure B
Media Release- September 4, 2014
Neuberger Berman Investment Performance Update
PBC Documents- 2014
PBC Meeting Minutes- October 25, 2013
PBC Minutes- January 31, 2014
PBC Minutes March 2013
PBC Minutes- March 2013
PBC Minutes- March 28, 2014
PBC Minutes May 9, 2014
PBIM FLEX Day Presentation
PBIM Overview 2014
PBIM Overview-2014
PBIM Summit Presentation
PCCD Actuarial Study of Retiree Health Liabilities
PCCD Final Budget-2014-15
PCCD Tentative Budget- 2014-15
Peralta CCD – OPEB Substantive Plan, December 2012
Planning and Budgeting Council
President's Flex Day Presentation: Fall 2014
Retirement Board
Standard and Poor's Report- 2011