

# STANDARD THREE: RESOURCES



# Standard Three

## Accreditation Self Study Report

### Resources



The institution effectively uses its human, physical, technology, and financial resources to achieve its broad educational purposes, including stated student learning outcomes, and to improve institutional effectiveness.

#### 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.

**III.A.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.**

**DESCRIPTIVE SUMMARY**

The qualifications for each job vacancy are linked to position requirements and responsibilities and to standards established by the Office of Human Resource. The Office Human Resources establishes hiring criteria by matching position requirements and responsibilities to industry standards. Job descriptions for all positions established on campus are written by a consultant and approved by the appropriate collective bargaining unit and the College President.

SOCCCD has established comprehensive practices to assure that qualifications for each position are closely matched to specific program needs and serve to support the goals of students.

**Full-Time Faculty Qualifications**

Applicants for faculty positions must meet the minimum qualifications or the equivalent of the minimum qualifications as described in the position announcement. The process for establishing minimum qualifications for faculty positions is defined by State law (Title 5, Sections 53400-53430) [3.1].

The Board of Governors of the California Community Colleges, in consultation with the Academic Senate for California Community Colleges, determines the minimum qualifications for faculty and publishes them in their “Discipline List of Minimum Qualifications for Faculty and Administrators in California Community Colleges” [3.2]. Saddleback College firmly holds to the standards presented the in the “Disciplines List.”

Applicants who do not meet the minimum qualifications for a faculty position as published in the position announcement may apply for equivalency in accordance with the California Code of Regulations, Title 5, Section 53430, and the California Education Code §87359 [3.3] [3.4]. Equivalency policies are detailed in Board Policy 4011.1 [3.5].

Saddleback College considers the granting of equivalency as a serious matter that must be done legally while maintaining the College’s high standards of employment.

**Classified Employees’ Qualifications**

The qualifications for each classified staff position are linked to the position requirements and responsibilities and to standards established by the Office of Human Resources (Human Resources). Human Resources establishes classified staff qualifications by matching the position requirements and responsibilities to industry standards. All classified position descriptions include minimum education and experience requirements, knowledge and abilities required by the position, and information regarding the working conditions, physical demands, and potential hazards (if any) related to the position.

Board policy requires the Office of Human Resources to verify a prospective employee’s educational or professional certification, experience, or any other prerequisites for employment [3.5].

### **Academic Administrators' Qualifications**

Academic administrators (administrators who have general or specific duties involved in supervising faculty) have two basic requirements: (1) possession of a master's degree, as defined in "Minimum Qualifications for Faculty and Administrators in California Community Colleges" and in Title 5, Sections 53400-53430, and (2) meeting the needs of the District. This second requirement may include more-specific degree requirements, degree majors, or additional educational requirements as defined by the needs of the District and experience requirements as defined by the District [3.2] [3.1].

### **Classified Managers' Qualifications**

Minimum qualifications for all classified managers (nonacademic management positions) are determined by the needs of the District. Education, experience, and job requirements are based upon conducting classification surveys with other community colleges. In general, classified managers must (1) possess, at minimum, a bachelor's degree in a specialized area and (2) meet or exceed the experience criteria based upon the needs of the position.

### **SELF EVALUATION**

The College follows practices that cover all personnel and that identify specific processes for hiring all personnel in relation to job requirements, qualifications, and alignment with the institutional needs of the College.

### **PLANNING AGENDA**

None.

**III.A.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 services 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 plays 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.**

### **DESCRIPTIVE SUMMARY**

All employment at Saddleback College is overseen by the South Orange County Community College District (SOCCCD) Office of Human Resources (HR) consistent with law, Board policies, and administrative regulations. Board policies (BP) and administrative regulations (AR), which are developed through a consultation process, describe in detail the employment procedures used to ensure the recruitment and hiring of highly qualified personnel. Policies are in place to standardize the hiring of all full-time faculty [3.5] [3.6], Classified staff [3.7] [3.6], administrators and managers [3.8] [3.6].

These Board policies reflect a hiring process that is specific to each position's role in the operation of the College. Hiring for all positions involves broad faculty and/or staff and management participation.

Human Resources advertises College job openings internally (Districtwide) and on various external sites. All job announcements are posted under the "jobs" link on the SOCCCD Web site and on the College cable television station. Human Resources maintains a high profile at the southern and northern California Community College Registry Job Fairs and participates in many regional job fairs to recruit new faculty members.

Human Resources routinely investigates ways to integrate new media, social networking, and Web 2.0 technologies into its recruitment strategies. For example, Human Resources has recently creating a Facebook page on which it routinely posts job announcements. General, diversity-related, academic, and dedicated sites are used to attract a diverse pool of applicants. Job descriptions for classified staff, administrators, and classified management positions are posted on the job site. Job announcements are also listed in local and professional newspapers and journals when deemed appropriate. A list of the many advertising resources used by the District can be found in the References section [3.9].

Prospective applicants can review openings and apply for jobs online. All postings include an overview of the College, a brief summary of the job and/or job description, a description of the hiring and selection process, and instructions on how to apply.

The procedures for selecting faculty, classified staff, administrators, and managers vary, as described in the following sections.

### **Full-Time Faculty Hiring Process**

Board Policy 4011.1 clearly defines the hiring procedures for full-time faculty [3.5]. New full-time faculty hires are based upon identified program needs, as established through the Program Reviews of instructional divisions, as well as on broader institutional requirements.

The Vice President for Instruction and the division deans analyze faculty positions and supporting data, such as full-time equivalent students (FTES), enrollment trends, division or department goals and objectives, and the College Strategic Plan and present their input to the Academic Senate's Faculty Hiring Prioritization Committee. This committee is the Academic Senate's internal process for identifying and prioritizing the hiring of new and replacement faculty members. The Committee consists of one representative from each of the academic divisions, each of the academic deans, the Vice President for Instruction, and an Academic Senate representative, who chairs the committee.

The Academic Senate's recommendations regarding priorities for faculty positions are submitted to the College President.

By October of each academic year, following approval by the Chancellor, the College President submits to the Board of Trustees a ranked list of recommended full-time positions for the subsequent year, compiled by an internal process. The Board will either approval (authorize for announcement) or disapprove (not authorize for announcement) each recommended position.

Once a position has been approved by the Board, the College President will open recruitment for the position by submitting a request to Human Resources to fill the position. Human

Resources then appoints an HR specialist to administer the hiring process for that position. The HR specialist oversees scheduling, membership, voting, interview questions, tallying, and screening of all candidates in the hiring process.

Human Resources also assigns an Equal Employment Opportunity (EEO) representative to all search committees.

Each academic department approved for a new faculty hire forms a search committee of five to seven faculty members. No fewer than three members of the committee must be experts in the academic discipline of the recruited position, and they may be drawn from District faculty and staff or from external sources. All faculty appointments are approved by the Academic Senate.

The HR specialist briefs each screening committee to ensure that committee members understand the hiring procedures, and the committee's EEO representative ensures that proper procedures are followed.

All applicants are required to submit official transcripts. Human Resources reviews the validity of each transcript and verifies educational degrees through the National Association of Credential Evaluation Services (NACES). Individuals who have completed college or university course work at an institution in a country other than the United States must obtain a complete evaluation of foreign transcripts, degrees, and other relevant documents. The applicant bears the responsibility to document equivalency to accredited U.S. institutions. Firms such as Educational Records Evaluation Service and the International Education Research Foundation are used to evaluate foreign-degree equivalency.

Each application receives an independent evaluation according to job-related criteria by each member of the search committee. Using a final list of applicants ranked by score and without names, the HR specialist and the committee chair meet to determine the lowest score to qualify for an interview. Based on the lowest qualifying score, the Office of Human Resources will assemble a list of candidates to be interviewed. Once a list of at least three candidates has been established for interviews, the HR specialist schedules candidates for a first-level interview.

A thorough review of the applicant's documents is conducted. Questions are developed by the committee, which will ascertain an applicant's knowledge in the discipline and his/her commitment to the mission and core values of the College. Additionally, every committee asks at least one question designed to demonstrate that the applicant understands diversity and has experience working with a diverse population of students.

The College uses several means to define and evaluate effective teaching in its hiring processes. For example, as part of the interview process, the applicant is often required to demonstrate effective teaching through an exercise designed by the committee and deemed appropriate for the discipline. For example, the Mathematics Department may ask the candidate to teach a lesson to a small group of students, or the Computer and Information Management Department may ask the applicant to demonstrate how to use a specific software program.

After the conclusion of the interviews, the chair and the HR specialist assemble a ranked list of candidates and their final scores. Using this list, the committee determines the lowest score to qualify as a preliminary finalist for a second-level interview with the College President and one of the College Vice Presidents. The College President consults with the search committee chair and discipline experts after the second-level interviews and before any offer of employment is

made. The College President makes the final selection of the candidate for recommendation for appointment to the job.

Reference checks are conducted by the search committee chair or designee and Human Resources. Before a candidate is forwarded for Board of Trustees approval, the Office of Human Resources verifies transcripts, professional references, and other pertinent information listed on the application.

### **Classified Staff Hiring Process**

In the 2007-2008 academic year, the Planning and Budget Council (PBC), now known as the Consultation Council (CC), assumed responsibility for classified hiring prioritization so as to more closely tie hiring to Program Review and Strategic Planning. In an effort to approve the classified hiring process, a new process was established and implemented in Spring 2010 [3.10]. Under the new process, funding for replacement positions remains with the department; funding requests for new positions follow a competitive process.

New staff positions are requested by supervisors through the Program Review process, and these requests are consolidated by the appropriate Vice President, who prioritizes and brings the requests to the CC, the College's main governance group for new discussion and ranking of new staff position requests. The CC creates one prioritized listing of classified staff from which the President approves requests based on available funding.

When the need for hiring a new classified staff employee is determined and is recommended by the College President and approved by the Chancellor, a "Request for Announce Form" is completed and submitted to Human Resources [3.11]. Human Resources processes the request with sufficient time to advertise the position for the prescribed number of days. Whenever feasible, all positions (except for lateral openings) are advertised for at least ten days in order to maximize the effectiveness of the advertisement. The hiring manager works with Human Resources to promote the open position.

Advertising efforts vary depending upon the specific job opening and generally span both electronic job boards and print outlets as previously described. If the opening is new to the District, the job description content is drafted by the supervisor with assistance from Human Resources. The draft job description is reviewed by an outside consultant and compared to the local labor market for comparable duties, salary, and minimum qualifications. Once the draft is formally reviewed and finalized, it is presented to the Board of Trustees (BOT) for approval. Once approved by the BOT, the position is then available for posting and filling by a qualified candidate.

Job applications, resumes, and other required materials are accepted only by Human Resources via the District's online employment Web site at <http://www.socccdjobs.com>.

Applications for classified positions undergo a rigorous review process. The Office of Human Resources screens applications for completeness and for minimum qualifications as specified in the job announcement prior to submission to the search committee. The search committee chair has the option to be involved in the minimum qualification screening process. If the need arises, HR will consult with the chair on matters of interpretation of minimum qualifications.

The application materials for all applicants meeting the minimum qualifications are reviewed and ranked online on the District's employment site. Each application receives an independent evaluation according to job-related criteria by each member of a search committee of faculty, classified staff, and administrators.

Using a final ranked list of candidates by score and without names, a Human Resources specialist and the search committee chair meet to determine the lowest score to qualify for an interview. Once the paper screening and ranking process is completed, the search committee chair determines the number of applicants to be interviewed.

Each candidate is asked the same questions and in the same order. At the conclusions of the interviews and any subsequent discussions, each committee member determines a final interview score for each candidate. Reference checks are made in accordance with administrative regulation guidelines prior to submission of the recommended applicant to the College President.

This interview and selection process ensures that the applicant who is successful in the process is qualified to support the programs and services of the College.

### **Part-Time Faculty Hiring Process**

Applications for part-time faculty positions are continuously accepted. Human Resources maintains a candidate pool on the District employment Web site for each discipline.

Due to the nature of part-time faculty hiring, the hiring process for part-time faculty varies among divisions. The department chair or the division dean (sometimes with other faculty members) interviews part-time faculty applicants. Part-time faculty must meet the minimum qualifications required of full-time faculty and are required to submit official transcripts prior to Board approval.

Once a candidate has been selected, the division dean forwards the name to the appropriate Vice President (e.g., the Vice President for Student Services, for counselors, and the Vice President for Instruction, for instructional faculty and librarians). Human Resources reviews the candidate's qualifications to ensure that the minimum qualifications for the position are met, and an offer of employment is extended to the applicant.

### **Administrators and Managers Hiring Process**

The hiring process for College administrators and managers is set forth in Board Policy 4011, Employment Procedures for Administrators and Managers [3.8]. It is the responsibility of the College President to ensure the integrity of the hiring process.

When the need for hiring a new administrator or manager is determined and recommended by the College President, upon approval by the Chancellor, a Request to Announce Form is completed and submitted to the Human Resources [3.11].

Upon receipt of the Request to Announce Form, a job description is developed by the Office of Human Resources in conjunction with the administrator responsible for the area to which the position is to be assigned.

Human Resources advertises the open position and is responsible for maintaining the recruitment file and application materials for each position. Jobs opening are listed in the



California Community College Job Registry, the “Chronicle of Higher Education,” major daily newspapers (as deemed appropriate), discipline-specific periodicals, and association publications. Job announcements and brochures are posted electronically (as previously described) and in print and include the position description, representative duties, education and experience requirements, compensation and benefits information, conditions of employment, required materials, and a description of the application and selection process.

Search committees for administrator and manager positions consist of up to seven administrators and managers and a committee chair (appointed by the College President), one faculty representative (appointed by the Academic Senate President), one faculty representative (appointed by the SOCCCD Faculty Association), and one classified employee (appointed by the California School Employees Association). Human Resources appoints a nonvoting EEO representative and assigns an HR specialist to assist with the search process.

At the conclusion of interviews, the committee and the HR specialist assemble a ranked list of candidates and their final scores. Using this list, the committee determines the lowest score to qualify as preliminary finalist for a second level interview. The committee should forward at least three finalists for the second-level interview. The College President, in consultation with the selection committee chair and Vice Chancellor of Human Resources (HR Vice Chancellor), may decide to proceed with fewer than three finalists, to reopen recruitment, or to terminate the process.

The HR Vice Chancellor, in conjunction with the screening committee chair, conducts the reference checks and records the information on the appropriate form. An HR specialist verifies all the data on the candidate’s application.

Using an unranked list of finalists, the College President and other invited administrators, managers, or individuals interview the candidates. Ultimately, the selection of the finalist for the position is the College President’s decision.

## **SELF EVALUATION**

Saddleback College has been fortunate over the years in hiring and retaining a qualified faculty and staff. This is due, in part, to the rigorous processes in place for recruiting and selecting candidates and the desirability of living and working in south Orange County.

The District has the policies, procedures, and documentation in place to ensure that it continues to recruit, develop, and retain the best-qualified personnel available to deliver and support quality programs and services. The College faculty, administrators, managers, and classified staff play an active role in planning the College’s future staffing needs. While Human Resources is a customer-service-oriented office, it is also responsible for adherence to the Education Code, collective bargaining agreements, Board policies, and administrative regulations.

The College’s Program Review process provides an integrated approach to determining the level of staff and administrative support needed for the work of the College. A prioritization process has been developed to address the competition for the limited resources for College staffing needs. This provides an equitable process to review and recommend positions for classified staff in parallel with the annual Strategic Planning Process.

The College does not hire just to fill a vacancy. Screening committees are informed that the College is willing to go out a second time if a candidate meeting Saddleback College's standards cannot be found.

Screening committee members are well trained and sign an agreement that they have no conflict of interest in their roles. They use only job-related criteria to evaluate all applicants, almost always resulting in an offer to a well-qualified candidate. In the most recent Employee Survey of those who have served on a screening committee, 73 percent of the respondents agreed that all procedures and policies were followed [3.12].

A common concern about the recruitment process is the time it takes to fill an open position. A number of factors contribute to this situation. One factor is the increased number of applications received for each job opening. No doubt this has occurred in part due to the poor economy. Some openings have received hundreds of applications, which must then be reviewed for minimum qualifications by a Human Resources specialist. Due to the large applicant pools, the review time spent in the Office of Human Resources significantly delays the selection process. Another contributing factor is that faculty hiring is a priority in Human Resources. This often means there are fewer Human Resource specialists available for assisting with processing classified staff, administrator, and manager position openings. A third reason for delays in the hiring process is that paperwork is lost or stalled when "moving" around the College for approvals. Finally, large screening committees can take weeks to screen applications, making it difficult to coordinate schedules and complete the selection process in a timely manner.

In an attempt to reduce the time and to improve the recruitment process, Human Resources has proposed several modifications, which are currently being piloted. For example, the Employee Documents link in MySite (an information portal available to all faculty and staff) has been updated. Screening committee members can now access a candidate's application documents and view them online by category or by activity. Answers to most the most common selection process questions are readily available on the newly implemented "Human Resources Wiki." This Wiki uses an intuitive question-and-answer format to guide users through most of the steps in the hiring processes [3.13].

The College has a long-standing preference for filling full-time faculty positions with individuals who meet or exceed the minimum qualifications through degrees rather than equivalencies. A majority of our part-time faculty are practitioners who work in the community and bring their unique experiences to our students. Many of our faculty hold positions of leadership in statewide and national professional organizations and shape and influence community college education beyond Saddleback College.

### **PLANNING AGENDA**

None.

**III.A.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.**

### **DESCRIPTIVE SUMMARY**

Regular written evaluations are conducted for all faculty, classified staff, and leadership (administrators and managers) personnel. Faculty evaluation follows the negotiated procedure described in the collective bargaining agreement between the District and the SOCCCD Faculty Association (an affiliate of CTA/NEA) [3.14].

Classified staff evaluations follow the procedures described in the collective bargaining agreement between the California School Employees Association, Chapter 586, and the District. [3.15] Classified employees holding those positions described as Campus Security Officer, Police Officer, and Police Officer Lead are evaluated using the procedures described in the collective bargaining agreement between the District and the South Orange County Community College District Police Officers Association (POA) [3.16].

Board policies and regulations are in place for the evaluation of leadership personnel, both classified managers and academic administrators [3.17] [3.18].

All evaluation procedures are administered through the Office of Human Resources (HR). Evaluations are completed according to a time line and are documented and monitored by the appropriate administrator.

### **Tenured Faculty Evaluation**

The primary goal of the tenured faculty evaluation process is “... to improve the teaching/ learning process and the delivery of student services ...” [3.19]. Tenured faculty members are scheduled for evaluation at least once every two years. Evaluation is a two-part process—student evaluations and an administrative review.

The student evaluations are arranged through the appropriate Vice President’s office and are obtained in each class. The student evaluations are property of the faculty member and are returned to the faculty member at the end of the semester in which they are collected.

The administrative review consists of the appropriate Vice President, dean, or designee making a scheduled classroom/worksite/electronic visit, completing a formal evaluation, and conferring with the tenured faculty member [3.20]. The evaluator seeks to assess the faculty member’s overall performance, including teaching ability, subject matter competence, participation in campus life, and whether the faculty member meets professional expectations [3.21]. The evaluated faculty member participates in the process by submitting relevant documents to the evaluator. Submissions may include a self assessment regarding stated goals and professional growth, class syllabi, sample tests, and other related materials. The evaluator holds a final evaluation conference with the faculty member during which all items in the evaluation process are reviewed.

The faculty member being evaluated may also elect to have a second evaluation by a tenured faculty member of his or her choice. The second evaluation is intended for improvement of the faculty member, and it may become a part of the personnel file.

If the evaluator feels that a faculty member's overall rating is "unsatisfactory" or "needs improvement" and is not meeting the expected performance level, then a plan of action is presented to the faculty member which details the activity or activities for enhancement, the date of completion for each activity, and material which will be acceptable as documentation of action completed. The faculty member will be evaluated again within 12 months.

All written records, findings, and reports are maintained in the Office of Human Resources. According to the time line defined in the collective bargaining agreement, the formal evaluation process must be completed within one year of its initiation, or the process must begin anew [3.22].

### **Probationary Faculty Evaluation**

Evaluation procedures for probationary (tenure track) faculty members are defined in the 2007-2010 Academic Employee Master Agreement [3.14]. The evaluation process is designed to serve two purposes: (1) to ensure that new faculty hires understand their responsibilities to the students, to the College, and to their own professional development and (2) to ensure that Saddleback College maintains high-quality instruction.

The probationary faculty evaluation is a three-step process:

1. The first step is conducted by a tenure review committee (TRC). Each tenure track faculty member is assigned a TRC that follows the probationary faculty member through the four-year probationary period. The TRC is appointed by the probationary faculty member's division dean and comprises the dean and a minimum of two tenured faculty members from the department or from a related department. The appointment of faculty to the TRC is made with consultation and consensus between the dean and the department chair.

The TRC conducts scheduled classroom/worksite/electronic visitation(s) as needed and submits written comments to the dean. The TRC also reviews items relevant to the instructional duties assigned to the probationary faculty member, including, but not limited to, participation in curriculum development and review and in the development and assessment of Student Learning Outcomes (SLOs). Any information included in the probationary faculty member's evaluation regarding participation in the curriculum or the SLO processes are verified and documented. The TRC meets with the probationary faculty members to discuss its evaluation report.

If the faculty member's performance is judged to be unsatisfactory or needs improvement, the TRC will develop a plan of action, which includes follow-up activities, dates of completion, and measurable outcomes to address the issues.

2. Student evaluation is the second step in the probationary faculty evaluation process. The student evaluations are arranged through the appropriate Vice President's office and are obtained in each class. The student evaluations are made available for the faculty member to review and are shared with the TRC at the discretion of

- the probationary faculty members. The student evaluations are the property of the faculty member and are returned to the faculty member at the end of the semester.
3. The third step in the evaluation process is an administrative review. The administrative review is conducted annually by the appropriate Vice President, dean, or designee. In this administrative review, the administrator reviews all data and documentation provided by the TRC as compiled through the tenure review process. A recommendation of renewal or nonrenewal is submitted by the dean to the appropriate Vice President, who then reviews the recommendation and forwards his or her recommendation to the College President. The President reviews the recommendation and forwards his or her recommendation to the Chancellor. The Chancellor reviews the President's recommendation, and in turn, forwards his or her recommendation to the Board of Trustees.

### **Part-Time Faculty Evaluation**

Evaluation schedules for part-time faculty are coordinated by the division dean. Part-time faculty are evaluated once in the first semester of employment and every fourth semester thereafter. The administrative review consists of scheduled classroom/worksite/electronic visit(s), a formal evaluation, and a conference with the part-time faculty members. Evaluations culminate in a written rating report, which is retained in the employee's personnel file. The evaluator may conduct as many classroom observations as deemed necessary to assess the instructor's effectiveness. The process also includes student evaluations [3.24].

### **Classified Staff Evaluation**

Each permanent classified employee receives a written evaluation at least once every two years. New classified employees are placed on a 12-month probationary period. During this probationary period, employees are evaluated once during the initial six months of employment, and again prior to the end of the probationary period.

Human Resources sends reminders to managers to notify them when classified personnel evaluations are due, and HR holds workshops on effective evaluation techniques. Human Resources receives all completed evaluations for inclusion in each employee's personnel file.

The evaluation process provides a method for measuring employee performance based on the employee's classification standards and requirements as stated in the employee's position description. Managers provide guidance to staff in support of their daily work activities. Evaluations are based on the direct observation and knowledge of the evaluator. The evaluation process provides for input by the supervisor and the employee [3.25].

Once an evaluation is completed, the area administrator reviews the evaluation with the employee. When there is concern, the area administrator discusses strategies for improvement with the employee. Any negative evaluation includes specific recommendations for improvement (e.g., a remediation plan) and provisions for assisting the employee in implementing any recommendations made.

### **Campus Security Officer, Police Officer, and Police Officer Lead Evaluation**

All employees in this classification receive an annual written performance evaluation. New employees serve a one-year probationary period. During this probationary period, the work

performance of the employee is evaluated by the immediate supervisor at three months, five months, and eleven months of employment.

All evaluations address those areas that need improvement and identify those areas in which an employee meets or exceeds Police Department standards.

If necessary, the evaluation may also set forth an improvement plan developed by both the supervisor and the employee. The plan outlines specific steps that the employee can take to improve in the identified areas.

### **Administrative Evaluation**

Administrators, managers, and confidential employees (leadership personnel) are evaluated semiannually during the first year of employment and annually thereafter. The evaluation is completed by the immediate supervisor on a designated District form [3.26].

These formal evaluations are designed for leadership personnel to achieve and maintain high levels of work performance. The evaluation process begins with the establishment of mutually agreed-upon goals and objectives for the year, which set the benchmarks against which the employee's accomplishments will be objectively reviewed. If necessary, a remediation plan is provided for "needs improvement" or "unsatisfactory" marks on the evaluation form [3.26].

The completed evaluation is shared with the employee, forwarded to the College President and the Chancellor for review, and transmitted to the Office of Human Resources.

### **SELF EVALUATION**

The College is committed to providing timely and effective performance feedback to employees, feedback intended to encourage their improvement and ultimately improve the quality of the learning environment for Saddleback students.

The College abides by established policies and procedures, contracts, and laws regarding all employee evaluations. Evaluations are conducted by the employee's immediate supervisor, as identified in the employee master agreement or Board policy.

The administrative review portion of the full-time faculty evaluation has been improved to include areas of professionalism and duties directly relevant to the faculty member's participation in the development and assessment of Student Learning Outcomes. Although the faculty contract stipulates that student evaluations will be part of the evaluation process for faculty, the instrument has not yet been agreed upon by the District and the Faculty Association. Currently, therefore, student evaluations are not being utilized. This is being rectified through continued negotiations.

The number of part-time faculty that must be evaluated each year poses a challenge in terms of time and human resources.

The narrative section of the classified evaluation form provides evaluators an opportunity to be as thorough or brief as they choose in the evaluation process. Because guidelines are not specific, the narrative portions of evaluations are used inconsistently. Some evaluators write only a few sentences, while others use the narrative sections to focus upon the employee's strengths and/or areas that need improvement.

The District has implemented a tracking procedure for monitoring due dates for classified employee and faculty evaluations to ensure they are completed in a timely fashion. Some administrators and classified managers have been trained by Human Resources to use the FRISK evaluation model [3.27].

Regular evaluations are conducted to provide input from both the supervisor and the faculty or staff in the individual's performance. While administrators and classified managers are evaluated on their attainment of mutually agreed-upon goals, classified staff and faculty are not. Classified staff and faculty evaluations are more quantitative and do not include goal-setting for effectiveness or improvement in performance.

### **PLANNING AGENDA**

The College will develop clear tenure-review guidelines for conducting faculty evaluations and will improve the process for tracking all faculty evaluations.

**III.A.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.**

### **DESCRIPTIVE SUMMARY**

As mentioned previously, Saddleback College is committed to student learning and student success. As part of their regular responsibilities, Saddleback faculty engage in the assessment of Student Learning Outcomes (SLOs) in all of their courses. In addition, faculty are evaluated on their compliance with this responsibility as part of the faculty evaluation process [3.19] [3.20].

The District's Information Management System, InForm, and its curriculum development and depository system, CurricUNET, contain student success data such as enrollment trends, grade distribution, and completion and retention rates. The availability of these data has changed the context of student success from retention, persistence, and transfer to SLOs. As a result, the focus of such discussions has been redirected from teaching to learning and to whether or not students can demonstrate their understanding and knowledge through practical application.

While the idea of identifying and assessing SLOs is a relatively new discussion for many faculty, it is not new to the College. Career technical education programs have been using performance-based, licensure, and certification exam outcomes as a measure of student learning for many years. Also, departments with sequential courses such as English as a Second Language, mathematics, the sciences, and modern languages have been required to document student learning as a prerequisite to enrollment in the next-level course.

Writing and assessing SLOs is a coordinated effort across the campus, utilizing the expertise of faculty, staff, and management within each department and unit. The faculty members of all disciplines work together on developing and assessing SLOs for their discipline. Their efforts are coordinated by each department chair, who is responsible for inputting course-level outcomes into CurricUNET, linking them to institution-level outcomes, and submitting the completed forms for program-level outcomes [3.28]. All course- and program-level SLOs are developed by the discipline faculty with the assistance of the Educational Planning and Assessment (EPA)

Chair, who serves as the SLO coordinator on campus. Institution-level SLOs are developed by the EPA Committee and approved by the Academic Senate.

Discipline faculty, working as a team, develop the method of assessing each course- and program-level SLO and establish the criteria for success. In the 2005-2006 academic year, the College adopted the Nichols five-column method for reporting SLOs, which includes the SLO, the method of assessing the SLO, the criteria for success, and the use of those results. This form is used to guide our process of SLO development and assessment [3.29].

In the last few years, the professional development activities held during the College's Flex Days have focused on SLOs. Also faculty and administrators have attended workshops and formal training sessions related to SLOs both on and off campus.

The Curriculum Committee now requires SLO statements for all new courses and for courses submitted for adoption or modification. Course modifications include changes to course curriculum, pedagogical methods, course sequencing, and so on. The Program Review guidelines emphasize the importance not only of SLOs but also of Administrative Unit Outcomes (AUOs), outcomes similar to SLOs which are developed by the College's student-support and administrative services units. The faculty, staff, and managers within each of these units are responsible for the development and assessment of unit-level AUOs. These efforts are also coordinated by the EPA Chair.

Examples of workshops offered in the 2009-2010 academic year include the teaching of Web-enhanced courses, building better syllabi, service learning, and reading strategies to better engage students. The Institute for Teaching and Learning (ITL) allows faculty from across the campus to come together to discuss student learning and success [3.30].

The EPA Committee is a standing committee of the Academic Senate and is responsible for coordinating all SLO and AUO efforts on campus. The EPA Committee is chaired by a faculty member with 100 percent reassigned time. The College also hired a full-time research specialist in 2008-2009 who works exclusively on SLOs/AUOs, Program Reviews, and Administrative Unit Reviews. Her responsibilities include working with faculty, staff, and managers to gather data necessary for meaningful evaluation and help to interpret the results so that improvements can be made.

The EPA Chair and research specialist work independently with discipline faculty and department chairs in writing and assessing SLOs. This individual attention has proven to be the most effective means to improve faculty performance in these areas. After several meetings, faculty are often more confident in continuing this work on their own. The EPA Chair, however, constantly monitors the work submitted by faculty and will initiate subsequent meetings if faculty understanding of the process is not satisfactory or if the work is incomplete.

The College purchased Scantron's ParScore and Class Climate system for use in assessment and evaluation. This system provides the College the opportunity to report and analyze yearly SLO assessment, as well as to produce longitudinal studies.

SLO assessment findings are used to improve student learning at the course and program levels. Institutional SLOs (ISLOs) were developed for Saddleback's degree, general education, and transfer program core competencies. These ISLOs are maintained in the CurricUNET curriculum system. Each ISLO report assists the College in evaluating the level to which students are



learning each of the core competencies. When deficiencies are noted, workshops are held for faculty teaching those courses with the goal of improving student learning.

Another method faculty use to improve their teaching is to collaborate with colleagues whose students have successfully achieved the stated learning outcomes. In addition, faculty seek new materials and ways to enhance the existing learning materials. For example, faculty use technology such as online databases, online video clips of teaching demonstrations, interactive Web sites, and specialized computer software. Smart classrooms—those equipped with a computer, a permanently mounted projector system, and other multimedia equipment—are readily available to faculty who wish to incorporate them into their teaching methods. SLO assessment informs faculty as to the effectiveness of their teaching and provides information faculty need to further improve their teaching techniques, procedures, and use of learning resources.

In addition to these Collegewide in-service efforts, faculty members participate in department and/or discipline professional development activities, which are focused on course and program SLOs. The College Institutional Research Department offers workshops to assist departments to develop, refine, and assess their course and program SLOs. (For additional information on SLOs, see Standards I and II.)

### **SELF EVALUATION**

The College has made steady progress on planning and developing SLOs for the “core competency” courses, program/certificate courses, and standalone courses. Assessment planning and measuring as well as providing a dialogue on assessments have been the focus of the 2007-2008 and 2008-2009 academic years. Time lines have been discussed at the Consultation Council (CC) for ongoing assessment.

Methods of assessing SLOs and the discussion and analyses of the results vary from department to department; some departments and individual faculty members are more deeply engaged than others. Nonetheless, all departments participate in discussions related to SLOs. Some of the most extensive discussion related to SLOs occurs in committees such as the Curriculum Committee and the EPA Committee. Faculty members from various disciplines serve on these committees, sharing their experiences and insights and carrying the discussion back to their respective departments.

The College has proactively addressed faculty members’ participation in SLO development and assessment by making it a part of the evaluation for all faculty. During the evaluation process, the evaluator is asked to evaluate the faculty member’s participation level in creating, assessing, and/or discussing SLOs. As a result, most faculty members are now fully engaged in using the SLO assessment process to improve their instruction and student learning.

Administrators are asked, as part of their annual Self Evaluation, to identify their accomplishments based on objectives included in the SLOs. Thus the ISLO objectives serve as a means for assessing administrators’ active involvement in achievement of the College’s ISLOs.

Classified managers and staff who are closely linked to instruction (e.g., instructional assistants) have begun to recognize the role they play in student learning process. For example, the Director of the College’s tutoring center, the Learning Assistance Program (LAP), works directly

with the tutoring staff to develop the LAP's SLOs, which are assessed and reported on the program level in a similar fashion to instructional program SLOs.

According to the Spring 2009 Employee Survey, approximately 69 percent of the respondents agreed with this statement: "I have had the opportunity to have input into Student Learning Outcomes (SLOs) at Saddleback College." This positive response demonstrates commitment to the SLO process [3.31].

### **PLANNING AGENDA**

None.

#### **III.A.1.d. The institution upholds a written code of professional ethics for all of its personnel.**

### **DESCRIPTIVE SUMMARY**

The District and the College have written policies that provide standards for ethical conduct of its personnel to encourage them to conform to such standards as stated in Federal and State laws and by professional educational organizations. These policies also delineate processes for resolving internal disputes in a collegial and ethical manner.

The Board of Trustees sets standards for the conduct of its own members through Board Policy 1300, Code of Ethics for Members of the Board of Trustees [3.32]. Additionally, the Board's prohibitions against divided loyalties (e.g., financial interest in contracts and holding incompatible offices) and the requirements of disclosure of certain economic interests are addressed in Board Policy 154 and Administrative Procedure 154, Conflict of Interest [3.33], and in Administrative Regulation 4000.9, Conflict of Interest Code [3.34]. Together, these policies and procedures embody the institutional Conflict of Interest Code required by California law.

Each College employee group has a code of ethics:

- The District Leadership Team (DLT) formed a subcommittee that developed a Statement of Ethics, and the DLT adopted it for all College and District administrators and managers [3.35].
- In 1998 the Academic Senate drafted and approved the "Faculty Code of Ethics and Professional Standards" [3.36].
- The classified staff has its own ethics statement through its affiliation with CSEA [3.37].
- The Associated Student Government has a code of ethics [3.38].
- The Police Officers Association follows the Law Enforcement Code of Ethics Statement [3.39].

Any unethical behavior is addressed through the evaluation process and/or grievance procedure.

### **SELF EVALUATION**

The Board of Trustees, the College Academic Senate, the District Leadership Team, the bargaining group, and the Associated Student Government each has its own code of ethics,

which provides guidance to each group; however, these documents fall short of having the influence and impact that a College code of ethics would have for all personnel. A thoughtful debate regarding College culture and standards of behavior should take place that fully engages all groups. Each group's ethics statements needs to be distributed annually and included in new-employee orientation.

### **PLANNING AGENDA**

The ethics statements will be reviewed annually by the appropriate groups, disseminated to each group's membership, and included in new-employee orientation.

**III.A.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.**

### **DESCRIPTIVE SUMMARY**

The California Code of Regulations, Title 5, Section 51025, requires each community college district to employ a specified minimum number of full-time faculty. This requirement is expressed in terms of full-time equivalent positions and is commonly referred to as the full-time "faculty obligation number" (FON). In the 2008-2009 academic year, the SOCCCD had a FON of 305.8 (56.90 percent) for both Colleges in the District.

Title 5, Section 51025, also requires community college districts to increase the number of full-time faculty annually in proportion to the amount of growth in credit-funded full-time equivalent students (FTES). However, due to budget conditions, on November 3, 2008, the Board of Governors of the California Community Colleges determined that inadequate funds had been provided to support an increase in the obligation. Therefore, the FON for the 2009-2010 academic year remained the same as in 2008-2009 [3.40].

It is generally recognized campuswide that more full-time faculty are needed to effectively carry out the work of the College, especially as faculty now have the additional duty of documenting SLO data and the decisions that are made based on the assessment results. The Board of Trustees, too, has recognized the need for additional faculty and has committed to hiring full-time faculty above the FON required by the California Community Colleges Chancellor's Office [3.41]. At its September 2009 meeting, the Board of Trustees approved, budget permitting, the hiring request for ten new tenure-track faculty positions for the College in the 2010-2011 academic year.

College data show that from 2004-2008 full-time equivalent faculty have increased 13 percent, classified staffing increased 18 percent, and administrative and management staffing remained unchanged. In this same time period, student enrollment grew approximately 11.27 percent [3.42]. Many of the new classified and management positions were temporary, grant-funded positions.

The College has a process in place to determine its human resources needs. As previously mentioned, the College follows a standardized hiring prioritization process for each employee

group—faculty, classified staff, and managers and administrators. These processes consider Program Review documents and data.

Staffing for new faculty positions is based on multiple criteria. The department requesting a new position provides the Faculty Hiring Prioritization Committee with information outlining how the position supports the needs of the College. The Faculty Hiring Prioritization Committee reviews and evaluates all of the faculty positions requested by each department or unit, measuring each request against criteria such as departmental and discipline needs, student demand for classes in the discipline, the ratio of full-time to part-time faculty in the discipline, ISLOs, and the College's mission. The Committee sends a prioritized list of recommended positions to the College President, who analyzes them in light of the College's needs, priorities, fiscal considerations, and other requirements related to full-time faculty, as well as his own vision for the future of the College. He then forwards the final recommendations to the Chancellor for review and to the Board of Trustees for approval.

The need for classified staff is reviewed by considering institutional needs and the College budget. A determination is made if a replacement or a new position is to be funded or not funded for the current year, deferred to a future time, or left vacant.

The administrative structure of the College divisions is developed by the College President in consultation with the Vice Presidents, and the President's recommendations are subject to approval by the Chancellor and the Board of Trustees.

Resource allocations for all new positions that require general-fund monies are identified through the Strategic Planning Process.

A good indicator of the quality and the expertise of our faculty, classified staff, and classified managers is their length of service to the College and their educational preparation and training. Because they have a markedly longer service record than the administrators, it is they who give stability and consistency to the College. According to the Office of Human Resources:

- Nearly 60% of our tenured faculty have been with the College more than 10 years. More than 35% have 20 years or more of service to the College, and 12% have more than 30 years of service. Our most senior faculty member, with over 40 years of service to the College, is the only remaining "founding faculty member" [3.43].
- More than 10% of our part-time faculty have been with the College more than 10 years, 9% have been with the College more than 15 years. Six part-time faculty have been with the College more than 30 years.
- Nearly 40% our classified staff have more than 10 years of service to the College. Slightly more than 25% have been with the College more than 15 years, and almost 16% have more than 20 years of service. Eight (3%) of our classified staff have been with the College more than 30 years.
- Our educational administrators are relatively new to the College; 80% have 10 or fewer years of service with the College. Two of our most senior administrators have been with the College more than 25 years.
- More than 40% of our classified managers have more than 15 years of service to the College, 28% have more than 20 years, 16% have more than 25 years, and 13% have more than 30 years of service to the College.

Of our tenured faculty 52 (29 percent) have doctorates, 15 (31 percent) of our probationary faculty have doctorates, and 10 percent of our part-time faculty have doctorates. It is important to note that none of our faculty positions require this advanced degree. However, as the data indicate, faculty in all categories exceed the minimum requirements for their positions [3.43].

The personnel turnover rate at Saddleback College is low, and there have been very few terminations, indicating a good match between new employees' qualifications and their job responsibilities.

The development of administrative positions is conducted with the District's overall review. In the Employee Survey of Spring 2009, responses to item 6.2, "Saddleback College program and service needs are used for human resource decisions," indicate that only 45 percent of the respondents agree with the statement, 19 percent disagreed, and 35 percent were neutral.

### **SELF EVALUATION**

The Program and Administrative Unit Review process has kept the institution on track with identifying staffing needs. Program Reviews increase the correlation between institutional planning and staffing decisions to provide an improved methodology for maintaining the appropriate level of faculty and staff required to maintain the depth, breadth, and responsiveness of our quality programs. Workload issues and workspace issues can be anticipated and addressed to maintain high morale because employees have the tools needed to succeed.

Full-time faculty and staff have a vested interest in the College and its students and contribute significantly to the success of its programs. Because of these factors, hiring more full-time faculty and staff where needed has enhanced the quality and diversity of our program offerings.

The College has the processes and procedures in place for determining staffing levels needed to maintain its programs and services. Unfortunately, during the present economic crises, the hiring of new and replacement staff has come under greater scrutiny. Consequently, College personnel must find ways to continue to provide services or cut back programs and services while positions remain open. Because of this atypical situation, Saddleback College faculty and staff have displayed a strong commitment to continuing to serve large numbers of students who need educational programs.

As the College successfully competes for grants, it needs to carefully monitor categorically funded positions to ensure consistency with the position's responsibilities and compensation structure.

The College has not established division benchmarks for appropriate work levels and/or staffing needs, even though a Deans' Workload Survey has been conducted. There is concern among administrators that their heavy workload may limit their ability for professional growth. A Statewide comparison of the number of students per administrator shows that Saddleback College is ranked 102 out of 110 colleges by college size [3.44].

### **PLANNING AGENDA**

None.

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

SOCCCD has personnel policies and procedures in place that ensure fairness and equity in its employment procedures. Personnel policies are drafted in the District Office of Human Resources (HR) with input through the consultation process with the Colleges' shared governance committees and through negotiations between the District and the collective bargaining units. Draft policies and administrative regulations are reviewed and approved by the Board Policy and Administrative Regulations Advisory Council (BPARC) and, when approved, are forwarded to the Chancellor for review and submission to the Board of Trustees for approval and adoption. This is an ongoing process that ensures that existing policies are reviewed regularly and new policies are developed when needed to maintain the District's commitment to unbiased and impartial treatment of its employees.

All personnel policies are located in the Series 3000 (Personnel) section of the Board Policies and Administrative Regulations publication. They are developed to ensure that District policies and procedures regarding areas such as employment, nondiscrimination, evaluation of employees, and resolution of employee complaints are applied fairly and consistently. Board policies and administrative regulations are available to all employees through the Documents link in MySite (the District's information portal) [3.45].

Procedures governing grievances procedures and appropriate complaint forms can be accessed on the Human Resources Wiki [3.13]. Human Resources is also responsible for ensuring that grievance procedures are consistently and fairly administered to all College personnel.

Grievance procedures are defined under the individual employee agreements: faculty, classified staff (CSEA members) [3.15], and police officers (POA members) [3.16]. The grievance procedures are readily available to all employee groups from the Human Resources Wiki [3.13] and the Harassment Policy and Complaint administrative regulation [3.46].

All new-employee selection committees have an Equal Employment Opportunity (EEO) representative to ensure that selection procedures are applied fairly and consistently. EEO representatives are required to attend training prior to serving on the committee. All employees who participate on a hiring committee are required to receive EEO training and to complete confidentiality statements prior to the screening and selection process. The EEO training outlines the laws regarding discrimination and the roles of the EEO representative, the committee, and the committee chair.

**SELF EVALUATION**

The EEO representatives should be retrained yearly to ensure consistency in the application of new policies and procedures and any new legislation that may impact the hiring process.

**PLANNING AGENDA**

None.

**III.A.3.a. The institution establishes and adheres to written policies ensuring fairness in all employment procedures.**

**DESCRIPTIVE SUMMARY**

As mentioned above, Board policies, administrative regulations, and collective bargaining agreements govern the personnel practices at the College. The Board policies and administrative regulations for all personnel are revised by the Office of Human Resources in consultation with College administrators, managers, and governance committees.

Employment regulations that have been negotiated with the following employee groups are noted in the collective bargaining agreement:

- Faculty – Academic Employee Master Agreement, 2007-2010, Final Agreement: 3/23/09 [3.47]
- Classified Staff – CSEA Contract, July 1, 2008 – June 30, 2011 [3.15]
- Police Officers – Police Officers Association Master Agreement, July 1, 2007 – June 30, 2010 [3.16]

In addition to the collective bargaining agreements, the District has general policies and regulations in place that govern the treatment of all personnel at the College. These agreements can be found in the 3000 Series (Personnel) in the Board Policies and Administrative Regulations publication.

The District subscribes to the California Community College League Model Policy Service. The legislative history of policies and authorizing statutes and regulations are noted in all Board policies and regulations where possible for ease of research and interpretation. Consultation is observed in developing policies of concern to the District and College constituency groups. A Districtwide policy committee, the Board Policy and Administrative Regulations (BPAR) Advisory Council, which represents all constituency groups, is charged with identifying and recommending all policies legally required by State and Federal law and by the Accreditation Commission. The BPAR Council maintains a systematic and periodic review of all existing College policies to ensure that they are legally current and in accordance with the provisions of Title 5 of the California Code of Regulations.

Reporting to the Deputy Chancellor, the BPAR Council is the consultative body for policies and regulations. The Council comprises the three District Vice Chancellors, both Colleges' Vice Presidents for Instruction and Vice Presidents for Student Services, both Colleges' Academic Senate Presidents, both Colleges' Classified Senate Presidents, the SOCCCD Faculty Association President, two instructional deans, and a member of the Office of Human Resources. The BPAR Council meets regularly (approximately every two weeks, except during holidays) to review existing policies and regulations as well as review the need to develop and implement new policies and regulations. The Council provides recommendations to the Chancellor, the Chancellor makes policy recommendations to the Board of Trustees, and the Board then votes on the Chancellor's recommendations or policies.

The BPAR Council is charged with developing a schedule to address existing gaps in policies, a process for on-going review, and a process for assisting with new-policy development. Priority is given to policies and procedures that do not currently exist but have been identified as legally

required and to those that are currently identified as legally inaccurate or that need to be reconciled with other legal documents of the District such as collective bargaining agreements.

Questions about existing policies and procedures can be referred to appropriate administrators and to Deputy Chancellor for clarity about the administrative regulation associated with implementation of any given policy.

Personnel in Human Resources routinely address a range of questions regarding policy application with the goal of consistency in application and administration.

Changes in policies and procedures that are pertinent to faculty are communicated to administrators and the College Academic Senate. The administrators and Senate officers, in turn, communicate the updated policies to the faculty.

Policies concerning discrimination, sexual harassment, and equal employment opportunity exist in Board Policies 4000.4 [3.48] and 4000.5 [3.51]. Grievance procedures are included in Administrative Regulation 4000.5 [3.50].

Training in prevention of discrimination and harassment is required of all administrators and managers. Equal employment opportunity training is available to all faculty and is required for representatives serving on screening committees for faculty positions.

### **SELF EVALUATION**

The District has extensive policies to ensure fairness in its employment procedures, is quick to follow up on any known policy violation, and investigates if necessary.

The District Office Human Resources works with the College Presidents and participatory governance committees at each College to ensure that the personnel-related board policies and administrative regulations are developed and updated as needed. Updates are disseminated Districtwide and posted in the Documents Section of the MySite portal [3.51] and in the Human Resources Wiki [3.13].

Human Resources ensures that policies and regulations are adhered to and that treatment of all personnel is fair and equitable.

College community awareness of the existence of personnel policies could be improved. This effort has begun through updates to the District information portal (MySite). Through the Human Resources Wiki, all employees now have improved access to personnel policies and procedures and to the most current documents and forms [3.13].

### **PLANNING AGENDA**

The College, through its relevant governance groups, will work with District Human Resources to institute an ongoing, systematic review of all personnel-related policies and procedures.



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

**DESCRIPTIVE SUMMARY**

Extensive individual employee data are maintained in electronic form by the Office of Human Resources. Employee data are managed with strict security; access is limited to the Human Resources personnel. Hardcopy personnel files, including evaluations for all employees, are maintained in fireproof, secure file cabinets in the Office of Human Resources.

Each employee has the right to inspect materials in his/her personnel file consistent with State law, Board policy, and collective bargaining agreement provisions. A Human Resources employee is present when the records are reviewed and makes photocopies of any documents that may be requested by the employee. The District does not charge a fee for employees to make copies of their personnel files.

Human Resources offices and file cabinets that contain confidential documents are locked and are secured at the end of each business day. Human Resources receives fingerprint information on a secure network computer in an internal, secure location.

Board Policy 3008 [3.52] and Administrative Regulation 3008 [3.53] explain the process for retaining and destroying (shredding) records, as described in the Records Retention Manual [3.54]. Human Resources evaluates Public Records requests and subpoenas served on the College in order to ensure that any release of documents containing personal information conforms to Board policy and to State and Federal regulations.

**SELF EVALUATION**

The need for confidentiality of personnel records is continually stressed to all Human Resource personnel. There has never been an incident of inappropriate release of personnel information by Human Resources staff, and no staff member has ever been disciplined for inappropriate handling of personnel materials.

All District and College personnel are made aware of District and Board policies and Administrative Regulations that must be followed related to the release of personal, confidential, and privileged information.

Medical records are maintained in secure cabinets separate from the personnel files. The District protects all medical information regarding an individual according to the Confidentiality of Medical Information Act (CMIA), Calif. Civil Code, Section 56 et seq., and the Health Insurance Portability Accountability Act (HIPAA), Public Law 104-196 [3.55].

A Districtwide Records Retention Committee reviews all record-retention systems and makes changes to ensure uniform access and storage [3.55].

Personnel files are maintained only in the Office of Human Resources filing cabinets, and only employees, supervisors, and Human Resources staff members have access to the filing cabinets. There is a sign-out card for each file that records who has reviewed the files. When a file is being reviewed, a Human Resources staff member is present to ensure items placed in the files remain in the files and that no materials are added to the file.

## PLANNING AGENDA

None.

### **III.A.4. The institution demonstrates through policies and practices an appropriate understanding of and concern for issues of equity and diversity.**

Board policies and administrative regulations are followed strictly to foster equity and promote diversity in the District and on the College campus. These policies and regulations are addressed in the College's statement of Values, the Student Equity Plan, the Staff Development Plan, and Associate Student Government programs.

The College's commitment to recognizing and addressing the importance of equity and diversity is demonstrated by the College's values statement, which guides the implementation of the College Mission Statement. The values statement includes "inclusiveness" and states that "We cultivate equity and diversity by embracing all cultures, ideas, and perspectives" [3.56].

Board Policy 4010 further states the College's commitment to diversity:

The District is committed to employing qualified administrators, faculty, and staff members who are dedicated to student success. The Board recognizes that diversity in the academic environment fosters cultural awareness, promotes mutual understanding and respect, and provides suitable role models for all students. The Board is committed to hiring and professional development processes that support the goals of equal opportunity and diversity, and provide equal consideration for all qualified candidates [3.57].

## SELF EVALUATION

Ensuring diversity in faculty recruitment and retention at Saddleback College and in the SOCCCD is an ongoing process. The College has established policies to address equity and diversity issues for all employees and students of the College. The policies are applied consistently and fairly.

The District is committed to maintaining hiring and staff development processes that support both equal opportunity and diversity and that provide equal consideration for all candidates as required in Federal and State law.

College faculty, staff, administrators, and managers recognize and celebrate diversity. Institutional practices and organizations support the diversity of the staff, which in turn promotes recognition of and appreciation for diversity of the students.

On its Web site ([http://soccdd.edu/humanresources/hr\\_about.html](http://soccdd.edu/humanresources/hr_about.html)), the SOCCCD proudly boasts:

The South Orange County Community College District does not discriminate in employment on the basis of race, color, ancestry, national origin, religious creed, sex, physical handicap (including AIDS), medical condition (cancer-related), age (over 40), sexual orientation, or marital status and is subject to Title IX of the Education Amendments of 1972, Title VII of the Civil Rights Act of 1964, as amended, Section 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, and California Labor Code 1102.1 [3.58].

All faculty job announcements include two key statements that underscore the College's commitment to diversity. First, announcements state that faculty positions require that

applicants show “Evidence of sensitivity to and understanding of the diverse academic, socioeconomic, cultural, disability, and ethnic backgrounds of community college students.” Second, each announcement includes this statement: “South Orange County Community College District is an Equal Opportunity Employer.”

### **PLANNING AGENDA**

None.

#### **III.A.4.a. The institution creates and maintains appropriate programs, practices, and services that support its diverse personnel.**

### **DESCRIPTIVE SUMMARY**

The College demonstrates its commitment to diversity through its Board policies, administrative regulations, shared governance committees, and campus activities for employees and students.

As previously mentioned, the District is committed to the principles of equal employment opportunities. It is the District’s policy to ensure that all qualified job applicants have full and equal access to employment opportunities and are not subjected to discrimination in any District program or activity.

The District has an Equal Employment Opportunity (EEO) officer, who is also the Assistant Director of Human Resources. The EEO officer is responsible for ensuring that hiring committees comply with Board policy and with established hiring procedures, so that applicants receive fair and equitable treatment. It is also the responsibility of the EEO Officer to provide sexual harassment and diversity training to College personnel and to assist in the investigation of employee complaints of discrimination.

The Human Resources staff addresses the means of selecting and training screening committees. The hiring process for permanent faculty requires hiring committees to attend EEO training. The Office of Human Resources annually reports the District’s workforce composition.

The Cross Cultural Studies (CCS) program was established in 1994 to address concerns about sensitivity to diversity on campus. The CCS program is an academic program leading to an AA degree, and the CCS Center houses a wide array of materials on issues of diversity. The CCS Committee, a standing committee of the Academic Senate, oversees the program. The Committee is also responsible for extracurricular programs on campus featuring guest speakers, panel discussions, and film showings that lead to greater awareness of diversity issues.

The Associated Student Government (ASG) offers a number of venues for greater understanding and further exploration of cultural diversity among students and campus personnel.

Newly established in the 2008-2009 academic year, the Saddleback College Diversity Student Council (DSC) is a component of the Student Senate that promotes cultural diversity and tolerance through programs and events offered to the student body. The DSC has organized events for Persian New Year, Cambodian New Year, and a Black History Month Series. The DSC is open to the entire student body, as well as campus organizations. In previous years the DSC worked closely with the Persian Club, the African Student Union (ASU), and Appreciation of Pilipino American Culture (APAC) in coordinating events.

ASG also financially supports campus activities, group projects, and a variety of events each year that support cultural diversity. Additionally, faculty and staff are invited to apply for grant funding for their own projects [3.59]. The student clubs that foster appreciation of different cultural experiences include Appreciation of Pilipino American Culture (APAC), the Black Student Union, the Campus Crusade for Christ, the Christian Students Club, the Gay & Straight Alliance, the German Club, the Latin American Film Club, Latter-Day Saint Students, and the Muslim Student Union [3.60].

Through the efforts of the International Student Program Office, the College makes every effort to integrate the international student population into campus life [3.61].

### **SELF EVALUATION**

Saddleback employees embrace the diversity within the community. ASG's Diversity Student Council and the Inter-Club Council have contributed to an already-positive understanding of, concern for, and support for issues of diversity and equity.

### **PLANNING AGENDA**

None.

#### **III.A.4.b. The institution regularly assesses its record in employment equity and diversity consistent with its mission.**

### **DESCRIPTIVE SUMMARY**

The Office of Human Resources gathers data from all job applicants consistent with Equal Employment Opportunity (EEO) reporting categories and requirements. Using these self-reported data, the District produces an annual report of the composition of permanent positions by gender and by ethnicity. The annual report includes a breakdown of the new hires in each of the position categories (i.e., faculty, classified staff, classified managers, and administrators).

Applicant pools for all positions are assessed by Human Resources before the applicant pool is released to hiring committees. The Director and the Assistant Director of Human Resources systematically review the advertising used to promote all positions to determine whether additional focused recruiting is necessary to increase the numbers of underrepresented applicants. When additional recruiting is deemed necessary, deans and department chairs are consulted for recruitment purposes.

Board Policy 4000.5 identifies the regular process by which the District works diligently to ensure all complaints are investigated and resolved according to the policy [3.49].

The District annually reviews all of its employment records through the submission of the MIS Report to the System Office as well as the Equal Employment Opportunity 6 Report. This provides a detailed breakdown of all employees [3.62].

## SELF EVALUATION

Procedures are in place for staff and students to address concerns about fair and honest treatment. The District has conducted training programs about sexual harassment and unlawful discrimination in the past and will schedule training for all employee groups in 2010. This training was completed online by the District Leadership Team members in accordance with California AB 125 through Keenan SafeColleges.

## PLANNING AGENDA

None.

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

## DESCRIPTIVE SUMMARY

The College subscribes to, advocates, and demonstrates integrity in the treatment of faculty, staff, and students through deliberate and strategic venues. Specifically, the three key methods for ensuring integrity are (1) the College Strategic Plan, (2) Board Policies and Administrative Regulations, and (3) Saddleback College's commitment to shared governance.

Four of the College's Value Statements, which support the College Mission Statement, underscore Saddleback's pledge to treat administrators, faculty, staff, and students with sincerity and autonomy. These values are:

- Collegiality—We foster a climate of integrity, honesty, and respect.
- Partnership—We strive to develop strong and lasting partnerships among students, faculty, staff, and the community.
- Academic Freedom—We endorse academic freedom and the open exchange of ideas.
- Inclusiveness—We cultivate equity and diversity by embracing all cultures, ideas, and perspectives.

Board policies and administrative regulations are the mechanism for ensuring that campus processes maintain integrity and transparency. Beginning with Board Policy 112, Duties and Responsibilities of the Board of Trustees, "The Board of Trustees governs on behalf of the citizens of the South Orange County Community College District in accordance with the authority granted and duties defined in Education Code Section 70902" [3.63].

Board policies are readily available on the District information portal, MySite, for faculty, staff, and administrators, and on the District Web site for students and the public. The Education Code of the California Community Colleges requires that community colleges genuinely and effectively include campus constituencies in the institutional decision-making process. This process is identified as "shared governance." The inclusion of the Board, faculty, staff, and students in campuswide decisions is outlined below.

Board Policy 2100.1, Delegation of Authority to the Academic Senate, states: "... it is the policy of the Board of Trustees that there shall be appropriate delegation to the college academic senates of responsibility for and authority over academic and professional matters" [3.64].

Board Policy 2100.2, Role and Scope of the Academic Senates, defines the role and scope of authority of the District's Academic Senates in relation to the Board of Trustees [3.65].

Board Policy 4056, Classified Employees Participation in Decision Making, provides the classified staff "... opportunities to participate effectively in District and college governance, and in the joint formulation and development of District policies and procedures, that the Board reasonably determines, in consultation with the Classified Senates, have or will have a significant effect on staff" [3.66].

The above-listed policies provide a strong framework to ensure equitable treatment, and they are supplemented with additional training. Every two years all supervisors within the District are required to go through unlawful-discrimination training. Annually there are workshops that deal with students' rights and unlawful discrimination.

### SELF EVALUATION

SOCCCD's Board Policies and Administrative Regulations and Saddleback's shared-governance model work collaboratively to uphold institutional equality and integrity for faculty, staff, administrators, and students.

Collaboration is not always a perfect process, but the campus climate and culture have begun to rely on broad dissemination of information and civil discourse. The College receives only a few employee grievances and formal complaints regarding unfair treatment or discrimination each year, and after investigation, very few of those have been found to have had merit. Three discrimination complaints were made in the 2008-2009 academic year. Two were addressed and investigated, and one was found to have no merit [3.67].

### PLANNING AGENDA

None.

**III.A.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.**

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

### DESCRIPTIVE SUMMARY

All full-time faculty are required to participate in professional development activities for a minimum of 38 hours during each academic year [3.68]. The District calendar devotes 9 days of the required 175 annual teaching days to professional development for faculty. These days are referred to as "Flex Days." Faculty may elect to participate in a planned program of lectures and workshops or to perform individual activities on the designated Flex Days or any time during the academic year. Opportunities for classified employees are incorporated into the College Flex Days program [3.69].

The College Academic Senate, with participation from former Senate officers, has developed and implemented an orientation program for new faculty. Faculty, classified staff, and

administrative staff are encouraged to participate in staff development seminars and workshops. Additionally, all probationary faculty are expected to provide documentation to their Tenure Review Committee (TRC) that they are actively maintaining currency in their discipline through professional literature, professional memberships, workshops, conferences, or other activities.

The Academic Senate's Faculty Development Flex Committee [3.70] and Faculty Development Funding Committee [3.71] are the major sources for planning and support of faculty professional development activities. The Faculty Development Flex Committee oversees the planning and implementation of Flex Day activities. As its name implies, the Faculty Development Funding Committee is responsible for the distribution of funds available for faculty professional development.

Each year approximately 250 funding awards are made to full- and part-time faculty to attend conferences or work on independent projects. Faculty development funds are also utilized to provide technology training through the Innovation and Technology Center (ITC), the Center for Instructional Design Distance Education (CIDDE), and the Institute for Teaching and Learning (ITL) established by the Educational Planning and Assessment Committee.

Ideas for Flex Day professional development activities are solicited through an Employee Survey, evaluation findings from previous professional development activities, and discussions of various campus concerns during Academic Senate and shared governance committee meetings. Traditionally, the Office of Human Resources sponsors a CalSTRS update/benefits workshop and, based on feedback from faculty members, will be adding a CalSTRS financial planning workshop in future Flex Day programs.

From the academic years 2004-2005 to 2009-2010, the awareness of faculty development funding has grown considerably. In the 2004-2005 academic year the College funded only 77 professional development requests. Only full-time faculty were eligible to receive funding at that time. Currently, full funding (with strict limits in each category) is available to full-time faculty and proportional funding is available to part-time faculty. With the current funding level and procedures, more than 150 faculty members can be funded to attend conferences in any academic year.

According to their collective bargaining agreement, full-time faculty members are eligible to apply for sabbatical and professional development leaves [3.72]. The sabbatical is intended for the professional enhancement of the faculty member, which shall be to the benefit of the faculty member, his/her College, students, and/or the District. The value of what the faculty member may contribute following his/her return includes, but is not limited to, the areas of pedagogy, curriculum development, and the culture of the College and the community. Every year the District makes available up to 29 semesters of sabbatical leaves. The formula for calculating the number of sabbaticals is a negotiable item, and this figure is a percentage of the total number of full-time faculty.

Professional development funding also provides an incentive for faculty to participate in conference planning, join a professional organization, serve on a panel, present academic papers, and conduct workshops.

The Great Teachers Seminar (GTS), currently being planned for the third year, inspires and motivates faculty to improve classroom performance. In the GTS, faculty share successful

strategies, solutions to common problems, comments on inspirational books, and accounts of favorite teachers. The most important GTS byproduct is the sense of unity and belonging that it fosters. Approximately 30 full- and part-time faculty participated in the last GTS event.

The Educational Planning and Assessment (EPA) Committee established an Institute for Teaching and Learning (ITL), and the focus of the ITL is to identify and present workshops on best teaching practices. The Office of Instruction has identified classified support training for in-house computer information technology systems, such as CurricuNet, inFORM, Student Information System (SIS), and the District's financial system, Escape.

Professional Development Leaves may be granted for professional development, which may include additional schooling and/or training, participation in faculty exchange programs, a project/activity that would benefit the College and/or District, involvement in research efforts, and acceptance of long-term assignments to other higher education institutions, agencies, corporations, foundations, or to the government.

Human Resources also hosts professional development activities specifically for administrators and managers. Using the results from an annual survey of the District Leadership Team (DLT), Human Resources designs professional development activities around the top priorities. For a number of years the legal firm of Liebert Cassidy Whitmore has provided training on topics such as absenteeism prevention, performance management, the Education Code and Title 5, equal employment opportunity, and current developments in workers' compensation. In 2008-2009 the DLT participated in a self-paced online series entitled "Supervision Series: Essential Skills of Leadership."

Human Resources also coordinates and documents the State-mandated harassment-prevention training for all employees, which is conducted annually during Flex Day activities. Also during Flex Day activities, Human Resources facilitates a performance evaluation training program called "FRISK" (Facts Rules Impact Suggestions Knowledge) for all administrators and managers [3.73].

Classified staff are permitted, with management approval, to attend Flex Day activities. During the spring break the classified staff have one day set aside for Districtwide classified staff professional development. In addition, professional development funds are available to the classified staff. A Staff Development Committee manages the professional development fund and allocates funding on a proposal basis.

From the 2006-2007 to the 2009-2010 academic years, funding of the Staff Development Committee has grown considerably. All permanent full- and part-time classified staff are eligible to receive funding for appropriate classes, books, tuition, and conference fees. Classified staff are encouraged to participate in different activities throughout the State to broaden their horizons and to create new learning opportunities for themselves and their colleagues. Classified staff members have attended the Community College League of California Conference (CCLC). Others attended the Classified Leadership Institute (CLI), a yearly event sponsored by the California Community College Classified Senate. During the year the classified staff also participated in activities on and off campus to help strengthen and bolster team-building among the College's classified staff.



Many of the classified staff attend formal classes with the goals of obtaining a degree or an advanced degree. Therefore, besides enhancing their work at the College, they are also provided with assistance in personal growth and advancement in their respective career goals.

In the 2007-2008 academic year, when professional development funding was at an all-time high, the College expended \$28,000 on classified staff development activities. The following year, the College funded an additional \$25,075 for classified staff professional development requests.

Each College academic administrator has a modest budget for professional development. The President and the Vice Presidents have professional development funds available for their use as well.

Total college-wide expenditures for all funds/accounts including ASG and Foundation totaled \$443,147 in 2009-2010 [3.74].

Board Policy 4111, Administrative/Classified Leadership Leave (Without Loss of Pay), provides up to 60 calendar days of leave for all administrators and classified managers [3.75]. Because it is often difficult for an administrator or manager to participate in professional development activities that require an extended period of time (e.g., a university course or a certification program), this policy is available for such purposes.

Wherever possible, professional development offerings and activities are linked to the College's Mission Statement and to the ten Value Statements that guide the implementation of the Mission Statement [3.76].

### **SELF EVALUATION**

The District and the College provide a wide variety of professional development opportunities to College faculty, staff, administrators, and managers throughout the year. The College solicits evaluation surveys to identify areas of strength and areas that need improvement. The comments from these surveys are incorporated into the planning of future professional development programs and opportunities. The evaluation findings also assist the College to ensure meaningful professional development activities are being made available to all members of the College community.

In addition to evaluating the quality of the professional development events, faculty are evaluated on their participation in professional development activities. Probationary faculty participation is evaluated by the Tenure Review Committee. Full-time faculty are held accountable for their minimum 38 hours of Flex Day professional development.

Upon completion of sabbaticals, recipients are required to submit a report of activities to the Sabbatical Leave Committee demonstrating their accomplishment of sabbatical goals. Sabbatical recipients also share their experiences with their colleagues through presentations during Flex Days.

### **PLANNING AGENDA**

None.

**III.A.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.**

**DESCRIPTIVE SUMMARY**

In lieu of attending planned Flex Day activities, faculty who undertake and complete an individual project related to staff, student, or instructional improvement must complete an evaluation form before Flex Day credit is granted [3.77]. The evaluation results are analyzed to plan future Flex Day activities.

Faculty who received funding for off-campus activities must fill out an evaluation form specifying the benefits derived from the activity and the benefits to the individual and the College [3.78]. Classified staff members are required to assess how professional development activities have benefited them and to report what they have learned by completing an accountability form required by the Classified Senate and the Staff Development Committee [3.79].

The College solicits evaluation surveys to identify areas of strength and areas that need improvement. The comments from these surveys are incorporated into the planning of future professional development programs and funding opportunities. Through constant reevaluation of programs, the College ensures meaningful professional development activities to all members of the College community.

Administrators are not required to complete a written evaluation of their professional development activities. Instead, they provide oral reports to their colleagues and to their division or unit employees on relevant information.

**SELF EVALUATION**

In the Spring 2009 Employee Survey, 58 percent of the respondents replied positively to question 6.1: “My development/training needs have been identified and addressed” [3.80].

Although evaluation forms are available for all activities and opportunities offered through the professional development committees, participants often do not complete the forms. Submitted evaluations are carefully analyzed to improve staff development programs. If an activity receives a poor rating, the activity is not offered again unless revisions are made.

Given the significant increase in professional development funding in the last five years, the College should seek to improve the return rate of the evaluation instruments. Post-evaluations (for example, a follow-up two or four weeks after the activity) could also be utilized to show the effectiveness of the activity and to determine how useful attendees consider the information learned. The survey findings should be used to make improvements to existing activities and to develop new activities.

Faculty are evaluated on their participation in professional development activities during their scheduled performance review. This evaluation helps to ensure that faculty are maintaining currency in professional knowledge through professional literature, professional memberships, workshops, conferences, or other activities.

Upon completion of sabbaticals, recipients are required to submit a report of activities to the Sabbatical Leave Committee demonstrating their accomplishment of their sabbatical goals. Sabbatical recipients share their experiences with their departments, with the entire College (during Flex Day activities), and with the Board of Trustees.

### **PLANNING AGENDA**

The College will work with the faculty and classified staff development committees to ensure that evaluations are completed and the findings are reviewed with the goal of improving staff development activities.

**III.A.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.**

### **DESCRIPTIVE SUMMARY**

The College's 2010-2013 Strategic Plan and the Strategic Planning Groups (Educational Development, Student Affairs, Operational Support and Resources, and College Advancement) are planning to integrate human resource planning in their strategies and their recommendations to the Consultation Council (CC). Specifically, these plans will attempt to establish concrete links to budgeting, thereby increasing their usefulness in planning and/or evaluating human resource needs.

As previously mentioned, Saddleback College evaluates its human resource needs annually through the individual Program Review needs assessment. The Program Review process identifies human resource needs and is linked to the Strategic Plan. The identified needs are prioritized in each unit or division and form the foundation for hiring positions.

To determine the need for more employees in any classification or area, the institution relies primarily on Program Review documents.

### **SELF EVALUATION**

College leadership is implementing the 2010-2013 Strategic Plan to ensure that staffing decisions are linked to budget. The College is confident in its current efforts and directions to integrate human resource planning with institutional planning and to assess the effective use of human resources. Using the results as the basis for improvement allows the College to systematically assess the effective use of human resources and use the results of the evaluation as the basis for improvement.

### **PLANNING AGENDA**

None.

## III.B. Physical Resources

---

**Physical resources, which include facilities, equipment, land, and other assets, support learning programs and services and improve institutional effectiveness.**

**III.B.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.**

### DESCRIPTIVE SUMMARY

The criteria and processes the College uses to evaluate the sufficiency and safety of its facilities when considering remodeling, department relocation, building a new facility, or performing annual evaluations are based on consultation, committee approval, and appropriate planning documents. The College supports and integrates campuswide facility needs into the College Strategic Planning Process, scheduled maintenance plans, the Facilities Master Plan, and the District Education and Facilities Master Plan. The campus uses appropriate planning documents when addressing the needs and safety concerns of our facilities, for example, the Five Year Education and Facilities Master Plan [3.81], which uses enrollment data to project enrollment during the five year duration of the plan, and CPEC enrollment projections derived from projected high school graduation rates. Since the last accreditation the College/District has invested significant resources into campus buildings. Projects include the addition of a Health Science Building, a temporary classroom cluster known as “The Village,” extensive renovation of the Business and General Studies building, and extensive renovation of the Library building is under way. Since 2004, \$125M has been allocated to Saddleback College for facilities upgrades [3.82].

The College Three Year Strategic Plan [3.83] is also developed using various data sources, including the Facilities Maintenance and Operations Department Program Reviews [3.84] [3.85], District goals, and monthly safety inspection results as performed by the Facilities Maintenance and Operations (FMO) management team. In 2009-2010 the top District goal was to develop a plan to meet all capital and scheduled maintenance needs. As a result, the College developed a 20-year Facilities and Scheduled Maintenance Plan that included a funding component.

Annually, the Risk Management Department and Keenan & Associates review and update the District’s Injury and Illness Prevention Plan [3.86]. The College’s facilities staff receives monthly on-the-job safety training in conjunction with reviewing these plans. The District property and liability carrier, Keenan & Associates, conducts annual inspections (State Wide Association of Community Colleges, SWACC) [3.87] of College facilities to identify any potential safety risks and reports all risks to the Director of Facilities for correction. The College is committed to maintaining a safe campus and addresses all recommendations in the Keenan & Associates report. Keenan & Associates completes a follow-up audit report to ensure all safety risks have been addressed.

Consultation with the units of Disabled Student Services, Environmental Health and Occupational Safety, and the Campus Police ensures that the College provides safe egress

and regress travel access to all facilities. In addition, facilities plans are reviewed annually and approved to meet all appropriate building, fire, seismic, and environmental health laws and requirements. Facility deficiencies and safety concerns are addressed by developing a prioritized list of project needs and managing those projects (once they are approved) in the weekly facilities management meetings. The Safety Committee, the Student Affairs Planning Group, and the Operational Support and Resources Planning Group, which comprises classified staff, faculty, and administrators, ensure that the College complies with established safety standards. The College also has a Crime Awareness and Prevention Program [3.88] to ensure and maintain safety campuswide.

### **Be Safe**

Campus Safety has researched, purchased, and implemented a proactive emergency response system. This new program, called “Be Safe,” is a very powerful data-driven tool that will increase our ability to maintain a safe campus and effectively respond to emergencies.

“Be Safe” provides police, fire, swat, and other emergency teams with accurate and detailed information on floor plans, building demographics, and many other unique features of the campus. This program provides emergency teams and administrators with up-to-date information about any facility on the Saddleback College campus. In the event of an emergency, this information is instantly accessible, thus allowing critical decisions to implement strategies to protect life and property to be made quickly and effectively.

“Be Safe” is a proactive system, and it facilitates clear communications among College resources and emergency first responders with critical information about the entire campus. This system engages and integrates students, administrators, and emergency response teams.

The College is also in the process of implementing Blackboard Connect™, the Cisco AlertMe System on VOIP, a Campus Police Department equipment upgrade, and a new mobile emergency operations center.

### **Blackboard Connect™**

Blackboard Connect™ is a mass notification system that can be used to inform the College or the District community of time-sensitive situations or just day-to-day events when safety, reliability, efficiency, and speed are needed. The Blackboard Connect™ service provides the College and the District with the capability to reach students, faculty, and staff via voice, text, and email.

### **CISCO AlertMe System on VOIP**

The Cisco AlertMe System is a mass broadcast and notification system that can be used by the College and Campus Police personnel to push immediate voice and text messages to every telephone on campus. The voice-alert messages automatically sound on the telephone’s external speakers, and the accompanying text message appears on the telephone’s LCD display so the device receiver does not have to be picked up to receive these messages. In 2007 the CISCO AlertMe System proved very useful and helpful in facilitating the real-time evacuation of the campus when smoke from wildfires caused unhealthy air quality campus-wide. AlertMe has also been used to conduct building evacuations during fire drills and in

other scenarios conducted by Campus Police and local law enforcement agencies in exercising mutual aid protocols and emergency response procedures.

#### **College Police Department Equipment Upgrade**

Campus Police completely upgraded its officers' uniforms and equipment, including less-than-lethal force options, tactical firearms, and ballistic vests and helmets. All officers have successfully completed POST training on the upgraded equipment and in the techniques of rapid deployment in response to immediate threats and in critical-incident management. The equipment was last upgraded in 2009.

#### **New Mobile Emergency Operations Center**

When the College's Communications Arts Department no longer needed an old recreational vehicle (RV) that was used for Channel 39 and KSBR broadcasts, the Campus Police refurbished the RV and transformed it into an emergency mobile command post for the College. Today, the RV serves as a flexible and effective tool for emergency management.

A number of plans and documents are used to determine the sufficiency of our classrooms, lecture halls, labs, and other facilities. Among these documents are the Five Year Education and Facilities Plan, the Facilities Program Review, Employee Surveys [3.89], and Student Surveys [3.90]. These plans provide data to guide our physical development and to accommodate enrollment studies, student use of facilities, and educational programs. One mechanism in place to determine how effective our facilities meet the needs of programs and services are Employee Surveys (see document evidence). Student Surveys are also conducted by the Student Services Department. In addition, the College President, the Director of Fiscal Services, both Vice Presidents, and the Director of Facilities review proposed academic program plans and the Facilities Master Plan to ensure they are integrated and congruent.

When issues arise, action is taken to ensure sufficient facilities are available. For example, it became clear early in 2009 that, based on enrollment demands, sufficient classrooms would not be available for the 2010-2011 academic year. College administration worked with District administration, and as a result, modular buildings were installed on the campus in Spring 2010 to ensure sufficient classroom space to meet student demand.

According to the 2009 Employee Survey:

- Most employees feel that campus traffic congestion is a problem. Congestion is most evident during the first few weeks of each semester, when the College normally has a larger influx of new students.
- Employees feel that while there is adequate parking during the workday, the parking lots are not located favorably in regard to the layout of campus buildings.
- The majority of the respondents feel that the campus has adequate lighting. This success is due in part to the active work of the Campus Safety Committee.
- The vast majority of employees are very satisfied with the ease of travel on our campus walkways and pathways.
- Employees feel that Campus Police officers are highly visible on campus, and as a result, over 85% of respondents also feel safe while on campus.

- Most employees are neutral regarding their perception that people with disabilities have reasonable access to all campus buildings.
- Employees feel that their actual physical work environment is more than adequate.
- Half of the employees feel that our campus facilities support student learning. A newly refurbished General Classroom Building was reopened, and a new Health Science Building has been constructed since the College's last employee survey.
- Most respondents either agreed or strongly agreed that the Facilities Maintenance and Operations Department responded to work orders in a timely and accurate manner. This may be partially attributed to a recently implemented new computerized work order system.

According to the 2008 Student Survey:

- The vast majority of students were extremely satisfied with the performance of the Campus Police. This was reflected in the survey numbers for all police services, which included the online parking permit process, the availability of parking on campus, in-person parking assistance, and Escort Services.
- Almost 100% of library users felt that the library facilities were clean. The Saddleback College Library is our oldest building on campus, and this positive response directly reflects the services provided by the Facilities, Maintenance and Operations (FMO) Department.
- As might be expected, 60% of our students favor a smoke-free campus. We have helped support this sentiment by enforcing a smoke-free zone around all campus buildings.

Saddleback College meets its facilities needs by assessing usage data, both evaluations and surveys, to ensure the maintenance and safety of all campus buildings. Campus Safety and Facilities, Maintenance and Operations (FMO) consistently provide quality services to our faculty, staff, and students. Critical to this success are the monthly reports generated by our new Advanced Maintenance Management System (AMMS) [3.91]. The FMO Director reviews the work orders generated by AMMS and uses them as a management tool to monitor, supervise, and evaluate the workload and services provided to all College groups.

Saddleback College tracks facility evaluation results and communicates any deficiencies to the appropriate specialists in FMO. Complaints received are filtered, and changes are proposed, approved, and implemented based on budget feasibility. The College prioritizes the needs identified from statements gathered in this evaluation process, shares accolades with FMO staff as appropriate, and consults on ways to improve services based on relevant factors such as enrollment growth and time constraints. The equipment that FMO maintains undergoes regularly scheduled preventative maintenance that is tracked in the annual inventory reports. Educational equipment (such as computers) is managed by Educational Services.

Saddleback College currently offers three modes of delivery for its distance education classes:

- Internet
- Radio
- Television

Distance education over the Internet is handled through the Blackboard course management system. Currently the District contracts offsite Blackboard services through Blackboard Managed Hosting, which provides staffing 24 hours a day, 365 days a year, and guarantees 99.7 percent uptime. This method of deployment has proved successful for the College over the past several years and has been a cost-effective solution to purchasing and maintaining our own servers.

The College's radio and cable television stations are both part of instructional programs under the Communication Arts Department. Both of these broadcast facilities are on-air 24 hours a day, 7 days a week. Equipment funding for these facilities comes from a variety of different sources. Each year the College Equipment Committee asks the instructional divisions to prioritize their equipment needs. Depending on available funds, the radio and television stations receive new and replacement equipment through this process. A few years ago the College used Basic Aid technology dollars to replace the television cable channel head end with a new digital playback system. The radio station supplements its equipment funding through grants and fundraising efforts. Recent grants have been used to replace the station's transmitter and antenna.

Maintaining and updating the equipment for all three of the College's distance education delivery modes continues to be expensive and challenging. At this point, the equipment for all three modes of delivery is up-to-date and in good operating order. Saddleback's choice to have the District Blackboard course management system hosted off-site is working well and has minimized equipment and staffing costs while ensuring reliability. The cable TV channel (Channel 39) equipment is current and capable of handling all the College's television broadcast needs. The College radio station (KSBR) recently received new transmitting equipment and studio upgrades.

### **SELF EVALUATION**

Numerous plans and procedures have been put in place to effectively manage physical resources, and they are working well.

The Five Year Education and Facilities Master Plan, a very detailed and data-driven plan, was very well constructed by an all-inclusive shared governance process.

The College's revised 2009 Strategic Planning Process [3.92] and the Strategic Plan itself is well planned, executed tied to resource allocation, and disseminated Collegewide.

The Facilities, Maintenance and Operations (FMO) Department Program Reviews include the main core of the FMO Department. Future FMO Program Reviews must include the entire FMO Department and must be more comprehensive and more detailed. Program Reviews should focus on generating more-useful data, additional options, and recommendations for improvements. Department managers must undergo additional Program Review training.

Launched in May 2008, the Advanced Maintenance Management System (AMMS) is a very powerful recordkeeping and management tool. This system has the capabilities of providing management with accurate and useful data for decision-making. Management must and will provide additional training to staff to be able to fully utilize AMMS reports. FMO sent three additional staff for AMMS training in January 2010 to learn how to better utilize the system and to more effectively meet the needs of the College.



Effective use of facilities is determined in a number of ways. The College utilizes the Ad Astra scheduling system to ensure the efficient space use and space allocation. The five-year Education and Facilities Master Plan and the three-year Strategic Plan are followed, and each provides a mechanism for evaluation. Student and employee surveys and ongoing inspections by Administration, District Risk Management, and FMO are conducted. In addition, fire inspections and safety inspections are conducted by external entities, and the results are used as a basis for improvement. Issues that arise unexpectedly are reported on the maintenance work order system and are addressed in a timely manner.

A major challenge faced by the College is obtaining funding for new buildings and for upgrading existing facilities and land. Unlike many other Districts, the SOCCCD has not elected to issue a bond for new facilities and facilities improvement, but relies primarily on state funding and excess property tax revenue (Basic Aid) to fund facilities. Obtaining State and Basic Aid funding has proven to be a challenge for the College. A positive step in the planning process has been the development of the 20-year Facilities and Scheduled Maintenance Plan, which identifies (for the first time) the huge facilities needs of the College, along with an estimate of annual funds required to meet the plan [3.93]. The District is in the process of finding ways to establish funding sources to address the plan.

### **PLANNING AGENDA**

The College will explore and secure funding sources for the 20-year Facilities and Scheduled Maintenance Plan.

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

### **DESCRIPTIVE SUMMARY**

The planning document that drives the building of new facilities and the major renovation of existing facilities and infrastructure is the Education and Facilities Master Plan. The District (using a consulting firm) oversaw the development of this five-year plan, but the sources of information were College staff and College data. The plan established current space inventory broken down by category i.e. lab, classroom, office space etc. An enrollment projection by discipline was established and then a long term capital plan was developed to meet student needs by discipline. This plan projects out building needs to 2020, and breaks down implementation into three phases.

College plans for scheduled maintenance upgrades are developed by the College's Facilities Committee. As a first step, the Committee reviews the Saddleback College Mission and Vision Statements and the College's Strategic Plans. These documents, along with appropriately allocated funding, guide the support and distribution of physical resources and student educational support services. Budget planning for physical resources is integrated with Strategic Plans and other College and District planning documents. In all the planning documents, it is the responsibility of the Facilities, Maintenance and Operations (FMO) Department to provide direction and oversight for planning and construction. When planning building renovations and construction projects, the College considers the needs of programs and their end-users by first

determining (through feasibility studies) the components of the needs. Plans for buildings go to the District, and if approved, consultation begins with the department heads and end-users. The driving forces in building a campus structure are a needs assessment, a campus space review, and of course a review of the appropriate planning documents to integrate with Saddleback's Strategic Plan, which has a budget component, a campus space component, and a construction component. Consultants are obtained, including specialists in ADA compliance. The institution and the FMO Department have been engaging in results-oriented planning processes on an on-going basis.

The Facilities Committee determines and prioritizes service and equipment replacement and maintenance needs. Documentation of meeting agendas and project status reports are recorded.

The Facilities Committee evaluates the effectiveness of the College's facilities and equipment in meeting the needs of programs and services by reviewing the appropriate documents. Program Reviews for Maintenance, Transportation, and Custodial Services are submitted.

An FMO project list [3.94], which is noted in the evidence of documents, lists the current and completed projects and status reports from 2003 to the present. These reports are reviewed in weekly management meetings. The institution uses its facilities effectively by maintaining classrooms that support the recommended FTES ratio. Labs are maintained and used based on classes and lab integration. The physical condition of College facilities used by students, community education programs, and the surrounding communities creates an environment conducive to an effective learning experience, as evidenced by student and staff surveys.

Program and service equipment and technology needs are met via the Strategic Planning Process. As part of planning, the College has established Equipment and Technology Committees that prioritize equipment requests based on replacement needs, Program Review, and the Strategic Plan.

### **SELF EVALUATION**

The Education and Facilities Master Plan has been followed within reasonable limits. Only factors such as funding availability or change in anticipated student demand have resulted in a deviation from the approved plan. For example, the funding of the Library remodel by the State resulted in that project jumping to the top of the prioritized list.

Facility needs are well researched and documented in College plans; however, funding new buildings, scheduled maintenance, and facility and site upgrades continue to be a significant challenge. The College has unfunded scheduled maintenance needs totaling \$5 million to \$9 million per year for the next 10 years. The District and the College are working together on a funding plan to address these needs.

Equipment and technology has been well funded. Table 3.1 shows total equipment funds expended Collegewide.

**Table 3.1.  
College Equipment Expenditures,  
FY 2004-2005 to FY 2008-2009**

<b>Year</b>	<b>Total Expenditures</b>
2004-2005	\$ 974,733
2005-2006	\$ 1,114,073
2006-2007	\$ 1,618,202
2007-2008	\$ 2,612,434
2008-2009	\$ 2,167,387

Funds for technology have been allocated from District Basic Aid, and regular annual allocations have allowed the College to aggressively fund technology on campus.

The combined planning efforts of the FMO and all College planning groups are effective and adequately meet the needs of students, faculty, and staff.

The College maintains a Mission Statement that continuously supports the current needs of its students and the communities the College serves. The Mission and Vision Statements are updated as needed to reflect the direction and purpose of the College.

**PLANNING AGENDA**

None.

**III.B.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.**

**DESCRIPTIVE SUMMARY**

The Facilities, Maintenance and Operations (FMO) Department is responsible for the maintenance of all campus facilities to ensure compliance with campus and District plans, to ensure a safe, secure, clean, accessible (ADA) environment, and to provide adequate maintenance of campus grounds. FMO implements scheduled maintenance and inspection checks of College facilities and equipment, including security checks when appropriate.

The College also has an Evening and Weekend Administrator Program [3.95] that rotates administrators, managers, and Vice Presidents to serve as College representatives in the evenings until 10:00 p.m. and on Saturdays from 8 a.m. to 2 p.m. The main purpose of the assigned administrator is to travel about the campus, be visible, be easy to locate, handle conflicts that arise, perform safety checks, and document and report facility concerns.

The Office of Instruction selects off-site facilities with input from divisions to ensure the facilities are adequate and that they are in compliance with relevant safety and security requirements. Prior to contracting with an off-site location, College administration visits each proposed off-

site location to ensure it is suitable, meets student and instructor needs, and is safe. During the course of the semester, administration staff visit the classes to evaluate the instructors and locations, and they work closely with the site owners to ensure the safety of students and College equipment. Faculty provide feedback if any problems arise during the semester, and the administrator and/or Vice President resolves any issues. If a site proves to be unsatisfactory, that site will not be used again. Saddleback College supports the use of off-site classes when the location chosen meets student needs and on-campus classes are not adversely affected.

### **SELF EVALUATION**

The College campus is clean, safe, and accessible. Student and employee surveys support the fact that the campus buildings and grounds meet these criteria. Off-campus facilities meet the needs of College students as evidenced by long-standing agreements with these facilities. The College maintains sufficient control by eliminating the use off-campus facilities that do not adequately meet the needs of students, faculty, and staff.

The Evening and Weekend Administrator Program is effective and provides needed supervision campuswide to augment campus safety efforts in handling various situations. The program helps not only to better serve and protect students but also to minimize College liability.

### **PLANNING AGENDA**

None.

**III.B.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.**

### **DESCRIPTIVE SUMMARY**

The College assesses its facilities use and needs through Program and Administrative Unit Review. Each Program Review is required to complete a facilities needs assessment and an annual update and review. The Program Review is used as part of the planning process.

The Education and Facilities Master Plan identifies facilities needs. Needs for facilities, including type and size, are assessed at the program level, and the Education and Facilities Master Plan is derived from this assessment.

The Facilities Committee evaluates requests from campus communities and establishes a prioritized list of projects. The Facilities Committee then makes recommendations for funding based on prioritized lists.

On a regular basis Student Services, with input from each of the ten managers reporting to the Vice President of Student Services (VPSS), assesses the usage of the Student Services Building and of other buildings and space on campus for delivering Student Services. Each assessment is shared first with the Student Services team. Next, the results are shared with Senior Staff (the Vice President of Instruction, the VPSS, the Director of Fiscal Services, and the President). Results include mutual usage of space by compatible programs, occasionally moving programs to more adequate space, moving programs due to necessity in a remodeling process, and

better usage of space to improve service to students. Annually, each Student Services program determines if the space allotted for the unit is adequate to serve students and is appropriate for staff to work in. Based on the unit's Program Review, annual assessments, and Collegewide remodels and projects, improvements have been made within the confines of the allotted space.

Each Program Review is also required to identify technology and equipment needs. Annually, each division submits prioritized requests to the Equipment Committee and the Technology Committee, based on information contained in the Program Review. Each division, through its own process, which includes faculty and staff participation, submits a prioritized list of equipment and technology needs to the appropriate committee.

The Equipment Committee verifies Program Reviews have been completed for each request, and priority is given to those requests with a documented need identified during the Program Review process.

The Technology Committee develops and maintains a three-year plan. The Technology Committee plans for and funds both hardware and software needs. The first priority of the plan is to maintain currency of technology in the classroom setting and to fund "technology refresh" needs (replacement). The Committee meets annually to review and revise the technology plan. Completion of Program Review and identification of new technology needs in the Program Review documents are part of the decision process.

The Program Review process includes an evaluation component that is used to evaluate the effectiveness of equipment, technology, and equipment. The results of this process are used as a basis for future planning and continuous improvement.

A facilities update is submitted as part of the Board agenda every month to ensure the Board of Trustees has current knowledge of facilities projects.

### **SELF EVALUATION**

The system by which facilities, equipment, and technology needs are planned for and evaluated is effective. The Facilities Committee, the Equipment Committee, and the Technology Committee do an effective job of identifying and prioritizing the program needs that best support institutional goals and the College infrastructure in an all-inclusive shared governance manner.

### **PLANNING AGENDA**

None.

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

### **DESCRIPTIVE SUMMARY**

The Education and Facilities Master Plan is the document that drives the building and major retrofit of facilities. This plan is the result of an extensive, collaborative process that includes significant participation of College faculty and staff.

This plan identifies in detail all existing facilities by building. Full-time-student capacity needs are projected by program, and a plan to accommodate those needs is developed. The FTES projections and programmatic needs are developed by the Instructional and Student Services Divisions and are supported by the Institutional Research Department and the Vice Presidents. This plan includes projected need for classrooms, laboratory space, athletic fields, student service space, office space, parking and roads. The needs are then prioritized and a phased plan is developed. This plan is used to supply the State Chancellor's Office with information regarding District priorities for facilities funding.

Implementation of the plan depends on funding sources. If funding is readily available for a lower-priority project, the College will begin implementing the project to take advantage of the funding source. A recent example is the Library renovation, a lower-level project than the retrofit of the Advanced Technology and Applied Science Building; however, the State funded the Library renovation project with a time line so that the project was commenced.

The College has significant documented scheduled maintenance needs and struggles to meet those needs both from a funding and a human resources perspective. Until 2009 there was no cohesive plan to meet the scheduled maintenance needs of the College.

In early 2009 the College was instrumental in developing the number one goal of the District, which is to develop a plan to meet all capital and scheduled maintenance needs. Consequently, a 20-year Education and Facilities Master Plan was developed that for the first time clearly documents the scheduled maintenance needs and liability of the District and College.

The Facilities Committee uses an integrated strategy that considers building processes, plans, and equipment required to plan for total ownership costs of College facilities. The College President, the FMO Director, and the Director of Fiscal Services evaluate proposed projects and major equipment requests and analyze the anticipated return on investment and the effect the decision will have on the facilities and maintenance budgets now and in the future. They also balance equipment needs that may have higher costs with the educational component and the facilities component.

The planning process is integral part of ensuring that capital projects support College goals. Again, the College reviews unit or departmental goals and objectives in conjunction with the College's mission, goals and objectives, and its Strategic Plans. The budget is driven by the long-range planning process. The process has proven to be effective, as measured by the College's ability to adequately maintain its facilities and project a budget for scheduled maintenance projects.

The College has taken an aggressive approach to utility savings retrofits and sustainability measures. In 2003 the College installed a 1.5-megawatt cogeneration plant that produces over 8.5 million kilowatt-hours per year. The heat generated by this process is then utilized to supply thermal energy to the College's swimming pool and its buildings. This process results in an annual savings of approximately 350,000 therms of natural gas and \$480,000.

In January 2009 the installation of an absorption chiller was completed. An absorption chiller generates chilled water for air conditioning by utilizing heat generated from the electrical generators. This improvement provides over 400 tons of cooling capacity and will save an estimated 1.4 million kilowatt-hours and \$200,000 per year. This cooling system will provide all of the College's cooling needs during the winter and half of the cooling needs during the

summer. The cost for these improvements, \$1.49 million, qualified for a public utility company rebate of \$408,000.

Other areas of sustainability that should be noted are the College's recycling program and the use of reclaimed water for irrigation. Each year since 2003 the recycling rate for the College's waste was over 50 percent of the total amount of waste generated by the campus. In 2006 and 2007 the recycling rate was over 70 percent. Since 1995 the College has been utilizing reclaimed water for the irrigation of landscaped areas, resulting in an annual savings of over \$75,000 and an annual reduced consumption of 68 million gallons of domestic water.

## **SELF EVALUATION**

The College is serious in its efforts to address scheduled maintenance needs. The College has spent \$38 million in scheduled maintenance over the past ten years [3.96]. Realizing this is a priority, the Board of Trustees (showing its commitment) has recently adopted a 2009-2010 goal [3.97] to develop a funding plan for scheduled maintenance and facilities at Saddleback College.

The College has completed many successful new building construction projects and renovation projects. The College has experienced problems with the "low-bid process," which, unfortunately, does not ensure the best-qualified and most-competent contractor. Therefore, on major building construction and renovation projects, management has the burden and expense to guard against subpar quality workmanship, project delays, and contractor errors and misjudgments, which could obviously lead to unnecessary litigation.

Leadership in Energy and Environmental Design (LEED) is a nationally accepted standard that promotes healthier indoor air and efficiency in energy and water usage. In alignment with the Mission, Vision, and Values of the College related to sustainability, the College has begun to research LEED building certification. The College is committed to "going green" ideas and values and intends to continue to explore "going green" concepts and alternatives, including the feasibility of LEED building certification, sustainability, energy conservation, and alternatives. The College intends to implement these alternatives throughout the College campus as appropriate.

The design-build process is anticipated to yield better results, such as lower overall project cost, shorter project duration, superior project quality, and better contract features and warranties.

The College sends administrators and managers from different departments to various "going green" conferences in an effort to bring new ideas to the campus for consideration.

The College's investment in utility savings projects has been significant. In addition to reviewing the criteria for viability, before implementation of utility savings projects the long-range financial impact and the College's mission of sustainability is considered. Sustainability measures implemented at the College have resulted in annual savings of 2.4 million kilowatt-hours, removal from the electrical grid of an additional 8.5 million kilowatt-hours, a savings of 350,000 therms of natural gas, reducing consumption of domestic water by 68 million gallons, and a cost savings of \$905,000.

Presently, there are several projects in process that will address additional sustainability issues. These include the installation of an upgraded energy-management system, a new cool-roof

system for the Student Services Building, and an evaluation of campus irrigation systems by the Moulton Niguel Water District.

### **PLANNING AGENDA**

None.

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

### **DESCRIPTIVE SUMMARY**

Physical resource planning is integrated with institutional planning in a number of ways. The Strategic Planning Process starts with Program Review. Each Program Review requires a study of physical resource needs, including facilities, equipment, and technology. The results of Program Review are used as a basis for requests to the appropriate planning committee: the Technology Committee, the Equipment Committee, and/or the Facilities Committee. These groups then prioritize funding; as part of the process, they consider Program Review data. These committees develop equipment, technology, and facilities plans (scheduled maintenance) and send them to the Planning and Budget Steering Committee (PBSC). The role of PBSC is to review the College budget and recommend funding the plans to the Consultation Council (CC). The Program Review cycle requires an evaluation of resources obtained, and the results are used as a basis for further planning.

The Education and Facilities Master Plan is developed using program needs as source data. The data are analyzed and converted to facilities needs. The plan is implemented in priority order; however, if unforeseen situations occur that require the College to re-assess what was anticipated in the plan, the College and the District maintain the flexibility to deviate from the plan and thus ensure that students' needs and program needs are met.

### **SELF EVALUATION**

The planning and budget process is well documented; it is transparent and works well. The loop of evaluation and continuous improvement is in the planning cycle. As with all plans, the outcomes are based on Mission, Vision, and Values. Each of these components of the plan is a result of a collaborative College effort. Some individuals have a specific preference for the direction of the College plan that may not be represented adequately in their opinion; however, the College is pleased with the openness of the planning process and the opportunity provided for input.

All new-building construction, renovation, equipment, technology, and maintenance needs are identified and prioritized according to how they will assist the College in meeting its goals to support students. The College relies on accurate data as a basis for planning.

### **PLANNING AGENDA**

None.



### III.C. Technology Resources

---

**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, Collegewide communications, research, and operational systems.**

#### DESCRIPTIVE SUMMARY

Over the past ten years Saddleback College has used a centralized planning process to determine the College's technology needs. The importance of technology is well recognized by the College and by the District, and as a result technology has been given a high funding priority over the past five years. As divisions and departments have grown and changed, the College faculty, staff, and administration have worked together through a committee process to identify hardware and software requirements.

Saddleback College's Technology Committee was established in 1999 with the mission to effectively implement information technology on campus through its Technology Plan. The Technology Plan addresses computer hardware, software, data infrastructure, instructional delivery systems, and telephone systems.

Technology Committee membership consists of a committee chair, administrators (2), classified management (2), classified staff (3), CSEA (1), Classified Senate (1), Associated Student Government (1), and a representative from each instructional division (9).

The Committee is charged with maintaining, upgrading, and expanding existing technology at the College and integrating this information into a comprehensive Collegewide plan. The Technology Plan is always evolving and changing as the College's need for technology grows. According to the Committee:

The term Technology is defined as all computer hardware, software, and technology infrastructure essential to the delivery of information (gathering, storing, retrieving, communicating, or displaying) in text, image, or digitized form. Technology includes both academic and administrative computing systems as well as related software, instructional delivery systems (multimedia, data, and video distribution), communications links, telephone systems, and all integrated systems and software which support the above.

Priorities for the Committee are outlined in the Plan and set the general direction for the Committee to follow:

- The first priorities are students, faculty, and staff support personnel and administration staff who will be affected in computer demonstration classrooms, in computer classrooms, in laboratories, and in College offices and support service areas.

- Second, the research and acquisition of curriculum-based software for classrooms and labs.
- Third, identifying appropriate funding mechanisms for the Plan, such as State Block Grant Instructional funds, Basic Aid funds, Partnerships, State Lottery money, and other categorical or general fund allocations.

Each spring the Technology Committee convenes to review and revise the Technology Plan. A technology worksheet is distributed to all employees in order to collect information regarding technology needs from faculty, staff, and administration. These findings are incorporated into a three-year time line. The information is then summarized on a technology worksheet and used to identify budget requirements for the next fiscal year. During the fall semester the Technology Committee evaluates requests and hears presentations from instructional divisions in order to make final recommendations to the Planning and Budget Steering Committee. Completion of Program Review and identification of technology needs in the Review are considered.

Over the past several years the Technology Committee recommended and approved many technology advancements for the campus, for example:

- 183 wireless access points were placed in buildings and on rooftops, allowing students and staff Internet access throughout the campus.
- 99% of the classrooms on campus are equipped with permanently installed media systems.
- The College now deploys virtual server technology and has plans for virtual desktops.
- All College data are now stored on a central storage area network (SAN) that is secure and backed up nightly.

The roles of District IT and the ITC are closely linked, with each group providing critical services needed to assist students. District IT manages many core services that are used by Saddleback, IVC, and ATEP. The College Technology Services Group is primarily focused on academic computing—faculty, staff, library, and labs.

Technology Services at Saddleback College consists of two functional units: The Innovation and Technology Center (ITC) is charged with purchasing, installing, and maintaining technology, and the Center for Instructional Design and Distance Education (CIDDE) provides user support and training. The Audio Visual Department, part of the Technology Department, services equipment and assists faculty with classroom media systems.

The ITC provides technical support for instructional labs, faculty, staff, and administrators. Its hours of operation are from 7:30 a.m. to 7 p.m., Monday through Thursday, and 7 a.m. to 5 p.m. on Friday. The staff in this area are well qualified to solve the majority of hardware, software, and network problems on campus.

The CIDDE is the campus's primary support area for distance education. Its hours of operation are from 7 a.m. to 7 p.m., Monday through Thursday, and 7 a.m. to 5 p.m. on Friday. CIDDE provides all the faculty and staff training for computer applications and digital media devices such as cameras and iPods.

## SELF EVALUATION

The College is committed to providing up-to-date technology to all areas of instruction. The College goal is to refresh hardware every 3 to 4 years to ensure that student classrooms, labs, and library spaces run the latest software applications.

The current process for evaluating technology needs is working well for the College. All constituent groups at the College are represented, and the annual technology request process allows for input from every College employee. The College has been fortunate to receive Basic Aid funding from the District, directed specifically at refreshing technology.

In the most recent Employee Survey 70 percent of respondents reported that they agreed or strongly agreed that the College allocates technology resources in a manner that supports and enhances the institution.

The two new technology facilities built this year have greatly expanded the ability of the technology staff to support faculty, staff, and students. The Center for Instructional Design and Distance Education (CIDDE) provides the tools necessary to assist our distance education faculty. The new Innovation and Technology Building in The Village provides improved facilities for ITC staff and allows space to incorporate Audio Visual Department staff in the same location. AV staff and ITC staff had previously been located in different campus buildings. This new space also provides a secure parking location and easy loading of equipment for ITC/AV vehicles on campus.

## PLANNING AGENDA

None.

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

## DESCRIPTIVE SUMMARY

During the 2008-2009 academic year, the College constructed two new facilities to support technology services. These new facilities replaced an older single building dividing technology services into two more specialized areas.

The Innovation and Technology Center moved into its new building in May 2009. This facility houses all the computer technical staff, Audio Visual staff, and Web services staff. These groups support all of the faculty and staff computers, computer labs, servers, network infrastructure, telephones, and classroom media equipment for the campus. The ITC's hours of operation are from 7:30 a.m. to 8 p.m., Monday through Thursday, and 7 a.m. to 5 p.m. on Friday.

The Center for Instructional Design and Distance Education (CIDDE) is a new technology area located in the Business and General Studies Building. This training facility serves as the College's primary support area for distance education for faculty and staff and for computer application support for the campus. With the rapid growth in online education, Saddleback College felt the need to increase support for faculty training. The CIDDE offers a 25-seat computer lab, two soundproof booths for audio and video recording, video transfer and editing stations, and a

document scanning area. The hours of operation are from 7 a.m. to 7 p.m., Monday through Thursday, and 7 a.m. to 5 p.m. on Friday.

Saddleback College currently supports over 2000 desktop computers covering all operational areas on campus—labs, library, faculty, administration, and staff. The goal is to replace one-third of these units each year, placing the newest technology in the classrooms and laboratories, where it will most directly impact student learning. The computers removed from classrooms and labs will be utilized in less-demanding technical locations. Approximately half of the computers on campus reside in labs, computer classrooms, and student areas.

Saddleback College currently employs 17 staff members to support Information Technology. The Director of Technology Services supervises one network administrator, five and two-thirds network system technicians, four application specialists, one Webmaster, two and two-thirds multimedia technicians, and two administrative assistants. The areas supported under this department are computer support services, audiovisual services, and user services, including distance education.

The College maintains an up-to-date Web presence, and its upgraded site recently won the Second Place award from the California Community College Public Relations Organization Conference. The Web site goes through a regular review process and is managed by a College Web committee under the direction of the Director of Public Information and Marketing. The primary goal of the committee is to keep site information accurate and to maintain a consistent, inviting, uniform look for the site.

Over 90 percent of the College classrooms have multimedia equipment. Each year for the past five years the College has added permanently installed media equipment to campus classrooms. Faculty have a variety of computer and audiovisual technology such as computers, Internet access, video projectors, and DVD/VHS playback equipment to assist with classroom instruction.

Saddleback College's Library has continued to maintain and expand its online resources. Resources have been made available to both on-campus and distance education students through online services such as Academic Search Premier, InfoTrac, JSTOR, and ProQuest. Additionally, a large number of specialized research tools and newspapers are available. A complete listing is available at <http://10.151.252.140/Library/journals.html>

Distance education at Saddleback College has grown at a rate of 20 percent in the last year. This extreme growth has forced the District to reevaluate Blackboard, the technology used to deliver its course management system. Over the past year the number of concurrent user software licenses increased from 15,000 to 38,000. A second application server was added to the computing cluster. Bandwidth and storage capacity were increased, and arrangements were made to have access to the services of a Blackboard complex hosting manager specialist.

In addition to allocating resources to hosting Blackboard, the District also helped students use the Blackboard system by contracting Presidium, an online 24/7 help service, to be the primary help desk for all incoming student calls. This service allows students to use instant messaging, to access a telephone help desk, and to post help documents. The College will evaluate the usefulness of Presidium over the next year.

Additional services have also been obtained to assist faculty with their course content. The College has entered into an agreement with iTunesU and EduStream to handle video streaming

content. In addition, the College is incorporating Elluminate Live (the software engine that powers the Statewide CCC Confer online meeting software) into Blackboard to provide synchronous meeting capabilities, including PowerPoint presentations, voice, and digital video.

Wherever possible, the College has made student services available online, giving students added flexibility with their schedules and minimizing the number of trips to the campus. Some of the services available follow:

### **MySite**

MySite is the enterprise Web portal that provides personalized online services to faculty, staff, and students at Saddleback College and Irvine Valley College. It provides students the ability to create academic plans, add and drop classes, view their semester grades, review transcripts, track the status of classes during registration, access email, view College announcements, change their mailing address, forward their College email, review appointment dates, order textbooks, store personal Web links, set automatic reminder emails, and more.

Faculty can view their class schedules, download rosters, generate late add permit codes (APCs), submit grades, order books, and manage their class Web site. Staff can use MySite to review their vacation-leave balances, review employee benefits, access employee documents, and review online pay stubs.

Within Student Services, the Student Information System (SIS) modules on MySite are either currently in production or are already in use. These modules have been created by District IT and the vendor Neudesic to assist students in accumulating data and processing reports. The ability for the District to develop a homegrown Student Information System (SIS) with input from each individual department has been a major process, yet it has resulted in SIS modules that increase the efficiency and the output of Student Services programs.

Departments in the Counseling Services and Special Programs Division use SARS, a scheduling system developed for community colleges. This system is vital in accumulating data for Management Information Systems (MIS) reports, for planning, and for the flow of daily activities. Each office arranges student appointments in SARS and, once fully completed, uploads the data to SIS.

The MySite portal went online in August 2000, and as of September 2009 nearly 250,000 people have used this service. MySite received the 2001 Technology Focus award from the California State Chancellor's Office and the 2004 Digital Education Achievement Award from the Center for Digital Education.

### **MAP (My Academic Plan)**

My Academic Plan (MAP) is a program designed to guide students through the process of creating their own personal academic plan. Using MAP assumes that students have a clearly defined educational goal. If they are undecided, MAP will be limited to selecting possible options to determine what course work would be required. Many of the College's programs and departments are seeking paperless systems, and MAP has been instrumental in allowing some areas to move to an online version of the Student Educational Plan.

### **Student Online Orientation and Advisement**

The orientation and advisement sessions are mandatory processes for certain students that are required to complete the matriculation process. These services, which are fully accessible online, introduce students to the services available on campus, in College programs and majors, and in campus life, and they provide advice on student success.

### **EAdvise**

Students have the ability to ask brief questions of counselors online through EAdvise. Counselors on campus monitor the e-mail address linked to the EAdvise site, which is accessible from the College Web site. When full counseling sessions are required, students are directed to come into the Counseling Office.

### **Social Networking**

The College uses social networking services such as Facebook and Twitter as tools to communicate with students. In its continuing efforts to seek ways to improve communications with students, the College is implementing a new service, ConnectEd, which allows student contact through text messages, email, and phone. This service will be used primarily for emergency notifications and alerts, and secondarily for class cancellations and important registration information.

## **SELF EVALUATION**

In the recent Employee Survey, 66 percent of the respondents reported that they agreed or strongly agreed that the College commits sufficient resources to facilitate reliable online education technology [3.89].

Saddleback College is responding to the growth in distance education and has recently purchased major upgrades to the Blackboard hosting services. The reliability and speed of the servers was increased, and the support services were upgraded.

Web-based services for students are continuously being evaluated and upgraded. MySite, now in its second generation, regularly adds new features to make students' registration experiences easier and faster.

The numbers of available online library resources have increased substantially over the past several years. Resources now include a wide variety of online databases, magazines, and newspapers.

The majority of all classrooms on campus now have permanently installed media equipment, allowing faculty to incorporate technology into their lectures.

The College continues to assess the performance of Blackboard, Presidium, EduStream, iTunesU, and Connect ED to ensure that the services provided meet the needs of our students and faculty.

As opportunities become available, more student-related services are converted to online access, making it convenient for students to utilize College resources.

## PLANNING AGENDA

None.

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

## DESCRIPTIVE SUMMARY

Since the Innovation and Technology Center was established in 1994, the ITC has provided faculty and staff at Saddleback College with a valuable resource both to use the latest technology and also to receive training on the latest technology. In 1995 the District rolled out its first technology initiative (DTI 1), which provided network connectivity to every classroom and every office and placed a computer on every full-time faculty and staff desktop. From that starting point the College has offered training on all types of desktop software, distance learning tools, and District software programs.

### Faculty and Staff Access to Technology

The Center of Instructional Design and Distance Education (CIDDE) is the primary location for faculty and staff training. This new facility is equipped with a 25-station training lab with Macintosh computers that run either Windows OS or Mac OS, thus allowing for a wide variety of training options. In addition to group training, faculty and staff are able to schedule one-on-one time with the application support staff to focus on specific needs. This facility also offers faculty and staff opportunities to use digital cameras, scanners, and video transfer and editing equipment, and it offers two soundproof booths for recording audio and video.

CIDDE offers classes throughout the year, allowing faculty the opportunity to update their skills on the latest versions of software, pick up some new tips or tricks, pursue distance education, and more. Each summer CIDDE offers a week-long Tech Expo. These sessions are focused on introducing faculty to the newest technology trends that can be used in the classroom or online. Among the topics covered in Summer 2009 were:

- Elluminate – Taking class lectures online
- Social Networking – Wikis, Blogs, Twitter, Facebook, MySpace, and Flickr
- PowerPoint – adding creative elements
- Camtasia – video podcasts
- Faculty feedback on the CIDDE from has been very positive.

### Student Access to Technology

Ever since the first major computer rollout in 1996, the College has always made the newest technology available to students. Curriculum-specific labs have increased in number, allowing each academic division to provide specialized computer labs and software. The number of student computer facilities has also steadily increased over the years; currently, over 1000 computers are dedicated specifically to student use, as detailed in Table 3.2:

**Table 3.2. Computers Available to Students on Campus**

Lab	Number of Computers	Lab	Number of Computers
CAD Lab (TAS 218)	31	Reading Lab	100
Graphics Lab (TAS 226)	28	Writing Lab	41
Graphics Lab (TAS 227)	31	Language Lab	44
Graphics Lab (TAS 115)	34	Matriculation Lab	31
Health Sciences Laptops	80	General Lab (LIB 213)	31
Health Sciences Lab (HS 103)	33	Comm Arts Audio Lab	25
IMC Lab (BGS 248)	80	Comm Arts Video Lab	26
BGS Lab (BGS 223)	31	Library	75
BGS Lab (BGS 224)	31	Library Laptops	25
MSE Lab (SM 348)	75	Counseling Laptops	30
Chemistry laptops	60	The Lariat (Newspaper)	22
Chemistry Lab ( SM 207)	31	High Tech Lab (DSPS)	20
LAP	45	CIDDE	31
		<b>Total</b>	<b>1091</b>

The campus supports primarily Windows-based computing; however, the College, following industry standards, uses Macintosh computers in the areas of graphic arts, digital photography, video and audio production, and desktop publishing. Table 3.3 shows some of the many technology subjects for which training is available for Saddleback students.

The Saddleback College Library is equipped with 75 computer stations, allowing students to do Internet research and work on class assignments. The computers are available on an open basis, giving students opportunities to work between classes. The College's Information Management Center (IMC) also serves as an open lab, giving students access to computers on a walk-in basis.





**Table 3.3. Examples of Technology Training Available to Saddleback Students**

<ul style="list-style-type: none"> <li>• Visual Basic</li> <li>• Java</li> <li>• Microsoft Office Suite</li> <li>• Keyboarding</li> <li>• Unix/Linux</li> <li>• Windows Operating Systems</li> <li>• SQL and MYSQL</li> <li>• Desktop Publishing</li> <li>• Microsoft Project</li> <li>• QuickBooks</li> <li>• PHP</li> <li>• Cisco Networking</li> <li>• Flash</li> <li>• ASP.Net</li> </ul>	<ul style="list-style-type: none"> <li>• XML, XHTML</li> <li>• MCITP Certification</li> <li>• Visual Studio</li> <li>• Microsoft Active Directory</li> <li>• Photoshop</li> <li>• Protocols</li> <li>• Solid Works</li> <li>• Illustrator</li> <li>• InDesign</li> <li>• Animation Software</li> <li>• After Effects</li> <li>• AutoCAD</li> <li>• Master Pronunciation</li> <li>• AT Certification</li> <li>• Developing Writing</li> </ul>	<ul style="list-style-type: none"> <li>• Code Warrior</li> <li>• Grammar Sense</li> <li>• Practical Grammar</li> <li>• eEnglish Grammar</li> <li>• GIS – Geographic Information Systems</li> <li>• SPSS – Statistical Analysis Software</li> <li>• Lightroom</li> <li>• Adobe Audition</li> <li>• Final Cut Pro</li> <li>• MCSE Certification</li> <li>• AJAX</li> <li>• Derive</li> <li>• Eclipse</li> </ul>
---	--	---

Our Disabled Students Programs and Services (DSPS) offers a wide variety of support services and specialized instruction. This department’s High Tech Center uses the latest hardware technologies and provides a wide variety of software, such as Dragon, Naturally Speaking, Jaws, Zoomtext Extra, and Kurzweil 3000. The College follows Web accessibility guidelines in its services to people with disabilities.

The Learning Assistance Program (LAP) houses the College’s Interdisciplinary Computer Center (ICC). The ICC is open to Saddleback College students at no cost on a first-come, first-served basis. Trained staff members are available to assist beginning computer users and to answer their computer-related questions. Software applications from several disciplines are available in the LAP, allowing students additional lab time outside of their classes.

Students also have access to technology resources through the College’s wireless network, which allows students to access the Internet both inside and outside all the buildings on campus. After students identify themselves through a secure logon, they have full access to the College’s Internet services.

## SELF EVALUATION

In the recent College employee survey, 74 percent of respondents agreed or strongly agreed that the College provides appropriate technology hardware and software training for College operations and instructions [3.89].

1. The new Center for Instructional Design and Distance Education (CIDDE) offers many new opportunities for faculty training. The equipment and strong support staff available are helping the College make progress on its goal of increasing distance education use.
2. Students at Saddleback College have tremendous opportunities to integrate technology in their area of study. Nearly every division now has a specialized computer lab facility with software specifically tailored to its disciplines. The College plans to continue its efforts to fund and maintain a 3-year to 4-year refresh for student computing.

## PLANNING AGENDA

None.

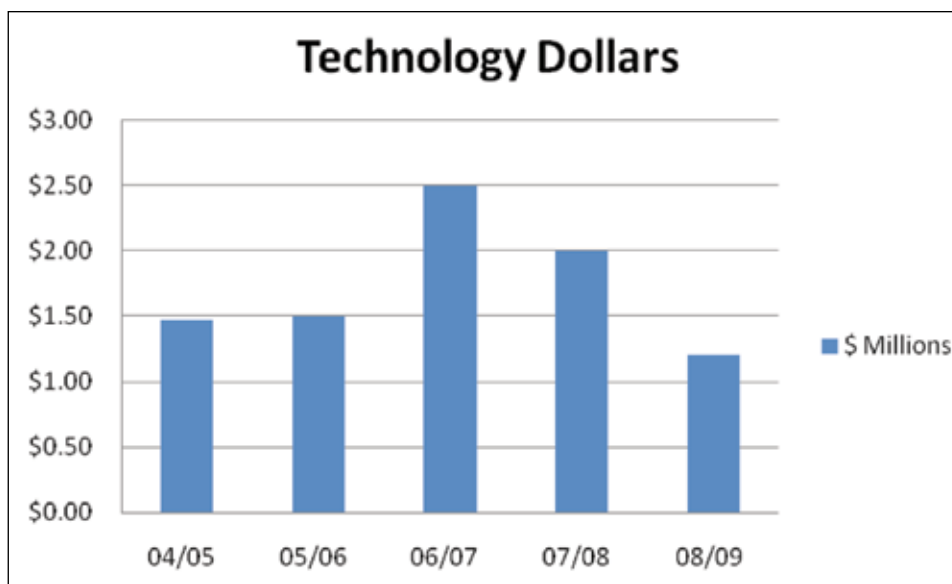
**III.C.1.c. The institution systematically plans, acquires, maintains, and upgrades or replaces technology infrastructure and equipment to meet institutional needs.**

## DESCRIPTIVE SUMMARY

Each year during the Spring semester the Technology Committee solicits input from the divisions, departments, and Student Services to identify the technology needs on campus. The information collected is used to formulate a Technology Master Plan, which is then used for budget planning [3.98].

Over the past five years the College, with help from the District, has aggressively funded all areas of technology on campus. Starting in 2004 the District began allocating additional Basic Aid dollars to the College to assist with the refresh of technology equipment. These funds have allowed the College to remain on track with a consistent refresh plan for computer hardware and software. Please see Figure 3.1.

Once a technology budget has been established, the Technology Committee recommends equipment and software purchases. All College computer labs and student computer areas are upgraded on a three-year schedule, ensuring that divisions will be able to run the most current versions of software applications. Faculty, staff, and administration are also on a rotating schedule and receive new computer hardware every three to four years. College IT is currently in the process of refreshing the 280 full-time faculty computers on campus.



**Figure 3.1. Technology Funding, FY 2004-2005 to FT 2008-2009.**

The College utilizes several technologies to address disaster recovery, security, and data storage. Over the past three years the College has purchased and upgraded a centralized storage area network (SAN) to serve as the College’s primary data storage for faculty and staff. The device uses RAID (Redundant Array of Inexpensive Disks) technology and redundant power and UPS (Uninterruptible Power Supply) to ensure continued operation. All critical College data are backed up on a nightly basis.

The security of the campus network is addressed on many levels. The physical infrastructure is isolated in locked areas accessible only to IT and maintenance staff. The College uses Microsoft’s active directory to control passwords and set policies on the network. District policy requires that anyone using the College’s data network must log on using a secure password. The District’s Internet connection uses a Cisco PIX firewall to provide traffic filtering. Wireless networks on campus are divided into two user groups, staff and students, to prevent access to any service not specifically allowed under College policy.

Symantec Antivirus provides protection against computer viruses. The District has purchased a site license for this enterprise-level software suite. It is installed on all campus computers and is updated remotely as new virus definitions are made available.

Over the past several years the College has invested in two large infrastructure upgrades—phones and wireless. In 2003 District IT and College IT Departments together identified a new phone system to link the District, Saddleback, and IVC. A committee was formed to gather the needs of all departments on campus and design a system to accommodate those needs. This project was funded by the Board of Trustees, who allocated \$4.5 million from Basic Aid. The project took two years to complete and included entirely new network infrastructure capable of handling voice, video, and data.

In 2006 the College installed 183 wireless Internet access points throughout the campus, both inside classrooms and on building rooftops. Cisco’s Clean Access provides a secure password-protected sign-on for students and staff. The College’s wireless coverage extends throughout all buildings and also covers the majority of the College’s property.

Saddleback staff and faculty have been looking forward to future computer technologies in an effort to create more-efficient, cost-effective solutions in server and desktop computing. For several years now, the College's data center and lab servers have been employing virtual technologies through VMware. This has allowed IT to reduce hardware costs, improve services, and save electricity. The College is now in the process of purchasing virtual desktop technology and plans to deploy both thin and zero clients in our library and several labs on campus.

### SELF EVALUATION

The College has a system in place for planning, acquiring, and maintaining technology that is integrated with planning and Program Review. The College's Technology Plan looks ahead three years to cover short-range planning. The College and the District deploy security measures to prevent unwanted access to the network and to provide secure, reliable data storage.

Saddleback College plans to acquire and test more virtual technologies in an effort to reduce hardware costs and increase staff productivity.

### PLANNING AGENDA

None.

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

### DESCRIPTIVE SUMMARY

Saddleback College's technology resources are evaluated each year by the Technology Committee. The yearly requests submitted by the divisions and operational units on campus are discussed and evaluated to form a three-year plan to address both new technology and hardware refresh. Following the guidelines outlined in the Technology Plan, the Technology Committee agrees on the equipment to be purchased.

#### Guidelines for Technology Refresh

**Faculty PC Refresh.** Working in concert with the College deans, IT staff members identify full-time faculty systems that are in need of replacement (typically systems over three to four years old). Replacement systems are funded from the IT budget. This program does not cover or include costs for nonstandard software, peripherals, or consumables (batteries, toner, media, etc.). Additional costs are the responsibility of the individual department. Systems to be refreshed are typically identified in the summer and replaced in late summer through early fall.

**Academic/Instructional Computing Facilities.** The Office of Information Technology refreshes academic and instructional computing systems in the shared-computing facilities as needed and as available funding permits. Replacement systems include standard software and may also include peripheral devices (printers, scanners, etc.). Department-specific software and hardware needs are typically funded through the requesting department.

The College's data infrastructure is in excellent condition and has been upgraded on an as-needed basis. Several of the recent projects include:

- The College's Internet connection was upgraded to one gigabit. Both Saddleback College and the District share a single Internet connection from The Corporation for Education Network Initiatives in California (CENIC). The bandwidth of this connection was recently upgraded, which has proved to be extremely helpful to our distance education students who stream media content both on and off campus.
- The District's e-mail system was upgraded to Microsoft Exchange. All College faculty and staff were migrated over to the new system. This was a vast improvement over the previous Netscape system
- The College expanded its wireless network from two locations (cafeteria and library) to include the entire campus, inside and outside.
- The District phone system was upgraded to Cisco Voice Over IP (VOIP).
- The District data network was upgraded four years ago to a redundant Cisco system.

The District's Online Education Council meets on a bimonthly basis to discuss the status of the College's distance learning programs and the required equipment and software used to manage them. Recommendations for changes or improvements are made through the Consultation Council (CC) and taken to District IT and the Board of Trustees for approval and funding. Distance education students are surveyed each year to provide feedback on course management system performance.

### SELF EVALUATION

The College's network hardware and infrastructure are sufficient to support and enhance its programs and services. The entire network was replaced in 2006 to support the new VOIP phone system.

Faculty, staff, and students have opportunities to provide input on the quality of the campus technology, and their input is considered when purchases and upgrades are made.

### PLANNING AGENDA

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 as the basis for improvement.**

### DESCRIPTIVE SUMMARY

The College uses the Strategic Planning Process to increase and sustain efficient use of technology campuswide. Through Program Reviews, master plans, and consultation with the Technology Committee, technology decisions are based on College needs.

Each year the College surveys students and staff to evaluate their overall satisfaction with technology services and programs. Survey questions ask about the efficiency, effectiveness, and availability of technology for distance education, training, resource allocation, and IT support services. The survey results are distributed throughout the campus and used to guide future technology decisions [3.91].

The Technology Committee systematically gathers and prioritizes technology needs on campus. This Committee has helped to create a centralized vision for campus technology and to maintain a unified purchasing strategy. Funding for technology has come primarily from the District's Basic Aid allocation and has allowed College technology to advance rapidly over the last five years.

The current goal of the College is to establish a technology replacement schedule that ensures that the needs of students, faculty, and staff are met. The Technology Committee evaluates both computer equipment and infrastructure on a yearly basis.

### SELF EVALUATION

Through the College's centralized planning process, technology needs are integrated with Strategic Planning and Program Review.

### PLANNING AGENDA

None.

## III.D. 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.**

### DESCRIPTIVE SUMMARY

Saddleback College is part of the South Orange County Community College District (SOCCCD), which is a Basic Aid district. The Board of Trustees has adopted budget development guidelines that are designed to maintain the financial integrity of the District and the Colleges [3.99]. These guidelines were developed in conjunction with the College and District.

The District Resources Allocation Committee (DRAC), which has College representation [3.100], is responsible for making budget recommendations to the Chancellor and ensuring that recommendations consider budget development guidelines. One of the guiding principles to resource allocation is that the Colleges and the District are allocated revenue using the State SB361 funding formula for all ongoing operating expenditures. Property tax revenue anticipated over and above the State funding formula is designated as Basic Aid funding and is used for one-time expenditures [3.101].

A District budget allocation model [3.102] is the computational tool used to allocate general fund unrestricted resources to Saddleback College. The College and the District work together closely to determine FTES calculations and income projections, and they meet prior to submission of FS320 reports to ensure College plans are reflected in the FTES submission.

Saddleback College has efficiently and prudently managed its financial resources. During College budget planning, the relationship between ongoing revenue and ongoing expenditure has always been considered, and the College has been careful not to obligate short-term revenue to long-term expenditures. As a result, the College has had sufficient resources to support existing instructional programs and support services and has been able to allocate resources to address institutional plans.

This planning strategy has served the College well and, during periods of reduced budgets (as experienced in the 2009-2010 fiscal year), has enabled the College to continue to support instructional services and student services without the need for sudden and dramatic budget cuts. Additionally, the College has been in a fiscal position to move forward and continue to apply funds to institutional plans. The College has consistently ended the fiscal year with a healthy ending balance, as evidenced in Table 3.4.

**Table 3.4. Ending Balance,  
FY 2004-2005 to FY 2008-2009**

Fiscal Year	Ending Balance
2004-2005	\$5,502,254
2005-2006	\$8,867,624
2006-2007	\$5,303,420
2007-2008	\$8,606,786
2008-2009	\$7,621,138

The College is keenly aware of the 50 percent law, which requires that a calculation (by State formula) of 50 percent or more of the institution’s resources be expended for direct instruction. In 2006-2007 the College began to compute the 50 percent law calculation based on College expenditures only. This enables the College to track its effect on the overall District calculation as well as to ensure maintenance of effort. The 2006-2007 calculation was 57.75 percent, and it increased to 58.52 percent in 2007-2008 and to 60.5 percent in 2008-2009.

In addition to the College’s unrestricted general fund, the College receives restricted funds for State-funded categorical programs, local income (such as material fees, parking and health center revenue), grants and agreements, Community Education, and Student Government and Foundation revenue. In recent years the College has placed increased focus on revenue generation from successful grants, which has increased available resources [3.103]. The College’s restricted and unrestricted general fund budget for the 2009-2010 fiscal year totaled \$103,853,262. The District budget for all funds totaled \$435,573,653 [3.104].

The District has established an unrestricted general fund contingency of 7.5 percent, and the College maintains an additional contingency within its operating budget, which was \$2.75 million in 2009-2010.

The SOCCCD has prepared well for most long-term financial obligations such as retiree health benefits, and the College and the District have fully paid off all prior-year debt obligations. A plan is currently being developed to address long-term funding needs for buildings and scheduled maintenance.

## SELF EVALUATION

A conservative approach to resource allocation has been adopted. By ensuring the College operates within a resource allocation determined by the SB361 funding formula, the College has created a formula by which College operations are protected from the volatility of property tax revenue, thereby eliminating the possibility of devastating cuts to programs and services in case the District's Basic Aid status ever changes. Further, property tax revenue collected over and above the SB361 calculation is allocated and expended as received, and the District has not obligated future anticipated property tax revenue by incurring debt.

Both the District and the College allocate resources in a fiscally prudent and responsible manner. One of the College's strengths is the manner in which it approaches financial planning. College finances are managed conservatively to ensure students' needs are met on both a short- and a long-term basis. College financial planning, over recent years, anticipated declines in operational revenue combined with inflationary increases in expenditures. This short-range and long-range planning has enabled the College to maintain fiscal integrity, as evidenced in the College's 2009-2010 adopted budget. No general fund reductions were made, 23 new and replacement faculty positions were hired, and the general fund offset a portion of the State reductions to categorical programs [3.105]. For 2009-2010 zero-growth and cost-of-living allocations were received, and expenditures increased due to step-and-column increases, health and welfare increases, a 1 percent salary increase for faculty and classified staff, and other inflationary increases. Due to the College's conservative long-range fiscal planning, the 2009-2010 College budget was balanced with a \$2.75 million contingency. The 2009-2010 budget also provided resources to address College plans, including the hiring of 23 new and replacement faculty. The 50 percent calculation of direct instructional support has been maintained at a level higher than the benchmark year of 2006-2007.

District reserves were established at a very healthy 7.5 percent, which totals \$10.4 million, and prudent resource management has precluded any need to access this contingency.

In the 2009 Employee Survey 77 percent of respondents either strongly agreed or agreed that Saddleback College allocates resources to support student learning; 14 percent of respondents were neutral.

## PLANNING AGENDA

None.

### **III.D.1. The institution relies upon its mission and goals as the foundation for financial planning.**

## DESCRIPTIVE SUMMARY

The Mission and Vision Statements are the bases for all financial planning and decision-making at the College. In 2005 the College developed a Strategic Planning Process that begins with a Mission and Vision Statement from which all strategic directions, goals, and strategies are developed.

Moreover, all planning on the level of academic programs and administrative units also begins with the College Mission. Each department and unit develops a Mission Statement in alignment



with the College's mission in order to develop Student Learning Outcomes or Administrative Unit Outcomes.

Requests for funding require aligning the use and expenditure of resources with the College's mission and its Strategic Planning goals and strategies.

### **SELF EVALUATION**

Saddleback College has a reputation for excellence in academics and service to students. As a result of the College's strong commitment to its mission and to continuous improvement and innovation, its financial resources are necessarily in great demand by all groups on campus, thus increasing the importance of linking financial planning to institutional planning in order to make decisions that best utilize College resources.

### **PLANNING AGENDA**

None.

#### **III.D.1.a. Financial planning is integrated with and supports all institutional planning.**

### **DESCRIPTIVE SUMMARY**

The budget development and planning processes of the College ensures that financial resources are used to address College plans. The process of institutional planning and the integration of those plans have continued to develop and grow within the College culture.

In 2006-2007 a Planning Steering Committee [3.106] was formed to revise the budget and planning process, and a one-year interim strategic plan [3.107] was developed. Concurrently, the College assessed the effectiveness of prior planning processes and worked on a new format for a three-year plan. The 2007-2010 Strategic Plan [3.108] was developed and has been the guiding force for allocation of new resources.

In 2009, to ensure continuous evaluation of existing planning processes, and to ensure full integration of planning and resource allocation, a Planning and Budget Steering Committee (PBSC) was formed. The purpose of the PBSC was to evaluate past planning practices and to refine the planning and budget process to ensure a continuous and integrated Strategic Planning Process and to ensuring that the College collectively identifies and prioritizes Collegewide goals and strategies. The PBSC implements these goals and strategies and measures and evaluates the outcomes while understanding planning improves the efficiency and effectiveness of the College and facilitates better-informed decisions about the allocation of College resources. The President approved a new Strategic Planning Process [3.92] in August 2009.

The PBSC guides and oversees Strategic Planning. All financial decisions go through this body to ensure that all requests for expenditure are in alignment with the College's Strategic Plan before they are forwarded to the Consultation Council (CC), which in turn makes recommendations to the President.

Both the PBSC and the CC include representatives of all College constituent groups, and both groups are primarily recommending bodies; final decisions and accountability rest with the President. Based on input from the recommending bodies, the President's Executive Team

(the Vice President for Instruction, the Vice President for Student Services, and the Director of College Fiscal Services) meets with the President to set spending priorities and to ensure that these can be accomplished with a balanced budget.

In recognition of the importance of the budget and of integrated Strategic Planning, the College determined the need to add a full-time administrator. Consequently, an academic administrator position titled “Director of Planning Research and Grants” was established, and the position was filled in July 2009. This position has the responsibility to facilitate and ensure that the Strategic Planning Process is followed correctly and is on schedule. The PBSC has co-chairs (the Director of Planning, Research and Grants, and the Director of College Fiscal Services), which creates a working relationship between the two offices that strengthens the integration of planning and budget.

Strategic Planning is designed to lay the foundation for all resource decisions. The Saddleback College Strategic Plan reflects a strategic assessment of what will best support student needs, now and in the future, and how existing programs need to be adjusted to better address changing needs. Program Reviews are conducted every three years by all instructional, student service, and business service units of the College. These reviews are central to planning and allow for both short- and long-term planning. Additionally, Program Reviews are the baseline document for programs and units to outline resource needs. On an annual basis, through the needs assessment process, resources are requested via the Resource Allocation Request form.

The Educational Planning and Assessment (EPA) Committee is responsible for ensuring that all instructional programs and administrative units on campus complete a Program Review (in accordance with the policies established by the Academic Senate) or an Administrative Unit Review (in accordance with the policies established by the Consultation Council). The EPA Committee is also responsible for ensuring that all instructional programs and administrative units on campus complete Student Learning Outcomes (SLOs) and Administrative Unit Outcomes (AUOs). These documents form the basis of the College’s Strategic Planning Process.

All resource allocation decisions are largely informed by the Strategic Plan, in conjunction with the needs of instructional programs and administrative units on campus as expressed in completed Program and Administrative Unit Reviews. For example, all funding requests and allocation recommendations must include a justification that demonstrates an alignment between the Strategic Plan and a specific Program or Administrative Unit Review.

All resource allocation requests are submitted to the PBSC for review before they are forwarded to the Consultation Council for action recommendations. The EPA and the PBSC review Program Review and unit plan findings and funding for strategic, educational, and operational priorities, and they recommend actions to the Consultation Council, which makes recommendations to the President. Additionally, PBSC collaborates with the Facilities Planning Committee, the Faculty Hiring Prioritization Committee, and the Academic and Classified Senates to develop annual budgets and midyear adjustments as needed. The College President presents budget and financial data at periodic planning retreats for review and recommendation by a broad representation of campus constituents.

Based upon all of the College’s planning decisions, a budget is developed each year. Due to insufficient information from the State prior to adoption of the annual budget and the uncertainty of the State making revisions to the budget during the funding cycle, the College’s

financial planning process is, by necessity, flexible. Within those parameters, the planning process is linked to our mission, our current Strategic Planning goals and strategies, and our Educational Facilities Master Plan. Throughout the year, all requests for discretionary budget increases, new positions, equipment, technology, and facilities are required to demonstrate specific links to the institutional plans and are reviewed in the context of how those requests align with College-determined planning goals.

Faculty have the most direct impact on students. Thus requests for new faculty support College goals that relate to student learning and success. The Academic Senate oversees a faculty hiring prioritization process in which alignment with the College's Strategic Plan is one of the key determining factors. The resulting prioritized list is then forwarded to the President for further action. PBSC oversees a revised process for hiring new classified staff and managers, and this process also requires alignment with the Strategic Plan. Final approval of all positions rests with the President, who determines hiring priorities in conjunction with the budget and the most critical needs to meet College goals.

Beginning in 2009 and on an annual basis, the PBSC:

- Reviews resources and make recommendations for the College budget based on principles and practices set forth in the College Budget Development Manual and in alignment with the Strategic Plan.
- Notifies the College community of funding appropriations and direction for expenditures in accordance with the Strategic Plan.
- Monitors budget and resources to ensure success of the Strategic Planning Process.
- Completes an Annual Review of the Strategic Plan in the spring of each year, and makes suggestions to the Consultation Council (CC) for reprioritizing goals and strategies.

Each spring, the CC may reprioritize strategies based upon the Annual Review and an evaluation of the accomplishments during the year. The strategic directions and goals, however, remain constant for the entire three-year period of the plan. This Annual Review allows for revision of the College mission, and every third year the College revises its values and vision along with the mission. This review also ensures that the College and District mission are in alignment as prescribed in Board Policy 101 [3.109].

At all levels College leadership is intimately involved in this process. An annual presentation is made to the Board of Trustees describing the College Strategic Planning and Budget process [3.110].

## **SELF EVALUATION**

Financial planning at Saddleback College is integrated with all institutional planning. Saddleback College's financial planning processes are structured to reflect and support broad institutional planning. Most importantly, financial planning is linked to the Strategic Planning Process.

In the past, the allocation of resources was often a cause of disagreement and conflict. With the establishment of our Strategic Planning Process in 2005, however, decision-making has become more transparent and inclusive, alleviating much of the previous conflicts. It is imperative that the College continues to link its financial allocations to the planning processes so that all decisions are clearly justified and understood by the College community.

Institutional leaders are an integral part of the planning and budget process, and the College annually provides the Board of Trustees with information by detailing the planning and budget process.

### **PLANNING AGENDA**

None.

#### **III.D.1.b. Institutional planning reflects realistic assessment of financial resources availability, development of financial resources, partnerships, and expenditure requirements.**

### **DESCRIPTIVE SUMMARY**

Assessment of available resources is an ongoing, year-round, multiyear process at Saddleback College. Funding for College programs and services is realized through multiple funding sources. The primary funding source is the general fund unrestricted allocation, which is calculated using a revenue-based District resources allocation model, and the allocation of these resources is guided by District Budget Development Guidelines. The College also receives funds from State categorical programs; local revenue; grant revenue from Federal, State and local sources; Community Education; Associated Student Government; and Foundation revenue.

Unrestricted general fund operating revenues allocated to the College are calculated using a revenue-based formula. The revenue calculated to fund this formula is that allowable under the State SB361 funding formula, even though the College is part of a Basic Aid district. The DRAC formula operates as though the College were a single-college district, and it calculates a revenue allocation to the College based on full-time equivalent student (FTES) numbers reported for the prior year. The income projection used to fund the FTES is taken directly from the State apportionment calculation for the prior year, and adjustments in the final State budget, positive or negative, such as cost-of-living adjustments and growth, are factored into the revenue calculation.

Nonresident tuition FTES income, again based on prior-year actual receipts, is added to the income formula. Prior-year ending balances for the District are added to the overall income, and a budget allocation is set for the College. The College allocation is then assessed for District Services such as payroll, accounting, and purchasing and is assessed for the contingency and for Districtwide general expenditure items that cannot be attributed to one College or the other, e.g., legal fees. The ending balance for the College, whether positive or negative, is added or subtracted to the income allocation.

Restricted State-funded categorical budgets are typically budgeted conservatively at 95 percent of the prior year until final allocations are known. Once final allocations are known, budget amendments are made. Recent significant reductions in State-funded categorical programs have resulted in the College's reducing the budgets for these programs to the funding levels as prescribed by the State [3.105]. Local income, such as parking revenue or health fee income, is budgeted at prior-year actual income levels. Student fee income is budgeted at prior-year income levels and is adjusted in the spring after spring enrollment revenues are known [3.111].

A formal grant award or partnership agreement must be received and Board-approved before a budget is established for the activity. Community Education revenues are budgeted slightly below prior-year actual income levels, and Student Government revenue is calculated using the minimum guaranteed income derived from vending contracts.

The Planning and Budget Steering Committee, as its name indicates, reviews and studies budget materials for all funds, programs, grants, and projects. This Committee makes recommendations to the Consultation Council regarding the allocation of funds, and the CC, after review, will make a recommendation to the President, who ultimately makes the final decision as to the allocation of resources to address College plans.

## **SELF EVALUATION**

The DRAC model was developed through a shared governance process that includes representatives from Saddleback College, its sister College Irvine Valley College, and District Services [3.100]. The DRAC Committee meets several times per year, and the College can and does submit agenda items that may lead to modifications of the allocation model to continue to ensure that funds are allocated equitably. A recent example of a modification is that funded FTES are averaged over the previous three years to guard against sudden changes in FTES and to allow budgets to be adjusted over time. The process is clearly understood by all those involved; however, the details of the allocation formula are complex, and survey results show that 42 percent of those responding either disagree or strongly disagree that District funds are allocated through a process that is clearly understood.

For College planning purposes the DRAC formula works very well. Because the formula is clearly understood and the fundamental principles of the model do not change, the College can clearly plan to allocate its resources with an understanding of the effect on income the following year. Because the rules surrounding income generation for the College will not change unless a recommendation is submitted by DRAC and approved by the Chancellor, the College is provided the tools to plan strategically. Additionally, the method used to calculate revenue for distribution through the model is reliable and consistent. The major challenge is adoption of a State budget to provide guidance as to the allowable income for growth, COLA, and more recently, reduction in base workload measures. While this is not unique to Saddleback College, inconsistency and indecision in the State budget allocation process has been a challenge. A major strength of the allocation formula is that the College can retain its unrestricted ending balance, which enables multiyear planning. Additionally, because the College is funded for operations using the SB361 funding formula, the integrity of the College budget and the programs and services it supports are protected if the District were to lose Basic Aid status.

Typically, due the conservative method used (95 percent of prior-year allocations) to establish categorical, restricted budgets, midyear budget adjustments reflect an increase in available resources, and ending balances in programs, where allowed, are positive.

Revenue planning reflects a realistic assessment of available financial resources and prevents the establishment of expenditure budgets until documented evidence of resource availability is obtained. This has enabled the College to plan realistically and maintain activities funded through the Planning Process.

## PLANNING AGENDA

None.

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

## DESCRIPTIVE SUMMARY

Annually, the Board of Trustees, as part of the adoption of District budgets, revises (if necessary), reaffirms, and approves District budget development guidelines [3.99]. These guidelines include a philosophy adopted by the Board of Trustees that guides resource allocation. This philosophy is:

The Board of Trustees shall support and follow fiscal policies that:

1. Ensure wise and prudent use of public resources.
2. Promote financial strength and stability.
3. Maximize educational opportunities for students.

These guidelines were originally developed through a shared governance process whereby DRAC developed and recommended proposals to the Chancellor, who worked with the Board of Trustees to finalize the guidelines. Annually, DRAC may recommend adjustments to these guidelines for consideration, and the Board of Trustees will also make adjustments to the guidelines as necessary.

In 1996 and 1999 the District entered into two certificates of participation (COPS), long-term debt instruments, each of which included a 25-year repayment schedule. In accordance with the budget development guidelines, a plan to retire the COPS debt by June 1, 2008, was established. This goal was met with the 1999 agreement being paid in full in the 2004-2005 fiscal year, and the 1996 agreement was paid off in June 2008. All long-term debt has been paid off, and the District has not entered into any additional debt agreements.

Since the last accreditation, long-term debt obligations have become a focus with the new Government and Accounting Standard Board (GASB) Statements 43 and 45 that require annual reporting of post-employment benefit liability. These statements establish standards for the measurement, recognition, and display of Retiree Other Post Employee Benefits (OPEB) expenses, expenditures, and related liabilities in the financial reports of State and local governmental employers. A consultant was hired to assist the District in the navigation of this process, and after an open-bid process the Board of Trustees approved the Futuris program, administered by Keennan and Associates. A Retirement Board of Authority was established to guide and oversee the implementation of the GASB standards. The members of this Retirement Board are:

- Deputy Chancellor (Chair)
- Director of District Fiscal Services
- Vice Chancellor of Human Resources

- Director of Saddleback College Fiscal Services
- Director of Irvine Valley District Services

The Board of Trustees by resolution [3.112] established a Retiree Other Post Employee Benefits (OPEB) Irrevocable Trust to fund to become operational on June 1, 2008. This trust was fully funded in June 2008.

In 2002-2003, in response to unpredictable utility rates and the need to replace the boilers in the College central plant, a cost assessment determined it fiscally prudent to invest in a cogeneration system. The College determined that the funding for boiler replacement, utility rebates (\$883,000), and the savings in utility bills would finance the debt payments on the loan to fund the project. The College applied scheduled maintenance funds and College funds to the \$8.4 million project and issued debt in the amount of \$5.2 million in the form of two “lease agreements.” This debt was scheduled to be paid off over a 10-year period, with the final payment due in August 2013. The College planned for and retired the debt on the first obligation in 2004-2005 and on the second obligation in 2007-2008, five years ahead of schedule. As a result, the College now has no long-term debt obligations.

The College, as a general rule, does not enter into lease purchase agreements. The exception is when a cost benefit study clearly demonstrates the debt to be a long-term financial benefit. Technology and equipment are purchased outright on an annual basis as funding permits. In 2007-2008 a need for an absorption chiller for the central plant was identified by the Department of Maintenance and Operations. A cost-assessment study determined that the College infrastructure would derive long-term utility savings from this addition. This project was fully funded from the College budget in 2007-2008, and the College is now realizing annual utility savings to assist with other budget challenges. By investing in this project at a time when funds were available, the College derived expenditure savings in future-year utility budgets, thus helping to balance budgets in leaner years.

As part of the District planning process, goals are established with input from both College’s and the District’s Services personnel. In Fall 2009 the number one goal for the District was to “develop a plan to meet all capital and scheduled maintenance needs” [3.97]. Consequently, the College made a 20-year Facilities and Scheduled Maintenance Plan needs assessment, and a funding plan was developed in conjunction with District Services to address that need [3.93]. This plan demonstrates significant needs for scheduled maintenance repairs on the Saddleback College campus. In 2009 the State Chancellor’s Office conducted an independent and objective facilities condition assessment. According to the state assessment, the cost of repairs at Saddleback College was identified at \$76,195,000; at Irvine Valley College, \$7,846,000.

## **SELF EVALUATION**

The College and the District excel in the area of planning for future liabilities and reducing or eliminating long-term debt commitments. College constituent groups were instrumental in the development of the Board Budget Development Guidelines and support the philosophy of those guidelines.

The positive outcome of that 20-year Facilities and Scheduled Maintenance Plan is clear; however, due to the deterioration of College facilities and the College’s huge scheduled maintenance needs in the future, it is imperative the College stay focused on acquiring funding

for the plan. It is also important that the College continue to secure a much larger share of the District's available scheduled maintenance funds, given the fact that the independent assessment demonstrated that Saddleback College's needs are ten times higher than that of our sister College.

The College and the District have been careful not to obligate future budget years with automatic debt payment, and when it has been fiscally prudent to do so, future debts have been retired ahead of schedule.

### **PLANNING AGENDA**

As outlined in the 2010-2013 Strategic Plan, the College will ensure that its 20-year Facilities and Scheduled Maintenance Plan is a high priority for allocation of District funds.

**III.D.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.**

### **DESCRIPTIVE SUMMARY**

Annually, in early spring, Budget Development Guidelines are reviewed, revised, and published [3.99]. These Guidelines are distributed to all managers Collegewide, and they, in turn, distribute the Guidelines in their respective divisions. The Guidelines are also available online [3.99].

The District Resource Allocation Committee, which has representation from all constituent groups, meets several times a year to refine the District budget allocation model and to determine the funds available to fund the allocation formula.

The College's planning process, which ultimately results in budget allocation, is a transparent process and is open to all who choose to participate. Planning and Budget Committees include:

#### **Consultation Council (19 members)**

- President (Chair; nonvoting)
- Vice President for Instruction
- Vice President for Student Services
- Academic Senate President
- 4 Additional Academic Senate representatives
- Classified Senate President
- CSEA appointment
- 1 Additional Classified representative
- ASG President
- 1 Additional ASG representative
- 2 Deans
- Director of Planning, Research and Grants



- Director of College Fiscal Services
- 1 External Affairs representative
- 1 Additional Classified Management representative

**Planning and Budget Steering Committee (up to 13 members)**

- Director of Planning, Research and Grants (Co-chair)
- Director of College Fiscal Services (Co-chair)
- Vice President for Instruction
- Vice President for Student Services
- Academic Senate President or designee
- Educational Planning and Assessment (EPA) Chair
- Classified Senate President or designee
- CSEA appointment
- 1 Dean
- Elected Chair of each Strategic Planning Group (if not already included)

**Educational Development Strategic Planning Group (at least 14 members)**

- Vice President for Instruction
- 3 Deans or Assistant Deans (preferably 2 from Instruction and 1 from Student Services)
- Curriculum Chair
- Basic Skills Initiative Chair
- At least 4 additional Academic Senate representatives (preferably from both Instruction and Student Services)
- 2 Classified Senate representatives
- 1 or 2 ASG representatives
- 1 Classified Management representative

**Student Affairs Strategic Planning Group (at least 16 members)**

- Vice President for Student Services
- 3 Deans or Assistant Deans (preferably at least 1 from Instruction and 1 from Student Services)
- Matriculation Coordinator
- Transfer Coordinator
- At least 4 additional Academic Senate representatives (preferably from both Instruction and Student Services)
- 2 Classified Senate representatives
- 1 or 2 ASG representatives

- LAP Director
- 1 Additional Classified Management representative
- Director of Facilities, Maintenance and Operations
- 2 Deans or Assistant Deans
- At least 2 Academic Senate representatives (preferably 1 from Instruction and 1 from Student Services)
- Disabled Students Programs and Services (DSPS) representative
- 2 Additional Classified Senate representatives
- 1 or 2 ASG representatives
- Director of Fiscal Services
- Director of ITC
- 1 Additional Classified Management representative

**College Advancement Strategic Planning Group (at least 15 members)**

- Marketing Director
- 2 Deans or Assistant Deans (preferably one from Instruction and one from Student Services)
- At least 6 Academic Senate representatives (preferably from both Instruction and Student Services)
- Coordinator of Outreach and Recruitment
- 1 Additional Classified Senate representative
- 1 or 2 ASG representatives
- Foundation Director
- Community Education Director
- 1 Additional Classified Management representative

**Educational Planning and Assessment Committee (12 members)**

- EPA Chair
- At least 4 additional Academic Senate representatives (preferably at least 1 from Instruction and at least 1 from Student Services)
- 2 Deans
- Research Analyst
- Research Specialist
- 2 Additional Classified Senate representatives
- 1 Classified Manager

### **Technology Committee (20 members)**

- 1 Chair
- 2 Deans
- 9 Faculty (1 per division)
- 1 Student
- 1 Classified Senate
- 1 CSEA
- 3 Classified Staff
- 2 Classified Managers

### **Equipment Committee (9 members)**

- 2 Deans
- 2 Faculty
- 1 Student
- 1 Classified Senate
- 1 CSEA
- 1 Classified Manager
- 1 Director of Fiscal Services

Although there is a membership listed for each planning group, all are welcome to participate in the planning and budget process, and all are encouraged to provide input. All College employees, through their division process, have the ability to submit a planning or funding request to the planning committees. The deliberations in these committee meetings and the prioritization that results from their deliberations are fundamental to the budget development process, because the prioritized plans that they develop are used to make resource allocation recommendations to the President.

During budget development, regular State, District, and College updates are provided in the planning committees. Individual managers and division heads work directly with the Office of Fiscal Services to develop divisional budgets, and Fiscal Services distributes information on a regular basis, including current copies of proposed budgets, details of assumptions in those budgets, request for input, and deadlines required in order to meet established budget development guidelines.

### **SELF EVALUATION**

The College has progressed, grown, and developed significantly in the area of financial planning and budget development. The committees in place and the representation on those committees represent a significant number of faculty, staff, and managers.

Of those responding to the Employee Survey:

- 55% agreed or strongly agreed Saddleback College uses the Strategic Planning Process when making decisions regarding the allocation of new resources; only 14% disagreed; the remaining respondents were neutral.
- 77% agreed or strongly agreed Saddleback College allocates resources to support student learning.
- 55% agreed or strongly agreed Saddleback College uses reliable data for planning; only 13 percent disagreed; the remaining respondents were neutral.
- 74% agreed or strongly agreed they have the opportunity to provide input on prioritizing equipment needs that affect their area.
- 71% agreed or strongly agreed they have the opportunity to provide input on prioritizing technology needs that affect their area
- 49% agreed or strongly agreed they have the opportunity to provide input on prioritizing human resource needs that affect their areas; only 24% of respondents disagreed; the remaining respondents were neutral.

### **PLANNING AGENDA**

None.

**III.D.2. To assure the financial integrity of the institution and responsible use of financial resources, the financial management system has appropriate control mechanisms and widely disseminates dependable and timely information for sound financial decision making.**

**III.D.2.a. Financial documents, including the budget and independent audit, reflect appropriate allocation and use of financial resources to support student learning programs and services. Institutional responses to external audit findings are comprehensive, timely, and communicated appropriately.**

### **DESCRIPTIVE SUMMARY**

An audit of the District's financial statements and supplementary information, including reports on compliance, is conducted in the fall of every year. This audit is performed by an independent certified public accounting firm. The audit is designed to provide reasonable assurance whether the financial statements are free of material misstatement. It considers the District's internal controls over financial reporting, which includes examining, on a test basis, evidence supporting the amounts and disclosures on financial statements. The audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall basic financial statement presentation [3.113].

### **SELF EVALUATION**

The accuracy of the College's and the District's financial management is reflected in the limited number of audit findings. The last two audits have resulted in a total of one finding, none in

2006-2007, and one related to compliance in 2007-2008. The finding was corrected before the following year's audit. The audit is presented to the Board of Trustees at the November Board meeting.

### **PLANNING AGENDA**

None.

### **III.D.2.b. Appropriate financial information is provided throughout the institution.**

#### **DESCRIPTIVE SUMMARY**

The Board of Trustees approves budgets and audits in open session. After each Board meeting, usually the following day, the District Director of Public Affairs and Inter-governmental Relations sends Board highlights to every College employee. These highlights cover all agenda topics and any action taken, and copies of presentations are attached, together with links to pertinent documents [3.114].

The development of the Saddleback College budget document begins in early spring, and the process is concluded with Board approval of the final budget, usually at the August Board meeting. Budgets are separated into the unrestricted general fund and restricted general fund budgets, the Associated Student Government budget, the foundation budget, the community education fund budget, and the child development fund budget. All budget codes are consistent with the State budget and accounting manuals, and all accounts are consistent with the District chart of accounts [3.115]. College unrestricted general fund revenues are budgeted at the amount calculated and allocated to the College using the DRAC model. In addition, categorical budgets are typically conservatively budgeted at 95 percent of prior-year actual revenue, pending final allocation as notified by the State, usually in October. More recently, due to significant State categorical budget reductions, categorical budgets have been cut to a level following the most current information available from the State. Federal and State grants are budgeted in accordance with award notification information, and budgets are established after written confirmation of award and Board acceptance. Local revenue is budgeted based on prior-year revenues, and if necessary midyear adjustments are made to account for increases or decreases in projected revenue. All audit reports for the last several years have reflected appropriate budget and financial documents and appropriate allocation and use of financial resources to support student learning and student services.

During the course of budget development the College Budget Office works closely with division deans and directors, and budget printouts are regularly forwarded to departments throughout the College for input and review. Tentative and final budget documents are submitted to the Board of Trustees for comment and approval. These documents are available for Collegewide review. At the District Board meeting the Deputy Chancellor of the District, together with the District Fiscal Director and the College Fiscal Directors, gives a budget presentation. These presentations and budget documents are open to all College members and are also posted on the District Web site.

After Board approval of the final budget, the Escape accounting system is populated with the College budget, and College personnel responsible for College accounts have access to

appropriate accounts; there are no restrictions on department or division access in the Escape accounting system. In addition, during the budget process PBSC, the Consultation Council, and the Deans' Cabinet are regularly apprised of the most current budget data. Annually, the Consultation Council and the PBSC attend a one-day retreat for the specific purpose of reviewing the College budget. Collegewide budget updates are issued by the President.

A Fiscal Office Guide (FOG) that explains College and District procedures relating to financial matters was developed as a resource guide. Previously this guide was distributed in hardcopy format; recently the guide was added to a newly created Fiscal Office Web page [3.116].

### SELF EVALUATION

Financial information is provided throughout the institution in forums, in-service, management meetings, division and department meetings, standing committees, and online. The information is housed in several different locations, depending on whether the information is District-related or College-related, and as a result access to information is not simple.

In the Employee Survey, 83 percent of respondents indicated they are informed in a timely manner of significant Collegewide issues.

### PLANNING AGENDA

None.

**III.D.2.c. The institution has sufficient cash flow and reserves to maintain stability, strategies for appropriate risk management, and realistic plans to meet financial emergencies and unforeseen occurrences.**

### DESCRIPTIVE SUMMARY

Board Policy 3100 [3.117] states, "Unrestricted general reserves shall be no less than 7.5 percent." In addition to this reserve required by Board policy, each College maintains its own reserve.

The District is a Basic Aid district, that is, the revenue received from property taxes exceeds the funds it would receive through SB361, the State's funding model for community colleges. Revenue is received monthly, with the largest tax payments made in December and April. The Capital Outlay fund has a substantial cash balance committed to specific future capital projects. This cash may be temporarily transferred to another fund for the payment of obligations in accordance with the State Budget and Accounting Manual. The District is not self insured but participates in several Joint Power Agreements, such as Statewide Association of Community Colleges (SWACC) for property and liability, Self Insured Schools of California (SISC) for medical, and Protected Insurance program for Schools (PIPS) for workers' compensation, thus lessening risk factors and reducing costs [3.118].

### SELF EVALUATION

The District reviews its coverage annually in the spring and carries an excess liability policy. The District implemented an irrevocable trust for its OPEB obligation in spring 2008 and fully funded the liability in June 2008.

## PLANNING AGENDA

None.

**III.D.2.d. 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.**

## DESCRIPTIVE SUMMARY

The College uses Escape accounting software to establish budgets and expend resources. Budgets are accounted for using an account code structure, which allows the Escape software to direct transactions to those fiducially responsible for the accounts related to those specific transactions. Purchase orders are created online and go through an automated approval process, and those approval requirements are built into the system based on account code structure. Control mechanisms are in place to ensure that requisitions cannot be submitted unless sufficient resources are available. Approvals are in place for all requisitions, depending upon the classification of the expenditure. For example, Board policy 6140 [3.119] requires that the College President approve guest speakers; by account code all requisitions for guest speakers are ultimately submitted to the President's office. Similarly, this process identifies other expenditure-type requests and requisition-type requests according to the College's account code structure. All departments have access to the Escape online system, and any College employee can access the system by requesting or requiring access. All Escape users have full access to all College accounts in the Escape system and can develop real-time reports if needed. If departments or employees request or require reports that are more complex than the reports that Escape provides, the College's Fiscal Office is available to assist.

The Student Financial Assistance Office determines eligibility and enters the awards into the Powerfaids system. The District Business Services Office draws down the funds (G-5) three days prior to the disbursement date, following the Federal guidelines that require the funds must be spent within three days of receipt. An independent certified public accounting firm audits the Student Financial Assistance Office and the District Business Services Office as part of the annual audit. In the District's financial statements, financial aid is accounted for in a separate fund.

Every Saddleback College group raising funds for College programs and scholarships is required to sign a fundraising agreement with the Foundation office. This agreement states that the group will follow established guidelines and procedures of the Foundation and the SOCCCD. A group representative signs the document as the account administrator, the dean or supervisor cosigns, and the Foundation Director cosigns. This document then authorizes deposits and expenses from the account [3.120]. The account is assigned a name and given a code designation so it can be tracked in the Escape accounting system.

New account administrators are given a copy of the Saddleback College Foundation policy guidelines, procedures, and accepted nonprofit standards for fund expenditures [3.121].

Money raised from fundraising activity is recorded on a Deposit Advice form [3.122]. The money and the Deposit Advice form are given to a campus safety officer, who signs a receipt

for the funds and hand-delivers them to the District Business office. The District Business Office matches the amount of the deposit indicated on the form and prepares a bank deposit.

A second copy of the Deposit Advice form is sent to the Foundation Office, which checks to ensure that funds are coded correctly so they are deposited into the correct account. The donation information is then recorded as a permanent record into a donor database, and tax ID letters are generated and sent. This form is then sent to the District Business Office, which matches the forms and inputs the deposits into the ESCAPE accounting system. The Escape record of each project can be accessed at any time for review by the Foundation, the District, and the account administrators.

All funds expended from Foundation accounts must be requisitioned by account administrators. The expense request goes through an approval process in the following order: the dean, the Vice President, and then the Foundation Director. After approval by all, requisitions are sent to the District Business Office to be processed and checks cut. If the expense is a direct reimbursement, receipts, invoices, or other forms of verification must be sent to the Foundation Office for review. If the item or service is ordered, a purchase order and an invoice are required for payment.

Before any expenses over \$5,000 can be approved by the Foundation Director, the requisitions are reviewed by the Foundation's Board of Governors Finance Committee at its monthly meeting.

The Finance Committee annually prepares and adopts a budget of operations income and expenses [3.123]. At each of its monthly meetings, the Finance Committee reviews actual versus budgeted expenditures and income and makes adjustments when necessary.

Board Policy 3102 [3.124] and Administrative Regulation 3102 [3.125], in accordance with Government Code 53635, allows for District funds to be maintained by the County Treasurer's Investment Pool or the State Local Agency Investment Fund (LAIF). Quarterly reports are made to the Board of Trustees at regularly scheduled public meetings showing the account balances and yields.

Saddleback College and the South Orange County Community College District have controls in place that assure effective oversight of all financial matters. Acceptance of grant funds requires Board of Trustees approval. Once the grant has been authorized, the Fiscal Office prepares a budget amendment, which is submitted to the Board. Once the budget is authorized, fund balances are entered into the Escape system, which prevents approval of purchase orders in excess of budget funds. Only authorized individuals can enter requisitions into the system, and all requisitions are scrutinized and approved by the Project Director, the grant administrator, the grants monitor, and the Fiscal Office. The grant project staff, in conjunction with a representative from the Office of Planning, Research and Grants, monitors fund expenditures to make certain that they are in compliance with the terms and conditions of the grant and other relevant accounting standards. Regular reporting is completed in accordance with grant specifications. The District accounting staff reviews project reports to verify that they are accurate before the report is certified by the Deputy Chancellor or his designee. Similar processes are in place that assure the appropriate oversight and management of externally funded programs, such as Perkins appropriations and State-funded categorical programs.



All contracts are managed by the Office of the Deputy Chancellor, who has authority to approve contracts that do not exceed \$100,000. The Deputy Chancellor submits a report to the Board of Trustees on a monthly basis listing all contracts that he has approved for Board ratification. Contracts that do not fall within the parameters set for the Deputy Chancellor are submitted directly to the Board for approval. Contract expenditures and payments are managed through the Escape system, which monitors purchase orders and payments.

The College Foundation Board of Directors and the Foundation Director are responsible for overseeing funds deposited with the Foundation, which includes funds generated by auxiliary organizations. Monthly investment reports as well as income and expenditure documentation are submitted to the Foundation Board on a monthly basis for its review and approval. Reports are also regularly submitted to the Deputy Chancellor and the Board of Trustees.

The Office of the Deputy Chancellor manages institutional investments and asset management. Funds are invested in compliance with the law through the County Treasurer’s Office. Monthly informational reports are submitted to the Board of Trustees.

Table 3.5 displays the District’s audit findings for the past six years and the resulting action.

**Table 3.5. SOCCCD’s Audit Findings, 2002 to 2008**

Year	Findings	Recommendation Implemented
2007-2008	08-1 Indirect Costs (Saddleback)	Yes
2006-2007	None	
2005-2006	06-1 Noncredit Course Assessment	Yes
	06-2 CalWORKS	Yes
	06-3 Concurrent Enrollment	Yes
	06-4 Federal Payroll Distribution (compliance)	Yes
2004-2005	05-1 Board Minutes	Yes
2003-2004	04-1 Timing of the Return to Title IV Funds (IVC)	Yes
2002-2003	03-1 Timing of the Return of Title IV Funds (IVC)	No
	03-2 Submission of Final Report – VATEA (Saddleback)	Yes
	03-3 Concurrent Enrollment (IVC)	Yes

**SELF EVALUATION**

The College and the District exercise effective oversight and control over all financial and business activities of the College and the District. Systems are in place to provide checks and balances. Internal control is assessed by the District Office, and internal audits routinely take place to ensure compliance with generally accepted accounting principles and auditing guidelines or The Blue Book (Accounting, Recordkeeping, and Reporting by Postsecondary Educational Institutions for Federally Funded Student Financial Aid Programs). After each check disbursement the Student Financial Assistance Office and the District Office compare revenues and expenditures.

For each of the past six years the independent auditor reports have been unqualified for the District’s financial statements. The District received unqualified reports from the auditors on

compliance for five of the past six years. The recommendations on the findings have been implemented.

### PLANNING AGENDA

None.

**III.D.2.e. All financial resources, including those from auxiliary activities, fund-raising efforts, and grants are used with integrity in a manner consistent with the mission and goals of the institution**

### DESCRIPTIVE SUMMARY

The College takes pride in receiving strong audit reports. In addition to all funds of the College and the District being subject to audit, the Foundation has a separate annual audit.

Board Policy 3610 [3.126] requires that the Foundation provide each year a written report of its finances and activities to the Board of Trustees at its June meeting. Each year at its June Board meeting retreat, the Board of Governors of the Foundation reviews and updates its mission, goals, and objectives [3.127]. The President participates in this planning activity and shares the College mission and vision. The President is a member of the Executive Committee of the Foundation Board of Governors [3.128] and is an integral part of the Foundation's planning of activities [3.129]. The Foundation has adopted a code of ethics and a conflict-of-interest statement. Board members are required to sign an agreement each year [3.130]. Each year the auditors personally interview the Foundation Treasurer, Director, and President on any areas of concern that might create a possibility of fraud. This follows the Statement on Accounting Standards (SAS) 99 [1.131].

### SELF EVALUATION

All College and District funds, including general fund, State and Federal categorical programs, local income, grants, Associated Student Government, and Foundation, are subject to external audit. Audit reports demonstrate the integrity of the institution's financial practices.

### PLANNING AGENDA

None.

**III.D.2.f. 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.**

### DESCRIPTIVE SUMMARY

Saddleback College makes its own decisions about what type of contracts it needs in place to meet the mission and goals of the institution. The College, with input from the Purchasing staff in District Services, makes decisions about the specifications of the materials or services needed for efficient operation. State law, Board policies, and Administrative Regulations determine which acquisitions require a formal bid process prior to issuing contracts. When bids are

prepared, the requesting College staff provide input to the Purchasing and/or Facilities staff in District Services regarding the specifications of the materials or services to be acquired. Bids are awarded to the vendor with the lowest bid that meets the specifications listed in the bidding documents. The College staff participate in the award decisions. All College contracts are approved by the appropriate dean or director, Vice President, and President. Only the District Deputy Chancellor or his designee is authorized to sign contracts.

Contract provisions specify the terms under which the contract can be terminated. Major contracts for services to be provided, or work to be done, are reviewed by counsel at the Orange County Office of Education to be certain the rights of the College are protected. If subsequent vendor performance is determined to be unsatisfactory, the College staff notifies Facilities Planning and Purchasing for assistance in enforcing the contract. Orange County counsel advises the Director of Facilities Planning and Purchasing about how to enforce vendor performance or how to terminate a contract. All contracts over \$100,000 must first be approved by the Board of Trustees. The Deputy Chancellor has been given the authority to approve contracts under \$100,000, but these contracts must be ratified by the Board of Trustees.

Contracts for personal services or work to be done are submitted from one of four College offices, the President, the Vice President for Instruction, the Vice President for Student Services, or the Director of Fiscal Services. Contracts are then submitted to and reviewed by the Deputy Chancellor, who seeks advice from County counsel, as appropriate.

All contracts entered into by the Foundation must be approved by the Foundation Board of Governors. Copies of the contracts are sent to the Deputy Chancellor. The following language is included in all contracts to permit termination for the reasons stated:

**Termination.** DISTRICT may, at any time, with or without reason, terminate this AGREEMENT and compensate CONSULTANT only for services satisfactorily rendered to the date of termination. Written notice by DISTRICT shall be sufficient to stop further performance of services by CONSULTANT. Notice shall be deemed given when received by the CONSULTANT or no later than three days after the day of mailing, whichever is sooner.

## **SELF EVALUATION**

Contractual agreements originate from the College process and are consistent with the mission and planning processes of the College. The restrictive approval process provides appropriate controls over all contracts by requiring the following: approval at all College levels, approval by the Deputy Chancellor, referral to legal counsel (if necessary), Board approval, and the Deputy Chancellor's signature on all contracts.

## **PLANNING AGENDA**

None.

**III.D.2.g. The institution regularly evaluates its financial management processes and the results of the evaluation are used to improve financial management systems.**

**DESCRIPTIVE SUMMARY**

An independent certified public accounting firm conducts a financial and compliance audit annually, in accordance with CA Education Code 8848.

The annual financial and compliance audit is conducted in accordance with generally accepted auditing standards and is intended to obtain reasonable assurance that financial statements are free of material misstatement. This process includes examining and testing supporting documentation as well as examining internal controls. Reviewing internal controls is the mechanism that provides feedback on processes that require improvement or adjustments. The audit assesses the accounting principles used and ensures that management's estimates to provide reasonable assurance of detecting material misstatements that could affect the financial statements as a whole.

As part of the audit process, the adopted budget (expenditure plan) is compared to actual expenditures in an effort to establish any variance. The College is required to explain variances of any significance to the auditors to determine if funds were expended on the educational programs and activities as originally planned and intended.

The Board of Trustees' Audit Committee is charged with monitoring the audit process and reviewing the final audits.

Multiple signoffs are required on any type of College expenditure to ensure expenditures are compatible with College plans. The Strategic Planning Process Resource Request form [3.132] requires identification of outcomes and an assessment of the expenditure.

**SELF EVALUATION**

The College regularly evaluates its financial management system and process, as well as all recommendations for system and process improvement, and it implements recommendations that are appropriate.

**PLANNING AGENDA**

None.

**III.D.3. The institution systematically assesses the effective use of financial resources and uses the results of the evaluation as the basis for improvement.**

**DESCRIPTIVE SUMMARY**

All College funds are included in the external audit reports conducted by an outside independent accounting firm. Each fiscal year begins with adopted budgets, which reflect the expenditure plans of the institution. The review and evaluation process occurs at the end of the fiscal year, when the final budget expenditure plan is compared to actual results. When this comparison is made, variances are established between the planned and the actual

expenditures. These findings are reviewed by the College's Director of Fiscal Services, and any variances outside the normal range are explained in a written response.

The College's Strategic Planning Process has established several evaluation tools:

All program and administrative units produce regular reviews, and part of those reviews include annual updates that discuss how effectively financial resources were used.

The Strategic Planning Process requires that planning committees develop SMART ("specific, measurable, achievable, realistic, and timely") goals and strategies to attain the agreed-upon strategic directions. These goals are reviewed by the Planning and Budget Steering Committee (PBSC) to ensure they are SMART goals before recommendations are made to the Consultation Council. Each strategic direction, goal, and strategy to achieve that goal is recorded in the planning groups. The process to develop strategies requires a target date, a responsible person or group, an estimated budget, an expected outcome, a method of assessment, and a status [3.92] [3.133].

The Resource Allocation Request form submitted by the individual departments and divisions as part of the annual planning cycle is also a tracking form that delineates the request, justification, action taken, and if funded, the outcome and assessment. This form is used by the PBSC to review and assess the effective use of allocated resources, and the results are used as a resource for planning and resource allocation the following year [3.132].

## **SELF EVALUATION**

The College has continuously improved in this area. The Program and Administrative Unit Review models require evaluation, and the results of the evaluation are used for future plans, thereby resulting in continuous improvement.

Additionally, the College's Strategic Planning process has been revised and reworked with every planning cycle, based on assessment and evaluation of previous practices.

The College President, who was hired in 2008, has vast experience in Strategic Planning, and his leadership and increased focus on planning has produced significant improvements, including the institutionalization of a Planning, Research and Grants Department and, in 2009, the hiring of a new full-time Director to lead that department. This hiring of a Director has resulted in further improvements in planning and budget integration. The College has also improved in using data as a planning source. In the 2009-2010 fiscal year, a new full-time faculty position of Education and Planning Assessment was established and filled, which provides a full-time educator to educate and assist faculty and staff on Program Review, Student Learning Outcomes, and Administrative Unit Outcomes.

## **PLANNING AGENDA**

None.

## **Standard Three Resources References, Works Cited, and Links**

- 3.1 Title 5, Sections 53400-53430
- 3.2 Discipline List of Minimum Qualifications for Faculty and Administrators in California Community Colleges [http://www.asccc.org/Publications/Papers/Downloads/PDFs/Minimum\\_Qualifications\\_2010.pdf](http://www.asccc.org/Publications/Papers/Downloads/PDFs/Minimum_Qualifications_2010.pdf)
- 3.3 Title 5, Section 53430
- 3.4 California Education Code §87359
- 3.5 Board Policy 4011.1 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-4011.1FullTimeFacultyHiring.pdf>
- 3.6 Board Policy 4011.2 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-4011.2.pdf>
- 3.7 Board Policy 4011.3 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-4011.3HiringPolicyforClassifiedStaff.pdf>
- 3.8 Board Policy 4011 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-4011EmploymentProceduresforAdministratorsandManagers.pdf>
- 3.9 Supplemental Advertising Request Form: <http://doclibrary.socccd.edu:2656/Documents/Human%20Resources/Operations/SupplementalAdvertisingRequestForm.doc>
- 3.10 Classified Hiring Process
- 3.11 Request for Announcement Form
- 3.12 Saddleback College Employee Survey 2009 Resource Section
- 3.13 HR Wiki: <https://doclibrary.socccd.edu:2658/HRProcedures/Wiki%20Pages/Home.aspx>
- 3.14 Academic Employee Master Agreement, 2007-2010, Article XVII
- 3.15 CSEA Contract, July 1, 2008-2010 <http://doclibrary.socccd.edu:2656/Documents/Human%20Resources/Employer-Employee%20Relations/CSEACBA2008-2011.pdf>
- 3.16 Police Officers Association Master Agreement, July 1, 2007-June 30, 2010 <http://doclibrary.socccd.edu:2656/Documents/Human%20Resources/Employer-Employee%20Relations/POAContract2007-2010.pdf>
- 3.17 Board Policy 4090 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-4090-EvaluationofAdministratorsandClassifiedManagementPersonnel.pdf>
- 3.18 Administrative Regulation 4090 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-4090-AR-EvaluationofAdministrators-ClassifiedLeadershipEmployees.pdf>

- 3.19 Academic Employee Master Agreement, 2007-2010, Article XVII, Section II, p. 41
- 3.20 Faculty Evaluation Form
- 3.21 Academic Employee Master Agreement, 2007-2010, Article XIV, pp. 21-22
- 3.22 Academic Employee Master Agreement, 2007-2010, Article XVII C, p. 42
- 3.23 Academic Employee Master Agreement, 2007-2010, Article XVII, pp. 37-40
- 3.24 Academic Employee Master Agreement, 2007-2010, Article XVII, p. 43
- 3.25 Classified Staff Evaluation Form
- 3.26 Administrative/Classified Leadership Evaluation Form
- 3.27 Practical Guide for Evaluators in Documenting Unsatisfactory Employee Performance
- 3.28 Educational Planning & Assessment Processes Matrix
- 3.29 The Five-Step Model of Programs Level SLO/AUO Assessment <http://www.saddleback.edu/asenate/epa/documents/SLOForm-InstructionalPrograms.doc>
- 3.30 Institute of Teaching & Learning Newsletters:  
<http://www.saddleback.edu/asenate/ITL.html>
- 3.31 Saddleback College Employee Survey 2009
- 3.32 Board Policy 1400 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-1400.pdf>
- 3.33 Board Policy 154 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-154%20Conflict%20of%20Interest.pdf>
- 3.34 Administrative Regulation 4000.9 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-4000.9AR.pdf>
- 3.35 Administrator and Manger Code of Ethics
- 3.36 Faculty Code of Ethics and Professional Standards <http://www.saddleback.edu/asenate/documents/FacultyCodeofEthicsandProfessionalStandards.doc>
- 3.37 CSEA Ethics Statement
- 3.38 ASG Statement of Ethics
- 3.39 POA Statement of Ethics
- 3.40 Full-Time Faculty Obligation Memo, Nov. 13, 2008
- 3.41 Full-Time Faculty Obligation Data
- 3.42 Student Enrollment Data (six years)
- 3.43 Tenure Track Faculty Advanced Degree Report
- 3.44 Statewide Administrative Comparison Worksheet
- 3.45 MySite: <https://www1.socccd.cc.ca.us/Portal/MySite/Work/Employee%20Services/EmployeeDocumentsNew.aspx>
- 3.46 Harassment Policy: <http://doclibrary.socccd.edu:2656/Documents/Human%20Resources/Employer-Employee%20Relations/HarassmentPolicy09.pdf>

- 3.47 Academic Employee Master Agreement, 2007-2010 <http://doclibrary.socccd.edu:2656/Documents/Human%20Resources/Employer-Employee%20Relations/AcademicEmployeeMasterAgreement-Final.pdf>
- 3.48 Board Policy 4000.4 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-4000.4.pdf>
- 3.49 Board Policy 4000.5 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-4000.5ProhibitionofHarassmentandDiscrimination.pdf>
- 3.50 Administrative Regulation 4000.5 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-4000.5ARProhibitionofHarassmentandDiscriminationComplaintProcedures.pdf>
- 3.51 Documents Section of the MySite Portal:  
<https://www1.socccd.cc.ca.us/Portal/MySite/Default.aspx>
- 3.52 Board Policy 3008 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-3008RecordsRetentionandDestruction.pdf>
- 3.53 Administrative Regulation 3008 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-3008-AR-Records%20Retention%20and%20Destruction.pdf>
- 3.54 Records Retention Manual
- 3.55 Board Policy 2210
- 3.56 Saddleback College Value Statements: <http://www.saddleback.edu/alo/>
- 3.57 Board Policy 4010 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-4010CommitmenttoDiversity.pdf>
- 3.58 SOCCCD Equal Employment Opportunity Statement: [http://socccd.edu/humanresources/hr\\_about.html](http://socccd.edu/humanresources/hr_about.html)
- 3.59 ASG Faculty Funding Request Form  
[www.saddleback.edu/asg/documents/FundingApplicationForm.doc](http://www.saddleback.edu/asg/documents/FundingApplicationForm.doc)
- 3.60 List of ASG Clubs: <http://www.saddleback.edu/asg/ClubInformation.html>
- 3.61 International Student Program Information: <http://www.saddleback.edu/iso/>
- 3.62 Equal Employment Opportunity 6 Report
- 3.63 Board Policy 112 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-112DutiesandResponsibilitiesoftheBoardofTrustees.pdf>
- 3.64 Board Policy 2100.1 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-2100.1.pdf>
- 3.65 Board Policy 2100.2 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-2100.2RoleandScopeofAuthorityoftheAcademicSenates.pdf>



- 3.66 Board Policy 4056 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-4056-ClassifiedEmployeesParticipatio ninDecisionMaking.pdf>
- 3.67 2008-2009 Discrimination Complaint Data
- 3.68 Academic Master Agreement, 2007-2010, Article XIV, p. 21
- 3.69 Spring 2010 Flex Program:  
<http://www.saddleback.edu/asenate/documents/FlexSpring10.pdf>  
Fall 2009 Flex Program: <http://www.saddleback.edu/asenate/documents/FlexFall09.pdf>
- 3.70 Academic Senate's Faculty Development Flex Committee:  
[http://www.saddleback.edu/asenate/flex\\_inservice.html](http://www.saddleback.edu/asenate/flex_inservice.html)
- 3.71 Academic Senate Faculty Development Funding Committee:  
<http://www.saddleback.edu/asenate/Funding.html>
- 3.72 Academic Master Agreement, 2007-2011, Article XXVI, p. 57
- 3.73 FRISK Manual
- 3.74 Conference Budget/Expenditure Report
- 3.75 Board Policy 4111 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-4111.pdf>
- 3.76 Saddleback College Mission, Vision, and Values Statements  
<http://www.saddleback.edu/alo/>
- 3.77 Flex Activity Report Form  
[www.saddleback.edu/asenate/documents/FlexActivityReportForm.doc](http://www.saddleback.edu/asenate/documents/FlexActivityReportForm.doc)
- 3.78 Faculty Development Funding Evaluation Form  
[www.saddleback.edu/asenate/documents/FacultyDevelopmentFundingEvaluation.doc](http://www.saddleback.edu/asenate/documents/FacultyDevelopmentFundingEvaluation.doc)
- 3.79 Classified Staff Professional Development Evaluation Form [http://www.saddleback.edu/csenate/documents/CS\\_FundingEvaluationExtended.pdf](http://www.saddleback.edu/csenate/documents/CS_FundingEvaluationExtended.pdf)
- 3.80 Saddleback College Employee Survey 2009
- 3.81 Educational Resource and Facilities Master Plan
- 3.82 Basic Aid Budget/Expenditure Report
- 3.83 2010-2013 Strategic Plan <http://www.saddleback.edu/gov/sp/documents/pdffinalapprovedplan052510.pdf>
- 3.84 2007 Program Review for Custodial Services [www.saddleback.edu/asenate/epa/documents/CustodialServicesProgramReviewFall07.doc](http://www.saddleback.edu/asenate/epa/documents/CustodialServicesProgramReviewFall07.doc)
- 3.85 2008 Program Review for Facilities Maintenance & Operations <http://www.saddleback.edu/asenate/epa/documents/2008ProgramReviewMainTransBMW.pdf>
- 3.86 District Injury and Illness Prevention Plan <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Risk%20Management/InjuryandIllnessPreventionPlan.doc>
- 3.87 2009 SWACC Inspection
- 3.88 Crime Awareness and Prevention Program

- 3.89 2009 Employee Survey <http://www.saddleback.edu/gov/sp/documents/2009EmployeeSurveywithcomments.pdf>
- 3.90 2008 Student Survey <http://www.saddleback.edu/gov/sp/documents/2008studentsurveywithcomments.pdf>
- 3.91 Advanced Maintenance Management System (AMMS)
- 3.92 Strategic Planning Process <http://www.saddleback.edu/gov/sp/documents/SCStrategicPlanningProcess051410corrected.pdf>
- 3.93 20-Year Facilities and Scheduled Maintenance Plan
- 3.94 FMO Project List
- 3.95 Evening and Weekend Administrator Program
- 3.96 10-Year History of Scheduled Maintenance Expenditures
- 3.97 2009-2010 District Goals [www.saddleback.edu/gov/sp/documents/2010district-widgoals.doc](http://www.saddleback.edu/gov/sp/documents/2010district-widgoals.doc)
- 3.98 Technology Plan, 2008-2009
- 3.99 District Budget Development Guidelines [http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Accounting/2010-2011%20Budget%20Development%20Guidelines%20FINAL\\_032410.pdf](http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Accounting/2010-2011%20Budget%20Development%20Guidelines%20FINAL_032410.pdf)
- 3.100 District Resource Allocation Committee Membership
- 3.101 Basic Aid Revenue History
- 3.102 District Budget Allocation Model
- 3.103 Grant Tracking Document
- 3.104 Final Adopted Budget Book 2009-2010, p. 18
- 3.105 Categorical Reduction Worksheet 2008-2009 to 2010-2011
- 3.106 Planning Steering Committee Structure 2006-2007
- 3.107 One-Year Interim Strategic Plan [http://www.saddleback.edu/gov/pbc/PDF/IntStrategicPlan06-27-06\\_000.pdf](http://www.saddleback.edu/gov/pbc/PDF/IntStrategicPlan06-27-06_000.pdf)
- 3.108 2007-2010 Strategic Plan [www.saddleback.edu/gov/sp/documents/StrategicPlan2007-2010Update.doc](http://www.saddleback.edu/gov/sp/documents/StrategicPlan2007-2010Update.doc)
- 3.109 Board Policy 101 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-101-Mission.pdf>
- 3.110 Board Agenda Planning Calendar
- 3.111 Local Income Spreadsheet
- 3.112 Other Post Employee Benefits (OPEB) Board Resolution
- 3.113 2008-2009 District Audit Report
- 3.114 Board Highlights [http://www.socccd.org/about/about\\_board\\_meeting.html](http://www.socccd.org/about/about_board_meeting.html)
- 3.115 District Chart of Accounts

- 3.116 College Fiscal Office Guide: <http://www.saddleback.edu/fiscal/documents/FOG.pdf>
- 3.117 Board Policy 3100 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-3100BudgetPreparation.pdf>
- 3.118 District Joint Powers Agreements, p. 32-34
- 3.119 Guest Speaker Board Policy 6140 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-6140.pdf>
- 3.120 Foundation Fundraising Agreement
- 3.121 Foundation Policy Guidelines, Procedures, and Accepted Nonprofit Standards
- 3.122 Foundation Deposit Advice Form
- 3.123 Foundation Budget of Operations Income and Expenses
- 3.124 Board Policy 3102 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-3102InvestmentPolicy-1.pdf>
- 3.125 Administrative Regulation 3102 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-3102-ARInvestments-1.pdf>
- 3.126 Board Policy 3610 <http://doclibrary.socccd.edu:2656/Documents/Business%20Services/Office%20of%20the%20Deputy%20Chancellor/BP-3610.pdf>
- 3.127 Foundation Mission, Goals, and Objectives
- 3.128 Bylaws of the Executive Committee of the Foundation Board of Governors  
<http://www.saddleback.edu/foundation/documents/Currentbylaws2010.doc>
- 3.129 Foundation Planning of Activities
- 3.130 Foundation Conflict-of-Interest Statement
- 3.131 Statement on Accounting Standards (SAS) 99
- 3.132 Strategic Planning Process Resource Request Form [www.saddleback.edu/gov/sp/documents/ResourceAllocationRequestFormdraft111909.docx](http://www.saddleback.edu/gov/sp/documents/ResourceAllocationRequestFormdraft111909.docx)
- 3.133 Strategic Plan Goals Worksheet [www.saddleback.edu/gov/sp/documents/smart-goal-worksheetcomplete.docx](http://www.saddleback.edu/gov/sp/documents/smart-goal-worksheetcomplete.docx)