

## STANDARD III: 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.

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### III.A Human Resources

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**III.A.1 The institution assures the integrity and quality of its programs and services by employing administrators, faculty and staff who are qualified by appropriate education, training, and experience to provide and support these programs and services. Criteria, qualifications, and procedures for selection of personnel are clearly and publicly stated and address the needs of the institution in serving its student population. Job descriptions are directly related to institutional mission and goals and accurately reflect position duties, responsibilities, and authority.**

#### Evidence of Meeting the Standard

Clearly and publicly stated criteria, qualifications, and procedures ensure that the Board of Trustees, Human Resources staff, and hiring committee members assure the integrity and quality of the district's programs and services by employing highly qualified administrators, faculty, and staff.

- III.A.1.1 Board Policy/Administrative Procedure 7120, Faculty Hiring
- III.A.1-2 Board Policy/Administrative Procedure 7211, Equivalency to Minimum Qualifications
- III.A.1-3 Board Policy/Administrative Procedure 3420, Staff Diversity and Equal Employment Opportunity
- III.A.1-4 Screening Process and documents available on the HR shared drive
- III.A.1-5 Administrative Procedure 7250, Educational Administrators
- III.A.1-6 Administrative Procedure 7260, Classified Administrators
- III.A.1-7 Faculty announcement & application
- III.A.1-8 Administrator announcement & application
- III.A.1-9 Classified announcement & application
- III.A.1-10 Foreign transcript evaluation service
- III.A.1-11 Minimum Qualifications on job descriptions
- III.A.1-12 CCCCCO Minimum Qualifications publication
- III.A.1-13 Mission and Vision statements on sample faculty job flyer
- III.A.1-14 Resolution #15-09, Delegation of Authority to Human Resources for Job Description Maintenance
- III.A.1-15 Executive Job Description Board Approval March 2015
- III.A.1-16 Excel Tracking Log for job description updates/changes available on the Human Resources shared drive
- III.A.1-17 District/CSEA Collective Bargaining Agreement, Personal Development Article

- III.A.1-18 District/Faculty Association Collective Bargaining Agreement, Professional Development Article
- III.A.1-19 District/Part-time Faculty Association Collective Bargaining Agreement, Assignment Article
- III.A.1-20 Change of Management Job Description, March 8, 2016 Board Book, Item 11.L.
- III.A.1-21 Certification of Equivalency Form
- III.A.1-22 Roster of faculty and administrator degrees and experience
- III.A.1-23 Recruitment postcards

### **Analysis and Evaluation**

The Human Resources Department monitors implementation of policies and procedures governing development of job descriptions, position announcements, recruitment, and selection practices of all positions. These policies and procedures developed through participatory governance and collegial consultation include the following:

- Faculty Hiring Board Policy and Procedure 7120 (III.A.1-1)
- Equivalency to Minimum Qualifications Board Policy 7211 (III.A.1-15)
- Staff Diversity/Equal Opportunity Employment Board Policy and Procedure 3420 (III.A.1-6)
- Human Resources screening and selection procedures (III.A.1-3)
- Educational Administrators 7250 (III.A.1-15)
- Classified Administrators 7260 (III.A.1-16)

Each applicant must submit an application detailing his or her education, training, and experience (III.A.1-21; III.A.1-22; III.A.1-23). Human Resources conducts recruitment training for all hiring committee members which covers Equal Employment Opportunity requirements and a discussion of the requirements of the position. The initial screening of all applications ensures that they meet minimum qualifications before forwarding the qualified applicants to the hiring committee (III.A.1-3).

For positions requiring degrees, applicants are required to submit official transcripts upon hire (III.A.1-21; III.A.1-22; III.A.1-23). If in doubt about minimum qualifications for an instructional position even following review by the hiring committee chair, Human Resources contacts the Professional Standards Committee for a decision (III.A.1-6). Staff also review all transcripts from candidates to ensure/confirm if degrees are from an accredited institution and directs out of the country transcripts to a credential evaluation service (III.A.1-17).

All faculty positions and assignments require that applicants meet the California Community College minimum qualifications of a master's degree in the appropriate discipline, or in areas which a master's degree is not commonly required, a bachelor's degree and two years of experience or an associate's degree and six years of experience (III.A.1-1; III.A.1-2). Applicants may apply for equivalency (III.A.1-18). Final decisions on applications for equivalency are made by the Professional Standards Committee and approved by the Board of Trustees (III.A.1-6).

Minimum qualifications for classified employees are determined in collaboration between Human Resources staff, the immediate supervisor, and California State Employees Association (CSEA), when applicable, and approved by the Board of Trustees (III.A.1-13). These may include specific education and/or experience. While degrees are not required for all classified staff positions, employees are encouraged to pursue a degree via tuition reimbursement programs and/or incentive stipends for degrees earned (III.A.1-10).

Academic administrators must possess a minimum of a master's degree and experience in an area related to the assignment (III.A.1-2). Additional qualifications may be required based on the area of responsibility. Classified administrator minimum qualifications are based on the requirements of the position (III.A.1-20).

Job announcements are posted on the Human Resources webpage and clearly state the criteria, qualifications, and procedures for interested applicants (III.A.1-21; III.A.1-22; III.A.1-23). Minimum qualifications are clearly listed in job descriptions and/or job announcement posted on the Human Resources webpage (III.A.1-1; III.A.1-2). For outreach in recruiting for administrator and faculty positions, Human Resources staff create postcards that clearly and concisely state the criteria, qualifications, and procedures for application (III.A.1-20).

Prior to posting the position for recruitment, the appropriate administrator reviews the job description and/or job announcement for accuracy and to ensure that the qualifications reflect the program needs of the position. Substantive changes to job descriptions must be approved by the Board of Trustees except as provided for by board resolution delegating authority for non-substantive changes to the Director of Human Resources (III.A.1-20; III.A.1-7). Selection procedures for candidates are listed in the job announcement, and selection procedures for the hiring committee are listed in board policy and in the screening materials (III.A.1-13; III.A.1-6; III.A.1-3; III.A.1-15; III.A.1-16).

Human Resources staff review job announcements and descriptions for accuracy and a direct link to institutional mission and goals. In order to link job announcements and descriptions to the mission and values of the college directly, the text includes: "[the incumbent] values and promoted the mission and vision of the college." This change was first made to all executive management job descriptions approved by the Board of Trustees in March of 2015 (III.A.1-8). As faculty do not have job descriptions, faculty job announcements and flyers include the mission and vision statement of the college (III.A.1-4). In order to maintain accurate and up-to-date job descriptions, Human Resources staff maintain a log to track recent changes/updates to job descriptions and to ensure that job descriptions do not become outdated (III.A.1-9).

The college meets the standard. In spring 2016, Human Resources staff worked closely with Academic Senate and its Professional Standards Committee to update Board Policy 7211, Equivalency to Minimum Qualifications, and fine tune processes to review minimum qualifications for applicants to faculty positions. The recruitment of twenty-one faculty positions in spring, a dramatic increase in the college's typical hiring volume for full-time

faculty positions, revealed that our processes and procedures address the needs of the institution in serving its student population.

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**III.A.2 Faculty qualifications include knowledge of the subject matter and requisite skills for the service to be performed. Factors of qualification include appropriate degrees, professional experience, discipline expertise, level of assignment, teaching skills, scholarly activities, and potential to contribute to the mission of the institution. Faculty job descriptions include development and review of curriculum as well as assessment of learning. (ER 14)**

***Eligibility Requirement 14. Faculty***

*The institution has a substantial core of qualified faculty which includes full-time faculty and may include part-time and adjunct faculty, to achieve the institutional mission and purposes. The number is sufficient in size and experience to support all of the institution's educational programs. A clear statement of faculty responsibilities must include development and review of curriculum as well as assessment of learning. (Standard III.A.2 and III.A.7)*

*Documentation*

- *Full-time and part-time faculty roster, including degrees and experience (note that faculty degrees must be from US accredited institutions or the equivalent)*

**Evidence of Meeting the Standard**

Faculty meet or exceed minimum qualifications for the assigned discipline (III.A.2-8). The college ensures faculty qualifications through robust announcement development, screening, and interview processes that focus on the faculty member's potential to contribute to the mission of the institution.

- III.A.2-1 Board Policy 7120 Faculty Hiring
- III.A.2-2 Board Policy 7211 Equivalency to the Minimum Qualifications
- III.A.2-3 Faculty Certification Forms (available via Forms & Documents on myHancock)
  - Faculty Equivalency Certification - not requiring Masters
  - Faculty Equivalency Certification - requiring Masters
  - Masters Equivalency Certification Form no markup
  - Non-Masters Equivalency Certification Form no markup
  - Noncredit Equivalency Certification forms
- III.A.2-4 Employment Verification Form
- III.A.2-5 Applicant Equivalency Form
- III.A.2-6 Sample Faculty Job Announcement (available through Human Resources)
- III.A.2-7 CCCCCO Minimum Qualifications publication on HR webpage sample page
- III.A.2-8 Eligibility Requirement 14: Roster of faculty and administrator degrees and experience
- III.A.2-9 Example Board item for approval of equivalencies
- III.A.2-10 Sample faculty recruitment ("brown") folder with name redacted
- III.A.2-11 Faculty Responsibilities, Appendix A, Board Policy 7210, Professional Responsibility Policy

## **Analysis and Evaluation**

Board Policy 7211 establishes the district's philosophy regarding a faculty member's qualifications,

*Allan Hancock College is committed to selecting faculty who are expert in their disciplines, who are skilled in teaching and serving the needs of a varied student population, who can foster overall college effectiveness, and who are sensitive to and representative of the ethnic and cultural diversity of the adult population of the State of California. (III.A.2-2)*

Faculty at Allan Hancock College do not have job descriptions. Instead, the college utilizes job announcements and flyers and hiring processes to ensure the hire of qualified employees who understand the parameters and professional requirements of the position. Board policy also states the professional responsibilities for faculty members (III.A.2-11). Faculty qualifications in job announcements and flyers include knowledge of the subject matter and requisite skills for the service to be performed (III.A.2-6). Each job announcement includes required subject-matter job knowledge and related skills for the position to be performed. The hiring process includes verification of experience, skills, and potential to contribute to the mission of the college through screening, committee and president interviews, and reference checking (III.A.2-10; III.A.2-4).

Faculty must meet the minimum requirements or equivalency under Board Policy 7211 in order to advance to an interview for the open position (III.A.2-2; III.A.2-3; III.A.2-5). "Applicants who can provide conclusive evidence that they have education or experience equivalent to that required by the minimum standards deserve careful consideration, even if their degrees have different names or if they acquired their qualifications by a route other than the conventional one. If this equivalency process were not used at all, fully qualified candidates might not receive consideration" (III.A.2-2). Prior to posting the position for recruitment, the department chair and appropriate administrator review the job announcement and flyer for accuracy and to ensure that the qualifications reflect the program needs of the position (III.A.2-1). In some cases, these qualifications may be higher than those required by the Chancellor's Office Minimum Qualifications (III.A.2-6; III.A.2-7). The Board of Trustees approve all certifications of equivalency (III.A.2-9).

Faculty job announcements and flyers include development and review of curriculum as well as assessment of learning (III.A.2-6). Human Resources began a review of faculty job announcements in the spring of 2015 to ensure the requirement for review of curriculum and assessment of learning is clearly stated prior to posting for recruitment.

The college meets the standard. During the increase in volume of full-time faculty hiring in spring 2016, the college had the opportunity to create job announcements for each department, ensuring that each applicant held appropriate degrees, professional experience, discipline expertise, level of assignment, teaching skills, scholarly activities, and potential to contribute to the mission of the institution. In spring 2016, Human Resources staff worked closely with Academic Senate and its Professional Standards Committee to update

Board Policy 7211, Equivalency to Minimum Qualifications, and fine tune processes to review minimum qualifications for applicants to faculty positions. In addition, in spring 2016 the college reviewed Board Policy 7210 through the shared governance process and through collegial consultation with Academic Senate. Review of existing board policies ensures that the college applies best practices.

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### **III.A.3 Administrators and other employees responsible for educational programs and services possess qualifications necessary to perform duties required to sustain institutional effectiveness and academic quality.**

#### **Evidence of Meeting the Standard**

Administrators and other employees responsible for educational programs and services meet or exceed the necessary qualifications for the position and are encouraged to expand those qualifications through further training focused on institutional effectiveness and academic quality (III.A.3-14).

- III.A.3-1 Chancellor's Office Minimum Qualifications
- III.A.3-2 Board Policy 7120, Faculty Hiring
- III.A.3-3 Administrative Procedure 3420, Equal Employment Opportunity and Staff Diversity, page 4, Job Analysis and Validation
- III.A.3-4 Board Policy 7211, Equivalency to the Minimum Qualifications
- III.A.3-5 Equivalency Form
- III.A.3-6 Job Description, Classified Administrator
- III.A.3-7 Job Description, Educational Administrator
- III.A.3-8 Job Announcement, Faculty
- III.A.3-9 Academic Senate minutes
- III.A.3-10 Job Announcement Routing Form
- III.A.3-11 Administrator Retreat Rights
- III.A.3-12 College Council notes indicating review of educational administrator job description
- III.A.3-13 Sample Board item approving changes to an educational administrator job description
- III.A.3-14 Eligibility Requirement 14: Roster of faculty and administrator degrees and experience

#### **Analysis and Evaluation**

Minimum qualifications for all administrators and other employees are clearly stated in job announcements and job descriptions, and the educational and experiential requirements are in compliance with law and regulation (III.A.3-6; III.A.3-7; III.A.3-8; III.A.3-1). Desirable qualifications and knowledge and abilities for educational and classified administrators are determined based on the needs, goals, and priorities of the department and institution and also identified in job descriptions (III.A.3-6; III.A.3-7; III.A.3-8). They are also developed with the intent of sustaining and/or improving the institution's effectiveness and the quality of its programs. Substantial changes to existing administrator job descriptions and new job descriptions are approved by the hiring administrator, College Council, and the Board of Trustees (III.A.3-10; III.A.3-12; III.A.3-13). In addition, Academic Senate provides input on the development of qualifications for educational administrators (III.A.3-9). Faculty coordinator job announcements are created with input from the department chair, appropriate supervisor, and superintendent/president (III.A.3-10).



Recruitment screening committees evaluate the applicants' qualifications necessary to perform duties stated in the job descriptions during the paper screening process of applicants and further assessed during the initial and secondary interview processes (III.A.3-3).

When administrators exercise their retreats rights, Board Policy 7253, Administrator Retreat Rights, asserts that "The administrator is determined to have met the minimum qualifications for the discipline to be assigned." Further, "The President of the Academic Senate shall confer with the department chair (or equivalent) of the discipline to verify minimum qualifications in the discipline," and "Based on the qualifications and preference of the administrator and the availability of teaching or service areas, the Academic Senate may recommend the discipline to which the administrator should be assigned" (II.A.3.11).

The college meets the standard. Administrators and other employees responsible for educational programs and services meet or exceed the necessary qualifications as demonstrated via Eligibility Requirement 14. The college reviews job announcements to ensure stated qualifications prior to posting and screens employees prior to interview to ensure that only highly qualified employees are interviewed and forwarded for board approval.

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**III.A.4 Required degrees held by faculty, administrators and other employees are from institutions accredited by recognized U.S. accrediting agencies. Degrees from non- U.S. institutions are recognized only if equivalence has been established.**

**Evidence of Meeting the Standard**

All active employees' degrees necessary to meet the minimum qualifications for the position have been verified as coming from an accredited institution or, if from an institution outside the United States, has been evaluated and confirmed by Academic Senates' Professional Standards Committee.

- III.A.4-1 Human Resources webpage, Applications link, notice of requirement
- III.A.4-2 Board Policy 7120, Faculty Hiring
- III.A.4-3 Human Resources Procedure, Evaluation of Foreign Transcripts (available on HR shared drive)
- III.A.4-4 Eligibility Requirement 14: Roster of administrator and faculty degrees and experience

**Analysis and Evaluation**

Human Resources staff ensure that all degrees meet minimum qualifications for the position and come from accredited institutions (III.A.4-3; III.A.3-4). If degrees come from institutions outside of the United States, Human Resources requests a transcript evaluation from an outside agency and work in collaboration with the Academic Senate Professional Standards Committee to ensure equivalency per the requirements of Board Policy 7120 (III.A.4-2; III.A.4-3).

After Human Resources pre-screens applications to ensure that transcripts are provided and are from accredited institutions, hiring committee members proceed with screening. This provides for more than one layer of review.

The college meets the standard. The college has several layers of review in place to ensure that U.S. degree and foreign degrees meet the minimum qualifications.

**III.A.5 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.**

**Evidence of Meeting the Standard**

The district is committed to the continuous improvement of the institution and its personnel in support of our instructional mission. The district has established written criteria for systematically evaluating all personnel. Regular, timely, and effective evaluation of personnel is vital to the assurance of continuous improvement. Actions taken following evaluations are formal, timely, and documented.

- III.A.5-1 District/CSEA Collective Bargaining Agreement, Evaluation Article
- III.A.5-2 District/Faculty Association Collective Bargaining Agreement, Evaluation Article (includes applicable forms as follows; also available on Employee Evaluation Process channel in myHancock)
  - Classroom Worksite Observation
  - Colleague Staff Feedback
  - Faculty Assignment
  - Faculty Evaluation
  - Faculty Pre-School Parent Feedback Form
  - Faculty Self-Evaluation
  - Student Feedback of Instruction
  - Student Feedback of Service Faculty Member
- III.A.5-3 District/Part-time Faculty Association Collective Bargaining Agreement, Evaluation Article
- III.A.5-4 Board Policy/Administrative Procedure 7150, Administrator Evaluations
- III.A.5-5 Board Policy/Administrative Procedure 2435, Evaluation of the Superintendent/President
- III.A.5-6 Board Policy/Administrative Procedure 2745, Board Self-Evaluation
- III.A.5-7 Memorandum of Understanding between District and Faculty Association, Part-time Faculty Evaluations
- III.A.5-8 Administrator Evaluation Forms per Board Policy/Administrative Procedure 7150 (available via myHancock Forms & Documents; also available on Employee Evaluation Process channel in myHancock)
  - Form Table
  - Evaluation Summary Report (E)
  - Goals and Objectives (GO)
  - Professional Development Plan (PD)
  - Survey Distribution List (S-1)
  - Survey (S-2)

- Analysis of Survey Results (S-3)
- Self Evaluation (SE)
- III.A.5-9 Classified Evaluation Forms (available via myHancock Forms & Documents; also available on Employee Evaluation Process channel in myHancock)
  - Classified Performance Evaluation Form (Groundskeeper - Custodian)
  - Classified Performance Evaluation Form
- III.A.5-10 Classified Performance Evaluation Guide
- III.A.5-11 Faculty Evaluation of the Superintendent President, Academic Senate
- III.A.5-12 Part-time Faculty Evaluation Forms
  - Class Observation - DL
  - Part-time Faculty Administrative Evaluation Rubric
  - Part-time Faculty Classroom Worksite Observ Eval Rubric
  - Part-time Faculty Evaluation Process
  - Part-time Faculty Portfolio Guidelines
  - Part-time Faculty Response to Student Evaluations
  - Part-time Faculty Self Evaluation Form
  - Part-time Faculty Syllabus Materials Checklist
  - Workplace Observation Form for Librarians
- III.A.5-13 Classified Staff Evaluation Tracking Document
- III.A.5-14 Administrator Evaluation Tracking Document
- III.A.5-15 Student Worker Evaluation Form (available through Career/Job Placement)
- III.A.5-16 Cabinet and Admin Team notes reflecting discussion of classified evaluations
- III.A.5-17 Sample (redacted) Improvement Plan
- III.A.5-18 Memorandum of Understanding CFT/PFA Evaluations

### **Analysis and Evaluation**

The institution assures the effectiveness of its human resources by evaluating all personnel systematically and at stated intervals. Board Policies 7150, 2435, and 2745 and collective bargaining agreements cover the intervals and processes for evaluation of the Board of Trustees, superintendent/president, faculty (full and part-time), and classified staff (III.A.5-1; III.A.5-2; III.A.5-3; III.A.5-4; III.A.5-5; III.A.5-6). Student workers are evaluated each semester via the Student Worker Evaluation Form (III.A.5-14).

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 criteria for the Board of Trustees, superintendent/president, and administrators are included in the respective Board Policies. Criteria for full-time faculty are included in the collective bargaining agreement while criteria for classified employees are provided on the Classified Performance Evaluation Guide (III.A.5-2; III.A.5-10).

Evaluation processes assess effectiveness of personnel and encourage improvement. The Board of Trustees self-evaluation policy affirms, “The Board of Trustees is committed to assessing its own performance as a Board in order to identify its strengths and areas in which it may improve its functioning” (III.A.5-6). Likewise, the superintendent/president evaluation

policy establishes that “Employee evaluation has as its primary purpose the improvement of performance. For maximum benefit to both the individual and the district, employee evaluation will be conducted in a positive manner” (III.A.5-5). The Board of Trustees and superintendent/president evaluation processes set the tone for employee evaluations and ensure that the focus remains on continuous improvement of the institution and its personnel.

All personnel evaluations are meant primarily to encourage improvement and are directly linked to the instructional mission of the college. Article 17.2.1 of the District/Faculty Association Collective Bargaining Agreement states, “The primary purpose of the evaluation of faculty is the continuous improvement of instruction and support services at Allan Hancock College. Other purposes include the maintenance of quality programs and instruction and the professional competence of the faculty” (III.A.5-2). The District/Part-time Faculty Association Collective Bargaining Agreement duplicates this language and adds, “The evaluation process shall promote professionalism, enhance performance, and be closely linked with professional growth efforts” (III.A.5-3). Article 6.3.3 of the District/CSEA Collective Bargaining Agreement states that “Any evaluation with an ‘improvement needed’ or ‘unsatisfactory’ rating in any category shall include specific recommendations for improvements and provisions for assisting the employee in implementing and recommendations made” (III.A.5-1). Board Policy 7150, which directs the evaluation of district administrators, duplicates this additional language (III.A.5-4).

Actions taken following evaluations are formal, timely, and documented. The only action that would be directly triggered by an employee’s evaluation is an improvement plan or a 90-day notice. The improvement plan is required for any areas of deficiency even if the employee is rated “Meets or Exceeds Standards” overall. Human Resources receives copies of all completed evaluation forms and proves follow-up with the supervisor if an improvement plan is called for but not already included in hard copy (III.A.5-17). Human Resources staff work with supervisors to ensure appropriate documentation and timelines.

The college meets the standard. Staff are currently working on improving processes to ensure that evaluations are completed in a timely manner by the administrator in charge. Restructuring of management positions through 2011 and 2012 led to a gap in the evaluation of classified employees assigned to them. When managers either left service with the college or when their workload was restructured into supervision over different departments, classified evaluations were sometimes left uncompleted. It would have been inappropriate to assign a manager with no direct experience over the employee to complete the evaluation. Therefore, the college chose to wait on completing performance evaluations until the manager was prepared to address the employee’s performance based on direct knowledge. When the college discovered the gap while developing this self-evaluation, administrators began to complete outstanding evaluations immediately. Discussions on this began at President’s Cabinet and Administration Team in fall 2015 (III.A.5.16). Since that discussion, the majority of evaluations have been updated based on employee hire date. Moving forward, the college is developing procedures to maintain the correct evaluation intervals.

Full-Time Faculty Association of Allan Hancock College collective bargaining agreement language allows for/calls for the evaluation of faculty coordinator reassignments and both the

district and the Full-Time Faculty Association agree on the necessity of the evaluation (III.A.5.2). Unfortunately, the loss of employees who served on the negotiating teams meant that the college was unable to complete the process and develop rubrics. The remaining work is to negotiate the process and rubric for the evaluation of faculty coordinator reassignments.

In October 2013, the Part-Time Faculty Association and Allan Hancock Joint Community College District agreed to a Memorandum of Understanding (MOU) which suspends the evaluation of pool 2 part-time faculty given the increased workload on full-time faculty department chairs (III.A.5.18). This MOU expires on May 31, 2016; prior to that date, the district must negotiate the evaluation of pool 2 part-time faculty.

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**III.A.6 The evaluation of faculty, academic administrators, and other personnel directly responsible for student learning includes, as a component of that evaluation, consideration of how these employees use the results of the assessment of learning outcomes to improve teaching and learning.**

**Evidence of Meeting the Standard**

The district considers faculty and academic administrator use of student learning outcomes assessments to improve teaching and learning in the evaluation of faculty directly responsible for those assessments.

- III.A.6-1 District/Faculty Association Collective Bargaining Agreement, Evaluation Article (includes applicable forms as follows; also available on Employee Evaluation Process channel in myHancock)
  - Classroom Worksite Observation
  - Colleague Staff Feedback
  - Faculty Assignment
  - Faculty Evaluation
  - Faculty Pre-School Parent Feedback Form
  - Faculty Self-Evaluation
  - Student Feedback of Instruction
  - Student Feedback of Service Faculty Member
- III.A.6-2 Board Policy 3255, Program Review
- III.A.6-3 Part-time faculty evaluation form
- III.A.6-4 Sample program review
- III.A.6-5 Board Policy 7150, Administrator Evaluation
- III.A.6-6 Sample departmental meeting notes showing discussion of courses, programs, and delivery improvements
- III.A.6-7 Memorandum from Vice President of Academic Affairs
- III.A.6-8 Student Learning Outcomes sample minutes
- III.A.6-9 Outcomes reports from the Math Center, Tutorial Center, and Writing Center
- III.A.6-10 Job description for Dean, Academic Affairs
- III.A.6-11 Elumen data, sample
- III.A.6-12 Fall 2015 Course Improvement Plan, report

**Analysis and Evaluation**

At Allan Hancock College, full-time faculty are directly responsible for the assessment of student learning outcomes (SLO) per Board Policy 3255, Program Review, written via primary reliance on the input of Academic Senate. All full-time faculty hold the responsibility for developing curriculum and programs and establishing degree standards. Select faculty have the responsibility for conducting program reviews, which includes the assessment of learning outcome, for the ongoing improvement of programs. These faculty are assigned based on Board Policy 3255 and CBA Article 16.6 and evaluated via Article 17.5.2, "Criteria for evaluation of special assignments" (III.A.6-1; III.A.6-2). Discipline faculty use

assessments, along with other professional acquired information, to improve teaching and learning via the curriculum and program review processes (III.A.6-11).

Board Policy 3255 states that “The primary purpose of program review is to determine program effectiveness; its processes are designed to recognize good performance and to identify and assist programs needing improvement” (III.A.6-2). All full-time faculty in the discipline serve on the program review self-study team whose responsibilities include: “use program data and evaluation criteria as a basis for preparing and writing an evaluation report. The self-study report includes a follow-up on the plan of action for the previous program review, a description of the program, an appraisal of the program, an assessment plan, and a new plan of action which identifies needed resources” (III.A.6-2).

Faculty evaluations are meant primarily to encourage improvement and are directly linked to the instructional mission of the college. Article 17.2.1 of the District/Faculty Association Collective Bargaining Agreement states, “The primary purpose of the evaluation of faculty is the continuous improvement of instruction and support services at Allan Hancock College. Other purposes include the maintenance of quality programs and instruction and the professional competence of the faculty” (III.A.6-1).

The comprehensive process for full-time faculty evaluations includes evidence of “meeting course learning and service outcomes” per CBA Article 17.3.1.1 (g) and “meeting the professional development obligation” per CBA Article 17.3.4 (III.A.6-1). The “Colleague/Staff Feedback Report” form, which is part of the full-time faculty evaluation process, queries to what degree the assessor agrees that “The faculty member appropriately tests, measures, and reports student progress” (III.A.6-1).

Several sections of the part-time faculty evaluation assess the employee’s use of learning outcomes, including that “Goals/objectives/purpose/standards are clearly defined” (standard 7), multiple measures for assessment (standard 15), and inclusion of learning outcomes on their syllabi (standard 19) (III.A.6-3). The amount of involvement by part-time faculty in processes such as program review varies from discipline to discipline. In cases where there is no full-time faculty, part-time faculty may write the program review.

Board Policy 7150 states the primary purpose of administrative evaluation is “continued improvement of the management of community college education and services in the district” (III.A.6-5). Educational administrators are responsible for ensuring the faculty review of assessment data to improve teaching and learning and are directed to do so by the office of Academic Affairs (III.A.6-7). The job description for Dean, Academic Affairs states specifically, “Provides leadership in the development and assessment of learning outcomes” (III.A.6-10). Additionally, administrators follow-up on departmental discussions of assessment data and participate on the validation team for program review, which includes reviewing and validating assessment data and preparing recommendations based on this assessment (III.A.6-2).

Educational administrators also participate on the Student Learning and Student Services Councils, deans’ weekly meetings, basic skills committee, distance learning committee, and



other groups whose focus is student success. At these regular meetings, development of new programs and improvement of outcomes based on retention, completion, and success data is discussed (III.A.6-8).

While instructional classified staff may participate on program review, they are not held directly responsible for student learning or its assessment. Many classified staff conduct their own survey and/or use existing data to improve services. For example, Math Center, Tutorial Center, and Writing Center staffs monitor waitlists, student satisfaction, and successful completion of the courses for which students sought help (III.A.6-9).

The college meets the standard. In the evaluation of personnel directly responsible for student learning, the college considers how these employees use the results of the assessment of learning outcomes to improve teaching and learning. In order to improve existing processes, the college and full-time faculty share an interest in negotiating evaluation criteria for faculty reassignments.

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**III.A.7 The institution maintains a sufficient number of qualified faculty, which includes full time faculty and may include part time and adjunct faculty, to assure the fulfillment of faculty responsibilities essential to the quality of educational programs and services to achieve institutional mission and purposes. (ER 14)**

***Eligibility Requirement 14. Faculty***

*The institution has a substantial core of qualified faculty which includes full-time faculty and may include part-time and adjunct faculty, to achieve the institutional mission and purposes. The number is sufficient in size and experience to support all of the institution's educational programs. A clear statement of faculty responsibilities must include development and review of curriculum as well as assessment of learning. (Standard III.A.2 and III.A.7)*

*Documentation*

- *Full-time and part-time faculty roster, including degrees and experience (note that faculty degrees must be from US accredited institutions or the equivalent)*

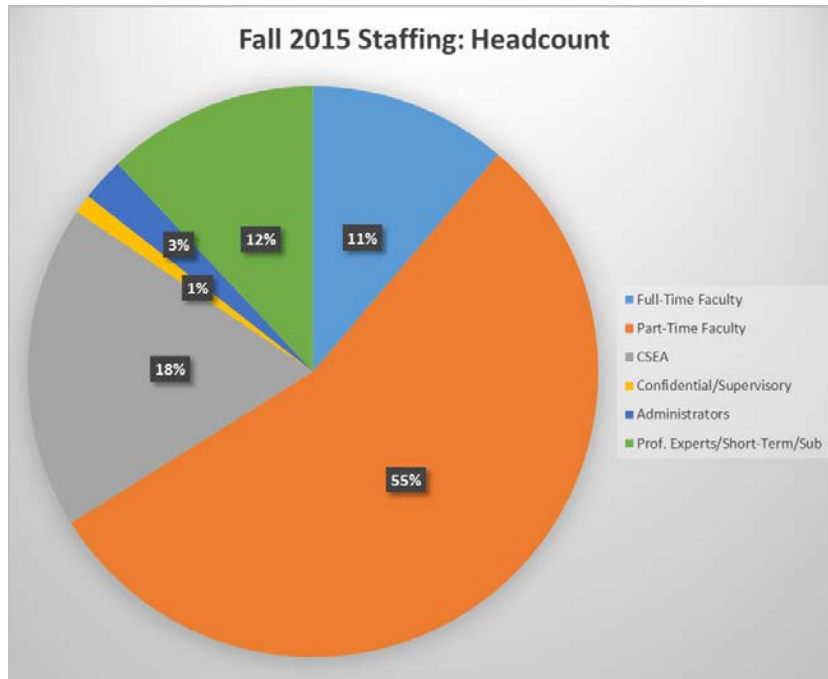
**Evidence of Meeting the Standard**

The district maintains a sufficient number of qualified faculty to assure fulfillment of faculty responsibilities essential to the quality of educational programs and services to achieve the mission of the college. In spring 2016, the district was able to post more than 21 faculty positions.

- III.A.7-1 Board Policy 3255, Program Review
- III.A.7-2 Faculty Prioritization Process
- III.A.7-3 Obligation (FON) Report, Fall 2015
- III.A.7-4 Educational transcripts, proof of degrees, credentials, licensures and verification of occupational experience
- III.A.7-5 Institutional Research report on the fulltime equivalent student to fulltime equivalent faculty ratio
- III.A.7-6 Eligibility Requirement 14: Roster of administrator and faculty degrees and experience
- III.A.7-7 Human Resources Report to the Board of Trustees, July 31, 2015
- III.A.7-8 Faculty prioritization lists 2010-2015
- III.A.7-9 AHC Staffing Plan reference, Board of Trustees Special Meeting January 2016
- III.A.7-10 Public Safety Staffing Plan

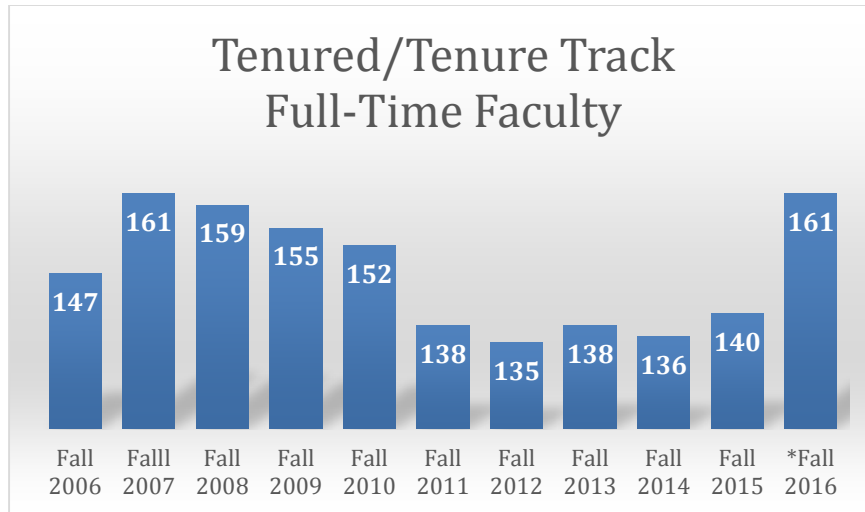
**Analysis and Evaluation**

At the beginning of fall 2015, the college employed 864 faculty, including 147 full-time faculty and 717 part-time faculty, accounting for 66% of the district's employee headcount.



The college reported 140.38 Full Time Equivalency Faculty (FTEF) on the 2015 Faculty Obligation Report to the Chancellors' Office: 7.08 FTEF over the obligation (III.A.7-3). Of the 140 full-time faculty, 24 have an associate's or bachelor's degree in accordance with the minimum qualifications of their position, 95 hold a master's degree, and 21 have completed their doctorate degree (III.A.7-6). Additionally, in fall 2015, the district engaged 158.92 FTEF credit and noncredit part-time faculty (III.A.7.3). The district employs a pool of highly qualified part-time faculty: 52 part-time faculty have completed their doctorate degree (III.A.7-6). All degrees received in the United States are confirmed to be from accredited institutions. The district recognizes foreign degrees only if the Professional Standards Committee determines that the candidate has established equivalency.

In order to increase its capacity to fulfill its mission further, the district is utilizing the Chancellor's 2015-2016 allocation of funds for full-time faculty hiring to return the district to its full-time faculty headcount prior to the economic downturn with the hire of 21 positions:



These full-time faculty positions include the following approved through faculty prioritization to fill vacancies (III.A.7.8):

Current Vacancy	Proposed Position
CNA	CNA
Language	Speech
Art	Art
Dance	Dance
Library	Library
Public Safety	Fire Tech
Counseling	Couns/PD
Accounting	ACCT
English	English
Math	Math
Chemistry	Chemistry
Geography	Geography
Architecture	Architecture
Food Science/Nutrition	Food Science/Nutrition
Kinesiology	Kinesiology
Agriculture	Agriculture

In addition, the following full-time faculty positions have been approved for hire in spring 2015 utilizing categorical funding:

Learning Assistance Counselor, Early Alert Counselor, Non-Credit Counselor, Transfer Counselor, College Achievement Now Counselor

The college meets the standard. While the college exceeds the FON obligation and continues to add faculty to its ranks, improvements can be made in the clarity of the processes for faculty prioritization within the resource allocation model in order to demonstrate that they lead to institutional effectiveness. The need for improvements are based on the institution's broad based, systematic evaluation of all aspects of planning, including programs and services where human, physical, technology, and financial resources are allocated. The college will draft a Quality Focus Essay in order to improve the linkage between integrated evaluation, planning, and resource allocation to improve student learning and achievement.

**III.A.8 An institution with part time and adjunct faculty has employment policies and practices which provide for their orientation, oversight, evaluation, and professional development. The institution provides opportunities for integration of part time and adjunct faculty into the life of the institution.**

**Evidence of Meeting the Standard**

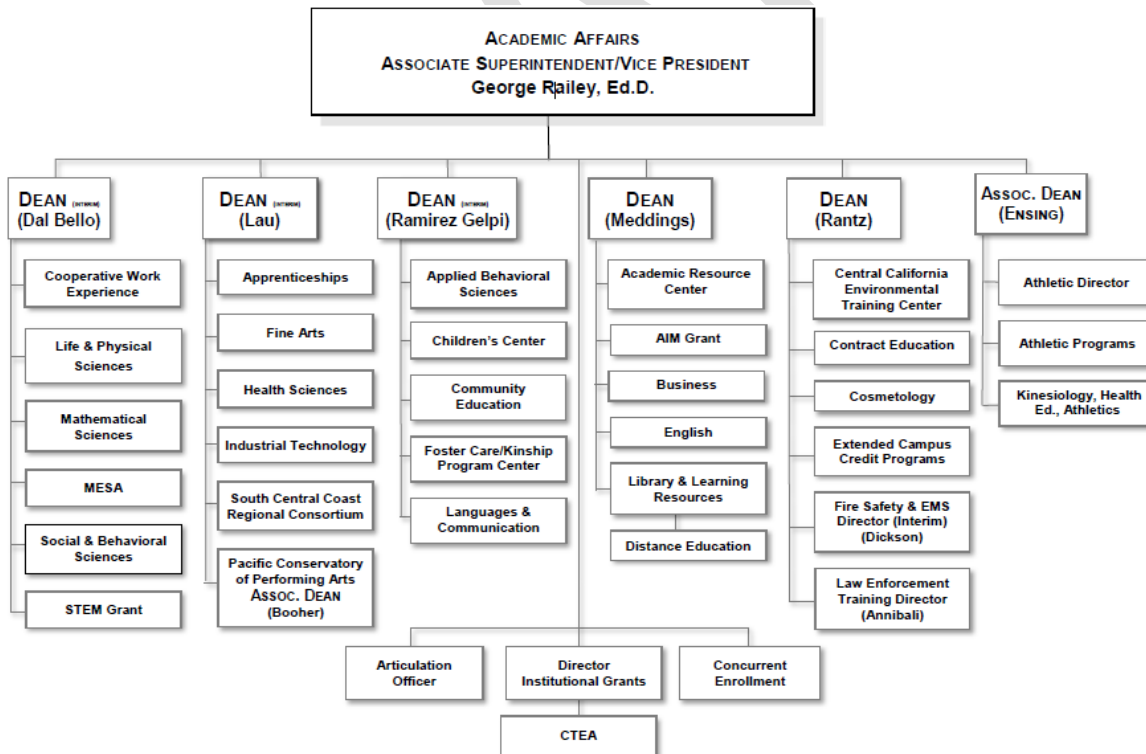
The district's employment policies and practices provide for the orientation, oversight, evaluation, and professional development of part-time faculty and encourage their integration into the life of the institution.

- III.A.8-1 District/Part-time Faculty Association Collective Bargaining Agreement, Performance Evaluation Article
- III.A.8-2 District/Part-time Faculty Association Collective Bargaining Agreement, Professional Development sub-article 11.6
- III.A.8-3 District/Part-time Faculty Association Collective Bargaining Agreement, Professional Development Article
- III.A.8-4 Part-time Faculty Evaluation Forms
  - Class Observation - DL
  - Part-time Faculty Administrative Evaluation Rubric
  - Part-time Faculty Classroom Worksite Observ Eval Rubric
  - Part-time Faculty Evaluation Process
  - Part-time Faculty Portfolio Guidelines
  - Part-time Faculty Response to Student Evaluations
  - Part-time Faculty Self Evaluation Form
  - Part-time Faculty Syllabus Materials Checklist
  - Workplace Observation Form for Librarians
- III.A.8-5 New Employee Orientations Schedule
- III.A.8-6 New Employee Orientation Packet
- III.A.8-7 Part-Time Faculty Orientation
- III.A.8-8 Councils and Committees: Pathways to Decisions manual
- III.A.8-9 Allan Hancock College Flex Calendar Report, AY 2014-2015
- III.A.8-10 Allan Hancock College Professional Development Offerings, AY 2015-2016
- III.A.8-11 Board Policy 7160, Professional Development
- III.A.8-12 Recruitment video
- III.A.8-13 New Hire Video
- III.A.8-14 Dean, Academic Affairs job description
- III.A.8-15 Math and English Developmental Coordinator orientation
- III.A.8-16 Academic Senate minutes reflecting approval of part-time faculty department vote
- III.A.8-17 Memorandum of Understanding CFT/PFA Evaluation
- III.A.8-18 Sample all staff communications
- III.A.8-19 Sample Board agenda

**Analysis and Evaluation**

The district has employment policies and practices which provide for the orientation of part-time faculty. Prior to hire, all perspective employees have access to the recruitment video available on the application pages of the Human Resources site (III.A.8-12). New hires view the New Hire video that orients them to the college and its achievements and culture (III.A.8-13). Part-time faculty receive a new employee orientation prior to starting work with the district (III.A.8-5). During the new employee orientation, part-time faculty meet with Human Resources staff, payroll and benefits staff, campus police, and union representatives. New employees complete a new hire packet of materials (III.A.8-6). In addition, the district hosts a part-time faculty orientation the week before the start of classes each semester to which all part-time faculty who are scheduled to teach that semester are invited. Furthermore, the English and Math Developmental Coordinators provide orientations to part-time faculty teaching developmental courses in those departments (III.A.8-15).

The district has employment policies and practices which provide for the oversight of part-time faculty. While part-time faculty are supervised by the discipline’s academic dean, they also receive oversight from the discipline’s department chair and, where appropriate, from the English and Math Developmental Coordinators. The college employs five academic deans, two associate deans, and two instructional directors who supervise the following areas:



The job description for dean, Academic Affairs lists two functions that specific detail oversight (III.A.8-14):

- Plans, supervises, directs, facilitates, and provides leadership to the instructional programs, which includes both academic and occupational programs.
- Supervises department chairpersons and program coordinators on matters related to curriculum and program development, curriculum revision, new course offerings, staffing, personnel problems, evaluation of faculty, preparation of grant proposals, budget preparation, class schedules and course materials for the college catalog and use of college facilities and resources.

The district has employment policies and practices which provide for the evaluation of part-time faculty. Evaluation processes for part-time faculty have been negotiated into the collective bargaining agreement (III.A.8-1; III.A.8-4). Evaluations are meant primarily to encourage improvement and are directly linked to the instructional mission of the college. Article 13 of the District/Part-time Faculty Association Collective Bargaining Agreement states that “The primary purpose of the evaluation of faculty is the continuous improvement of instruction and support services at Allan Hancock College. Other purposes include the maintenance of quality programs and instruction and the professional competence of the faculty. The evaluation process shall promote professionalism, enhance performance, and be closely linked with professional growth efforts” (III.A.8-1). Currently, the district and Part-Time Faculty Association have a Memorandum of Understanding that further defines the evaluation of Pool 1 and Pool 2 part-time faculty members (III.A.8-17).

The district has employment policies and practices which provide for the professional development of part-time faculty. Sub-article 11.6 of the District/Part-time Faculty Association Collective Bargaining Agreement provides for compensation for part-time faculty who attend or deliver professional development (III.A.8-2). All employees, including part-time faculty, are invited to attend all district professional development offerings posted on the Professional Development tab on myHancock. In academic year 2015-2016, the district offered approximately 125 professional development activities open to all employees (III.A.8-9). Part-time faculty are also often invited to attend regular department meetings and department retreats (III.A.8-9).

In addition to invitation to All Staff Day and department meetings and retreats, the institution provides other opportunities for integration of part time and adjunct faculty into the life of the institution. Part-time faculty are integrated via inclusion on councils, committees, taskforces, and working groups (III.A.8-8). As of spring 2016, part-time faculty now have a vote at department meetings (III.A.8-16). They receive regular All Staff communications via email from various sources, including the superintendent/president, the Office of Public Affairs, and their association (III.A.8-18). The Part-time Faculty Association also has a standing monthly report to the board (III.A.8.19).

The college meets the standards. The college has dedicated concentrated effort of the inclusion of part-time faculty in recent years, including the increased professional development opportunities.

**III.A.9 The institution has a sufficient number of staff with appropriate qualifications to support the effective educational, technological, physical, and administrative operations of the institution. (ER 8)**

***Eligibility Requirement 8. Administrative Capacity***

*The institution has sufficient staff, with appropriate preparation and experience to provide the administrative services necessary to support its mission and purpose. (Standard III.A.9 and III.A.10)*

*Documentation*

- *Table of organization, including names of those in the positions*
- *Names and biographical information about administrative staff*

**Evidence of Meeting the Standard**

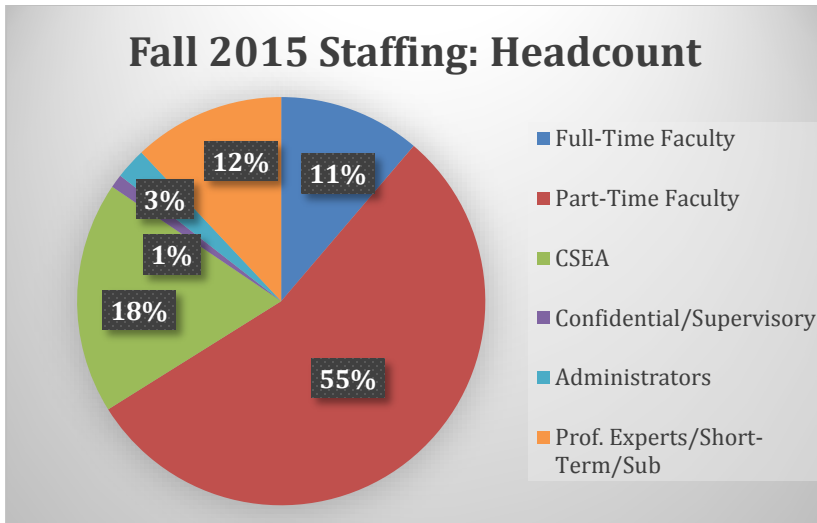
The district maintains appropriate staffing levels and qualifications to support the effective educational, technological, physical, and administrative operations of the institution.

- III.A.9-1 Human Resources Report to the Board of Trustees, July 31, 2015
- III.A.9-2 Organizational Chart, District
- III.A.9-3 Organizational Chart, Academic Affairs
- III.A.9-4 Organizational Chart, Student Services
- III.A.9-5 Organizational Chart, Administrative Services
- III.A.9-6 Organizational Chart, Facilities and Operations
- III.A.9-7 Organizational Chart, Human Resources
- III.A.9-8 Organizational Chart, Public Affairs
- III.A.9-9 Organizational Chart, Information Technology
- III.A.9-10 Organizational Chart, Auxiliary Operations
- III.A.9-11 2010-2016 Classified Staff Prioritization List
- III.A.9-12 Appendix A, Classified Bargaining Unit Position List
- III.A.9-13 OneSolution data searches
- III.A.9-14 Staff Prioritization List 2016-2017

**Analysis and Evaluation**

The district's classified staffing levels is maintained in concert with its capacity to serve students. In fall 2013, the district employed approximately 189 permanent classified employees. In fall 2015, the district employed 240 permanent classified staff, accounting for 18% of the total district staffing (III.A.9-1; III.A.9-13). In spring, that number increased to 244 (III.A.9-13).

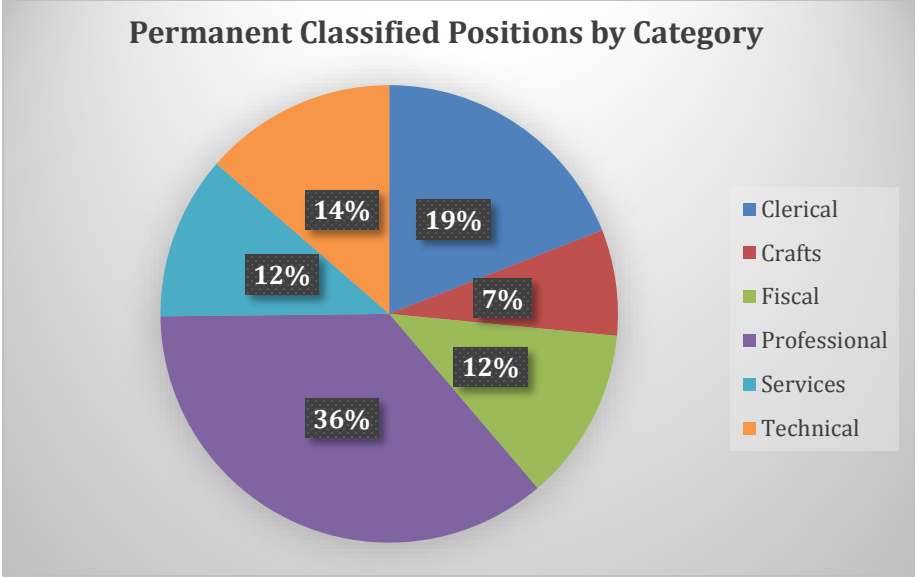




This increase over two years is due to the conversion of a number of temporary classified positions to permanent status in order to support the mission of the college. The district still maintains a pool of 237 temporary classified staff, but only 133 of those have been employed at any point in fiscal year 2015-2016 as of January 2016 (III.A.9-13).

For 2015-2016, the district has identified the need for 18 positions through classified prioritization, include five instructional positions (III.A.9-11). These positions total 33,308 hours of increased capacity to the district. For 2016-2017, the district has identified new or additional 40 classified staff positions through the staff prioritization process (III.A.9-15). Some of these positions are duplicated from the 2015-2016 requests. Of the 40 requested positions, all support the educational, technological, physical, and administrative operations of the institution.

Permanent classified bargaining positions support the effective educational, technological, physical, and administrative operations of the institution, categorized as follows:



The college meets the standard. While evidence reveals an increase in staffing over the past years and the college continues to add staff to its ranks, improvements can be made in the clarity of the processes for staff prioritization within the resource allocation model in order to demonstrate that they lead to institutional effectiveness. The need for improvements are based on the institution's broad based, systematic evaluation of all aspects of planning, including programs and services where human, physical, technology, and financial resources are allocated. The college will draft a Quality Focus Essay in order to improve the linkage between integrated evaluation, planning, and resource allocation to improve student learning and achievement.

**III.A.10 The institution maintains a sufficient number of administrators with appropriate preparation and expertise to provide continuity and effective administrative leadership and services that support the institution’s mission and purposes. (ER 8)**

***Eligibility Requirement 8. Administrative Capacity***

*The institution has sufficient staff, with appropriate preparation and experience to provide the administrative services necessary to support its mission and purpose. (Standard III.A.9 and III.A.10)*

*Documentation*

- *Table of organization, including names of those in the positions*
- *Names and biographical information about administrative staff*

**Evidence of Meeting the Standard**

The district maintains a sufficient number of administrators – totaling 35 – with appropriate preparation and expertise to provide continuity and effective leadership and services that support the institution’s mission and purposes (III.A.10-13).

- III.A.10-1 Human Resources Report to the Board of Trustees, July 31, 2015
- III.A.10-2 Organizational Chart, District
- III.A.10-3 Organizational Chart, Academic Affairs
- III.A.10-4 Organizational Chart, Student Services
- III.A.10-5 Organizational Chart, Administrative Services
- III.A.10-6 Organizational Chart, Facilities and Operations
- III.A.10-7 Organizational Chart, Human Resources
- III.A.10-8 Organizational Chart, Public Affairs
- III.A.10-9 Organizational Chart, Information Technology
- III.A.10-10 Organizational Chart, Auxiliary Operations
- III.A.10-11 Salary Schedule 30, Managers
- III.A.10-12 In-House Reference List for Board and Administrators 2015-2016
- III.A.10-13 OneSolution data search
- III.A.10-14 Job description, Institutional Effectiveness
- III.A.10-15 Job description, College Advancement
- III.A.10-16 Executive Salary Schedule
- III.A.10-17 Dean restructure
- III.A.10-18 Allan Hancock College Flex Calendar Report, AY 2014-2015
- III.A.10-19 Administrator Trainings 2014-2015
- III.A.10-20 Staff Prioritization List 2016-2017

**Analysis and Evaluation**

Entering fall of 2015, the district employed 32 administrators. Of those numbers, six administrators were interim, and one was temporary (III.A.10-1). In a one-year period

between July 2014 and July 2015, the district was able to hire three permanent executive-level administrators, replacing interim positions: associate superintendent/vice president of Academic Affairs, associate superintendent/vice president of Finance and Administration, and associate superintendent/vice president of Student Services (III.A.10-16). The district was also able to create and fill a new executive-level position: vice president of Institutional Effectiveness. The newly created Office of Institutional Effectiveness is responsible for research and planning, enrollment management, assessment, accreditation, and institutional planning. This office fills a need for centralized continuous improvement efforts in support of all aspects of the college (III.A.10-16). In spring 2016, the district is recruiting for an executive director of college advancement. This position replaces the executive director of the Allan Hancock College Foundation and combines oversight over the Foundation and grants with responsibility for “development, including fundraising, community and donor cultivation, campaign development, administrative supervision, fiscal management, planning, and event coordination” (III.A.10-15). The vice president of Student Services has completed a proposal for the restructuring of student services, which includes recruiting for the dean of Student Services position in spring 2016.

As of mid-spring 2016, the district employs 35 administrators. Of those, four are interim, and three are temporary, as follows:

Dean, Academic Affairs – 3 interims  
Director, Public Affairs and Publications – interim  
Assistant Director, Institutional Grants – temporary  
Director, Special Projects – temporary  
Project Director, Cooperative Work Experience – temporary

In spring 2016, the vice president of Academic Affairs studied the workload of deans in consideration of a restructuring/redistribution of the work (III.A.10-17). The interim dean positions were posted for recruitment in late spring 2016. The district contracted out bookstore services to Follett in mid-spring 2016, resulting in the elimination of the director, AHC Bookstore position. Recruitment for a permanent director of Public Affairs and Publications position is on hold until after the mid-summer start date of the executive director of College Advancement. The temporary assistant director of Institutional Grants is a temporary out-of-class out-of-bargaining unit assignment for an employee to help address the workload needs of the office. The temporary project director of Cooperative Work Experience is a pilot of a previously existing position: the pilot is meant to assess the effectiveness of combining CWE with transfer and job placement. This position and pilot run through spring 2016. The temporary director of Special Projects is working to close out the district’s STEM grant.

The 2016-2017 Staff Prioritization List includes request for three additional administrators (III.A.10-20):

1. Cooperative k-12 Partnerships Work Experience/Internship Program Director (a request to make permanent the temporary CWE position discussed above)
2. Assistant Director, Human Resources (a request to fill a long-standing vacancy)
3. Sports Information Director/Associate Athletic Director

The district supports appropriate preparation and training to enhance administrator expertise that provides continuity and effective administrative leadership and services in support of the institution's mission and purposes. Administrators are encouraged to pursue professional development through both on and off-campus offerings. Administrators were invited to the 125 professional development offerings provided to all staff in 2014-2015 (III.A.10-18). Administrators have also participated in the Asilomar Leadership Skills Seminar, CSSO Directors training, the ACHRO Leadership Academy, the AHC President's Leadership Academy (III.A.10-19).

The college meets the standard. While evidence reveals an increase in the number of administrators over the past years, improvements can be made in the clarity of the processes for staff prioritization within the resource allocation model in order to demonstrate that they lead to institutional effectiveness. The need for improvements are based on the institution's broad based, systematic evaluation of all aspects of planning, including programs and services where human, physical, technology, and financial resources are allocated. The college will draft a Quality Focus Essay in order to improve the linkage between integrated evaluation, planning, and resource allocation to improve student learning and achievement.

DRAFT

**III.A.11 The institution establishes, publishes, and adheres to written personnel policies and procedures that are available for information and review. Such policies and procedures are fair and equitably and consistently administered.**

**Evidence of Meeting the Standard**

The district establishes and reviews board policies and procedures via the participatory governance process. These policies and procedures are readily available on the Allan Hancock College public website.

- III.A.11-1 AHC Board Policies
- III.A.11-2 Councils and Committees: Pathways to Decisions manual
- III.A.11-3 Board Policy 2410, Policies of the Board of Trustees
- III.A.11-4 College Catalog, 2015-2016
- III.A.11-5 District Complaint Form
- III.A.11-6 Agreement Between the District and California School Employees Association  
Allan Hancock College Chapter #251
- III.A.11-7 Agreement Between the District and the Faculty Association of  
Allan Hancock College
- III.A.11-8 Agreement Between District and California Federation of Teachers/Part-Time  
Faculty Association of Allan Hancock College Local 6185
- III.A.11-9 Guidelines for Student Conduct, Disciplinary Action and Procedural Fairness
- III.A.11-10 Student Rules and Regulations
- III.A.11-11 Injury and Illness Prevention Program

**Analysis and Evaluation**

The institution establishes, publishes, and adheres to written personnel policies and procedures that are available for information and review. All district board policies are posted for employee and public information and review on the public Allan Hancock College website. These policies are established through the participatory governance process per the Councils and Committees: Pathways to Decisions manual. Once College Council recommends a new or changes an existing policy or procedure, that document is forwarded to the Board of Trustees for first reading and then second reading and approval.

Board Policy 2410 also lists the following as policies of the board (III.A.11-3):

- College Catalog
- Faculty Resource Guide
- Agreement Between the District and California School Employees  
Association
- Allan Hancock College Chapter #251
- Agreement Between the District and the Faculty Association of Allan  
Hancock College
- Agreement Between District and California Federation of Teachers/Part-Time
- Faculty Association of Allan Hancock College Local 6185

- Guidelines for Student Conduct, Disciplinary Action and Procedural Fairness
- Student Rules and Regulations
- Injury and Illness Prevention Program

Each of these are also readily available via the public Allan Hancock College website, and those that pertain specifically to students are also available in the college catalog (III.A.11-1; III.A.11-4).

Such policies and procedures are fair and equitably and consistently administered. Board Policy 2410 references the necessity for policy to be consistent with law and ensures that procedures are consistent with policy (III.A.11-3). Violations of fair and equitable administration of any policies or procedures may be handled through the student or employee complaint process, the grievance procedures contained within the collective bargaining agreements, or through the participatory governance process (III.A.1-9; III.A.11-5; III.A.11.6-8).

The college meets the standard. Councils and committees review and update board policies and procedures regularly to ensure that they are constituent with law and fairly administered.

DRAFT

**III.A.12 Through its policies and practices, the institution creates and maintains appropriate programs, practices, and services that support its diverse personnel. The institution regularly assesses its record in employment equity and diversity consistent with its mission.**

**Evidence of Meeting the Standard**

The institution creates and maintains appropriate programs, practices, and services that support its diverse personnel and regularly assesses its record in employment equity and diversity consistent with its mission.

- III.A.12-1 Board Policy 3420, Equal Employment Opportunity and Staff Diversity
- III.A.12-2 Equal Employment Opportunity Plan, May 19, 2015
- III.A.12-3 Diversity/Equal Employment Opportunity (EEO) Committee, CCPD page 55
- III.A.12-4 Board Policy 7120, Faculty Hiring
- III.A.12-5 2014-2015 EEO6 Report to the Chancellor's Office
- III.A.12-6 2014-2017 Student Equity Plan pg. 3
- III.A.12-7 2014-2020 Strategic Plan
- III.A.12-8 Human Resources Report to the Board, August 2015
- III.A.12-9 Board Policy 3410, Nondiscrimination
- III.A.12-10 Board Policy 3430, Prohibition of Harassment
- III.A.12-11 Chancellor's Office EEO Regional Workshop at Moorpark attendance verification
- III.A.12-12 Sample interview questions
- III.A.12-13 Flexible Calendar Activity Submission Form 2015-2016

**Analysis and Evaluation**

The college maintains programs, practices, and services that support its diverse personnel. The district's mission statement focuses on diversity: "Allan Hancock College provides quality educational opportunities that enhance student learning and the creative, intellectual, cultural, and economic vitality of our diverse community." Diversity is also one of eight of the district's shared values. Goal SLS5 (Nurture Students) of the 2014-2020 Strategic Plan, is to "Convey a sense of caring where students' success is important and expected. Understand that a broad definition of diversity supports students and values experiences arising from race/ethnicity, socioeconomic background, age, religion, sexual orientation, gender, nationality, and veteran status" (III.A.12-7). Strategic Plan Goal G2 is "To sustain a planning framework that values input from all constituencies and the Board of Trustees. The framework will ensure that decisions are made with consideration of the college's broad definition of diversity" (III.A.12-7). Two of the Strategic Plan's Action Steps focus on diversity state

- #10) In order to meet the minimum legal requirements for a district equal employment opportunity plan as well as its goal of achieving a diverse workforce, the district will expedite completion of an EEO plan via the shared governance process.



- #12) Build upon and institutionalize existing programs targeted at serving diverse populations (e.g., MESA, CAN, Veterans, LAP, STEM, EOPS).

Action Step #10 has already been completed (III.A.12-2). In addition, an activity in the district's 2014-2017 Student Equity Plan is to "Increase commitment to faculty and staff development related to student equity" (III.A.12-6).

AHC's Equal Employment Opportunity (EEO) Plan addresses methods for diversifying the workforce (III.A.12-2). The EEO Plan includes a requirement that all individuals serving on selection committees receive training in the importance of a diverse workforce, bias awareness, and the elements of cultural competence. From July 1, 2014 through the present, a total of 540 administrators, faculty, staff, students, and community members participated in the hiring committee training.

The district's shared governance EEO Committee is tasked with reviewing and recommending policies and procedures, including the EEO Plan, and trainings that support diversity. Its members include the director of Human Resources and one appointee each from the following groups: Management Association, Faculty Association, CSEA, Supervisory/Confidential, and ASBG (III.A.12-3).

As the college is committed to creating and maintaining an environment that supports diversity, a total of 127 administrators, faculty, and staff participated in training in the prevention of discrimination, harassment, and retaliation in the workplace between January of 2015 and August 2015 which is an increase from the 89 trained in 2013 (III.A.12-5). In the spring of 2015, College Council reviewed and recommended new board policies for Nondiscrimination and Prohibition of Harassment to the board for approval, which they did approve in September (III.A.12-9; III.A.12-10). Human Resources staff attended the Chancellor's Office's EEO Regional Workshop in January 2016 (III.A.12-11).

In addition, the 2015-2016 Flex Calendar Activity Submission to the Chancellor's Office demonstrated that the college offered the following professional development trainings in support of diversity (III.A.12.13):

- Cultural Proficiency Institute
- Spanish Language Tour of the San Luis Obispo Mission
- Supporting Men of Color in the Community Colleges
- Communication Skills for Women
- Chumash Inter-Tribal Pow Wow
- The Diversity of Grief
- Justice Summit: Empowering You to End Human Trafficking
- Wath the text?@!: Motivating Millennials
- Spanish Names Pronunciation

Each recruitment includes the EEO representative who is typically a Human Resources staff person. Faculty recruitments also include a Diversity Resource Specialist (DRS) who is selected by the department chair, in consultation with Human Resources, from a pool of

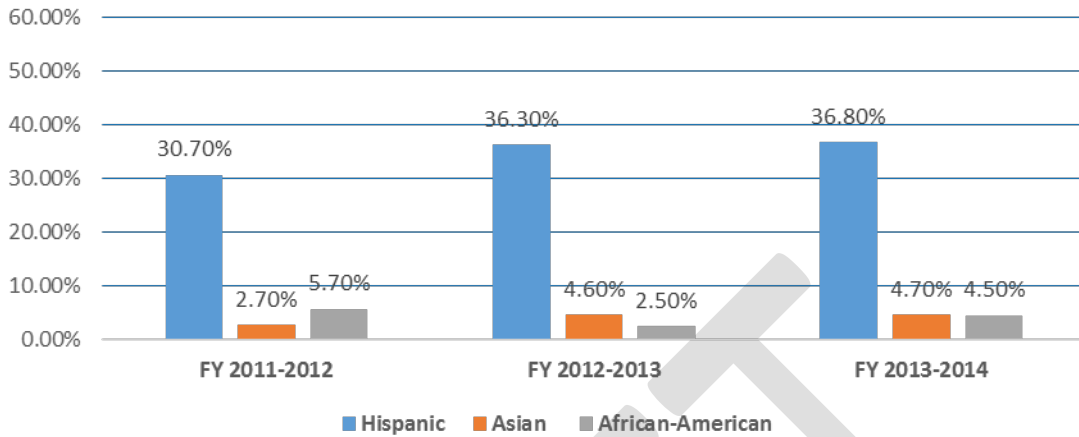
trained faculty members. The role of the DRS in recruitment is to pre-screen the applicant pool and review staff diversity/equal employment opportunity principles and practices with committee members (III.A.12-4). Each interview also includes a diversity question (III.A.12-12).

To ensure diverse pools for recruitment, the district advertises in a list of publications, including but not limited to:

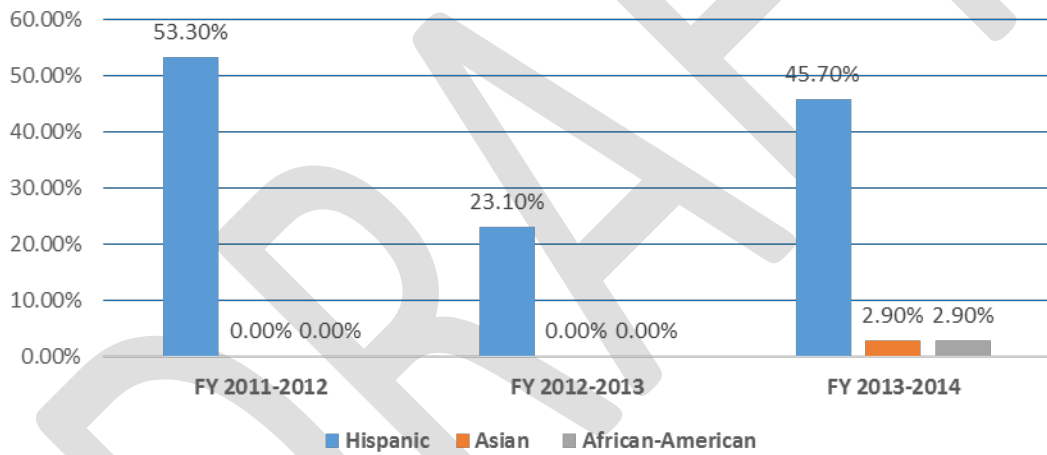
- CCC Registry
- Higher Ed Jobs
- Santa Maria & SLO Craigslist
- LinkedIn
- CPOA.org (California Peace Officers Association)
- Santa Maria Times
- SLO Tribune
- SB News Press
- NCAA
- Hispanics in Higher Ed.com
- Nurse.com
- Indeed.com
- CUPAHR. Org (College and University Professional Association for Human Resources)
- HR in Higher Ed
- POST.CA.GOV
- Blackpolice.org
- IT Jobs in Higher Ed. com
- Career Builder
- CCUPCA.Com (California College and University Police Chiefs Association)

The institution regularly assesses its record in employment equity and diversity through a variety of reports. At the request of the Board of Trustees, Human Resources delivered a report to the board at its semiannual retreat in July 2015 which focused on diversity data and efforts from July 2011 through August 2015. That presentation demonstrated an improved effort to attract and hire diverse employees (III.A.12-8).

### Applicants Who Applied

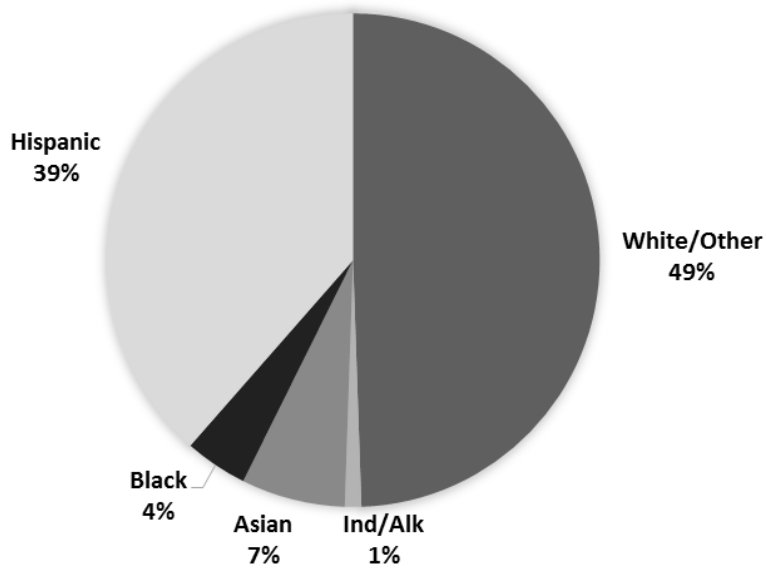


### Applicants Selected (% of total selected)

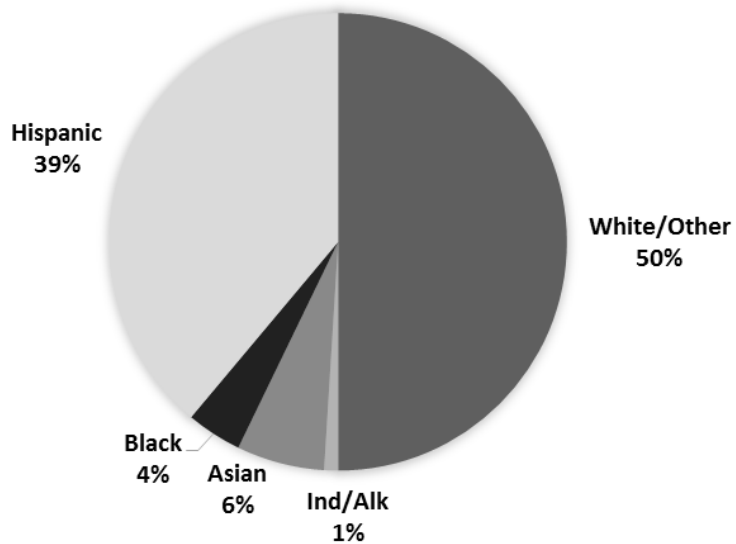


Diversity data for 2014-2015 reported to the Chancellor's Office in the EEO6 report demonstrated that from the 63 active recruitments, between July 1, 2014 and June 30, 2015, the percentage of all new employees hired from monitored groups (Hispanic, African American, Native American, and Asian/Pacific Islander) was 43% (III.A.12-5). That report also revealed an almost exact match in the distribution of diverse applications to that of the diversity of those interviewed, which evidences the efficacy of the screening process:

### TOTAL APPLICANTS FY 2014/2015



### TOTAL INTERVIEWED FY 2014/2015



The college meets the standard. Evidence reveals that the college's strategic planning processes includes a commitment to diversity, processes support the application of diverse candidates for new positions, and the college's professional development activities support appropriate programs, practices, and services that support its diverse personnel.

### **III.A.13 The institution upholds a written code of professional ethics for all of its personnel, including consequences for violation.**

#### **Evidence of Meeting the Standard**

The institution has developed board policies that ensure ethical practices for all employees. These policies are readily available to all personnel. Board policies, collective bargaining agreements, and education code also address consequences for violations of local policies.

- III.A.13-1 Board Policy 2715, Code of Ethics/Standards of Practice
- III.A.13-2 Board Policy 2200, Board Duties and Responsibilities
- III.A.13-3 Board Policy 3050, Institutional Code of Ethics
- III.A.13-4 Board Policy 7210, Professional Responsibility Policy
- III.A.14-5 Board Policy 4030, Academic Freedom and Responsibility Policy
- III.A.13-6 Board Policy 7365, Dismissal, Suspension, or Demotion
- III.A.13-7 Board Policy/Administrative Procedure 5530, Student Rights and Grievances
- III.A.13-8 Student Rights and Complaints webpage
- III.A.13-9 Board Policy 3430, Prohibition of Harassment
- III.A.13-10 Board Policy 3410, Prohibition of Discrimination
- III.A.13-11 District/CSEA Collective Bargaining Agreement, Discipline Article
- III.A.13-12 District/Part-time Faculty Association Collective Bargaining Agreement, Discipline Article
- III.A.13-13 Confidentiality Statements for Hiring Committee Members
- III.A.13-14 New Hire Orientation Packet
- III.A.13-15 Professional Development Offerings
- III.A.13-16 Human Resources Council notes

#### **Analysis and Evaluation**

Allan Hancock College strives for a collegial and professional work environment. The Allan Hancock College Board of Trustees asserts in Board Policy 2715 that “The Board maintains high standards of ethical conduct for its members” (III.A.13-1). Board Policy 2200 describes the duties and responsibilities of the board that maintain those high standards and ethical behavior (III.A.13-2).

Board Policy 3050, Institutional Code of Ethics sets the tone for the institution and its personnel (III.A.13-3).

Employees of the Allan Hancock Joint Community College District are committed to the ethical values of honesty and equity. Our behavior is guided by the following principles:

- Advocate for human dignity and assure that students and colleagues are respected as individuals;
- Refrain from disparagement, ridicule, or capricious judgment;
- Keep foremost in mind at all times that the district exists to serve students;

- Foster a climate of trust and mutual support through a governance process characterized by participation of the people affected; focus on objectives rather than personalities; respect for reason, freedom of expression, and right to dissent;
- Foster openness by encouraging and maintaining two-way communication;
- Be guided by the policies and procedures established by the Board of Trustees.

In addition, confidentiality agreements signed by hiring committee members and the oath of office delivered during new hire orientation reinforce the district's expectation of ethical behavior (III.A.13-14). Faculty in certain disciplines are governed by their professional organizations' ethical codes.

Student complaint procedures are contained in Board Policy 5530, Student Rights and Grievances and provided on the Student Complaints webpage on the Allan Hancock College site for ease of access (III.A.13-7; III.A.13-8). When a student feels that he/she has been subjected to unfair and improper action by any member of the college community, the student can seek to resolve the complaint in an expeditious manner by following the Administrative Procedure 5530. The policy and webpage provide information related to unlawful discrimination and unfair and improper action by any member of the college community and draws attention to ethical behavior.

Each of the employee related policies, related procedures, and collective bargaining agreements are readily available in electronic format and on the Allan Hancock College website. Employees are made aware of these policies during the initial employee orientation (III.A.13-14). All managers and other supervisors are required to participate in harassment and discrimination training, maintaining the requirements of Board Policies 3430 and 3410 (III.A.13-9; III.A.13-10). Those who have contact with children (including coaches, College Now personnel, and Children's Center personnel) are required to attend Mandated Reporter training and receive a certificate. The district also provides FERPA and Title IX training open to all staff.

During spring 2015, the Human Resources office conducted a self-analysis. This review led to identification of policies in need of updating, necessity for staff training on changes that occur, and the need to remind employees of codes they are expected to follow. The Office of Human Resources is currently reviewing and making proposed changes to the Human Resources board policies via the participatory governance process and collective bargaining, as applicable (III.A.13-16).

The college meets the standard. From the day of hire and ongoing with annual trainings, evidence shows that the institution upholds a written code of professional ethics for all of its personnel, including consequences for violation.

**III.A.14 The institution plans for and provides all personnel with appropriate opportunities for continued professional development, consistent with the institutional mission and based on evolving pedagogy, technology, and learning needs. The institution systematically evaluates professional development programs and uses the results of these evaluations as the basis for improvement.**

**Evidence of Meeting the Standard**

The district provides robust professional development offerings for all personnel consistent with the institutional mission and based on evolving pedagogy, technology, and learning needs and evaluates those offerings annually.

- III.A.14-1 Educational Master Plan, Professional Development
- III.A.14-2 Board Policy 7160, Professional Development
- III.A.14-3 California Federation of Teachers/Part-Time Faculty Association of Allan Hancock College Local 6185, Collective Bargaining Agreement, Article 11.6
- III.A.14-4 District/California School Employees Association Chapter #251, Collective Bargaining Agreement, Article 24 – Professional Growth
- III.A.14-5 District/California Federation of Teachers/Part-Time Faculty Association of Allan Hancock College Local 6185, Collective Bargaining Agreement, Article 12 – Workload, Assignment, and Support Services
- III.A.14-6 District/Faculty Association of Allan Hancock College, Collective Bargaining Agreement, Article 16 – Assignment and Contract Year
- III.A.14-7 Professional Development Plan
- III.A.14-8 One Solution Professional Development Module
- III.A.14-9 Strategic Plan
- III.A.14-10 Professional Development Committee minutes
- III.A.14-11 President Leadership Academy list of attendees and agenda
- III.A.14-12 Leadership Institute For Tomorrow
- III.A.14-13 Professional development funding matrix
- III.A.14-14 Email from Kevin Walthers regarding increased PD funding for faculty
- III.A.14-15 Allan Hancock College Flex Calendar Report, AY 2014-2015
- III.A.14-16 Allan Hancock College Professional Development Offerings, AY 2015-2016
- III.A.14-17 Professional Development survey results, 2015

**Analysis and Evaluation**

The institution plans for and provides all personnel with appropriate opportunities for continued professional development, consistent with the institutional mission and based on evolving pedagogy, technology, and learning needs. The district’s Educational Master Plan supports professional development of one of five educational directions for 2014-2020 in line with the college’s mission and vision (III.A.14-1). The goal presented in the plan is that the “College [will] revamp its concept of professional growth opportunities in order to meet legal requirements and to leverage its existing human capital, including 1) creating a Professional Development and Growth plan that is updated annually, 2) re-categorizing workshops, 3)

adjusting employee surveys, and 4) aligning offerings to advancement training/ opportunities.” The Professional Development Committee began pursuing this goal in earnest in February 2015 when it began work on developing a professional development plan. This goal is also supported by the district’s Strategic Plan for 2014-2020 (III.A.14-9).

The district maintains a robust professional development program open to all personnel. In fiscal year (FY) 2014-2015, the district offered roughly 125 professional development offerings in the following areas: course instruction and evaluation; staff development, in-service training, and instructional improvement; program and course curriculum or learning resource development and evaluation; student personnel services; learning resource services; related activities, such as student advising, guidance, orientation, matriculation services, and student, faculty, and staff diversity; departmental or division meetings, conferences and workshops, and institutional research; other duties as assigned by the district (III.A.14-15). The superintendent/president doubled the amount to funding for faculty professional development in Academic Year 2015-2016 (III.A.14-13; III.A.14-14).

A selection of FY 2014-2015 offerings that support the evolving pedagogy, technology, and learning needs includes Student Success Summit; Enhancing Successful 21<sup>st</sup> Century Early College High Schools/Middle College High Schools – Best Practices; Strategies to Reduce Cheating in Online Classes; Teacher Engagement; Supporting Men of Color in the Community Colleges; Grading that Motivates and Retains Students; and Wath the Text?@!: Motivating Millennials.

Administrators and other staff continue to expand their qualifications through participation in conferences and other professional development activities, including the President’s Leadership Academy and Leadership Institute for Tomorrow (LIFT) (III.A.14-11; III.A.14-12). The purpose of the first-ever President’s Leadership Academy in the summer of 2015 was to begin, via an annualized program, development of administrators to ensure succession planning utilizing well-trained and highly-skilled personnel who will sustain institutional effectiveness and academic quality. LIFT “was created to mentor, coach and LIFT eager, diverse professionals who may not have developed a clear sense of their leadership potential yet, toward concrete skills and experiences to help them to pursue career upward mobility in higher education leadership” (III.A.3-13).

The institution systematically evaluates professional development programs and uses the results of these evaluations as the basis for improvement. The district surveyed employee groups in 2006-2011, 2014, and 2015. The gap in employee survey data is related to the recent recession and consequent fiscal challenges which reduced the district’s ability to offer opportunities to participate in professional development thus negating the need to assess. However, in 2012 the faculty reinvigorated professional development offerings via the Academic Senate Professional Development sub-committee. In 2014, the committee reinvigorated employee surveys for each constituency group (III.A.14-17).

For academic years 2012-2013 and 2013-2014, the college’s professional development offerings, both distinct offerings and repeated offerings by categories, were:



2012-2013 Professional Development Offerings		
Category	# of repeat offerings	# of distinct offerings
Communication	30	8
Institutional Support	16	11
Learning Resource Development	7	6
Safety/Hazmat/Health	4	4
Technology	15	9
Diversity	1	1
Total Workshops	73	39

2013-2014 Professional Development Offerings		
Category	# of repeat offerings	# of distinct offerings
Communication	22	15
Institutional Support	30	14
Learning Resource Development	39	31
Safety/Hazmat/Health	17	13
Technology	28	15
Diversity/Multiculturalism	10	9
Total Workshops	146	97

In preparation for writing the Professional Development Plan in spring 2016, the Professional Development Committee, a shared governance body, developed surveys in concert with each employee group—administrators, classified, faculty, and supervisory/confidential. In reviewing the survey results from December 2015, it became clear that the college employee body as a whole is interested in the following categories of training (III.A.14-17):

1. Conflict to Collaboration
2. New Employee Orientation/Employee Benefits
3. Change Management
4. Emergency Response/Safety
5. Trust in the Workplace
6. MS Office Suite

The college meets the standard. While evidence reveals a robust professional development program with appropriate opportunities for continued professional development consistent with the institutional mission and based on evolving pedagogy, technology, and learning needs, improvements can be made in the allocation of resources and assessment of the efficacy of the professional development program within the resource allocation model. The need for improvements are based on the institution's broad based, systematic evaluation of all aspects of planning, including programs and services where human, physical, technology, and financial resources are allocated. The college will draft a Quality Focus Essay in order to improve the linkage between integrated evaluation, planning, and resource allocation to improve student learning and achievement.

**III.A.15 The institution makes provision for the security and confidentiality of personnel records. Each employee has access to his/her personnel records in accordance with law.**

**Evidence of Meeting the Standard**

The district makes provisions for the security and confidentiality of personnel records and for employee access via its Human Resources office physical space, policies, and procedure.

- III.A.15-1 District/California School Employees Association Chapter #251, Collective Bargaining Agreement, Article 6 – Personnel Files/Evaluations
- III.A.15-2 District/California Federation of Teachers/Part-Time Faculty Association of Allan Hancock College Local 6185, Collective Bargaining Agreement, Article 10 – Personnel Files
- III.A.15-3 District/Faculty Association of Allan Hancock College, Collective Bargaining Agreement, Article 12 – Personnel Records
- III.A.15-4 Board Policy 3310, Retention and Destruction of Records
- III.A.15-5 Board Policy 3300, Public Records
- III.A.15-6 Request to Inspect Confidential Personnel Records form

**Analysis and Evaluation**

All active personnel records are housed in fire-safe, lockable filing cabinets in Human Resources. All inactive personnel files are housed in a locked room in fire-safe, lockable filing cabinets in building Q on the college's south campus. Other active files containing personnel information, such as leaves, benefits, applications, are stored in fire-safe, lockable cabinets in the appropriate coordinator's office in Human Resources. Inactive files of this sort may be housed in fire-safe cabinets in a locked archive room (B-200).

All active personnel files are locked each evening and weekend and remain within the control of Human Resources staff during work hours. Personnel files do not leave the Human Resources office except by authority and control of the director of Human Resources or his/her designee and only to be transported to inactive files, when needed during a personnel meeting scheduled outside of the office (ex. Skelly meetings), or as requested by an employee pursuant to California Labor Code 1198.5.

Personnel files are maintained, and records may be viewed by employees in accordance with each respective collective bargaining agreement and California Labor Code 1198.5 and/or by requesting a review in the Human Resources office by completing a "Request to Inspect Confidential Personnel Records" form (III.A.15-6). Human Resources standard procedure is to accommodate employee review within a reasonable timeframe but no longer than 72 hours after the request is made except in extenuating circumstances. When employees, supervisors, or designated employee representatives review personnel files, a Human Resources staff member is present in the room which is why HR requires that employees schedule a review in advance.

Each personnel file contains a log sheet for the purpose of tracking who has viewed a file, on which date, and for what purpose. These log sheets verify that only permissible personnel have viewed the file and that the review was for proper administration of the district's affairs or supervision of the employee.

The college meets the standard.

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## **III.B Physical Resources**

**III.B.1 The institution assures safe and sufficient physical resources at all locations where it offers courses, programs, and learning support services. They are constructed and maintained to assure access, safety, security, and a healthful learning and working environment.**

### **Evidence of Meeting the Standard**

Physical resources at all district sites are maintained safely and securely. Since 2006, funding from Bond Measure I of \$180 million has helped Allan Hancock College (AHC) construct state-of-the-art buildings. Combined efforts from plant services, district police, and district employees assist in maintaining a safe environment for learning.

- III.B.1-1 2014-2024 Facilities Master Plan, Educational Master Plan Linkages, Page XVIII
- III.B.1-2 2014-2024 Facilities Master Plan, Introduction Section page xxvi to xxix
- III.B.1-3 District Space Inventory Report: 2010, 2011, 2012, 2013, and 2014
- III.B.1-4 Program Review [Samples reflecting evaluating sufficiency of facilities]
- III.B.1-5 2007-2010 Educational and Facilities Master Plan
- III.B.1-6 Bond Measure I, 2013 Annual Report to The Board of Trustees
- III.B.1-7 Division of the State Architect (DSA) Certification Approval – Industrial Technology/Physical Education and Athletic Fields project (Example)
- III.B.1-8 Scheduled Maintenance Completed Projects List
- III.B.1-9 Plant Services Work System - Home Page
- III.B.1-10 Safety Hazardous/Suggestion Form and copy of instructions are available on the myHancock Portal
- III.B.1-11 Safety Committee Functions, CCPD
- III.B.1-12 Safety Committee Meeting Minutes - Sample minutes showing safety issues are being reviewed and addressed
- III.B.1-13 CSEA Contract, Article 21, Work Place Safety
- III.B.1-14 Campus Assessment and Support Team (CAST)
- III.B.1-15 Crises Intervention Manual
- III.B.1-16 Crisis Card
- III.B.1-17 CAST Card
- III.B.1-18 California Emergency Management Agency's Active Shooter Guide
- III.B.1-19 Health Services Website
- III.B.1-20 SWACC Property & Liability Inspections Reports, 2010, 2011, 2012, 2013, and 2014
- III.B.1-21 2008 Allan Hancock College, Volume I, Facilities and Site Master Plan, page 3.67
- III.B.1-22 Board Policy 3500, Public Safety and Security
- III.B.1-23 HomeInsurance.com
- III.B.1-24 2013 AHC Police Department Clery Act Report

- III.B.1-25 Safety Awards Program
- III.B.1-26 Security Master Plan- Facilities Meeting Minutes 11/19/15
- III.B.1-27 Campus Safety Team, Meeting Minutes
- III.B.1-28 Active Shooter Preparedness Training Seminar, <YouTube Site>

### **Analysis and Evaluation**

The college takes a variety of proactive approaches to provide a healthful learning and working environment. The Educational and Facilities Master Plans assist the college to provide sufficient physical resources where it offers courses, programs, and services. Buildings are designed and constructed with Division of the State Architect (DSA) approval to ensure accessibility and safety. Systems are in place to report facilities safety concerns, and a behavioral intervention team is available to assist with behavioral situations.

The college determines sufficiency of its classrooms, lecture halls, laboratories, and other facilities using a variety of methods. The 2014-2020 Educational Master Plan identifies enrollment projections and future instructional needs for facilities space (III.B.1-1). The 2014-2024 Facilities Master Plan uses the enrollment projections, future needs for facilities space, and available facilities space inventory to identify future facilities needs and evaluate sufficiency (III.B.1-2). The district's Space Inventory Report identifies the available district owned or controlled facilities spaces (III.B.1-3). Both the district's Five-Year Construction Plan load capacity ratios and the institution's online class schedule provide evidence that the district is providing sufficient facilities. In addition to the Educational and Facilities Master Plans, the Facilities Council evaluates the effectiveness of its facilities by reviewing the yearly program review updates and the facilities needs request list (III.B.1-4).

The district has effectively met its needs for facilities for the present by continuing to implement capital construction projects identified in the 2007-2010 Educational and Facilities Master Plan (III.B.1-5). Bond Measure I, 2006-2016, has assisted AHC with the needed funding to meet its needs. Bond-funded capital construction projects include the One Stop Student Services Center, Child Care Center Addition, Public Safety Complex, and the Industrial Technology/Physical Education and Athletic Fields projects (III.B.1-6). The Public Safety Complex shooting range is currently under construction. New capital construction projects are designed and constructed to meet with Division of the State Architect (DSA) approval for fire, life, and safety compliance; structural integrity; and compliance with American Disabilities Act (ADA) (III.B.1-7). The above-mentioned projects have operative doors on specific restrooms and building entrances to increase access for persons with disabilities that exceed ADA Code requirements. In addition, over \$12 million in scheduled maintenance projects were completed (III.B.1-8).

Plant Services Department has received several awards included Department of the Year 2013/2014, Santa Maria Beautiful award for landscaped areas, Safety Awards for safe practices, and many accolades for how beautiful the campus is.

Any employee of Allan Hancock College at any site in the district may report a safety hazard by either calling the Plant Services Department or using the online Plant Services work order system (III.B.1-9). Plant Services staff regularly evaluates and addresses safety hazards during the course of executing their job duties. The Plant Services leadership evaluates response time as a measure of effectiveness using the online work order system and status reports and monitoring radio communications when responding to emergency safety calls.

Students and employees may also anonymously report any safety concern by submitting the Safety Hazardous/Suggestion Form (III.B.1-10). The Safety Committee reviews and addresses safety issues – the Chief of Police and the director of Plant Services co-chair the Safety Committee (III.B.1-11). Safety issues submitted via the Safety Hazardous/Suggestion Form are reviewed and addressed by the committee (III.B.1-12). The classified employee's union CSEA Contract, Article 21, Work Place Safety, also encourages classified employees to report possible unsafe conditions (III.B.1-13).

Campus Assessment and Support Team (CAST) is a behavioral intervention team intended to assist faculty, staff, and students deal with behavioral situations that are causing concern – referral forms are available online (III.B.1-14). The purpose of the team is to improve and promote campus community safety and wellness by coordinating information and developing support plans for people of concern. The team also creates and supplies resources for faculty, staff, and students, such as the Crisis Intervention Manual, the Crisis Card, CAST card, and California Emergency Management Agency's Active Shooter Guidebook (III.B.1-15; III.B.1-16; III.B.1-17; III.B.1-18).

Health Services provides students who have paid the health fee with a variety of benefits, such as acute illness assessment, first-aid treatment, vision and hearing screening, family planning services, acupuncture/massage services, tobacco cessation, and much more. Psychological counseling is also available, and students can see a counselor up to ten times a semester. Student Health Services provides wellness education and events to the campus at large focusing on a health/wellness topic every month and presenting a wellness event in the Student Center. Many community partners and other student services also participate in many of the events. Student Health Services also supplies a Student Accident Insurance for students who have paid the health fee that assist in paying for incurred medical costs in case of injury or accident during a school sponsored class or activity. Student Health Services staff include registered nurses, physicians, nurse practitioners, MFT counselors, medical assistants, and office support staff (III.B.1-19).

An annual Statewide Association of Community Colleges (SWACC) Property and Liability inspection reports provides the institution an instrument to evaluate the safety of its facilities (III.B.1-20). The inspections evaluate security, emergency preparedness, fire protection, playground safety, pest management, chemical safety, forklift/man lift procedures, asbestos operations, hazardous materials handling/storage, and the district's self-inspection program. The SWACC inspections report conducted by Keenan and Associates, the district's insurance carrier, demonstrates the institution is maintaining the facilities in a safe condition.

Allan Hancock College District Police Department provides police and security services to maintain a safe learning and working environment for students, faculty, and staff. This is accomplished by assigning armed, sworn police officers and non-sworn safety officers to patrol college properties—ensuring a high level of police visibility and rapid response to 911 calls for service and emergency situations. Nine blue tower emergency phones are located on the Santa Maria campus based on the 2008 Bond Measure I, Facilities and Site Master Plan, and also ten are located on the Lompoc Valley Center (III.B.1-21).

In addition, the district has converted its existing phone switch to Voice-Over Internet Protocol (VOIP) that allows the institution to provide emergency communications to all instructional and non-instructional areas. Closed circuit television technology is used to increase security for students and employees and protection of property (III.B.1-22). Upgrading parking lot lighting fixtures at the Lompoc Valley Center and various parking lots on the Santa Maria Campus has improved safety for students walking to their car at night. The district Police Department uses surveillance information for law enforcement purposes. Cameras are located in the bookstore and specific areas on the Santa Maria Campus. The Lompoc Valley Center has security cameras located in parking lots and in the bookstore. For the protection of district property, new buildings constructed after 1999 include intrusion alarm systems. High-risk areas have panic alarm systems installed to facilitate contacting district police.

HomeInsurance.com conducted research to determine the top 25 safest college campuses in America. HomeInsurance.com ranks Allan Hancock College as the 7th safest campus in the United States (III.B.1-23). Their analysts looked at more than 400 colleges and universities and assigned each with a score for Violent Crime, Property Crime, and Walkability. Their total score then ranked colleges. The Violent Crime score encompasses incidents of murder and non-negligent manslaughter, rape, robbery, and aggravated assault. Violent crimes represent 45% of the overall score. The Property Crime score encompasses incidents of burglary, larceny-theft, motor vehicle theft, and arson. Property Crimes represent 35% of the overall score. The underlying statistics are compiled by the Federal Bureau of Investigation and found in the recent 2013 AHC Clery Act Report (III.B.1-24). Based on the above-mentioned evidence, the district provides a safe learning environment for students and staff.

Allan Hancock College, in conjunction with the Santa Barbara Self Insurance Program for Employees (SIPE), provides a safety award program that rewards departments and offices for their diligence in keeping their workplaces safe and accident-free. Awards are based on three factors: an annual inspection of the district facilities, an evaluation of the completion of safety training courses by all full-time employees, and the number of accident reports submitted for the academic year (III.B.1-25).

The college plans to develop a Security Master Plan (SMP) in order to enhance campus safety and crime prevention once a new district police chief is hired. The primary intent of the SMP is to provide the college with a set of guidelines and standards for physical and electronic security hardware for existing and future campus buildings. The campus security systems standards will include automated access control/door locks, alarm monitoring

systems, closed circuit television system with security cameras, and security communication systems (III.B.1-26).

In fall 2015, the district assembled a Campus Safety Team in response to the various active campus shootings across the United States (III.B.1-27). On January 22, 2016, the first in a series of active shooter preparedness trainings was conducted and streamed live on YouTube for employees (III.B.1-28).

The college meets the standard. There is evidence that the college assures safe and sufficient physical resources at all district owned properties or leased locations. Campus safety training continues to be a priority for the college and is evident by the continued efforts of the Campus Safety Team.

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**III.B.2 The institution plans, acquires or builds, maintains, and upgrades or replaces its physical resources, including facilities, equipment, land, and other assets, in a manner that assures effective utilization and the continuing quality necessary to support its programs and services and achieve its mission.**

**Evidence of Meeting the Standard**

The following evidence demonstrates that Allan Hancock College assures the quality and effective use of physical resources in order to achieve its mission and support its programs and services.

- III.B.2-1 Bond Measure I, Board of Trustees Resolution 06-43
- III.B.2-2 Vice President, Operations Job Description
- III.B.2-3 AHC Educational and Facilities Master Plan, 2007-2010
- III.B.2-4 AHC Facilities Master Plan 2014-2020
- III.B.2-5 Industrial Technology, Program Reviews, Facilities Needs Pages
- III.B.2-6 Stakeholder Sign-in Sheets - <Samples>
- III.B.2-7 Director, Plant Services Job Description
- III.B.2-8 Plant Services Online Work Order System, Completed Work Order Report
- III.B.2-9 Completed Scheduled Maintenance Project List
- III.B.2-10 Program Review Annual Update Form
- III.B.2-11 Board Policy 6550, Disposal of Property
- III.B.2-12 Instructional Equipment Prioritization Process, CCPD page
- III.B.2-13 Technology Advisory Committee Meeting Minutes
- III.B.2-14 Budget Development Process, CCPD page
- III.B.2-15 Information Technology Services – Online Work Order System Log-in Home Page
- III.B.2-16 Media Services – Online Work Order System Log-in Home Page
- III.B.2-17 Plant Services – Online Work Order System Log-in Home Page
- III.B.2-18 Information Technology Services, Program Review
- III.B.2-19 Learning Resources/Media Services, Program Review
- III.B.2-20 Plant Services, Program Review
- III.B.2-21 District Vehicle Replacement Guidelines
- III.B.2-22 Facilities Council Functions, CCPD page 37
- III.B.2-23 Board Policy 6750, Parking and Traffic Control

**Analysis and Evaluation**

Physical resources are crucial in meeting the college’s mission to provide “quality educational opportunities that enhance student learning.” AHC uses a variety of methods to plan, build, maintain, and use land, facilities, equipment, and other physical resources effectively. In the last six years, much of the building at the college was a result of the \$180 million Measure I Bond, approved by voters in 2006 (III.B.2-1). Building projects are prioritized by the Board of Trustees, with the actual planning and building overseen by the vice president of operations (III.B.2-2).

To ensure the needs of programs and services are considered when planning new capital construction projects or remodeling existing buildings, the institution uses three processes: the Facilities Master Plan, program reviews, and the participation of stakeholders in building design meetings. The needs for capital projects are identified in the 2007-2010 Educational and Facilities Master Plan and the 2014-2024 Facilities Master Plan for future needs (III.B.2-3; III.B.2-4). Program reviews inform both the facilities master planning process and developing building programming square footage; Industrial Technology is an example (III.B.2-5). Project stakeholders provide input and communicate their programmatic needs as the preliminary plans and working drawing for construction are developed (III.B.2-6).

The district maintains its facilities in a manner that supports programs and services and allows the district to achieve its mission. The Plant Services Department, under direction of the director of Plant Services, is a support service division that maintains the educational facilities and provides support to other organizations through maintenance services; custodial services including event setup/teardown and furniture/equipment moving; campus grounds keeping; student and staff transportation; mail service; shipping and receiving; and hazardous materials handling services for the Santa Maria campus, Santa Maria South Campus, Columbia Business Center, Lompoc Valley Center/Public Safety Complex, Solvang Center, and Vandenberg Air Force Base office. Plant Services endeavors to provide safe, well-maintained, and inviting facilities and grounds that create a positive learning and working environment for all that attend, work, and visit the college campuses (III.B.2-7). The “completed work order report,” available from the Plant Services online work order system, provides evidence that facilities undergo routine maintenance and repair (III.B.2-8). A review of the completed scheduled maintenance projects shows that the institution completes capital repair projects (III.B.2-9).

Plant Services has completed many Minor Maintenance Projects, under \$45,000, in the past year as a measure to improve individual education programs, replace or repair aging infrastructure, and improve safety. These are some of the projects that were done:

- Baseball/Softball complex entrance walkways and signage
- Campus Graphics exhaust system relocation
- Building D, Dance floor refurbishment
- Building N, Gym floor refurbishment
- Building O, Floor replacement for Photography Studio
- Building I200, Floor replacement for Childcare
- Building L, UPS By-pass project for the Computer Data Center
- Parking Lot 8, Backflow perimeter fencing
- Building N, Emergency repair of boiler
- Building P, Emergency safety pruning of trees
- Public Safety Complex, EVOC track gate and fence installation
- Building O200, Electrical disconnects for Industrial Technology welding program
- Building K, Building repainting and refurbishment

To ensure that departmental needs determine equipment replacement, six-year program reviews and annual program review updates include facility and equipment requests (III.B.2-10). The equipment's function, program need, age, efficiency, availability of parts, and cost of repairs are analyzed. When equipment is no longer needed, it is sent to surplus. If needed, the cost of repair is weighed against the cost of new and more efficient equipment (III.B.2-11).

Several processes are used to prioritize and fund facilities and equipment. As part of the instructional equipment prioritization process, deans annually review instructional equipment and technology needs (III.B.2-12). The Technology Advisory Committee (TAC) reviews requests for new or replacement technology equipment and allocates Measure I Bond funding (III.B.2-13). Non-instructional equipment needs, such as vehicles and custodial equipment, and associated maintenance agreements are determined and prioritized each year as part of the budget development process (III.B.2-14).

The college ensures that programs and services identify equipment maintenance/repair needs by providing various online equipment repair request systems. The Information Technology Services, Media Services, and Plant Services departments each have an online work order system, so programs and services departments may report their equipment repair request (III.B.2-15; III.B.2-16; III.B.2-17). Surveys conducted during the development of program reviews for the Information Technology Services, Media Services, and Plant Services provides evidence that the institution evaluates the effectiveness of facilities and equipment in meeting the needs of programs and services (III.B.2-18; III.B.2-19; III.B.2-20).

The Vehicle Maintenance Services Department provides maintenance and repair of all district student transportation and staff vehicles. They also maintain and repair all equipment, such as mowers, tractors, trailers, forklifts, portable equipment, and specialty equipment. This organization is responsible for 78 vehicles, 30 mobile equipment items, and over 120 portable or specialty equipment pieces. The Vehicle Maintenance Services also oversees fueling stations at the south campus and Public Safety Complex that provide gasoline and diesel fuel for all operations.

The district leases four Chevrolet Suburbans on three year contracts for student transportation ensuring that newer vehicles are always available for the safety of transporting students. These vehicles have a maximum usage lease of 60,000 miles each for three years for safety. The district also utilizes a charter bus service for student transportation. District replacement guidelines on student transportation vehicles is limited to five years or 100,000 miles. Staff vehicle replacement policy is 15 years or 150,000 miles (III.B.2-21). If a vehicle is found needing total repairs exceeding 100% of purchase price or a single repair after warranty exceeds 50% of purchase price, the vehicle will be replaced rather than repaired.

The Facilities Council is responsible for developing the Facilities Master Plan and recommending priorities for capital projects to College Council (III.B.2-22). In addition, the Facilities Council recommends board policy revisions related to physical spaces on campus, such as parking (III.B.2-23).

The college meets the standard. While there is evidence that the college upgrades facilities, the college will draft a Quality Focus Essay in order to improve the linkage between integrated planning, program review, and resource allocation of minor facilities improvement projects identified by the program review process.

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**III.B.3 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.**

**Evidence of Meeting the Standard**

The evidence listed below demonstrates that Allan Hancock College (AHC) plans and evaluates its facilities and equipment on a regular basis in order to achieve its mission and support its programs and services.

- III.B.3-1 Allan Hancock Joint Community College District, Space Inventory Report, 2010, 2011, 2012, 2013, 2014.
- III.B.3-2 2015 District Five-Year Construction Plan, Capacity Load Ratios pages
- III.B.3-3 Administrative Procedure 3255, Program Review
- III.B.3-4 Program Review, Yearly Update Sample
- III.B.3-5 2014-2020 Educational Master Plan, page 14, Implications for Facilities Master Plan
- III.B.3-6 Yearly Equipment and Facilities Needs List, FY 2014/15 & 2015/16
- III.B.3-7 2014-2024 Facilities Master Plan, page 1.24 and 1.25
- III.B.3-8 Plant Services Work Order System Screenshots
- III.B.3-9 Operational Cost Framework, Public Safety Training Complex
- III.B.3-10 Instructional Equipment Prioritization Process

**Analysis and Evaluation**

The college uses four approaches to assess the use and effectiveness of its facilities: the Space Inventory Report, program review, and the facilities master planning process is an integrated process and is in addition to the Plant Services Department online work order system.

AHC facilities and operations staff conducts an annual inventory of the district's facility spaces and identify the utilization of these spaces. The institution maintains this information on the California Community College Chancellor's Office online program, FUSION. Each year, the district submits a space inventory report that reflects any changes (III.B.3-1). The results of the space inventory report provide the Five-Year Construction Plan the information necessary to calculate the institution's need for additional space using a capacity load ratio—Weekly Student Contact Hours/Cumulative Space Capacity = Capacity Load Ratio (III.B.3-2).

All educational programs, student support services, and administrative departments of Allan Hancock College develop a program review at least once every six years and annual updates in accordance with the procedures (III.B.3-3). Program reviews include a section for identifying facilities, technology equipment, and non-technology equipment needs. The program review annual updates facilities needs list are reviewed by the Facilities

Council to recommend facilities needs to College Council and used by the director of Plant Services and vice president of Operations to develop the district's scheduled maintenance plan (III.B.3-4). The equipment needs identified in the annual program review updates are used in the instructional equipment prioritization process to support instructional equipment funding requests (III.B.3-xxx).

Guided by the 2014-2020 Educational Master Plan, the 2014-2024 Facilities Master Plan (FMP) compares the program review facilities needs with space inventory report and enrollment forecasts to identify the need for future capital construction projects (III.B.3-5; III.B.3-6; III.B.3-7). These projects are listed in the district's Five-Year Construction Plan. The plan is used to communicate to the State Chancellor's Office, Facilities Planning Unit the institution's priorities and need for capital construction funding.

On a daily basis any district employee may observe and report to the Plant Services Department a facilities or HVAC equipment deficiency using the Plant Services Department online work order program (III.B.3-8). The results of the issues reported are used on a daily basis by the Plant Services staff to manage minor repairs and requests for service. The work order system also provides a record of repairs to various campus equipment including HVAC mechanical units.

The four approaches listed above combine to ensure regular assessment of facilities and physical spaces. Data on utilization and other factors are collected and used to assure effective space usage and report facilities and construction needs.

Instruction commenced in earnest in January 2014 at the Public Safety Training Complex, Lompoc Valley Center. During the fall of 2013, staff developed an Operational Cost Framework plan (OCF) to identify the anticipated cost of operating the facilities (III.B.3-9). Staff is now developing a strategic plan to maximize the use of this facility in a manner that will cover maintenance and operation costs.

The college meets the standard. The program review, facilities master planning, and the Operational Cost Framework processes provide an effective approach for the college to evaluate the feasibility and effectiveness of its physical resources on a regular basis.

### **III.B.4 Long-range capital plans support institutional improvement goals and reflect projections of the total cost of ownership of new facilities and equipment.**

#### **Evidence of Meeting the Standard**

Integrated institutional plans support strategic goals for facility improvements and equipment needs. The district has a systematic approach for projecting total cost of ownership (TCO).

- III.B.4-1 Strategic Plan 2009-2013, Strategic Direction Three, Goal 3.4, page 10
- III.B.4-2 Strategic Plan 2014-2020, Strategic Direction Institutional Resources, Goal IR4, page 17
- III.B.4-3 Annual Five-Year Construction Plans: 2010, 2011, 2012, 2013, and 2014
- III.B.4-4 Final Project Proposals: One Stop Student Services Center, Childcare Center, Public Safety Complex
- III.B.4-5 2014 Bond Measure I, Yearly Report
- III.B.4-6 2014-2024 Facilities Master Plan
- III.B.4-7 Educational Master Plan 2014-2020
- III.B.4-8 2014-2014 Facilities Master Plan, Recommendation Sections, Introduction xix
- III.B.4-9 Fine Arts Final Project Proposal (FPP), JACF32
- III.B.4-10 Plant Services Program Review
- III.B.4-11 Operational Cost Framework, Public Safety Training Complex
- III.B.4-12 Board Policy and Administrative Procedure 6601, Operational Cost Framework: Facilities

#### **Analysis and Evaluation**

Institutional directions and goals for facilities, “to provide a safe, attractive and accessible physical environment that enhances the ability to teach, learn, and work,” remained constant in the Allan Hancock College 2009-2013 and 2014-2020 strategic plans (III.B.4-1; III.B.4-2). These institutional goals guide strategic plans, capital construction projects outlined in the district’s Five-Year Construction Plans, final project proposals, and recently completed buildings, such as the Santa Maria campus Industrial Technology Complex which opened in 2014 (III.B.4-3; III.B.4-4; III.B.4-5).

To ensure long-range capital plans meet District needs and continue to support institutional improvement goals, the district developed the 2014-2024 Facilities Master Plan (III.B.4-6). Implications for facilities in the Educational Master Plan 2014-2020 guided the development of the 2014-2024 Facilities Master Plan recommendations (III.B.4-7; III.B.4-8).

The institution plans for the total cost of ownership of new facilities and equipment through a variety of planning processes. During the development of final project proposals, the cost associated with design, bidding, constructing, and equipping new facilities is identified; the Fine Arts Complex project is an example (III.B.4-9). Anticipated staffing

needed to support new facilities is identified through the program review process (III.B.4-10).

In 2013, the institution developed an Operational Cost Framework (OCF) for the Public Safety Training Complex construction project (III.B.4-11). This OCF provides the elements for a systematic projection of the total cost of ownership associated with operating and maintaining new and major renovated facilities for the first two years of operation. This OCF model is now institutionalized through the “Operational Cost Framework” (OCF) Board Policy and Administrative Procedure 6601 and provides a uniform and systematic approach to project costs associated with operating and maintaining new and major renovated facilities (III.B.4-12).

The college meets the standard. The Operational Cost Framework process provides the college an approach to estimate the total cost of ownership of new facilities and equipment in its long-range planning process effectively.

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## III.C Technology Resources

The institution effectively uses its human, physical, technology, and financial resources to achieve its mission and to improve academic quality and institutional effectiveness. Accredited colleges in multi-college systems may be organized so that the responsibility for resources, allocation of resources, and planning rests with the district/system. In such cases, the district/system is responsible for meeting the Standards, and an evaluation of its performance is reflected in the accredited status of the institution(s).

### **III.C.1 Technology services, professional support, facilities, hardware, and software are appropriate and adequate to support the institution's management and operational functions, academic programs, teaching and learning, and support services.**

#### **Evidence of Meeting the Standard**

Allan Hancock College's Information Technology (IT) Services Department provides the support for the college's network infrastructure, telephone system, computers, websites, and software for academic, management, and operational functions. The Academic Affairs Learning Resources multimedia services staff and Distance Learning support staff provide faculty training and support for online and classroom teaching, as well as academic systems. Students have access to an online Helpdesk along with several computer labs.

- III.C.1-1 AHC Technology Master Plan 2014-2020 Goals
- III.C.1-2 Program Review Technology Needs 2014
- III.C.1-3 Instructional Equipment Prioritization List January 2016
- III.C.1-4 Technology Master Plan Procedure for Annual Updates
- III.C.1-5 TAC Request for New Technology Form
- III.C.1-6 SIS Vendor demonstrations September 2007
- III.C.1-7 Catalog Focus Group September 2015
- III.C.1-8 Instructional Equipment Prioritization Request Form and Process Fall 2015
- III.C.1-9 Board Resolution 06-05 for General Obligation Bond Measure I
- III.C.1-10 Current Awards Listing on Hancock website
- III.C.1-11 TAC Funds Fall 2006-June 2015
- III.C.1-12 Budget Council Agenda and Notes February 8, 2016
- III.C.1-13 Technology Maintenance Outlook by Year January 2016
- III.C.1-14 Board Policy 6601, Operational Cost Framework
- III.C.1-15 Technology Master Plan 2014-2020 Goal 12
- III.C.1-16 Technology Advisory Committee Notes January 31, 2014
- III.C.1-17 Object Code Guide for Technology Purchases
- III.C.1-18 TAC 11/6/2015 Notes on ArborPro
- III.C.1-19 Technology Master Plan 2014-2020 Goal 7
- III.C.1-20 ERP Architecture
- III.C.1-21 CI Solutions integration with Banner
- III.C.1-22 AHC Portal Focus Groups 2009
- III.C.1-23 Student myHancock Survey fall 2011

- III.C.1-24 Student myHancock Survey fall 2012
- III.C.1-25 Student Registration Survey fall 2010
- III.C.1-26 Student Registration Survey summer 2011
- III.C.1-27 Web Services Committee Notes on Spike's List November 15, 2012
- III.C.1-28 Spikes List Web page
- III.C.1-29 Employee Technology Master Plan Survey fall 2013
- III.C.1-30 Technology Council Notes on Wireless October 23, 2015
- III.C.1-31 Distance Learning Committee Canvas demo
- III.C.1-32 Web Services Committee Notes on the New Portal October 1, 2015
- III.C.1-33 TAC Request for Laptop Based Upon Program Review
- III.C.1-34 Information Technology Services Comprehensive Program Review 2015-2016
- III.C.1-35 Climate Survey Results Report 2013
- III.C.1-36 Information Technology Services Organization March 16, 2016
- III.C.1-37 Library/Learning Resources Organization April 15, 2016
- III.C.1-38 Academic Deans Meeting Agenda and Notes for Equipment Prioritization February 3, 2016
- III.C.1-39 Institutional Research & Planning Comprehensive Self-Study 2014-2015 Resource Needs
- III.C.1-40 Web Services Committee Agenda and Notes September 3, 2015
- III.C.1-41 Hancock Website Google Analytics November 2015 to April 2016
- III.C.1-42 Technology Summit Agenda May 2016
- III.C.1-43 Department Owned Technology Notebooks
- III.C.1-44 Hancock Mobile Website Launch
- III.C.1-45 Website Mega Menu Student Focus Group Agenda May 2016

### **Analysis and Evaluation**

AHC technology is appropriate and adequate as discussed in the following topics:

- Oversight
- Participation
- Funding
- Total Cost of Ownership
- Integrated
- Organization
- Continuous Improvement

### **Oversight**

With guidance from the technology council and its subcommittees, Allan Hancock College (AHC) technology services and resources are adequate and appropriate and align with the Allan Hancock College Technology Master Plan (TMP) goals (III.C.1-1). Through the integrated planning process, technology resource needs are identified through program review, instructional equipment prioritization, and the shared governance Technology Council and its subcommittees (III.C.1-2; III.C.1-3).

The Technology Council is responsible for developing and maintaining the TMP, addressing general technology issues, investigating innovative technology to enhance instruction, and providing overall guidance to the technology standing committees. The Banner Steering Committee is responsible for providing process and technical coordination for the Banner student system, planning upgrades and enhancements, ensuring ongoing training and adequate user documentation on Banner, and liaising with the ONESolution Steering Committee for interdependencies and standards. The ONESolution Steering Committee is responsible for providing process and technical coordination for the ONESolution financial and human resources system, planning upgrades and enhancements, ensuring ongoing training and adequate user documentation on ONESolution, and liaising with the Banner Steering Committee for interdependencies and standards. The Web Services committee is responsible for creating web and social media communication standards and procedures, design and layout of college websites and portals, ensuring adequate training on content management system, and analyzing and responding to web page analytics. The Technology Advisory Committee (TAC) is responsible for making recommendations for Measure I bond funds for technology modernization requests, updating computer standards, and developing procedures for identifying, evaluating, and purchasing technology products.

The initiatives in the TMP are reviewed and updated annually by the Technology Council where technology needs are considered (III.C.1-4). The Technology Advisory Committee (TAC) Request for New Technology form was revised in January 2014 to incorporate the identification of the TMP goal, the program review that supports the request, and a rubric to evaluate the request (III.C.1-5; III.C.1-16). This change assists the committee in the evaluation of the request. For example, the rationale for a particular TAC request for a laptop in addition to the office computer was based upon the program review for that department which assisted the committee in their decision (III.C.1-33).

### **Participation**

Major operational and data management systems are selected with constituency input, participation by affected functional users, and guidance from Information Technology Services. Academic and support services technology is selected with input from the appropriate faculty and staff after vendor presentations. For example, the new student information system was selected through the request for proposal (RFP) process followed by vendor demonstration of the top two respondents. The demonstrations were attended by a large number of employees who completed a questionnaire that determined the final selection (III.C.1-6). New web-based functionality that will be used by students, faculty, and staff is reviewed by the Web Services Committee which has representation from all groups. For a major change, focus groups are used to gather broader participation. For example, a focus group consisting of students, staff, counselors, and faculty was held September 2015 to design an interface for a new online catalog (III.C.1-7). The first annual Technology Summit is scheduled for May 2016 to bring all the technology related committee members together to participate in the annual update of the TMP (III.C.1-42). The invited 57 members to the summit represent a wide cross section of Academic Affairs, Student Services, Information Technology Services, and student.

## **Funding**

Funding for technology comes from various sources: The instructional equipment prioritization process managed by Academic Affairs; Bond Measure I technology and instructional equipment modernization funding managed through the Technology Advisory Committee (TAC); federal and state awards such as Title V and Career and Technical Education Act (CTEA); and district funding (III.C.1-8; III.C.1-9; III.C.1-10). An effort is made to use the most appropriate funding source, reduce duplication, and base decisions on program review resource requests (III.C.1-38).

The college manages license renewals and institutional system upgrades to ensure continuity. Measure I Bond technology modernization funding has enhanced the district's capacity to provide adequate and quality technology resources since 2006. The Measure I \$8.4 million mainframe replacement funds enabled AHC to implement modern student and financial systems 2006 through 2012. The Measure I \$1.5 million VoIP funds enabled AHC to replace a very old PBX with a modern phone system in 2012. The Measure I \$11 million Technology and Equipment Modernization funds have been used to provide new equipment, computers, and infrastructure throughout the institution since 2006 (III.C.1-11). The Information Technology Services director and vice-president of Administrative Services have carefully tracked and gradually institutionalized all of the significant ongoing license and maintenance costs related to bond-funded projects.

A five-year outlook is maintained by the Information Technology Services director to anticipate any ongoing technology licenses and maintenance costs, including those from other sources of funding that will transition to the district budget in the future. This outlook is submitted each year to the Budget Council for their consideration (III.C.1-14). Based upon this outlook, the district has increased the college technology license/maintenance budget from approximately \$100,000 in 2005-2006 to more than \$700,000 in 2015-2016 (III.C.1-15). The majority of this increase was to cover the ongoing license and support costs associated with the purchase of modern technology under Measure I.

Due to Bond Measure I construction projects, there are many state-of-the-art classrooms and computer labs on the Santa Maria (SM) Campus, Lompoc Valley Center (LVC), and the Solvang Center. These include the labs in the Public Safety Training Complex at the LVC, as well as the Industrial Technology buildings and Student Services building on the Santa Maria Campus.

## **Total Cost of Ownership**

For every technology project, long term support and infrastructure expenses are considered in accordance with Board Policy 6601, Operational Cost Framework and Technology Master Plan Goal 12 Sustainability plan which includes "Total cost of ownership" (TCO) (III.C.1-14; III.C.1-15). TCO is evaluated as part of technology purchasing decisions. The TAC Request for New Technology form includes training in section C, Plant Services in section G, and Information Technology Services in section H (III.C.1-5). To ensure that there is a plan to cover ongoing costs for all new technology purchases, the ONESolution purchase approval workflow is programmed for technology related object codes to include the director of Information Technology Services (III.C.1-17). The director refers to the notes

from committees and material attached to the purchase request before approving the request. For example, the TAC request for the ArborPro plant management software was recommended for purchase by the committee after the confirmation that the Operations Department had funding to cover the annual fees (III.C.1-18). Department specific technology can be purchased using various funds sources, but ongoing renewals and maintenance is the responsibility of the department. Records are kept by Information Technology Services of software purchases to ensure only currently licensed software is installed and serviced by the technicians (III.C.1-43).

### **Integrated**

Per TMP Goal 7 “Strive for compatibility and integration of information technology applications and systems,” selection preference is given to products that integrate and are compatible with the existing AHC Enterprise Resource Planning (ERP) systems (III.C.1-19). The Ellucian Banner Student System and the FIS Global Public Sector, formally SunGard Public Sector, Finance/HR System are the two ERP systems used at the college. Other business and student related products are selected and integrated with one of the ERPs (III.C.1-20). One example was the selection of the CI Track attendance product. References were checked with other Banner schools and a demonstration was conducted (III.C.1-21). To make data based decisions based upon accurate and current information, the Institutional Effectiveness Department identified in their 2014-2015 comprehensive program review the need for the Tableau Server (III.C.1-39). This product has been purchased and is planned to be hosted in the AHC data center and integrated in real-time with the Banner operational data store (ODS) student data in summer 2016.

### **Organization**

The Information Technology Services Department was restructured and job descriptions were updated in July 2015 based upon a review of current functions and tasks currently being performed (III.C.1-36). This first phase was done to support the technology infrastructure and enterprise systems funded by Measure I. A phase two restructure is planned in 2017 to add a supervisor position, so a computer inventory and computer replacement budget can be maintained (III.C.1-34). The multimedia equipment, such as data projectors and smart podiums, are supported by the multimedia staff in the Library/Learning Resources Department (III.C.1-37).

### **Continuous Improvement**

To assess and ensure that all technology is appropriate and adequate, surveys are conducted by the various technology committees and the Office of Institutional Effectiveness. These include general technology surveys of the faculty and staff as well as student satisfaction surveys conducted through the myHancock portal using the class climate product. For example, the Web Services Committee was involved in the myHancock portal focus groups when this new technology was initially designed (III.C.1-22). This committee followed up with a survey in the fall 2011 and another one in fall 2012 (III.C.1-23; III.C.1-24). The committee also reviewed the results of registration surveys from fall 2010 and summer 2011 (III.C.1-25; III.C.1-26). Based upon this feedback, several adjustments have been made to the portal since the introduction in 2010 to help students, such as the addition of Spike’s List online bulletin board, the reorganization of the student registration and accounts page, and

the increase of the public wireless timeout value from 1 hour to 4.25 hours (III.C.1-27; III.C.1-28).

In the Technology Council fall 2013 employee survey, satisfaction with most of the standard technology at AHC averaged around 2.5 on a 3-point scale, with 3 as the most satisfied and 1 as not satisfied (III.C.1-29). An example of an improvement based upon feedback from the faculty and staff survey is the upgrade and expansion of the wireless network in 2015-2016 (III.C.1-29; III.C.1-30). The survey indicated only average satisfaction with the current learning management system and portal technology (III.C.1-29). Plans are underway in 2016 to replace both of these products with more modern systems (III.C.1-31; III.C.1-32).

The Climate Survey conducted in fall 2013 asked employees and students about the importance and satisfaction of the college website. Both groups rated it very important with good satisfaction (III.C.1-35). The redesigned website was launched in fall 2012 followed by a mobile friendly version in March 2014 (III.C.1-44). The Web Services Committee uses Google Analytics in their decision process to ensure that the most visited pages are the quickest and easiest to find (III.C.1-40). The Google Analytics from November 2015 to April 2016 shows that the mobile version of the Hancock website is visited 17% of the time compared to the browser version (III.C.1-41). There are plans to do some minor refresh to the navigation in the web version in summer 2016 followed by a complete redesign within two years. The navigation changes called the “mega menu project” is based upon feedback from constituent groups including a student focus group (III.C.1-45).

The college meets the standard. Major technology improvements have been made since 2008 due to Bond and district funding support. The days of paper grading sheets, paper registration forms, three-part paper purchase orders are over. While the college has been catching up, technology has continued to evolve very quickly. Mobile devices, texting, and wireless networks are now the communication environment of choice for our students. Wearable technology is not very far away. The college upgraded the wireless network and implemented a texting system in 2015 but had resource and technology challenges implementing a mobile portal. A mobile portal is planned for 2017-2018.

**III.C.2 The institution continuously plans for, updates and replaces technology to ensure its technological infrastructure; quality and capacity are adequate to support its mission, operations, programs, and services.**

**Evidence of Meeting the Standard**

The Allan Hancock College Technology Master Plan (TMP) 2014-2020 is structured around twelve technology goals that function as guiding principles. These goals were deliberately written to align with the college's strategic plan, board policies, and other procedures that guide the use of technology in instruction. The director of Information Technology Services, the Technology Council and its subcommittees, and program review all play a role in technology planning.

- III.C.2-1 Association of Community College Trustees October 2015 Conference Presentation
- III.C.2-2 AHC Technology Master Plan 2014-2020
- III.C.2-3 Technology Council Notes on Wireless October 23, 2015
- III.C.2-4 Web Services Action Items August 20, 2015
- III.C.2-5 Banner Steering Committee Calendar as of April 2016
- III.C.2-6 Banner Projects as of April 2016
- III.C.2-7 Measure I TAC Purchases 2015-2016
- III.C.2-8 ITS Project list for 2016
- III.C.2-9 VoIP core switch Replacement Presentation August 4, 2015
- III.C.2-10 Facilities Master Plan linkages to TMP
- III.C.2-11 Network Material Standard
- III.C.2-12 Audio Visual Standard
- III.C.2-13 Extron Standard Board Item November 2015
- III.C.2-14 TAC Notes on Computer Standards, September 18, 2015
- III.C.2-15 Computer and Software Standards
- III.C.2-16 myHancock Technology Channel with Standard Quotes
- III.C.2-17 TAC Quick Request Form
- III.C.2-18 Dell Asset Recovery Procedure November 2014
- III.C.2-19 Multimedia Room Inventory January 29, 2014
- III.C.2-20 Wireless Standard
- III.C.2-21 Technology Master Plan 2014-2020, Goal 9
- III.C.2-22 Technology Maser Plan 2014-2020, Goal 12
- III.C.2-23 Web Services Committee Notes December 4, 2014
- III.C.2-24 IFAS Steering Committee Minutes September 10, 2012
- III.C.2-25 Employee Technology Master Plan Survey Fall 2013, Question 6 on Standards
- III.C.2-26 TAC Request for Computer Not Below the Standard
- III.C.2-27 Computer Equipment Purchased January 2012 to December 2015
- III.C.2-28 Board Policy/Administrative Procedure 6550 Disposal of Property
- III.C.2-29 Request for Declaring Excess Property
- III.C.2-30 Surplus Computers Donation
- III.C.2-31 Surplus Computers Auction
- III.C.2-32 Surplus Property Process

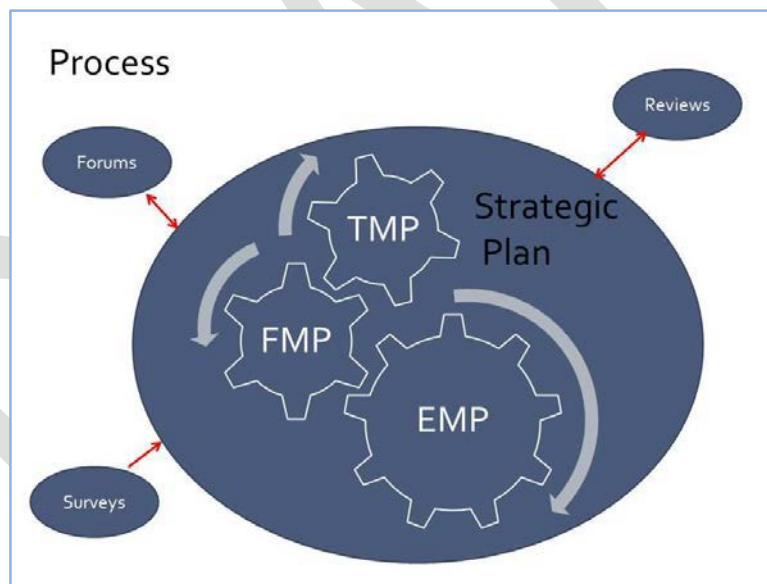
### **Analysis and Evaluation**

Technology planning for updates and replacements is discussed in the following topics:

- Planning
- Standards
- Updates
- Measure I

### **Planning**

All Allan Hancock College (AHC) integrated planning processes start with the AHC mission to “provide quality educational opportunities” (III.C.2-1). Technology planning is part of the integrated process at the college that includes resource needs from program review, annual strategic planning, the Technology Master Plan (TMP), Educational Master Plan, and Facilities Master Plan. The shared-governance Technology Council fostered development of the AHC Technology Master Plan 2014-2020 (III.C.2-2). The technology plan goals were developed by council members to integrate and align with other plans, including the Strategic Plan. Integration of plans is essential, as new facilities and programs almost always require technology.



Technology planning is part of the program review resource needs section. In comprehensive six-year program review or in the annual updates, departments can list needed technology resources. These needs can then be submitted for prioritization and funding through instructional equipment funds, CTEA/Perkins funding (vocational programs only), or Bond Measure I technology modernization funds allocated through the Technology Advisory Committee (TAC). In all cases, part of the process is to tie the need for technology resources back to the Strategic Plan and other plans.



The shared governance process manages large-scale updating and technology replacement needs, such as infrastructure and entire computer labs. The Technology Council helps identify major technology needs such as the expansion of wireless for students and employees (III.C.2-3). The Technology Council subcommittees plan and oversee the more detailed activities in support of the TMP goals. For example, the Web Services Committee maintains an action item list in addition to the meeting notes (III.C.2-4). The Banner Steering Committee maintains a calendar of events and list of projects in addition to the meeting notes. TAC oversees the allocation of Measure I funds to address some of the technology needs (III.C.2-5; III.C.2-6; III.C.2-7).

The Technology Council developed a procedure to update the TMP each year (III.C.1-4). Updates will be based upon input from the planning retreat, technology needs identified in program reviews, the technology summit, and technology advances and trends.

The director of Information Technology Services maintains an annual project list to support the committee initiatives and the general infrastructure upgrades and support activities (III.C.2-8). The Information Technology Services Department plans and implements the infrastructure projects. For example, the network core switch was replaced in June 2015 as part of the Voice over IP (VoIP) telephone upgrade Measure I project. This new fault tolerant switch replaced an aging piece of equipment that could no longer support the network traffic needs of the VOIP and wireless traffic (III.C.2-9).

### **Standards**

As identified in the Facilities Master Plan linkages to the TMP, when buildings are constructed or renovated, the plans include the installation of the current network standard equipment, security systems, wireless infrastructure, current audio/visual standard systems, and emergency equipment (III.C.2-10; III.C.2-11; III.C.2-12; III.C.2-13). For example, all the buildings constructed or renovated with Measure I funds included a new CAT6 network and 10GB edge switches.

The computer standard is updated annually by the Technology Advisory Committee (TAC) and approved by the Technology Council (III.C.2.14). The computer standard covers office and lab computers, including laptops and tablets (III.C.2-15). Quotes of the standard technology are maintained on the portal to assist in the purchase process (III.C.2-16). Processes are in place for replacing, updating, and re-purposing technology equipment that is not up to the current computer standards. If an employee's office computer, printer, or scanner needs to be replaced, they submit a Helpdesk case for the equipment to be evaluated against the standard. If it is determined to be below the minimum standard, they can purchase a replacement using the TAC Quick Request form or other sources of funding (III.C.2-17). If the computer is still in good working order and not below the standard, it is not approved for replacement (III.C.2-26). There is not an established computer refresh cycle, but instead replacements are based upon functional needs and working order of the computer.

Audio visual equipment is managed by the Multimedia Services staff in the Academic Learning Resources department. The goal is for all classrooms to have built-in or access to a projector, computer, and display screen (III.C.2-19). With Measure I construction projects,

all new classrooms and conference rooms included built-in audio/visual equipment per the college standard (III.C.2-12). Rolling audio/visual stock is available upon request for temporary needs. Replacements and upgrades are done when equipment fails or to address instructional technology needs.

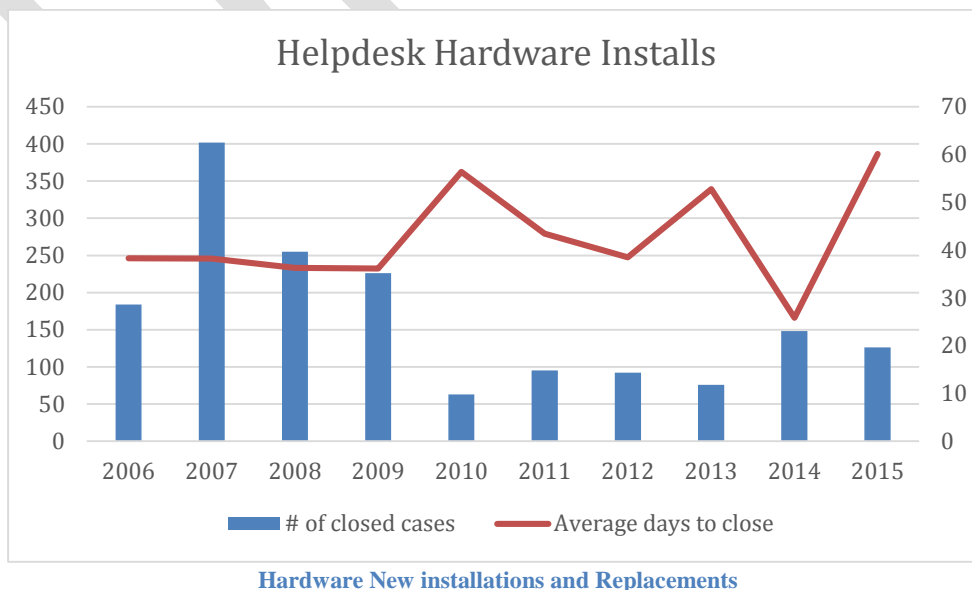
The network was upgraded in December 2015 to support the latest wireless standard IEEE 802.11ac. This new standard provides high-throughput wireless network access to our students and employees on the 5 GHz band (III.C.2-20).

In the 2013 Technology Survey, question 6, over 80% of the respondents were satisfied or somewhat satisfied with the standard computers, audio visual equipment, printers, and copiers used at AHC (III.C.2-25).

**Updates**

TMP Goal 9 for the procurement and implementation of technologies and TMP Goal 12 for the sustainability plan for technology are factored into the technology update and replacement process to ensure needs are being met (III.C.2-21; III.C.2-22). The Technology Council and its subcommittees (Technology Advisory, Web Services, Banner Steering, and ONESolution Steering) oversee this technology planning and assessment through vendor demonstrations, satisfaction surveys, focus groups, working groups, and sharing of information. For example, the Web Services Committee researched vendors for a replacement emergency notification system and invited the top three vendors to give demonstrations before selecting one (III.C.2-23). The ONESolution Steering Committee made the recommendation to upgrade from Integrated Financial and Administrative Solution (IFAS) to ONESolution and also participated in the project management of the implementation and training on the new system (III.C.2-24).

Information Technology Services averaged 200 hardware installation cases a year between 2006 and 2009. Starting in 2014, the number of hardware installations again increased to over 100 as the age of many computers reached the five-year mark.



Hardware New installations and Replacements

Many hardware installation cases include multiple computers. The table below shows the quantity of computers, tablets, printers, and scanners over \$200 purchased by year. There is almost a 50% increase between 2013 and 2015.

Year	2013	2014	2015
# of computers, printers, scanners	672	860	989

**Purchased Technology (III.C.2-27)**

Although the first tablet computers were purchased by AHC in 2012, the popularity of tablets grew significantly in 2015. For example, 185 iPads were purchased between March 2015 and April 2016.

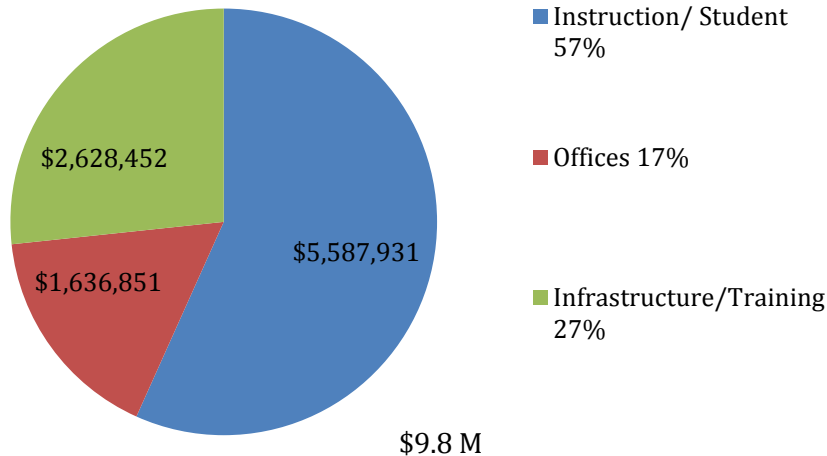
Outside assistance is planned to be used in spring 2016 to reduce the hardware installation wait times.

In compliance with Board Policy 6550, Disposal of Property, the disposal of old computer equipment is managed by Information Technology Services (III.C.2-28; III.C.2-32). An employee may complete the Request for Declaring Excess Property form and open a Helpdesk case for pickup if they have computer equipment they no longer need (III.C.2-29). When replacing obsolete or non-functioning computer equipment, Information Technology Services will remove the old equipment and complete the needed forms. Based upon the age and condition of the equipment, it is re-purposed, sold back to Dell as part of the Asset Recovery Program, donated to a local school or library, used for spare parts, or placed on a pallet for public auction (III.C.2-18; III.C.2-30; III.C.2-31).

**Measure I**

Bond Measure I passed in June 2006 included \$11 million for technology and instructional equipment modernization. This funding provided over one million dollars per year over ten years for technology upgrades, including smart classrooms, wireless infrastructure, new computers, and tablets. These funds have enabled AHC to replace office and lab computers as needed. These funds enabled the addition of a computer lab at the Solvang Center. Between July 2006 and June 2015, \$9.8 million has been spent as shown in the chart below. The remaining \$1.2 million will be used during the next two years to continue to upgrade the technology.

## Technology Modernization 2006-2015



TAC Funds spent Fall 2006 through Spring 2015

The college meets the standard. The Measure I TAC funds, instructional equipment funds, Student Success and Support Program (SSSP) funds, and grant funds such as Basic Skills have enabled AHC to provide innovative technology in classrooms and services. The continuation of adequate funds to meet new needs and to address obsolescence is being addressed. In September 2013, there was a directive from administrative services to slow down the spending rate of TAC funds from \$1,180,000 per year to \$820,000 per year (III.C.2-33). This has enabled these funds to be available over almost twelve years instead of the original ten years. This slowdown has not impacted technology improvements due to the recent increase of other funding sources, such as instructional equipment and SSSP. Funds for the licenses and maintenance of the enterprise technology services, such as Banner, Oracle, ONESolution, VoIP, and wireless, have been incorporated into a district budget managed by the director of Information Technology Services. To improve the predictability of computer replacement costs in order to establish an annual district budget to cover these costs as needed, there is a plan to establish a district-wide computer inventory system to manage replacements. The current Helpdesk system which includes an asset management system will be used to track installation date, department, location, and operating system. Reports from the asset management system will be used to integrate technology needs better due to obsolesces into institutional planning and resources allocation.

**III.C.3 The institution assures that technology resources at all locations where it offers courses, programs, and services are implemented and maintained to assure reliable access, safety, and security.**

**Evidence of Meeting the Standard**

The implementation and maintenance of technology resources at Allan Hancock College are primarily the responsibility of the Information Technology Services director and staff. Technology resources are available at the Santa Maria Campus, the Lompoc Valley Center, and the Solvang Center. AHC provides technology at the Vandenberg Air Force Base (VAFB) Training Center, the Atkinson Center, the Work Force Resource Center (WRC), and the Institute of Beauty Culture in Santa Maria. Third party technologies, such as the learning management system used for distance learning and course delivery, are securely and reliably hosted in remote locations.

- III.C.3-1 Technology Master Plan 2014-2020 Goal 2
- III.C.3-2 Technology Master Plan 2014-2020 Goal 11
- III.C.3-3 HP Intelligent Management Center Console
- III.C.3-4 Aruba Airwave Data Sheet
- III.C.3-5 Airwave Wireless Coverage Map of Student Center
- III.C.3-6 Firewall Threat Report November – December 2015
- III.C.3-7 AHCALL Email on Ransomware
- III.C.3-8 Sophos Email on Ransomware
- III.C.3-9 Blackboard Hosting Agreement with Availability
- III.C.3-10 Employee Password Policy
- III.C.3-11 Banner INB User Authorization Form
- III.C.3-12 myHancock Report Access Request Form
- III.C.3-13 VPN/Remote Access Request Form
- III.C.3-14 AHC Network Diagram
- III.C.3-15 ITS Request Forms Notebooks Picture
- III.C.3-16 Servers Maintenance Schedule
- III.C.3-17 AHC Broadband Connections
- III.C.3-18 RAVE Emergency Notification System Whitepaper

**Analysis and Evaluation**

Reliable access, safety, and security are discussed in the following topics:

- Goals
- Operations
- Disaster Recovery
- Security
- Emergency Notification

**Goals**

The college Information Technology Services department manages technology resources district-wide in accordance with Goal 2 of the Technology Master Plan (TMP) to ensure

reliability, security, and safety (III.C.3-1). Maximum flexibility and access for users in the AHC online learning and services environment is TMP Goal 11 (III.C.3-2). Security and reliability of the AHC online services using personal devices on and off campus is now just as important as on-site college-owned equipment. Keeping websites, data, networks, and computers secure and reliable requires constant vigilance and upgrades.

### **Operations**

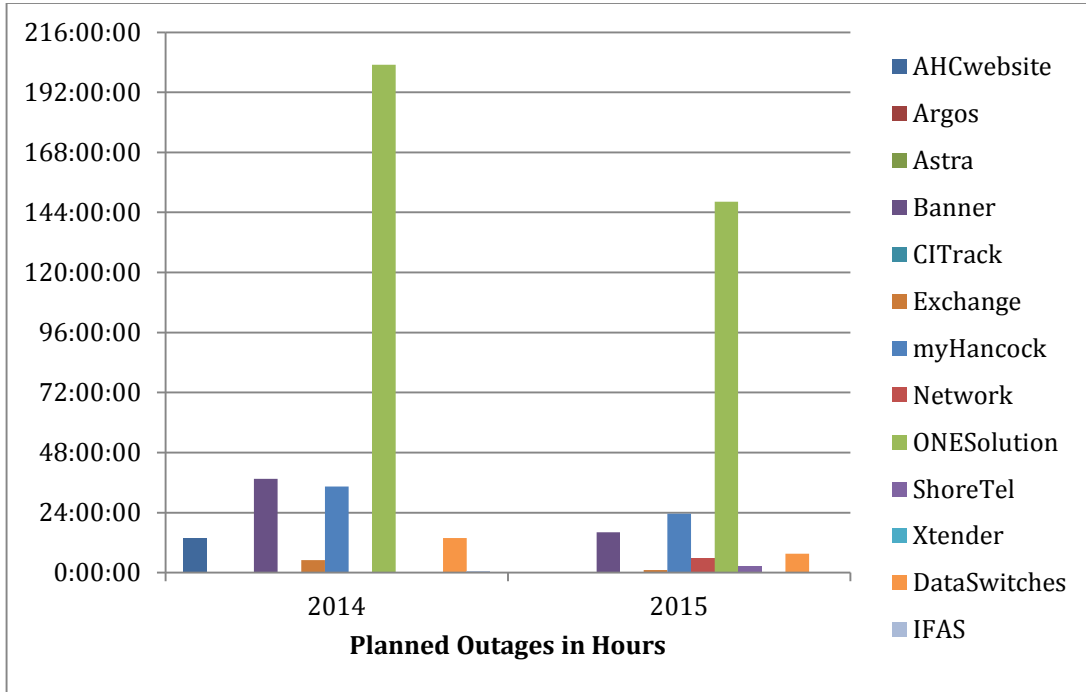
Reliability for systems managed onsite by Information Technology Services meets industry standards. Critical institutional systems, such as the Banner student information system, the myHancock portal, and the public website, are monitored by Information Technology Services staff 24/7. Almost all servers are now virtual which protects against physical hardware failures. Data storage is a combination of network area storage (NAS) and storage area network (SAN). This prevents any single point of failure and enables quick configuration changes to meet changing needs. The Hewlett Packard Intelligent Management Center (IMC) was purchased to monitor the 200 network devices which include the switches and Tsunamis point to point wireless devices (III.C.3-3). The IMC sends email notifications when certain conditions are outside the normal parameters. The Aruba Airwave product is used by district Information Technology Services to support the wireless network (III.C.3-4). One feature of this product is the ability to see devices and diagnose connection issues. It also provides a wireless coverage map so that weak areas can be identified (III.C.3-5).

All mission-critical systems that support programs and services are protected by a variety of measures including firewalls and antivirus and SPAM filters. An old Cisco PIX firewall was replaced in July 2009 by a state-of-the-art Palo Alto firewall with URL filtering and threat prevention subscription service. Because of the critical nature of this device in the district network, a second Palo Alto device was added in March 2012 (III.C.3-14). The firewall produces a report that is used to track threats to the district network that have been blocked by the firewall (III.C.3-6). Sophos is used on all district desktops, laptops, and lab computers for antivirus protection. When the “Crypto Wall” (ransomware) malware spread throughout the internet in fall 2014, only three out of the two thousand district computers were infected. Information Technology Services emailed notification to all employees with guidelines on how to keep their computers safe against this threat (III.C.3-7). The Sophos company emailed instructions to Information Technology Services on how to make the antivirus configuration safer (III.C.3-8). Palo Alto provided an update to the firewall within an hour of the threat.

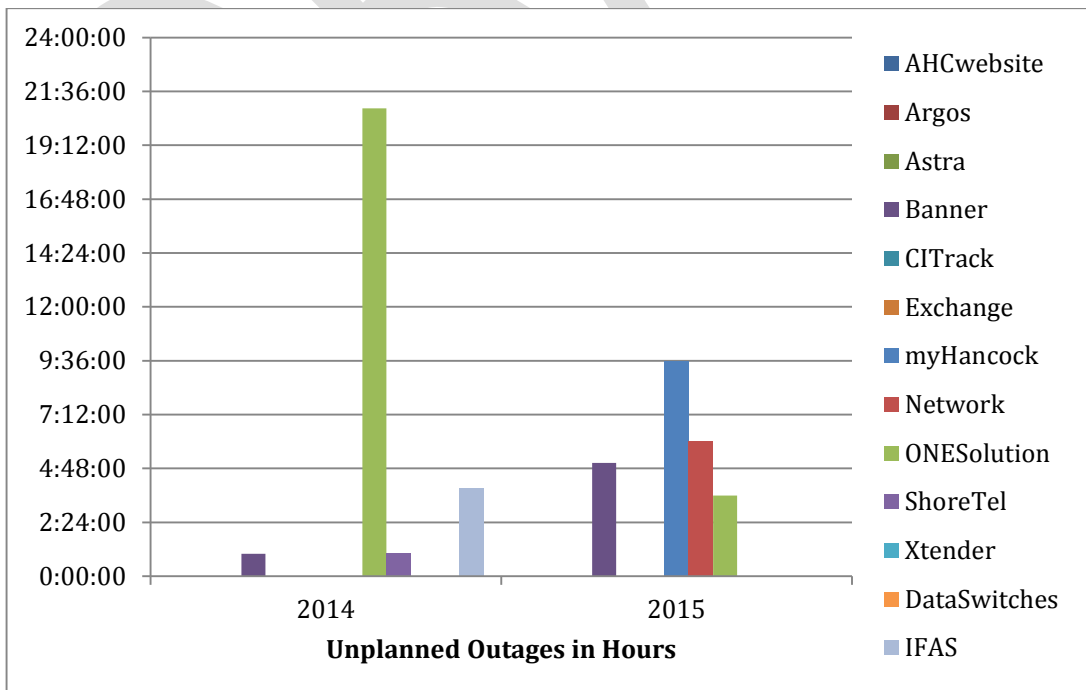
Microsoft Windows and Office product updates for district computers are controlled through a server managed by Information Technology Services. This enables non-compatible changes or bad patches from being installed while needed changes can be distributed quickly. Before normal business start time during the last week of each month, Information Technology Services staff install updates on all servers (III.C.3-16). This keeps critical systems up to date with the latest security changes.

Planned updates are scheduled for times with the least impact to students and employees. The Banner student system requires updates three to four times a year to incorporate

regulation changes and patches. The myHancock portal is shutdown along with Banner during these updates to prevent access. The ONESolution HR/Finance system is only updated once a year and takes multiple days. This system is used by staff only inside the district firewall.



Unplanned outages occur infrequently and are given the highest attention, so they can be quickly corrected.



## **Disaster Recovery**

A new network core switch with built-in redundancy was installed in June 2015. This new switch also has an easier interface that is used to create and manage multiple virtual subnets to keep network traffic separated for increased security and performance.

The Santa Maria campus connection to the internet is a 1 gigabit connect to CENIC CalRen over AT&T fiber with a backup DS3 to CENIC CalRen over Verizon fiber. The Lompoc Valley Center and the Solvang Center are connected to the Santa Maria data center over Comcast fiber (III.C.3-17).

The ShoreTel phone system was designed and implemented as a system-wide N+1 redundant system. If the network between the Santa Maria (SM) Campus and the Lompoc Valley Center (LVC) is unavailable, the system has been configured to use phone lines directly connected to LVC.

For disaster recovery and in case of catastrophic failures, all critical data is backed up. Disk to disk copies are made daily from the Santa Maria (SM) data center to the LVC server room. Disk to tape backup is still in use for two of the older servers. For these older servers, a full backup to tape is made twice a year with the tapes transported to LVC for offsite storage.

Physical security measures in place include two secure, climate-controlled environments for switches, servers, and other network infrastructure located on the Santa Maria Campus and at the Lompoc Valley Center (LVC). Power to the main data center on the Santa Maria Campus is protected by two uninterruptible power supplies. If there is a loss of electrical power, a backup diesel generator automatically starts-up and provides power to the Santa Maria data center. The LVC servers and the switches located in all the buildings are protected with small uninterruptible power supplies.

## **Security**

Other measures include security cables as well as locked cabinets and carts in all open lab spaces and classrooms with computer and audio visual equipment. AHC campus police also add security by patrolling regularly, especially in the evenings and on weekends.

Off site and cloud-based service contracts are examined for security and reliability. For example, the Blackboard learning management system is hosted securely in Reston, Virginia with a redundant system in case of emergency. The Blackboard hosting service agreement includes a specified 24/7 accessibility with a 99.7% targeted uptime (III.C.3-9). There has been almost no down time during the span of Blackboard hosting contracts, despite a few severe weather issues in the east. The district also has a test Blackboard system, so there is no danger of interfering with live instruction while faculty or staff pilot new content.



All employees are given a network logon account, an email account, and a myHancock portal account when they start working at the college. The password associated with these accounts is controlled through an account policy and must meet complexity requirements (III.C.3-10). The portal account is role based—student, employee-faculty, employee-classified staff, et cetera. Through the portal authentication and single sign-on capability associated with a role, employees can also access additional services, such as faculty rosters. Access to all sensitive data and personally identifiable information is restricted. Request forms and explicit management approval is required for access. For example, access to Banner forms is controlled by the Internet Native Banner User Authorization Form (III.C.3-11). Access to reports is controlled by the myHancock Report Access Request Form (III.C.3-12). Access from outside the firewall to a server or desktop is tightly controlled through a VPN/Remote Access User Agreement (III.C.3-13). When an employee separates from the district, Human Resources inactivates their Human Resources record which triggers a workflow notification to Information Technology Services to disable all their accounts and special access. The signed forms are maintained in notebooks in the Information Technology Services office area (III.C.3-15).

### **Emergency Notification**

To be in compliance with the Clery Act and to protect students and employees, new emergency notification technology was implemented in the past three years.

As part of the VoIP telephone installation, an announcement system was purchased. Phones were installed in all classrooms and public areas in addition to offices and meeting areas. The announcement system is used by the college police to broadcast messages over the phone speakers. The phone system also alerts the college police if a 911 call originates from any college phone.

A replacement for the AlertU system was needed when this system was no longer available. The RAVE Mobile Safety system was selected and implemented in spring 2015. This system supports email, text messaging, voice messaging, Facebook, Twitter, and RSS feeds. Students and employees can add and update email addresses and text phone numbers in the RAVE system to include others for emergency notifications (III.C.3-18).

The college meets the standard. Overall, technology resources that support programs and services at Allan Hancock College have excellent access, safety, and security. The improvements to the network have provided the students and employees with high availability of this critical resource. The network district servers and online systems have not had a major security breach and are well protected. User access is tightly controlled and removed upon separation. All critical systems are monitored and issue emails and text messages if failures occurred. A notification system is available to alert students and employees in case of an emergency.

**III.C.4 The institution provides appropriate instruction and support for faculty, staff, students, and administrators, in the effective use of technology and technology systems related to its programs, services, and institutional operations.**

**Evidence of Meeting the Standard**

Technology assistance and training is provided to faculty, staff, students, and administrators through various means to meet their needs. The technology used at Allan Hancock College continues to evolve, and the training is updated to reflect these changes. All student services and technical services departments contribute to the training material.

- III.C.4-1 Technology Master Plan 2014-2020 Goal 3
- III.C.4-2 Astra Room Report for A-401 August 2014 – June 2015 for Training
- III.C.4-3 ONESolution Professional Development Course Offerings
- III.C.4-4 OMESolution Professional Development Website for Instructors
- III.C.4-5 myHancock Employee Portal Doc/Forms library
- III.C.4-6 ONESolution Training Guides
- III.C.4-7 ShoreTel Phone Training Classes
- III.C.4-8 IFAS Training Classes
- III.C.4-9 Distance Learning Web Page
- III.C.4-10 Employee Helpdesk Web Page
- III.C.4-11 Blackboard support for faculty and students on myHancock
- III.C.4-12 Blackboard Help On Demand Learning Center
- III.C.4-13 Blackboard Learning Videos and Blackboard Help
- III.C.4-14 Student Helpdesk Web Page
- III.C.4-15 Student Password Reset for myHancock Portal
- III.C.4-16 Student Portal How-Tos
- III.C.4-17 Student Online Orientation
- III.C.4-18 Employee Technology Master Plan Survey fall 2013
- III.C.4-19 Professional Development Survey CSEA December 2015
- III.C.4-20 Professional Development Survey Faculty December 2015
- III.C.4-21 Professional Development Course Evaluation
- III.C.4-22 Professional Development Committee Agendas and Notes February 19, 2016
- III.C.4-23 Board Policy/Administrative Procedure 7160, Professional Development
- III.C.4-24 Computer Business Office Technology (CBOT)/Computer Business Information Systems (CBIS) classes
- III.C.4-25 CBOT Annual Program Review 2014-2015
- III.C.4-26 CBIS Annual Program Review 2014-2015
- III.C.4-27 Student Hel- Email Statistics
- III.C.4.28 Payment Center Training
- III.C.4-29 Library/Learning Resources Organization April 15, 2016
- III.C.4-30 DegreeWorks training for Students
- III.C.4-31 Student How-Tos on myHancock
- III.C.4-32 Helpdesk Customer Satisfaction Survey

## **Analysis and Evaluation**

The importance of effective technology training and support for all constituencies district-wide is evident in that it is Goal 3 of the college Technology Master Plan (TMP) (III.C.4.1). Technology instruction and support is discussed in the following topics:

- Training
- Support
- Feedback

### **Training**

As part of the district's professional development Board Policy and Administrative Procedure 7160, technology training is offered regularly for faculty and staff (III.C.4-23). Much of the training is in person, but webinars and other online training methods are also available. Many sessions occur in the state-of-the-art Teacher Learning Center (TLC) or the technology training room which opened in 2014 in the new administration and student services complex (III.C.4-2). Training ranges from learning management system basics and effective online pedagogy to how to use the district purchasing system. A Professional Development website link was added to myHancock in 2015 for all employees, offering the ability to browse for courses, register for a course, evaluate a course, and print a certificate of completion (III.C.4-3). The Professional Development site also enables employees conducting the course to define the course, print a roster, assign a completion for the attendees, and conduct an evaluation (III.C.4-4). The evaluation enables the participants to suggest improvements, as well as offer ideas for future training (III.C.4-21).

User guidelines and forms are posted by the responsible Allan Hancock College department on the Doc/Forms Library in the myHancock portal (III.C.4-5). Information Technology Services posts in the Doc/Forms Library vendor supplied guides, such as the ShoreTel phone and Surface tablet. For college specific technology, such as AHC email using iPhone, user guides in the library are created by the Information Technology Services Department. ONESolution training guides are maintained online in that system (III.C.4-6). Training classes are held when new technology is initially introduced, such as the ShoreTel phones when 450 employees were trained in 62 classes and the IFAS training when 150 employees were trained in 52 classes (III.C.4-7; III.C.4-8). Training for new employees is provided by the functional area where that employee is assigned. The Information Technology Services Helpdesk provides training on user accounts, email, and the portal during new employee orientation.

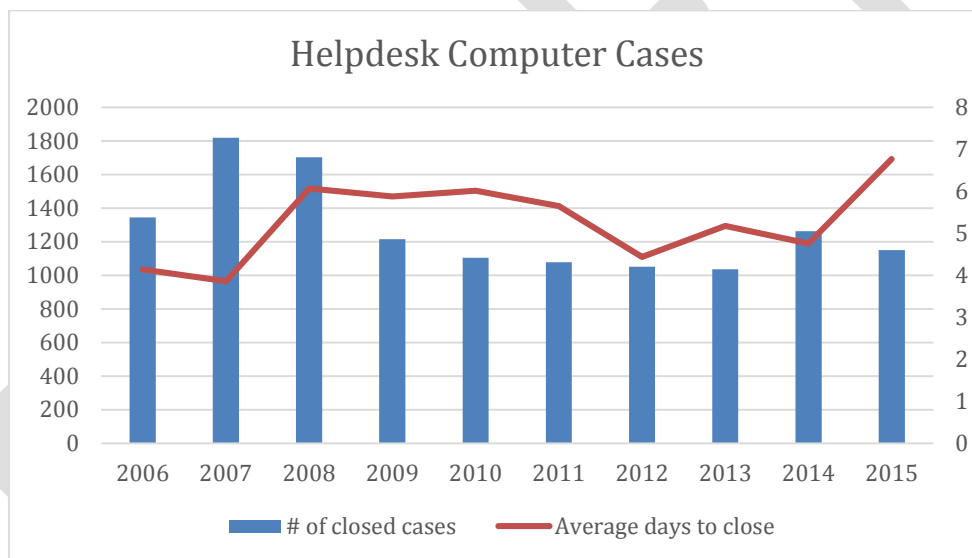
When a new technology service or application is introduced, the vendor supplying the product is requested to provide training to district functional users as well as the Information Technology Services staff in a train the trainer approach (III.C.4-28).

Technology training on how to use a computer and office programs is offered to students as part of the curriculum in the Computer Business Information Systems (CBIS) and Computer Business Office Technology (CBOT) programs (III.C.4-24). The program reviews for these two programs are used to evaluate the need and effectiveness for these classes (III.C.4-25; III.C.4-26). Training on student services technology such as DegreeWorks is offered to students on a regular basis by the Counseling Department (III.C.4-30). Online videos and

How-To guides are posted on myHancock to assist students in the technology and processes (III.C.4-31).

### Support

Support for computers, network, phones, and software is provided district-wide to faculty, staff, and administrators at all sites through a centralized Helpdesk and work order system managed by the Information Technology Services Department (III.C.4-10). The support is available via telephone, email, and the work order system on the myHancock portal. The Helpdesk has a 24/7 emergency line for assistance during off hours. The response time for the general computer services Helpdesk cases have remain fairly consistent between five and six days for the past several years. One additional technician was hired in 2012 to support the VoIP phone system and computer services cases to bring the total technicians and Helpdesk support to five employees. Although the first tablet computers were purchased by the college in 2012, the popularity of tablets grew significantly in 2015. The increased number of devices has had some effect on the support response times. Problems resolved by the Helpdesk technician directly are not tracked in the system.



Support for data projectors and smart podiums are provided at all sites by the Multimedia Services group. Support for the library catalog, tutorial scheduling system, library webpage, and video streaming is provided by the Academic Resources specialist. This support is part of the Academic Learning Resources Department (III.C.4-29).

There are now approximately 1,470 instructional computers, 829 non-instructional computers, 220 servers (virtual and non-virtual), 200 tablets, and 135 rooms with audio visual equipment.

Support for distance learning and the learning management system is provided separately by two technicians and a faculty academic specialist, who can be reached via phone or email. An extensive list of helpful resources for both faculty and students is available online. The

myHancock portal has links to the Blackboard Online Support and videos website and links to Blackboard Quick Start guides (III.C.4-11). For students, this information is accessible from the HOW TOs and FAQs channel under the Student tab. For faculty, this information is accessible from the Getting Started channel under the faculty tab. Within Blackboard, there is On Demand Learning Center with additional videos (III.C.4-12; III.C.4-13). The public distance learning page on the college website has additional helpful information (III.C.4-9).

On the Santa Maria campus, students receive in person support from the kiosk in the Student Services building staffed by student assistants. At the Lompoc Valley Center location, students receive in person support at the main counter in Building 1. An email address and phone number are posted on the website for the students to use for assistance (III.C.4-14). There is an average of just over 200 emails per month from students asking for assistance (III.C.4-27). The Admissions and Records Department staff reads and responds to these email requests.

Student Helpdesk queries are tracked in order to assist Information Technology Services and the technology committees in assessing services and making improvements. One example is the process for a student to obtain a new password. This was identified as a major difficulty for students when the portal was introduced in 2010. As a result, Information Technology Services wrote a new program for students to change their password by supplying some personal information (III.C.4-15). If the password reset does not work for the student because of mismatches on name, birthdate, and/or social security number, the student can use the “Still having problems logging in?” link to send an email to Admissions and Records for further assistance. The password reset program resulted in a significant reduction in the number of student logon problems serviced by Admissions and Records—fifty or more per day to about ten per day.

To help students with other questions, a new program from IntelliResponse is being implemented in 2016 that provides the ability to enter free form questions in a search window called Ask Spike. The program returns prepared answers based upon key words with links to more information. The program tracks the frequency of questions and displays responses to the top ten. To assist district students further with the technology, processes, and services, several How-To Videos and written guidelines have been created and posted on the portal. When Office 365 was available free for all Allan Hancock College students, instructions on how to obtain this program were added to the student How-To channel on the portal and announced through email and posters around the college (III.C.4-16). The online student orientation covers how to be successful at the college and includes the various technology related steps, such as financial aid and admissions (III.C.4-17).

### **Feedback**

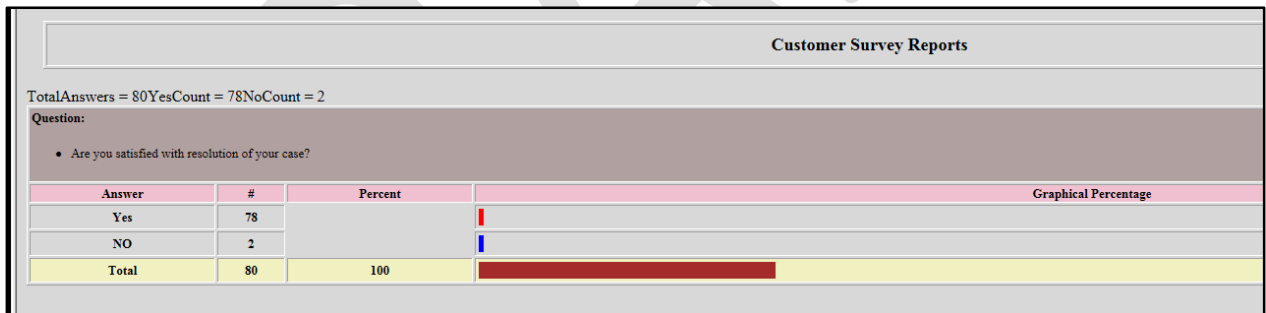
In fall 2013, 132 respondents from all district constituencies participated in a technology survey and rated how important training on the college systems would be during the following six years. Results indicated they rated training in the middle of the scale between “not needed” and “essential,” and rated technology training for students almost identically

(III.C.4-18). However, in a separate question about barriers to using technology, the most frequent answer (62.1%) was training (III.C.4-18).

The 2015 Professional Development survey of CSEA identified the importance of technology training on the Banner student system, the ONESolution HR/Finance system, and the Outlook email system for new employees (III.C.4-19). As shown in the 2015 Professional Development survey of the faculty, the technology training interest area was in the learning management systems with the upcoming Canvas being of the most interest (III.C.4-20).

The college meets the standard. The opening of the training room in Building A in 2014, complete with laptops, a Smart Podium, ShoreTel phones, and other equipment, now provides a space for technology training. The Teacher Learning Center is available for faculty to learning instructional technology such as the course management system. When new technology is initially introduced at the college, adequate training is provided as part of the project plan and agreement with the vendor. Training technology needs for employees, such as MS Office Suite as identified in the Professional Development survey, will be addressed in the Professional Development Plan (III.C.4-22).

The increased number of devices and online programs has been a support challenge with the current staffing levels. A customer satisfaction survey question was added to the Helpdesk system in March 14, 2016 to obtain more timely feedback on the level of support provided. Here are the early results.



Helpdesk Customer Satisfaction Survey (III.C.4-32)

**III.C.5 The institution has policies and procedures that guide the appropriate use of technology in the teaching and learning processes.**

**Evidence of Meeting the Standard**

Allan Hancock College has implemented many policies and procedures to ensure the reliable, equitable, safe, and appropriate use of technology in the teaching and learning processes.

- III.C.5-1 Board Policy/Administrative Procedure 3720, Computer and Network Use
- III.C.5-2 Technology Council Notes on BP 3720 August 28, 2015
- III.C.5-3 AHC Wireless Networks
- III.C.5-4 Research and Assignments Only Sign
- III.C.5-5 AHC Catalog 2015-2016, Guidelines for Student Conduct
- III.C.5-6 myHancock Blackboard Sign-In
- III.C.5-7 Blackboard Direct Sign-on
- III.C.5-8 Sample English Syllabus
- III.C.5-9 Technology Master Plan 2014-2020 Goal 10
- III.C.5-10 Board Policy/Administrative Procedure 4030, Academic Freedom and Responsibility
- III.C.5-11 Firewall Blocked Website Email
- III.C.5-12 Social Media Handbook
- III.C.5-13 Board Policy/Administrative Procedure 5500, Standards of Student Conduct
- III.C.5-14 Board Policy/Administrative Procedure 3730, Privacy Protection
- III.C.5-15 Board Policy/Administrative Procedure 5040, Student Records, Directory Information, and Privacy
- III.C.5-16 Board Policy/Administrative Procedure 3310, Retention and Destruction of Records
- III.C.5-17 Employee Password Group Policy
- III.C.5-18 Student Password Group Policy
- III.C.5-19 College Council Agenda and Notes on BP 3720 February 1, 2016
- III.C.5-20 FERPA Training

**Analysis and Evaluation**

Policies and procedures on the use of technology is discussed in the following topics:

- Policy
- Use
- Academic Freedom

**Policy**

Board Policy and Administrative Procedure 3720 governs computer and network use throughout the institution (III.C.5-1). This policy was updated in 2016 based upon the Community College League of California's (CCLC) recommendations and with input from the constituents through the Technology Council (III.C.5-2).

The Board Policy and Administrative Procedure 5500 for Standards of Student Conduct governs additional acceptable use related directly to students (III.C.5-13).

Social media is now an established channel for communication at Allan Hancock College. The use of this media as a resource for employees, students, and the community is guided by the Social Media Guidelines (III.C.5-12). Overseeing conformance to this guideline is in the Public Affairs Department.

Allan Hancock College is also committed to compliance with other state and federal statutes and initiatives, such as:

- Family Education Rights and Privacy Act (FERPA)
- Payment Card Industry (PCI)
- Health Insurance Portability and Accountability Act (HIPAA)

FERPA protection is part of Board Policy and Administrative Procedure 3730 Privacy Protection and Board Policy and Administrative Procedure 5040 Student Records, Directory Information, and Privacy (III.C.5-14; III.C.5-15). Training on FERPA is provided to all employees who deal with student records to ensure compliance (III.C.5-20). The retention and destruction of student records and other college records is governed by Board Policy and Administrative Procedure 3310 (III.C.5-16).

Payment Card Industry (PCI) compliance has been a priority at Allan Hancock College. Based upon the completion of a PCI compliance questionnaire, the limited need and procedures needed to maintain compliance, resulted in the credit card terminal in the college foundation being removed in 2015. The bookstore was outsourced in March 2016, and now all the bookstore credit card transactions are done securely off the college network. The credit card processing for all online student fees was moved to a new payment system at the end of March 2016. New payment terminals were installed as part of the new system, and the terminals are securely tunneled through the district network to a Heartland payment processing system.

The student health system is hosted offsite and is HIPAA compliant.

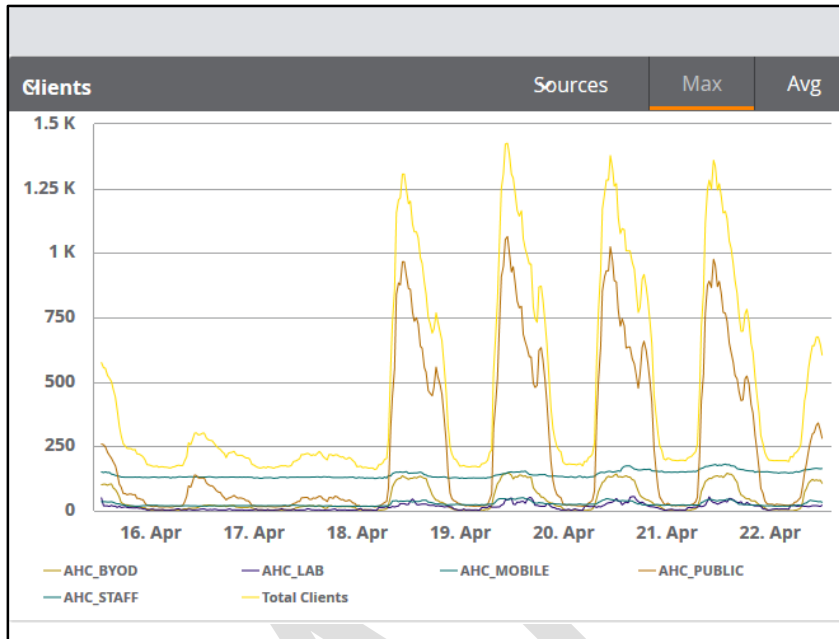
### **Use**

In order to protect information and technology resources, Allan Hancock College has enacted many safeguards, including access control, data handling guidelines, password policies, and other security measures (III.C.5-17; III.C.5-18).

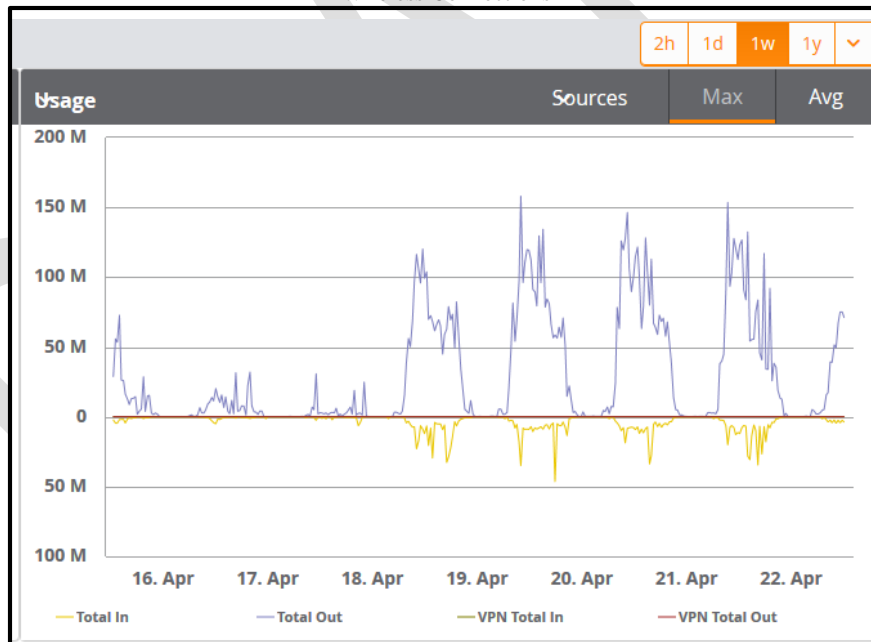
The wireless network has been segregated into multiple virtual networks to control access to resources by device type and authentication (III.C.5-3). This has the added benefit of being able to control bandwidth usage by role. However, this ability is not currently being used as there is sufficient network bandwidth for all roles due to our new 1Gbit CENIC connection. The wireless network usage has increased each year, so this feature may need to be used in the future. The charts below show approximately one thousand devices connected on the



AHC\_Public wireless network during a typical school week. Public is the network used by the students and visitors. During that same week, the bandwidth usage peaked at 150 Mb.



Wireless Connections



Wireless Bandwidth Usage

Individual labs and classrooms have specific student-use guidelines that are posted and available to students; while these may differ due to discipline needs, the common theme is that district computers and equipment are to be used for educational purposes. For example, the library has a simple notice posted next to each computer which reads “Research and College Assignments Only” (III.C.5-4).

In addition to technology-specific policies, use of technology is included in the general Allan Hancock College Student Code of Conduct published in the college catalog. For example, academic honesty and tampering with district property are discussed (III.C.5-5). In terms of academic honesty, online instructors use a variety of procedures to authenticate students. Rosters are loaded from Blackboard into Banner, so initial verification occurs through Banner, and a separate Blackboard log-in process is required either through the myHancock portal single sign-on or directly on the Blackboard site (III.C.5-6; III.C.5-7). Online students may be required to attend exams on campus, as is the case in the Math Department. Most English teachers, both onsite and online, require that papers are submitted through the Turnitin plagiarism-detection software (III.C.5-8).

### **Academic Freedom**

Academic freedom is extremely important at Allan Hancock College and is incorporated in the TMP as Goal 10 (III.C.5-9). Board Policy and Administrative Procedure 4030 on Academic Freedom and Responsibility outlines the college philosophy (III.C.5-10). If technology safeguards, such as firewalls or spam filters, conflict with legitimate academic research by instructors or students, the situation is resolved in favor of academic freedom by the Information Technology Services director. For example, the firewall subscription service protects the network and computers from malware and general categories selected by Information Technology Services, such as gambling. If a website that is blocked by this subscription service is needed for academic instructional or research purposes, it is unblocked upon request by Information Technology Services when deemed safe (III.C.5-11).

The college meets the standard. The Board Policy and Administrative Procedure 3720, Computer and Network Use update was a major accomplishment in 2015/2016 (III.C.5-1). Technology has changed significantly since the last update in 2003. The new policy addresses proper use as it relates to current practices. The changes were sponsored by the Technology Council and vetted through the shared governance process (III.C.5-19). The update will be presented at the May 2016 board agenda as an action item.

The use of technology in both learning and services is now the norm. Students, teachers, and staff expect access to be 24/7 from wherever they are using the device of their choice. Protecting data and identity in this environment will require policies, safeguards, and technology to be kept up to date. New authentication methods that do not rely on passwords will be explored as they become available.

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## Standard III.D Financial Resources

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**III.D.1 Financial resources are sufficient to support and sustain student learning programs and services and improve institutional effectiveness. The distribution of resources supports the development, maintenance, allocation and reallocation, and enhancement of programs and services. The institution plans and manages its financial affairs with integrity and in a manner that ensures financial stability. (ER 18)**

***Eligibility Requirement 18. Financial Resources***

*The institution documents a funding base, financial resources, and plans for financial development adequate to support student learning programs and services, to improve institutional effectiveness, and to assure financial stability.*

**Evidence of Meeting the Standard**

Allan Hancock College (AHC) takes appropriate steps to provide sufficient financial resources for support of student learning programs and institutional effectiveness. AHC manages general fund revenues to ensure that they are sufficient to cover on-going general fund expenses while building adequate reserves. Recent increases in categorical funding have been instrumental in increasing support for student services, student outreach, and instructional equipment. AHC actively seeks grant funding, industry partnerships, and donor funding to supplement learning programs, student scholarships, and facilities improvements. Planning processes emphasize maintenance of appropriate reserves and utilize academic and administrative program review for allocation of resources. Financial integrity and stability are assured by adherence to AHCs Council and Committees Pathways to Decisions (CCPD) shared governance model, the Budget Development Guiding Principles, and AHC Board of Trustee review and direction.

- III.D.1- Board Agenda Item 13.B of September 8, 2015
- III.D.1- Board Minutes Item 13.B of September 8, 2015
- III.D.1- Board Budget Presentation September 8, 2015
- III.D.1- Student Equity Expenditures Report 2014-2015
- III.D.1- Student Success (Credit) Expenditures Report 2014-2015
- III.D.1- Student Success (Non-Credit) Expenditures Report 2014-2015
- III.D.1- CCPD Integration Model, pages 22-24
- III.D.1- Board Policy 3255, Program Review
- III.D.1- Program Review Resource Guide
- III.D.1- AHC Strategic Directions 2014-2020
- III.D.1- Faculty Prioritization Request
- III.D.1- Classified or Management Position Request
- III.D.1- Instructional Equipment Prioritization
- III.D.1- Technology (TAC) Request Form
- III.D.1- Faculty Hiring Memo November 2, 2015
- III.D.1- Recommended Classified and Administrative Positions
- III.D.1- Prioritized Classified and Administrative Positions

- III.D.1- Approved Classified and Administrative Positions
- III.D.1- Budget Development Expenditure Assumptions FY 2016-2017
- III.D.1- Academic Affairs Equipment Prioritization
- III.D.1- Allocation of Scheduled Maintenance/Instructional Equipment 2014-2015
- III.D.1- Allocation of Scheduled Maintenance/Instructional Equipment 2015-2016
- III.D.1- Physical Plant and Instructional Support Block Grant, Certificate for Expenditure 2014-2015
- III.D.1- Physical Plant and Instructional Support Block Grant, Certification for Expenditure 2015-2016
- III.D.1- CCPD Budget Council, page 38
- III.D.1- Budget Council State Budget Updates
- III.D.1-X Board Agenda Item 14.B 2015-2016 Proposed State Budget, January 20, 2015
- III.D.1-X Board Agenda Item 14.C 2015-2016 State Budget Update, July 14, 2016
- III.D.1-X College Council Minutes May 18, 2015
- III.D.1-X College Council Minutes July 6, 2015
- III.D.1-X College Council Budget Presentation July 6, 2015
- III.D.1-X Board Budget Update July 31, 2015
- III.D.1-X Board Budget Update August 25, 2015
- III.D.1-X Board Agenda Item 14.B. Adoption of the 2015-2016 AHJCC Tentative Budget, June 16, 2015
- III.D.1-X Board Agenda Item 13.B. Adoption of 2015-2016 AHJCC Final Budget, September 8, 2015
- III.D.1- Fall 2015 Planning Retreat Presentation
- III.D.1-X AHC District Audit FY 2011-2012
- III.D.1-X AHC District Audit FY 2012-2013
- III.D.1-X AHC District Audit FY 2013-2014
- III.D.1-X AHC District Audit FY 2014-2015

### **Analysis and Evaluation**

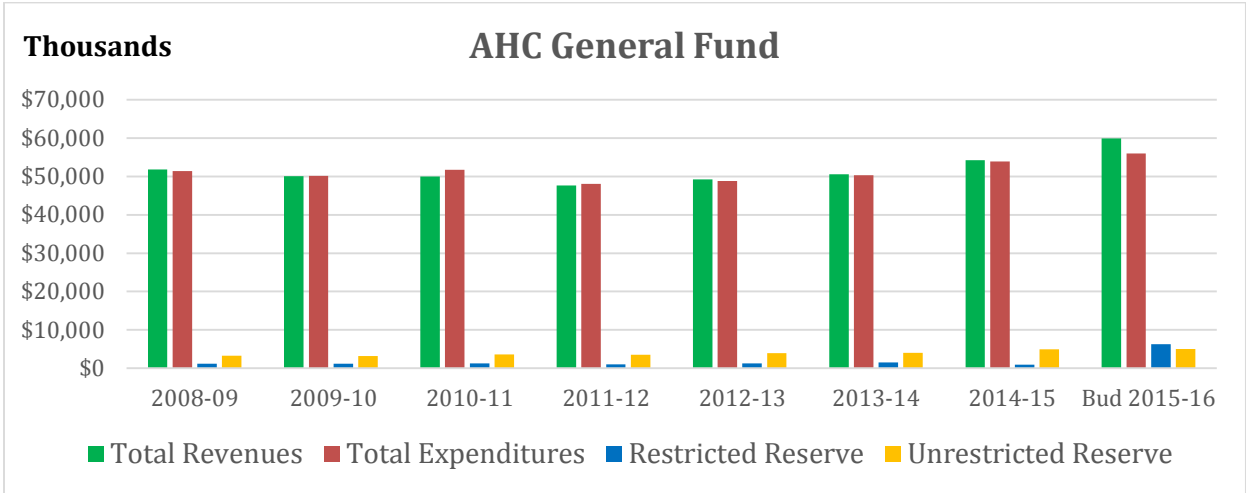
#### **Sufficient Financial Resources**

The adopted budget for the AHC unrestricted general fund in FY 2015-2016 is \$55.2 million in total expenditures and other outgo. Table 1, below, depicts the actual revenues, expenditures, and ending fund balances for seven years: FY 2008-2009 through FY 2014-2015 and the adopted budget for FY 2015-2016. The FY 2014-2015 year was closed with a general fund unrestricted balance of \$4.96 million, or 9.2 percent of expenditures. The budgeted unrestricted reserve for FY 2015-2016 is 8.9 percent. The reserve percentages for 2009-2010 through 2015-2016 are provided in Table 2. In addition to prudent planning aimed to bolster reserves, it should be noted that the FY 2015-2016 budget includes \$5.3 million of funds received for unfunded mandates, providing even greater stability. This goal is consistent with AHC Strategic Direction IR 2: To develop district financial resources adequate to support quality programs and services.

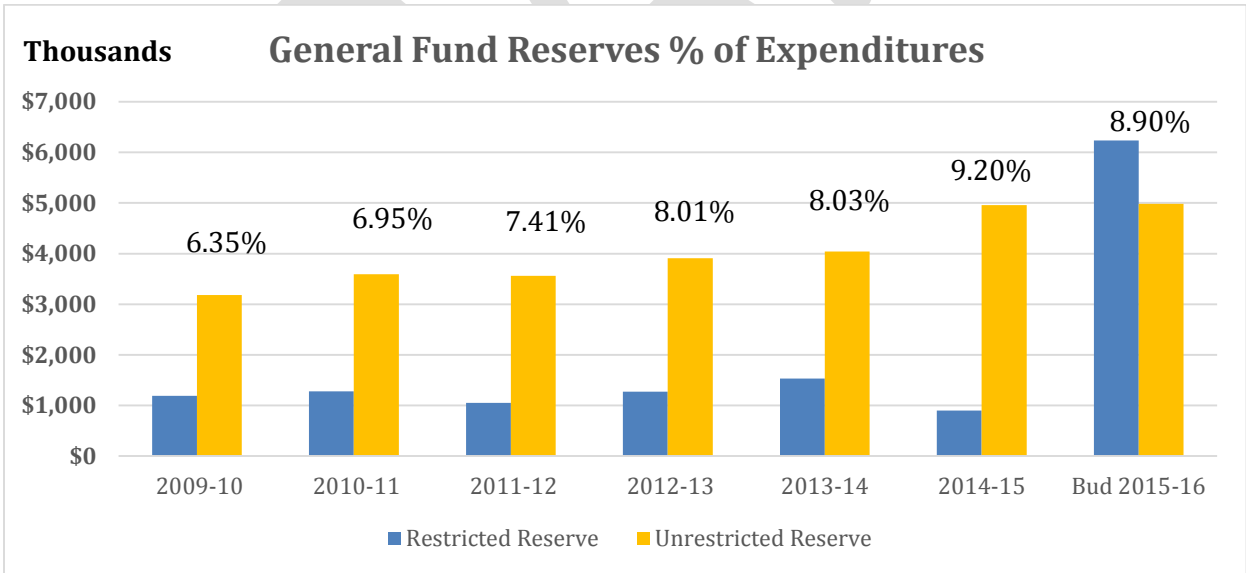
The final budget for FY 2015-2016 was approved on September 8, 2015, and at that time, the Board of Trustees directed that the \$5.3 million in mandate funds be restricted in a reserve for contingencies to assure funding stability (III.D.1-X; III.D.1-X). This action was taken

recognizing imminent increases in PERS and STRS and the potential for decreased enrollment in FY 2015-2016, as described in a budget overview presentation at the Board meeting (III.D.1-X).

**Table 1**



**Table 2**



With increased state funding, Student Success and Support Plans and Student Equity Plans were implemented in FY 2014-2015 and FY 2015-2016.

	<b>Fiscal Year 2014-2015</b>	<b>Fiscal Year 2015-2016</b>	<b>Two-Year Total</b>
Student Equity	544,364	1,117,956	1,662,320
Student Success (credit)	1,295,460	2,264,353	3,559,813
Student Success (non-credit)	207,915	415,230	623,145
<b>Total</b>	<b>2,047,739</b>	<b>3,797,539</b>	<b>5,845,278</b>

This funding has greatly enhanced AHC’s student outreach and overall student support services, consistent with Strategic Direction SLS2: To support student access, achievement, and success. The Student Equity and Student Success and Support Program expenditures reports for FY 2014-2015 provide detail on the allocation of resources by category (III.D.1-xx; III.D.1-xx; III.D.1-x).

Over the past six years, AHC has made a continual investment in Distance Learning for staff and technology, as seen in Table 3. The program resides under the Dean of Library, Learning Resources, and English and includes three support staff:

- Distance Learning Courseware Technician
- Academic Resources Technical Specialist
- Faculty Distance Learning Specialist

**Table 3**

<b>Distance Learning</b>	<b>Actual 2010-2011</b>	<b>Actual 2011-2012</b>	<b>Actual 2012-2013</b>	<b>Actual 2013-2014</b>	<b>Actual 2014-2015</b>	<b>Budget 2015-2016</b>
Salaries and Benefits	196,244	277,514	240,926	276,812	296,310	300,289
Technology	76,683	30,678	98,613	146,029	152,329	168,775
<b>Total</b>	<b>272,927</b>	<b>258,192</b>	<b>339,539</b>	<b>422,841</b>	<b>448,639</b>	<b>469,064</b>

This investment underscores AHC’s commitment to student learning and is in line with Strategic Direction IR3: To enhance and maintain currency in technology usage/application in support of students and faculty, staff sufficiency, and operational effectiveness.

### **Distribution of Resources**

The CCPD provides an overview of the annual planning and budget development process (IIID.1-x). Program review is the key driver in the planning process. All educational programs, student support services, and administrative departments are required to complete a comprehensive review every six years as well as annual updates according to Board Policy 3255 (III.D.1-x). Guidelines for the Program Review process are provided in the Program Review Resource Guide (III.D.1-x). Program reviews are used to determine faculty, classified, and administrative staffing needs and provide the basis for allocation of instructional supplies, equipment, and technology. Requests for these resources must

identify the link to AHC's strategic directions to be considered for prioritization and subsequent funding (III.D.1-x; III.D.1-x; III.D.1-x; III.D.1-x).

**Faculty prioritization** is coordinated through Academic Affairs in collaboration with Student Services, and the information is shared with College Council and Academic Senate. The final prioritization is approved by the President. After several years of budget reductions and limited hiring, the District received additional funding from the state targeted for full-time faculty hiring in 2015-2016. This \$505,000 allocation allowed the District to move forward with a plan to hire 16 faculty in FY 2016-2017. The prioritization was vetted with shared governance councils and approved by the President on November 2, 2015 (III.D.1-x).

**Administrative and classified staffing** needs are identified and prioritized within the department. The department managers submit their requests to the department vice president with supporting documentation (III.D.1-x). Requested positions are prioritized by the President's Cabinet, and the recommendation is shared with College Council for inclusion in the subsequent year's budget (III.D.1-x).

The Budget Council incorporates approved staffing requests into budget development in the budget assumptions document, which is the basis for development of the final budget (III.D.1-x).

#### **Physical Plant and Instructional Support**

Program review process is used to identify instructional equipment needs, enabling departments to acquire equipment when funding becomes available. In fiscal years 2014-2015 and 2015-2016, the state provided block grants for scheduled maintenance and instructional equipment. The offices of the vice president of Academic Affairs and the vice president of Facilities and Operations made recommendations for the allocation of block grant resources based on program review and scheduled maintenance needs (III.D.1-x). The recommendations were shared with College Council and Academic Senate and finalized and submitted to the State Chancellor's Office (III.D.1-x; III.D.1-x).

#### **Planning and Financial Integrity**

The CCPD planning model provides guidelines for integration of planning and budgeting, and the council and committee structure ensures that appropriate constituencies are involved in the process. The Budget Council is comprised of constituencies representing Academic Senate, faculty, students, administration, classified staff, and finance (III.D.1-x). State budget updates are provided to Budget Council and the Board of Trustees as the state budget progresses to approval (III.D.1-x; III.D.1-x; III.D.1-x). Throughout the budget development planning process, assumptions and updates are shared with college constituencies and the AHC Board of Trustees (III.D.1-x; III.D.1-x; III.D.1-x; III.D.1-x; III.D.1-x). The tentative budget and final budget are approved by the Board of Trustees and available on the AHCE myHancock portal as well as in public postings (III.D.1-x; III.D.1-x). Financial overviews are a standard agenda item at the annual fall strategic planning retreat (III.D.1-x).

To ensure that financial processing has integrity AHC utilized ONESolution, an integrated financial and human resources ERP system for budget management and internal control to

ensure expenditures are classified appropriately and are within approved budget appropriations. The District has a credible track record of unmodified audit opinions as noted in district audits for fiscal years 2011-2012, 2012-2013, 2013-2014, and 2014-2015 (III.D.1-x; III.D.1-x; III.D.1-x; III.D.1-x).

The college meets the standard. While there is evidence that the college integrates program review, planning, and resource allocation, improvements can be made in the clarity of the processes in order to demonstrate that they lead to institutional effectiveness. The need for improvements are based on the institution's broad based, systematic evaluation of all aspects of planning, including programs and services where human, physical, technology, and financial resources are allocated. The college will draft a Quality Focus Essay in order to improve the linkage between integrated evaluation, planning, and resource allocation to improve student learning and achievement.

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**III.D.2 The institution’s mission and goals are the foundation for financial planning, and financial planning is integrated with and supports all institutional planning. The institution has policies and procedures to ensure sound financial practices and financial stability. Appropriate financial information is disseminated throughout the institution in a timely manner.**

**Evidence of Meeting the Standard**

The Allan Hancock College Strategic Plan 2014-2020 outlines the mission and goals and provides the framework for financial planning. The CCPD and the program review process provide mechanisms for communication of current program and service needs and anticipated funding needs.

- III.D.2-x Annual Planning Retreat Agendas
- III.D.2-x AHC Strategic Directions 2014-2020
- III.D.2-x CCPD Integration Model, pages 22-24
- III.D.2-x Budget Development Guiding Principles fiscal year 2016-2017
- III.D.2-x Academic Program Review Resources guide
- III.D.2-x Faculty Request
- III.D.2-x Staff Request
- III.D.2-x Equipment Request
- III.D.2-x Technology Request
- III.D.2-x Annual Planning and Budget Development Guide
- III.D.2-x College Council Agenda and Notes for April 1, 2013
- III.D.2-x Planning Retreat Agenda, fall 2013
- III.D.2-x Budget Book FY 2014-15, pages 71-73
- III.D.2-x Strategic Plan 2014-2020, pages 16-17, Strategic Directions
- III.D.2-x Board Agenda Item 12.E, page 132, July 22, 2014; 12.F, page 133; 12.G, page 134; 12.H, page 135
- III.D.2-x Integrated Education, Facilities and Technology Plan Presentation Fall 2014 Planning Retreat
- III.D.2-x Budget Development Memo dated February 27, 2015 and 2015-2016 Budget Development Guide
- III.D.2-x Board meeting minutes, agenda item 6.A, August 11, 2011
- III.D.2-x Board meeting minutes, agenda item 3.E, February 2, 2012 and agenda item 11.A, February 21, 2012
- III.D.2-x FY 2014-2015 and FY 2015-2016 Income and Expenditure Assumptions, Planning Retreat fall 2014 and 2015, Fiscal Updates
- III.D.2-x Monthly financial reports Board information items
- III.D.2-x myHancock financial reports and ad-hoc inquiries

**Analysis and Evaluation**

**Integration of Planning and Budgeting**

Institutional planning is coordinated by the College Council and the Institutional Effectiveness Council. Representatives of Budget Council also serve on College Council,

linking financial planning with overall institutional planning. Each council meets at least once monthly and jointly at specified times or as needed. The Annual Planning Retreat brings representatives of AHC constituencies, Board Members, and AHC leadership together to review the mission and vision, share financial information, and review progress on strategic directions and goals (III.D.2-x).

The AHC Strategic Plan 2014-2020 provides a framework of strategic directives and goals for development and management of institutional resources (III.D.2-x). These directives are acted on within the structure provided by the Councils, Committees, and Pathways to Decision manual (CCPD) and the guiding principles used in the budget development process (III.D.2-x; III.D.2-x). Program review resource requests require linkage to the institutional objectives identified in the strategic plan (III.D.2-x). Strategic plan linkage is required on all resource requests for faculty, staff, equipment, or technology (III.D.2-x; III.D.2-x; III.D.2-x; III.D.2-x). AHC's annual budget development process and Budget Development Guide requires that augmentations in funding are linked to the strategic directives and are identified and supported by program review (III.D.2-x).

In spring of 2013, a taskforce was formed to enhance the planning and budget development process. The revised flowchart and a numerical list of planning and budget development processes were reviewed by Budget Council and proposed to College Council. College Council approved the revised process on April 1, 2013 (III.D.2-X). The updated process was shared at the fall 2013 planning retreat (III.D.2-X). The timeline integrating all planning activities, including financial planning, is included in the FY 2014-2015 Budget Book, pages 71-73 (III.D.2-X).

In FY 2013-2014, AHC leadership took steps to align strategic planning and master plans better. The updated Strategic Plan 2014-2020, reflecting new directions and goals, was the primary outcome of the November 2013 planning retreat along with identifying Student Learning and Success as the priority direction (III.D.2-X). This activity was followed by creation of new integrated strategic, educational, facility, and technology plans. Each plan was developed through its related council, and presented to College Council and the Board of Trustees (III.D.2-X). The plans were presented to staff at the Fall 2014 Planning Retreat (III.D.2-X).

### **Focus on Financial Stability**

The Guiding Principles for Budget Development provide that "a general fund contingency, as approved by the Board of Trustees, shall be maintained" (III.D.2-X). The Board of Trustees has focused on financial stability and building appropriate reserves for several years. In August 2011, for the 2011-12 fiscal year, the AHC Board of Trustees directed the district to develop a budget with a minimum 6.5 percent reserve to ensure that reserves did not fall below five percent during the budget year (III.D.2-X). At a Special Board Meeting on February 2, 2012, the Board of Trustees reiterated the importance of maintaining the current reserve dollars, in absolute dollar terms, recognizing that the reserve percentage might need to be increased to reflect needed reserves. The Board of Trustees directed administration to develop a plan for the district to achieve a ten percent reserve level within a realistic timeframe (III.D.2-X).

**Financial Information Is Shared Widely**

Financial performance against budget is provided on all funds to the Board of Trustees, AHC constituencies, and the public at monthly Board of Trustees meetings, through the myHancock online portal, and on the AHC public website (III.D.2-X). Quarterly the 311Q financial report to the Chancellor's office is included in the Board Book. Appropriate managers and support staff have access to real-time financial information, including actual and budgeted revenue, expenditure, and encumbrances. Current year and historical information is available on ONESolution through multiple standard reports as well as ad hoc inquiries.

The college meets the standard. While there is evidence that AHC integrates program review, planning, and resource allocation, improvements can be made in the clarity of the processes in order to demonstrate that they lead to institutional effectiveness. The need for improvements are based on the institution's broad based, systematic evaluation of all aspects of planning, including programs and services where human, physical, technology, and financial resources are allocated. The college will draft a Quality Focus Essay in order to improve the linkage between integrated evaluation, planning, and resource allocation to improve student learning and achievement.

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**III.D.3 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.**

**Evidence of Meeting the Standard**

Allan Hancock College has developed and improved guidelines and processes for financial planning and budget development over the past several years. The development of financial plans and budgets involves administrators, faculty, staff, and students and is central to AHC's commitment to shared governance.

- III.D.3-x Councils and Committees, Pathways to Decisions, Part II: Planning & Resource Allocation, pages 22-30
- III.D.3-x Budget Development Income and Expenditure Assumptions
- III.D.3-x Cabinet and College Council Minutes Budget Update
- III.D.3-x Allan Hancock College 2015 Planning Retreat Agenda
- III.D.3-x Planning Retreat Financial Update PowerPoint
- III.D.3-x President's All Staff Day Presentation
- III.D.3-x Budget Development Guide, 2015-2016
- III.D.3-x Budget Augmentation Request forms
- III.D.3-x Board Agenda Item 14.B. 2015-2016 Proposed State Budget, January 20, 2015
- III.D.3-x Board Agenda Item 14.B. Adoption of the 2015-2016 AHJCC Tentative Budget, June 16, 2015
- III.D.3-x Board Agenda Item 14.C. 2015-2016 State Budget Update July 14, 2015
- III.D.3-x July Board Budget Workshop FY 2015-2016
- III.D.3-x August Board Budget Workshop FY 2015-2016
- III.D.3-x Board Agenda Item 13.B. Adoption of 2015-2016 AHJCC Final Budget, September 8, 2015
- III.D.3-x September Board Budget Presentation for FY 2015-2016

**Analysis and Evaluation**

**Guidelines, Processes, and Constituencies**

AHC's planning and budget development process and calendar are published in the CCPD manual (III.D.3-1). The budget development calendar identifies operational and legal timeframes for district budget development, including tentative budget adoption prior to July 1 and final budget adoption by September 15 every year. The calendar also includes planning and budget development activities for each month.

Annual budget development begins with the projection of revenue and expenditure assumptions reviewed by the Budget Council in conjunction with the office of the associate superintendent/vice-president of Finance and Administration. The Budget Council, comprised of representatives of all college constituencies, analyzes changes from the prior year, anticipated new revenue, and related expenditures for the budget year (III.D.3-X).

During this process, constituents from other councils are invited to share information on enrollment management, facilities, operations activities, and technology. The Budget Council develops and refines scenarios of optimistic, most likely, and pessimistic outcomes (III.D.3-X). These assumptions provide preliminary budget information reviewed with the President's Cabinet and College Council (III.D.3-X). Budget information is also shared with the campus community at the Annual Planning Retreat and All Staff Day (III.D.3-3; III.D.3-4).

### **Participation in Budget Development**

Each spring semester the Administrative Services Department provides a Budget Development Guide to budget-level managers (III.D.3-X). The guide's cover memo provides an overview of the Budget Council's initial projections for unrestricted revenue and expenditures based on anticipated receipts of cost of living adjustments (COLA), growth funding, and any new funding that might be available. The guide contains instructions for projecting departmental expenditures, including guidelines for growth and full-time equivalent students (FTES) goals that affect full or part-time faculty and classified salaries. Included in the guide is a listing of the AHC's current strategic directions and goals. This information provides a framework for completion of the enclosed budget augmentation requests (III.D.3-X).

Throughout the budget process, the Board of Trustees is included. When the state budget is released in January, the Board of Trustees is updated on the anticipated impact to AHC (III.D.3-X). The Tentative Budget is adopted by the board in June, and an update to the result of the Governor's May revision is provided at the July board meeting (III.D.3-X). A budget workshop is held with the Board of Trustees prior to development of the final budget. In July and August of 2015, the president and cabinet held two Board Budget Workshops, and the final budget was provided for Board of Trustee approval at the September 8, 2015 board meeting (III.D.3-X; III.D.3-X; III.D.3-X; III.D.3-X).

The college meets the standard. While there is evidence that the college integrates program review, planning, and resource allocation, improvements can be made in the clarity of the processes in order to demonstrate that they lead to institutional effectiveness. The need for improvements are based on the institution's broad based, systematic evaluation of all aspects of planning, including programs and services where human, physical, technology, and financial resources are allocated. The college will draft a Quality Focus Essay in order to improve the linkage between integrated evaluation, planning, and resource allocation to improve student learning and achievement.

### **III.D.4 Institutional planning reflects a realistic assessment of financial resource availability, development of financial resources, partnerships, and expenditure requirements.**

#### **Evidence of Meeting the Standard**

Allan Hancock College has budget processes in place, including budget scenarios and council reviews, that ensure a realistic approach to resource development and expenditures. These processes have enabled the college to remain fiscally stable, even in the recent recession years.

- III.D.4-x Income and Expenditure Assumptions
- III.D.4-x Budget Council Meeting Minutes
- III.D.4-x Budget Assumption Updates
- III.D.4-x Budget Development Guide
- III.D.4-x Annual Budget Book
- III.D.4-x Board Policy/Administrative Procedure 3280, Grant Funded Programs
- III.D.4-x Instructional Grants Annual Report, AHC Board Agenda Item 14.A.2, August 11, 2015
- III.D.4-x Acceptance of Title V AIM Grant AHC Board Agenda Item
- III.D.4-x Binns – Drennon LLC, “Development Assessment” and “Creating the Framework for Total Resource Development (TRD) at Allan Hancock College”
- III.D.4-x AHC Foundation Audit Note 10, page 13, June 30, 2015
- III.D.4-x AHC Foundation Donors and Partners, July 1, 2013 through December 1, 2015
- III.D.4-x AHC Foundation Scholarship Funding Guidelines
- III.D.4-x AHC Foundations Endowment Funding Policy
- III.D.4-x AHC Foundation Endowment Agreement

#### **Analysis and Evaluation**

##### **Financial Resource and Expenditure Requirements**

The District’s institutional planning reflects a realistic assessment of financial resources. The Budget Council develops income and expenditure assumptions for the upcoming budget year in order to project available funding to support institutional needs. Assumptions are presented using three scenarios: pessimistic, most likely, and optimistic. Income assumptions are largely based on the anticipated enrollment levels (FTES), state funding for cost of living adjustments (COLA) projected base, FON or one-time restricted funds, and categorical funding. Expenditure assumptions begin with a rollover budget and are based on staffing obligations, ongoing program needs, and prioritized expenditure plans. Changes to fixed costs, such as step/column increases, statutory payroll changes, negotiated payroll changes, and software licensing changes, are added to the base budget (III.D.4-X). During the assumptions development process, the Budget Council hosts representatives of the Enrollment Management Committee, the Facilities Council, the Technology Council, and other Councils and Committee representatives as needed to provide input and data on budget assumptions (III.D.4-X).

Once developed, the assumptions are shared with the President’s Cabinet and College Council (III.D.4-X). Budget Council meeting minutes are also available on the myHancock employee portal.

Upon the January release of the governor’s proposed state budget, the Budget Council reviews the proposal and updates the assumptions document if needed. The assumptions document becomes the basis for the Budget Development Guide providing input into the adopted budget (III.D.4-X). With adoption of the state budget, the district budget is finalized, ensuring a balanced budget that reflects agreed upon assumptions. An annual budget book is prepared and distributed to members of the Budget Council, College Council, the administrative team, and the Board of Trustees (III.D.4-X). The budget book is also available on the myHancock portal.

**Development of Financial Resources and Partnerships**

Other district revenue sources include state and federal grants that provide an opportunity to enhance financial resources and build community partnerships. When considering a grant opportunity, the college evaluates the feasibility and sustainability of the project. Consideration is given to the impact on existing resources, such as facilities, staff, and equipment, and the advancement of district mission and goals. All grants require board approval as per Board Policy 3280 “Grant Funded Programs” prior to acceptance (III.D.4-X). As of June 30, 2015 the district was managing 28 grants funded with federal, state, and foundation dollars for a total of \$12,845,000 as summarized in Table 4, below (III.D.4-X).

**Table 4**

<b>Grant Source</b>	<b>Number</b>	<b>Award Amount</b>
Federal Awards	8	\$ 9,727,000
State Awards	13	\$ 1,794,500
Federal-State Pass Through Awards	3	\$ 831,370
Private Foundation	4	\$ 496,100
<b>Total</b>	<b>28</b>	<b>\$ 12, 848, 970</b>

In September 2014, the district was awarded a Title V Advance, Innovate, Maintain (AIM) grant comprised of two activities: Increasing the Success of Basic Skills and ESL Students and Aligning Resource Development Strategies (III.D.4-X). With the aid of the AIM grant, the district has launched a program to review, coordinate, and develop institutional development activities within the district, related entities, and external partners. The district is working with Binns and Drennon, LLC. to create a framework for “Total Resource Development” at Allan Hancock College (III.D.4.-X)

The district receives significant fundraising support from the AHC Foundation, a nonprofit public benefit corporation 501(c) (3), formed in 1977 for the purpose of providing benefits to the educational programs and services for the district. The AHC Foundation manages 132 endowed funds valued at \$20.2 million as of June 30, 2015 (III.D.4-X). Donors who wish to create an endowed fund complete the AHC Foundation “Endowment Agreement,” and endowment distributions are guided by the AHC Foundation’s “Endowment Funding Policy”

(III.D.4-X; III.4-X). The AHC Foundation is very active in forging partnerships with individuals and businesses in the community to support AHC programs through fundraising activities and program specific donations (III.D.4-X). In the period from July 1, 2013 through December 1, 2015 the AHC Foundation raised \$4.7 million in new funding for scholarships and support of AHC instructional programs, as summarized in Table 5, below.

**Table 5**

<b>Allan Hancock College Foundation</b>	
AHC Programs	\$2,665,579
AHC New Scholarships	96,700
AHC Endowment	1,958,348
<b>Total</b>	<b>\$4,720,628</b>

The AHC Foundation provides scholarships to ongoing AHC students and students that are transferring to complete Bachelor's degrees. The award procedures are provided in the "Scholarship Funding Guidelines" (III.D.4-X). For the last five years, the amount has been XXX, as seen in Table 6, below.

**Table 6**

<b>Year</b>	<b>Number</b>	<b>Total Dollars</b>
<b>2014-2015</b>	<b>370</b>	<b>\$ 561,151</b>
<b>2013-2014</b>	<b>351</b>	<b>\$ 453,840</b>
<b>2012-2013</b>	<b>325</b>	<b>\$ 494,384</b>
<b>2011-2012</b>	<b>293</b>	<b>\$ 395,934</b>
<b>2010-2011</b>	<b>312</b>	<b>\$ 357,208</b>

The college meets the standard. While there is evidence that the college integrates program review, planning, and resource allocation, improvements can be made in the clarity of the processes in order to demonstrate that they lead to institutional effectiveness. The need for improvements are based on the institution's broad based, systematic evaluation of all aspects of planning, including programs and services where human, physical, technology, and financial resources are allocated. The college will draft a Quality Focus Essay in order to improve the linkage between integrated evaluation, planning, and resource allocation to improve student learning and achievement.



**III.D.5 To assure the financial integrity of the institution and responsible use of its financial resources, the internal control structure has appropriate control mechanisms and widely disseminates dependable and timely information for sound financial decision making. The institution regularly evaluates its financial management practices and uses the results to improve internal control systems.**

**Evidence of Meeting the Standard**

Allan Hancock College internal controls ensure the responsible use of financial resources. The ONESolution financial system is used to define access and approval authority based on the employee security profile established for each user. State and federal funding is applied to the appropriate unrestricted or restricted accounts according to guidelines provided by the Budget and Accounting Manual (BAM), the Chancellor's Office, and the Federal Office of Management and Budget (OMB). Financial information for all funds is provided to the Board of Trustees each month as part of the regular AHC Board of Trustees meeting. The district engages an independent audit firm to conduct annual audits, seeks recommendations for review of controls when appropriate, and incorporates recommendations that improve operations and internal controls in a timely manner.

- III.D.5-x ONESolution Access and workflow approval authorization forms
- III.D.5-x Board Policy/Administrative Procedure 6330, Purchasing & Receiving. Purchasing and Contract Guide
- III.D.5-x Board Policy/Administrative Procedure 7400, Travel
- III.D.5-x Travel Policies and Procedures
- III.D.5-x District forms: Travel Request, Travel Expense, and Reimbursement
- III.D.5-x AHC ONESolution User Guides, Purchasing, and Workflow
- III.D.5-x ONESolution training
- III.D.5-x Auxiliary Programs Corporation Quarterly Financials
- III.D.5-x Allan Hancock College Foundation Quarterly Financials
- III.D.5-x Viticulture and Enology Foundation Quarterly Financials
- III.D.5-x Measure I Bond Fund Bi-annual Financials
- III.D.5-x Budget Book 2014-2015
- III.D.5-x Thinking Out Loud newsletters, August 23, 2013; November 22, 2013; February 20, 2014; March 4, 2015; January 22, 2015
- III.D.5-x Measure I Bond Website Information
- III.D.5-x Audit Report Opinion Pages
- III.D.5-x Fiscal 2014-2015 Audit Report to AHC Board of Trustees
- III.D.5-x Bond Measure I 2015 Audit Report to AHC Board of Trustees
- III.D.5-x SAM.GOV Audit Correction
- III.D.5-x Positive Attendance Audit Correction
- III.D.5-x Positive Attendance Training Document

## **Analysis and Evaluation**

### **Financial Integrity and Internal Control**

AHC implemented ONESolution, an integrated financial and human resources software system, in 2013. In preparation for the implementation, existing and recommended internal controls were documented and incorporated into the security and authorization control functionality built in the software. Integral to internal control in ONESolution is the workflow process. Administrative Services has oversight over the assigned authorization level of expenditures and access to functionality in ONESolution and works with Information Technology Services to ensure that internal control is maintained through approved functional access and authorities granted in workflow. As personnel and organizational structures change, changes in signature authority are approved by the president and cabinet, as needed (III.D.5-X).

AHC maintains policies and procedures related to purchasing, travel, and reimbursements (III.D.5-X; III.D.5-X; III.D.5-X; III.D.5-X). Purchase requisitions are reviewed for compliance with district procedures and state or federal funding requirements, including those for grants, categorical programs, and discretionary accounts. Purchase requests are blocked by the system if sufficient resources are not available, and budgets can be reallocated through a similar on-line approval process. Prior to going live in June 2014, group classes were held weekly to train all financial system users on the new ONESolution software. User Guides were created to facilitate this process (III.D.5-X). As an on-going practice, training staff monitor new hires monthly to determine if training is needed, and sessions are scheduled accordingly (III.D.5-X).

### **Dependable and Timely Information for Decision Making**

Financial information is readily available to all campus constituencies. AHC's monthly financial statements and the quarterly financial status report (311Q) are provided to the AHC Board of Trustees, campus constituencies, and the public at the monthly board meeting. Board agendas and minutes are posted online on myHancock and the district public website. Quarterly statements are provided to the Auxiliary Programs Corporation Board, the Allan Hancock College Foundation Board, and the Viticulture and Enology Foundation (III.D.5-X; III.D.5-X; III.D.5-X). Measure I Bond Fund financials are provided at the bi-annual meetings (III.D.5.X).

All authorized ONESolution users have online access to financial information, regulated by their system authorization. This information includes approved budgets and actual spending down to the object code level, allowing managers to manage their budgets. As mentioned above, training workshops designed to enable users to access this information are provided as part of staff development activities and on an as needed basis for new employees.

During budget development, ongoing state budget updates are reviewed in the Budget Council and subsequently shared with College Council, the Administrative Team, the AHC Board of Trustees, and other interested constituencies (as discussed in Standard Section III.D.1 and III.D.3, above). An annual budget book is developed and presented as part of the budget adoption at the September Board of Trustees meeting (III.D.5-X). Budget books are

available online and in hard copy upon request to members of the Budget Council, College Council, Administrative Team, and to the president of each of the campus constituencies. The district budget document and the California Community Colleges Annual Financial and Budget Report (CCFS-311) are available in the administration building prior to budget adoption. Following adoption, copies of the adopted budget and detail printouts are available in the campus library as well as in the Office of Finance and Administrative Services.

Communications related to financial condition and budget are shared with all campus staff and constituencies through various documents, such as the president's Thinking Out Loud newsletter and budget updates from the California Community College League and the California Community Colleges Chancellor's Office (III.D.5-x).

The district also maintains a website link on its homepage for Measure I Bond information, including updates on bond projects, information on the Citizens' Oversight Committee, quarterly and annual financial reports, and the history and rationale of the bond.

### **Financial Management, Internal Control, and Improvement**

AHC engages an independent audit firm to conduct annual audits, seeks external recommendations for review of controls when appropriate, and incorporates recommendations that improve operations and internal controls in a timely manner. The AHC District and Auxiliary Organizations have a track record of accurate financial reporting, as demonstrated by unmodified opinions for the past four years (III.D.5.X). Results of the district audit report and the Bond Measure I report are presented to the AHC Board of Trustees annually.

The AHC District Audit for June 30, 2015 did identify one significant deficiency in that the district was not in compliance with the Federal Awards OMB Circular A-133 Systems and Awards Management (SAM) requirement for validation of vendors receiving more than \$25,000 in disbursements. The district responded to this deficiency immediately, and all purchase orders now require verification of the SAM.GOV check prior to approval (III.D.5-X). The audit report also noted a significant deficiency related to recording of positive attendance from the prior year ended June 30, 2014 had been corrected (III.D.5-X). This deficiency was corrected through the Academic Affairs department with a training program on how to calculate and report positive attendance (III.D.5-X). Further review and analysis on this topic is provided in Standard Sections III.D.7 and III.D.8, below.

The college meets the standard. Allan Hancock College internal controls ensure the responsible use of financial resources and dependable, timely information is provided for sound decision making. In order to promote more systematic and robust review of financial practices and internal control, the vice-president of Finance and Administration and the Director of Business Services will develop an annual schedule of process and internal control review. Areas of focus in fiscal year 2016-2017 and 2017-2018 will include a review and possible replacement of the "Escape" payroll software hosted by Santa Barbara County of Education, the point of sale and financial accounting system at the Viticulture and Enology Foundation, and the cash receipts and cash handling processes at district and auxiliary locations.

**III.D.6 Financial documents, including the budget, have a high degree of credibility and accuracy, and reflect appropriate allocation and use of financial resources to support student learning programs and services.**

**Evidence of Meeting the Standard**

AHC financial documents and the budget have a high degree of credibility and accuracy as a result of the collaborative budget development process, internal controls afforded by the ONESolution financial system, compliance with state and federal financial guidelines, and a history of positive external audit results. The AHC Strategic Plan, the program review and resource allocation processes, and institutional support of and compliance with the Student Success and Support and Student Equity Plan and other categorical funding resources ensure that financial resources are used to support student learning programs and services.

III.D.6-x Categorical Funding Report, Revised Adopted Budget, Board Agenda Item 14.S., FY 2015-2016, March 8, 2016

III.D.6-x Board Agenda Item 13.A., page 146, February 17, 2015

**Analysis and Evaluation**

**Credibility and Accuracy**

AHC has internal controls in place, which include access and approval authority based on the security profile in the ONESolution financial system. State and federal funding is applied to the appropriate unrestricted or restricted accounts according to the Budget and Accounting Manual (BAM), the Chancellor's Office, and the Federal Office of Management and Budget (OMB). Financial information for all funds is provided to the Board of Trustees each month as part of the regular AHC Board of Trustees meeting. A revised adopted budget is provided for board approval in the spring to reflect activity that has occurred in previous months better (III.D.6-x).

AHC regularly engages an independent audit firm to conduct annual audits and seeks external recommendations for review of controls when appropriate (III.D.6-X). The district incorporates recommendations that improve operations and internal controls in a timely manner as further described in Section III.D.7 and Section III.D.8.

**Appropriate Allocation and Use of Financial Resources**

As described in detail in Sections III.D.1 through III.D.4, the AHC Strategic Plan 2014-2020, program review, resource allocation processes, and institutional support of and compliance with the Student Success and Support, Student Equity Plan, and other categorical funding resources ensure resources are applied appropriately to support student learning programs and services.

The college meets the standard. Financial Documents have a high degree of credibility and accuracy and reflect appropriate allocation in support of student learning and services.

### **III.D.7 Institutional responses to external audit findings are comprehensive, timely, and communicated appropriately.**

#### **Evidence of Meeting the Standard**

The district and related entities are audited annually, and results of the audits are communicated to the appropriate governing boards and administrative personnel. Audit findings are acted on and corrected in a timely manner.

- III.D.7-1 Board Agenda Item 13.A, page 146, February 17, 2015
- III.D.7-2 Board Policy/Administrative Procedure 6400
- III.D.7-3 Board Agenda Item 13.A, District Audit Presentation, page 152, January 19, 2016
- III.D.7-4 VTD District Audit, June 30, 2015, page 88
- III.D.7-5 PR Screen Shot with SAM check
- III.D.7-6 VTD June 30, 2015 District Audit, page 90
- III.D.7-7 Positive Attendance PowerPoint Training
- III.D.7-8 Audit Report Opinion Pages

#### **Analysis and Evaluation**

##### **Results Are Communicated Appropriately**

AHC contracts with an external audit firm to provide audits of the district, the AHC Auxiliary Corporation, the AHC Foundation, the Viticulture and Enology Foundation, and the Measure I Bond Fund (III.D.7-1; III.D.7-2). Vavrinek, Trine, Day & Co. LLP are currently engaged to perform these audits. The annual district audit report is presented to the AHC Board of Trustees for review and acceptance (III.D.7-3). Audit results for the AHC Foundation and the Viticulture and Enology Foundation are reported to their respective Boards, and the Measure I Bond Fund result is reported to the Measure I Bond Fund Oversight Committee.

##### **Responses Are Timely**

The district audit for June 30, 2015 identified one significant deficiency in that the district that was not in compliance with the Federal Awards OMB Circular A-133 Systems and Awards Management (SAM) requirement for validation of vendors receiving more than \$25,000 in disbursements. The district responded to this deficiency immediately, and all purchase orders now require verification of the SAM.GOV check prior to approval (III.D.7-4; III.D.7-5). The audit report also noted a significant deficiency related to recording of positive attendance from the prior year ended June 30, 2014 had been corrected (III.D.7-6). This deficiency was corrected through the Academic Affairs department with a training program on how to calculate and report positive attendance (III.D.7-7).

AHC has a track record of accurate financial reporting, as demonstrated by unmodified opinions for the past four years (III.D.7-8). Copies of district audit reports are provided to the Board of Trustees, President's Cabinet, and the leadership of constituency groups, and a copy is on file in the library at the Santa Maria campus and Lompoc Valley Center.

The college meets the standard. Institutional responses to external audit findings are comprehensive, timely, and communicated appropriately.

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**III.D.8 The institution’s financial and internal control systems are evaluated and assessed for validity and effectiveness, and the results of this assessment are used for improvement.**

**Evidence of Meeting the Standard**

AHC annually engages an external audit firm to provide financial and compliance audits of the district, the AHC Auxiliary Corporation, the AHC Foundation, the Viticulture and Enology Foundation, and the Measure I Bond Fund. AHC also engages external auditors to assess specific operational and internal controls as needed. The external audit process and results provide opportunities for improvements in internal control systems and processes. The recent implementation of ONESolution, the institution’s financial management software, has contributed to improvement of internal controls through review of system access and authorization levels defined in the workflow process.

- III.D.8-1 Board Policy/Administrative Procedure 6400
- III.D.8-2 Audit Report Opinion Pages,
- III.D.8-3 Internal Control Narratives
- III.D.8-4 Full-Time Faculty Gross Salary Payments and Process, July 2, 2014
- III.D.8-5 ONESolution Steering Committee, CCPD, page 61
- III.D.8-6 ONESolution access and workflow authorization

**Analysis and Evaluation**

**Financial and Internal Control Systems Are Evaluated, Assessed, and Improved**

The district engages an external audit firm annually to perform audits of the district and related entities as required by Board Policy 6400 (III.D.8-1). The audits of the district have resulted in unmodified opinions, attesting to the district’s financials being presented fairly, in all material aspects. Measure I Bond financial audits and other related entities also have received unmodified audit opinions (III.D.8-2).

Internal control narratives are reviewed and updated by the district and auxiliary financial departments in preparation for the audit each year (III.D.8-3). These narratives allow the auditors to look for deficiencies in internal controls, establish testing criteria, and recommend improvements if necessary. For fiscal years 2009-2010 through 2014-2015, district and auxiliary audits have not had any material findings related to internal controls.

In response to concerns expressed by district full-time faculty, the district engaged an external auditor in July 2014 to review the accuracy and validity of gross salary payments to full-time faculty members for the fall 2012, spring 2013, and summer 2013 semesters. The outcome of the review was provided to representatives of the full-time faculty, and recommendations included in the report were used to improve procedures (III.D.8-4).

In 2013, the district implemented ONESolution, an integrated financial and human resources software system. A steering committee comprised of finance, human resources, and information systems personnel guided the implementation process (III.D.8-5). As part of the

implementation process, existing and recommended internal controls were documented and incorporated into the security and authorization control function in the software. Integral to internal control in ONESolution is the workflow process. Administrative Services has oversight over assigned authorization level of expenditures and access to functionality in ONESolution and works with Information Technology Services to ensure that internal control is maintained through access and authorities granted in workflow. As personnel and organizational structures change, changes in signature authority are approved by the president and cabinet, as needed (III.D.8-6).

The college meets the standard. Financial and internal control systems are evaluated and assessed for validity and effectiveness, and the results of this assessment are used for improvement.

As noted in improvement plans in Standard III.D.7, in order to promote more systematic and robust review of financial practices and internal control, the vice-president of Finance and Administration and the Director of Business Services will develop an annual schedule of process and internal control review.

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**III.D.9 The institution has sufficient cash flow and reserves to maintain stability, support strategies for appropriate risk management, and, when necessary, implement contingency plans to meet financial emergencies and unforeseen occurrences.**

**Evidence of Meeting the Standard**

AHC has sufficient cash flow and reserves to ensure stability and risk management support in place to guard against unforeseen claims against the district. The district is able to meet financial emergencies or unforeseen challenges due to strong financial reserves.

- III.D.9-1 Budget Book, FY 2014-2015, page 7
- III.D.9-2 Board Agenda Item 11.B, Fourth Quarter Financial Status Report, August 11, 2015
- III.D.9-3 Monthly District Financial Reports, Information Board Item
- III.D.9-4 Cash - Balances by Fund, October 23, 2014; May 31, 2015; July 30, 2015
- III.D.9-5 Cash Management Plan
- III.D.9-6 Board Agenda Item 13.A, October 13, 2015, page 116
- III.D.9-7 Restated Joint Powers Agreement of Santa Barbara County Schools Self-Insurance Program for Employees (“SIPE”), effective July 1, 2013, Item 19
- III.D.9-8 Board meeting minutes, agenda item 6.A. August 11, 2011
- III.D.9-9 Board meeting minutes, agenda item 3.E, February 2, 2012 and agenda item 11.A, February 21, 2012
- III.D.9-10 Board meeting minutes, September 8, 2015, page 16
- III.D.9-x Board Policy/Administrative Procedure 6540, Risk Management
- III.D.9-11 SWACC, Memorandum of Coverage
- III.D.9-12 Audit Report, Year Ended June 30, 2015, page 44 and 45
- III.D.9-13 Measure I Bond Construction and Technology, Cash Flow Projection, June 30, 2015
- III.D.9-14 Measure I Citizens’ Oversight Committee Meeting, Quarterly Financial Report
- III.D.9-15 Citizens’ Oversight Committee, Bond Measure I meeting agendas
- III.D.9-16 Standard & Poor’s Summary: Allan Hancock Joint Community College District, California; General Obligation, November 13, 2013
- III.D.9-17 Moody’s Investors Service report, November 12, 2013
- III.D.9-18 Standard & Poor’s Summary: Allan Hancock Joint Community College District, California; General Obligation, September 23, 2014
- III.D.9-19 Moody’s Investors Service report, September 23, 2014

**Analysis and Evaluation**

General apportionment is the primary funding source for the general fund. The projection and management of FTES is crucial to determining financial resources available to the district. The Budget Council looks at district FTES funding caps, FTES thresholds by college size, and projects FTES funding needs as part of the income and expenditure development process. This information is summarized in the annual budget book (III.D.9-1). The remaining revenue sources are from the state lottery, interest, and non-resident tuition. AHC

is dependent on the timely receipt of state apportionment. When apportionment is deferred, AHC has contingency plans to manage cash shortfalls. Routine monthly and quarterly financial reports (311 Q) track revenue and expenditures and ensure compliance with the annual budget (III.D.9-2; III.D.9-3).

The vice president of Finance and Administration and the director of Business Services routinely review available cash balances. Weekly reports from the County Treasury office provide current cash balances maintained at the Treasury (III.D.9-4). Funds maintained in local banks are reconciled, and balances are monitored on a regular basis.

In the event cash balances in the general fund-unrestricted are lower than necessary to meet payroll and vendor obligations, the district has liquid funds available for short-term borrowing. Detailed cash flow projections are completed when it appears likely that cash reserves are inadequate to meet current needs (III.D.9-5).

AHC has managed past deficits using two methods of short-term financing: inter-fund borrowing and Tax Revenue and Anticipation Notes (TRANs). Inter-fund borrowing is limited to funds holding liquid assets available for short-term lending. The district maintains funds outside of the general fund that are available for inter-fund borrowing on a temporary basis. These funds and their year-end balances from fiscal year 2012-2013 through the projected year-end fiscal year 2015-2016 are listed in Table 7 below.

**Table 7**

**Allan Hancock College  
Alternate Sources of Liquidity**

<b>Reserves by Fund Type</b>	<b>Fund balance</b>	<b>Fund balance</b>	<b>Fund balance</b>	<b>Projected</b>
	<b>as of 6/30/13</b>	<b>as of 6/30/14</b>	<b>as of 6/30/15</b>	<b>Fund balance as of 6/30/16</b>
Capital Outlay Project Fund	4,378,668	4,814,019	6,108,901	5,003,689
Post-Employment Benefits Fund	5,343,847	6,312,694	307,023	753,023
Bookstore Fund	1,430,351	1,439,661	1,461,894	1,432,159
Property/Liability Self Insurance Fund	1,074,451	1,082,919	1,183,669	924,669
Dental Self Insurance Fund	959,500	1,148,663	1,270,333	1,272,334
Restricted General Fund	6,729,788	6,830,989	7,441,514	8,199,078
AHC Foundation	18,027,830	23,142,237	22,924,001	25,858,743
	<b>\$ 37,944,435</b>	<b>\$ 44,771,182</b>	<b>\$ 40,697,335</b>	<b>\$ 43,443,695</b>

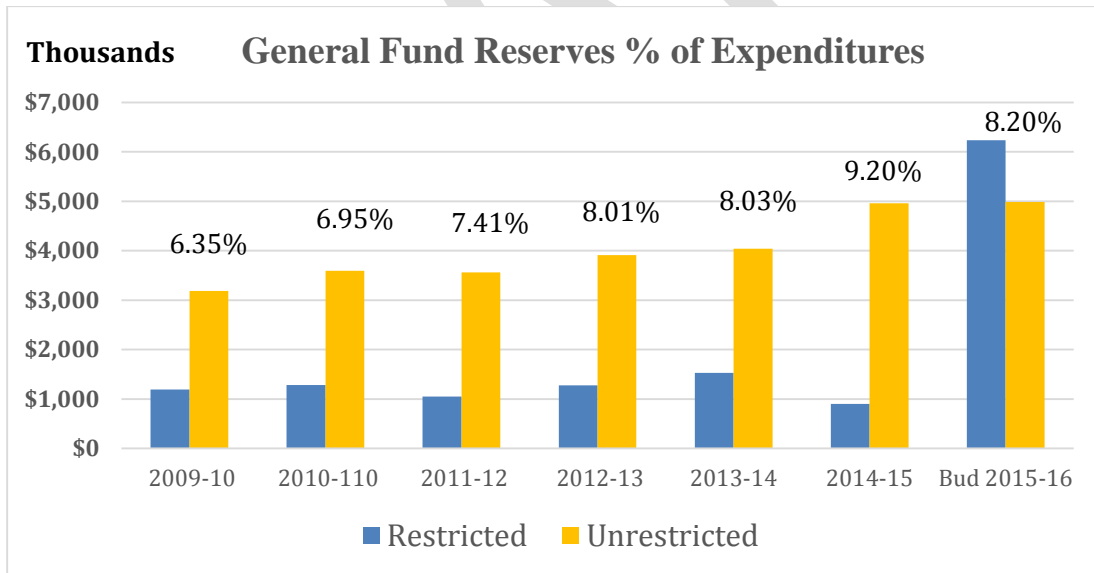
The last TRAN issued by the college was a mid-year issuance in the amount of \$2,145,000 in April 2010. The TRAN was repaid in February 2011. Following an analysis of the costs associated with a TRAN issuance and the eligibility calculation, AHC chose not to issue a TRAN in FY 2011- 2012 as cash balances for the upcoming year and the district's eligibility would have been limited to approximately \$1,000,000.

As part of the cash flow contingency plan, the district requests authorization annually from the Board of Trustees to borrow up to 60 percent of the District's equity in the Self Insurance Program for Employees (SIPE) workers' compensation Joint Powers of Authority (JPAs) if

needed for cash flow purposes (III.D.9-6). This arrangement is outlined in the SIPE JPA agreement (III.D.9-7). At the time of peak state deferrals, the unrestricted general fund borrowed from the Capital Outlay Fund and the Health Exams Fund. The funds were repaid on a timely basis.

The California Community College Chancellor’s Office recommends maintaining a minimum prudent fund balance of five percent. In August 2011, for the 2011-2012 fiscal year, the AHC Board of Trustees directed the district to develop a budget with a minimum 6.5 percent reserve to ensure that reserves did not fall below five percent during the budget year (III.D.9-8). The general fund expenditure budget was reduced during this year as a result of anticipated base apportionment funding reductions. At a Special Board Meeting on February 2, 2012, the Board of Trustees reiterated the importance of maintaining the current reserve dollars, in absolute dollar terms, recognizing that the reserve percentage might need to be increased to reflect needed reserves better. The Board of Trustees directed administration to develop a plan for the district to achieve a ten percent reserve level within a realistic timeframe (III.D.9-9). In compliance with this recommendation, the Budget Council established a guiding principle that the adopted budget should include a reserve as directed by the AHC Board of Trustees. The general fund unrestricted reserve has gradually increased towards the District’s ten percent goal, as evidenced in Table 8 below:

**Table 8**



In fiscal year FY 2015-2016, AHC will receive a total of \$5.3 million in mandate claims with no restrictions or match requirements. The Board of Trustees has directed the district to reserve these funds to ensure funding stability as AHC attempts to increase enrollment, maintain mid-size college status, and mitigate increasing operational expenditures and deferred maintenance (III.D.9-10). Quarterly Financial Status Reports (CCFS-311Q) demonstrate that the general fund quarterly ending cash balance exceeds the Chancellor’s prudent minimum reserve level and is sufficient to meet the AHC’s obligations, as well as unforeseen emergencies.

District Board Policy and Administrative Procedure 6540 provide the guidelines for management of risk and potential liability (III.D.9-x). To minimize exposure to loss due to theft, damage, or destruction of assets; errors and omissions; natural disasters; and injuries to employees, AHC participates in three Joint Powers of Authority (JPAs): Bay Area Community College District (BACCD); the Statewide Association of Community Colleges (SWACC), and the Self Insurance Program for Employees (SIPE) (III.D.9-11; III.D.9-7). The settled claims as of the June 30, 2015 audit have not exceeded the JPA coverages for the prior three years (III.D.9-12).

AHC has maintained stability and has successfully addressed financial emergencies and unforeseen circumstances. State deferrals in apportionment funding to community colleges in FY 2012-2013 were \$961 million statewide, and AHC experienced \$5.5 million in deferred state apportionment payments. Subsequent inter-year deferrals of \$300 million statewide impacted AHC cash flow by \$970,000 for FY 2013-2014. All deferrals have been eliminated as of the FY 2015-2016 budget year.

With voter approval of Bond Measure I in June 2006, the district issued its first bond series in September 2006. The college developed a process to project and monitor cash flow needs for both construction and technology programs. The report is prepared with direction from the vice president of Facilities and Operations and is provided to the vice president of Finance and Administration on a quarterly basis (III.D.9-13). The report aids in identifying timing for additional bond series based on construction progress and program expenditure requirements. Quarterly reports are also provided to the Citizens' Oversight Committee (COC) at their Quarterly (now bi-annual) meetings (III.D.9-14; III.D.9-15).

AHC's cash management planning has provided stability and necessary cash flow to meet these obligations with reliance on only short-term inter-fund borrowing. AHC reserves have remained strong, and the unrestricted portion of the general fund reserves has grown in a steady and controlled fashion.

The report issued by Standard & Poor's relative to a new bond series advises the district that its credit rating was increased to a Long Term Rating of AA/Stable (III.D.9-16). The report indicates that the rating reflects the district's "strong financial management assessment due to prudent financial planning and consistently managing to very strong general fund reserves." The agency notes that in their view, "the district has demonstrated its ability to manage a decline in state funding." Moody's, in their report, also noted that their reaffirmation of the college's Aa2 rating was partially based on strong financial position and management, stable cash position, and the ability to manage unfunded FTES (III.D.9-17). These ratings were reaffirmed by both agencies when the district issued General Obligation Refunding Bonds in November 2014 citing strong financial management, strong reserves, and proactive management of OPEB liability as part of the rationale for the rating (III.D.9-18; III.D.9-19).

The college meets the standard. The institution maintains stability through systematic management of reserves and cash flow, manages risk appropriately, and has contingency plans in place to weather financial emergencies.

**III.D.10 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.**

**Evidence of Meeting the Standard**

AHC practices effective oversight of finances. The district's financial organization provides financial processing, budget development, reporting, and internal control review for district operations, including financial aid, grants, externally funded programs, contractual relationships, and institutional investments and assets. The financial oversight extends to district auxiliary organizations and the AHC Foundation. Each entity has a Board of Directors that meets regularly to review operational activities, financial performance, and applicable funding and investment activities.

- III.D.10-1 Board Agenda Item 14.I, pages 211-222, September 8, 2015
- III.D.10-2 CCFS-311, Annual Financial and Budget Report, Actual 2014-2015, Budget 2015-2016
- III.D.10-3 Cohort Default Rate Notification Letter dated February 2016
- III.D.10-4 Board Policy/Administrative Procedure 3280, Grant-funded Programs
- III.D.10-5 Board of Trustees Action Item 12.A, September 9, 2014
- III.D.10-x Grant Compliance Reporting
- III.D.10-x Student Equity Expenditures Report 2014-2015
- III.D.10-6 Board of Trustees Item 13.C, pages 143-146, March 9, 2016
- III.D.10-7 AHC Auxiliary Programs Corporation Articles of Incorporation, Bylaws, and Operating Agreement
- III.D.10-8 AHC Viticulture and Enology Foundation Articles of Incorporation, Bylaws, and Operating Agreement
- III.D.10-9 AHC Foundation Articles of Incorporation, Bylaws, and Operating Agreement
- III.D.10-10 Board of Trustees Action, Item 9.D., December 8, 2015
- III.D.10-x Allan Hancock College Bookstore Analysis 2014, April 18, 2014
- III.D.10-x AHC Bookstore Income Statements
- III.D.10-x Allan Hancock College Bookstore Analysis 2015, April 13, 2015
- III.D.10-x Request for Proposal for Management of the District Bookstore, September 3, 2015
- III.D.10-x Analysis of District Bookstore Proposals October 21, 2015
- III.D.10-x Presentation to College Council Bookstore Taskforce Recommendation December 7, 2015
- III.D.10-x Award of Contract for Management of District Bookstore, RFP 16-102, Board Agenda Item 13.C. January 19, 2016
- III.D.10-11 AHC Viticulture and Enology Foundation Special Board Meeting Agenda and Minutes, March 10, 2014
- III.D.10-16 AHC Foundation Investment Policy dated June 23, 2015
- III.D.10-17 Investment Committee Meeting Agenda and Minutes, June 23, 2015, Item 7.C
- III.D.10-18 Investment Committee Meeting Agenda and Minutes, June 24, 2014, Item 7.D
- III.D.10-19 Santa Barbara County Treasurer, Investment Policy Statement, July 2012

- III.D.10-20 Agenda of the Santa Barbara County Treasury Oversight Committee, July 27, 2015
- III.D.10-21 Board Agenda Item 11.C, FDIC Thresholds, pages 85-87, February 17, 2015
- III.D.10-22 Rabobank Contract for Deposit of Monies

### **Analysis and Evaluation**

#### **Effective Oversight of Finances**

The AHC Department of Administrative Services and the Department of Business Services provide financial oversight for district operations, including financial aid, grants, externally funded programs, and contractual relationships. These offices also oversee the management of district assets and investments.

The AHC Board of Trustees receives monthly financial reporting on district unrestricted and restricted, auxiliary, AHC Foundation, and special fund activity. This monthly review allows for discussion of progress against budgets, institutional plans, or any anomalies in the financial statements (III.D.10-1). To meet state budget reporting requirements, the Administrative Services office prepares the CCFS-311, an annual financial and budget report which is submitted to the California Community Colleges Chancellor's Office (III.D.10-2).

#### **Financial Aid**

The district's Financial Aid program has not required review by the U.S. Department of Education because of ongoing compliance. The district was notified by ACCJC that it was being assigned a category R (Referred) and would undergo a more comprehensive analysis of AHC's financial condition by the ACCJC's Financial Reviewers. One of the reasons cited for the review was "excessive Federal Student Loan default rates." Following the review, it was determined that no additional action or reporting was required by the district. In a February 29, 2016 letter from the United States Department of Education, the district was notified that the 2013 three-year default rate had dropped to 17.9% (III.D.10-3).

#### **Grants, External Funding, and Contracts**

The Business Services and Institutional Grants departments follow district policies and procedures for contract and grant applications (III.D.10-4). Grant applications require board review for submission and require approval to receive funding prior to acceptance (III.D.10-5). Grants specialists in Business Services and the staff in Institutional Grants assist grant coordinators to develop and monitor grant budgets. The grants specialists check to ensure expenditures are in compliance with applicable grant regulations and within annual budgets prior to approving expenditures in the ONESolution purchasing system. Compliance reporting is provided to the appropriate state or federal agency as required by the grant guidelines (III.D.10-x).

Restricted funds originating from the state or federal government are managed by the Business Services department. The grants specialists work with the various categorical, Student Success and Support, and Student Equity program administrators to develop annual budgets. The grants specialists check to ensure expenditures are in compliance with applicable program regulations and within annual budgets prior to approving expenditures in

the ONESolution purchasing system. Compliance reporting is provided to the appropriate state or federal agency as required (III.D.10-x). AHC has not been audited by state or federal auditors between FY 2009–2010 and FY 2014–2015.

The AHC Board of Trustees provides authorization to specific employees who may act as agents of the institution for contract approval. This authorization is updated by the AHC Board of Trustees annually (III.D.10-6). This authorization is in conformance with Section 81655 of the California Education Code.

### **Auxiliary Organizations and Foundations**

The AHC Administrative Services department and Auxiliary Accounting Services provide financial oversight for the AHC Auxiliary Programs Corporation, the AHC Viticulture and Enology Foundation, and the AHC Foundation. These corporations were formed under the requirements of Title 5. Each corporation has approved articles of incorporation, bylaws, and operating agreements with the district (III.D.10-7; III.D.10-8; III.D.10-9). The AHC superintendent/president, vice president of Finance and Administration, and Board of Trustees members sit on the boards, in rotation, as determined at the annual organizational meeting (III.D.10-10).

The Auxiliary Programs Corporation includes the Associated Student Body Government (ASBG), athletics, student clubs, the AHC Bookstore, and the Pacific Conservatory of the Performing Arts (PCPA). The Auxiliary Programs Corporation Board meets quarterly to review auxiliary operations and financial statements. The board is comprised of AHC's superintendent/president, the vice president of Finance and Administration, one academic administrator appointed by the superintendent/president, one regular faculty member nominated by the Academic Senate, and one student member nominated by ASBG.

In December of 2013, the vice-president of Finance and Administrative Service engaged an independent service to evaluate the Auxiliary Bookstore operations (III.D.10-X). The operation had been losing money in its efforts to make textbooks affordable and incurred losses of \$31,205 in FY 2011-2012 and \$283,531 in FY 2012-2013 (III.D.10-X). This was not only a drain on reserves, but the Auxiliary Corporation by-laws state that the AHC Bookstore will provide the AHC Student Body Government with 1.6% of annual sales for funding student government activities. As sales volume decreased, the support levels dropped from \$51,322 in FY 2010-2011 to just \$37,347 FY 2013-2014.

College Council initiated a shared-governance task force in December of 2014 with the charge of evaluating the options and making a recommendation whether to salvage the operation or outsource the service. A follow-up review of possible improvements to Bookstore operations versus possible results from outsourcing was commissioned and was completed on April 13, 2015. The task force reviewed the analysis and agreed to generate a request for proposal (RFP) for management of the district Bookstore (III.D.10-X). The RFP was necessary to provide a realistic assessment of possible options. The independent service reviewed the proposals and provided feedback to the task force in October of 2015 (III.D.10-X).

The task force recommended that the service be outsourced. A presentation describing the review and analysis by the task force and the recommendation to outsource was provided to College Council on December 7, 2015, and there was consensus on moving forward to the AHC board with the recommendation to outsourcing (III.D.10-X). Through the bidding process, Follett Higher Education was selected as the service provider. Follett agreed to provide a minimum guarantee far exceeding the AHC Bookstore self-operating profitability. The district Board of Trustees approved the recommendation on January 19, 2016 (III.D.10-X). The operation changed hands on March 22, 2015.

The AHC Viticulture and Enology Foundation incorporated in FY 2013-2014. The organizational meeting was held on March 10, 2014 (III.D.10-11). The board is comprised of the AHC superintendent/president, vice president of Finance and Administration, dean of the Life and Physical Sciences Program, coordinator of the Agricultural Business Program, and an at-large director appointed by the AHC Board of Trustees. The foundation's purpose is to support the college's educational and cultural programs in the areas of Agribusiness, Viticulture, and Enology, as well as to operate certain facilities related to such programs. The board meets quarterly to review operations and financial status.

AHC receives significant fundraising support from the AHC Foundation, a nonprofit public benefit corporation (501(c) (3), formed in 1977 for the purpose of providing benefits to the educational programs and services of AHC.

The AHC Foundation Board meets quarterly. A trustee of the AHC board, the superintendent/president, vice president of Finance and Administration, a faculty member, and a student representative sit on the AHC Foundation Board of Directors to provide continuity with district activities. The Auxiliary Accounting Services office manages financial processing and reporting on operating and investment activities for the AHC Foundation.

The AHC Foundation Investment Committee oversees foundation investments to comply with the AHC Foundation Investment Policy (III.D.10-16). The investment policy is reviewed regularly and updates it as necessary (III.D.10-17; III.D.10-18). The AHC Executive Committee oversees development and performance of the foundation's annual budget. The Investment and Executive Committees meet regularly; financial reports, investments, and outstanding issues are discussed at these meetings.

### **Institutional Investments and Assets**

The majority of the district's cash is maintained in the Santa Barbara County Treasury, which follows all government code requirements (III.D.10-19). The district has a long history of having a representative serve on the Santa Barbara County Treasurer's Office Oversight Committee and receives regular reports related to the Treasury Office's investment activity (III.D.10-20).

District investments are either in the county treasury, accounts related to governmental programs, or in accounts approved by the Board of Trustees, clearing and revolving cash accounts. Funds from trust, fiduciary, and auxiliary operations are deposited in separate bank



accounts. The Board of Trustees annually reviews and approves all district bank accounts to ensure they meet either Federal Deposit Insurance Corporation insurance thresholds or are fully collateralized by the holding bank (III.D.10-21). Agreements are kept on file (III.D.10-22).

The college meets the standard. The college practices effective oversight of related auxiliaries and foundations as well as federal, state, and private funding requirements.

In order to ensure compliance with recently enacted Federal Uniform Grant Guidelines (2014), grants management personnel in the Business Services Department will review and update all procedures and reporting in fiscal year 2016-2017.

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**III.D.11 The level of financial resources provides a reasonable expectation of both short-term and long-term financial solvency. When making short-range financial plans, the institution considers its long-range financial priorities to assure financial stability. The institution clearly identifies, plans, and allocates resources for payment of liabilities and future obligations.**

**Evidence of Meeting the Standard**

To ensure short and long term financial solvency, AHC has established institutional goals for maintaining adequate financial reserves. The Budget Council addresses short-term and long-range financial priorities and provides recommendations to the institution for funding of liabilities and future obligations during the budget development process. The development process is interactive with various councils, cabinet, and the Board of Trustees and is transparent to AHC constituencies. Institutional obligations are clearly identified in the annual Budget Book, in cabinet meetings, and at the monthly Board of Trustee meetings. External audits of the district and related component organizations are performed annually.

- III.D.11-1 Guiding Principles for FTES Management
- III.D.11-2 Budget Development Guiding Principles
- III.D.11-3 Technology Maintenance/Licenses Outlook 2010-2017
- III.D.11-4 FY 2015-2016 Budget Development Income and Expenditure Assumptions
- III.D.11-5 Public Safety Operational Cost Framework October 2013
- III.D.11-6 FY 2014-2015 Budget Development Income and Expenditure Assumptions
- III.D.11-7 Board Presentation Framework Update
- III.D.11-8 Agendas for Public Safety Plan update
- III.D.11-9 Budget Book Fiscal Year 2015-2016

**Analysis and Evaluation**

**Financial solvency**

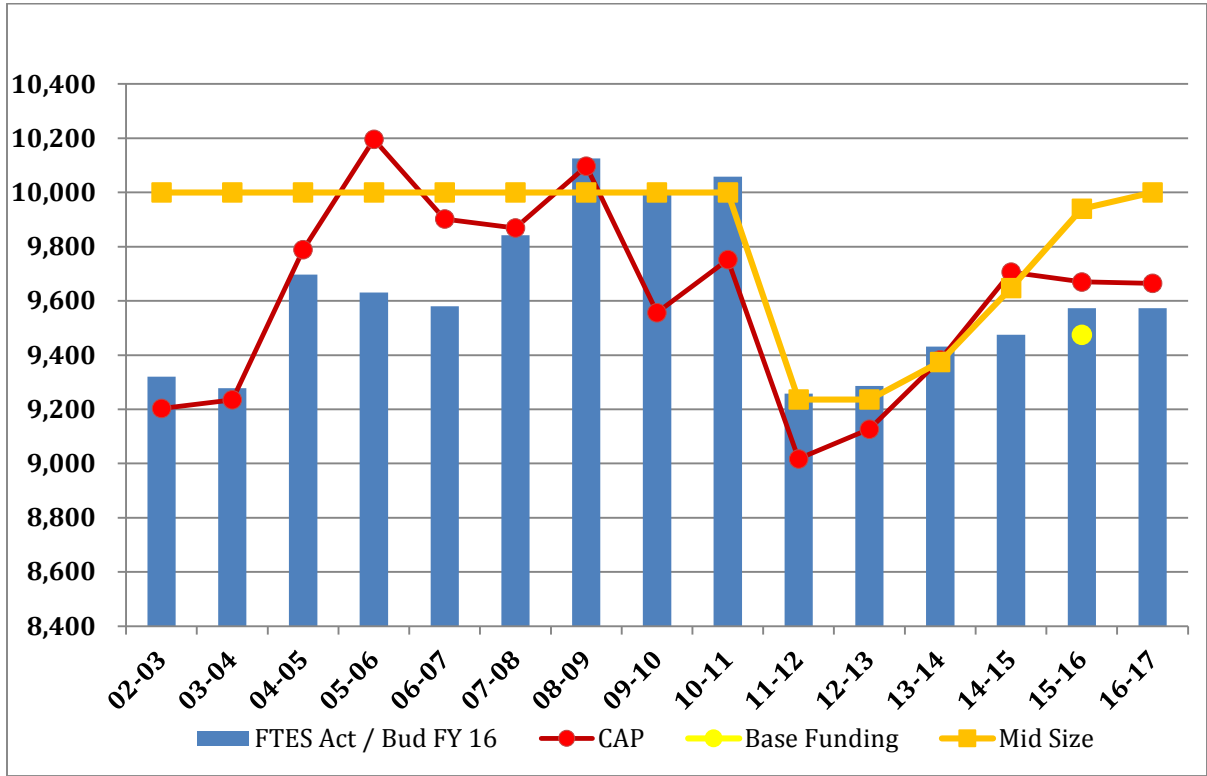
General apportionment is the primary funding source for the general fund. The projection and management of FTES is crucial to determining financial resources available to the district. The Budget Council looks at district FTES funding caps, FTES thresholds by college size, and projects FTES funding needs as part of the income and expenditure development process.

The Enrollment Management Committee assesses the district’s ability to achieve these proposed funding goals based on student demand and program capacity. These enrollment goals are shared with the Academic Affairs department to ensure they are consistent with program reviews and the Educational Master Plan. Facilities Council is consulted to evaluate facilities and maintenance needs, capacity utilization, and impacts of Bond Measure I.

The Enrollment Management Committee follows established “Guiding Principles for FTES Management,” and they are reviewed for currency annually. These provide a framework for FTES assessment (III.D.11-1). Growth projections have proven to be realistic in FY 2009-

2010 through FY 2013-2014 though AHC has experienced a decline in enrollment in FY 2014-2015 and missed the mid-size college target of 9,647 FTES, see Table 9 below.

**Table 9**



**FTES History**

	02-03	03-04	04-05	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16	16-17
FTES Act / Bud FY 16	9,321	9,278	9,696	9,630	9,580	9,842	10,126	10,001	10,059	9,258	9,286	9,431	9,475	9,573	9,573
CAP	9,203	9,235	9,789	10,196	9,902	9,869	10,097	9,557	9,752	9,017	9,127	9,383	9,706	9,670	9,665
Stability Funding														9,475	
Mid-size College	10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000	9,236	9,236	9,375	9,647	9,940	10,000

The Budget Council follows the “Guiding Principles for Budget Development” to provide guidance for budget development. One principle states that the allocation of resources shall “meet the legal, contractual, and accreditation obligations of the college.” In January 2016, the guiding principles were amended to include a provision to fund for future increases in CalPERS and CalSTRS as the first budget priority in budget development (III.D.11-2).

Other short and longer term funding obligations, such as lease agreements, technology license fees, and maintenance agreements; institutionalization of grant funded staff positions; and retiree health benefits are reviewed and incorporated during budget development as needed (III.D.11-3; III.D.11-4).

Passage of Bond Measure I in 2006 allowed AHC to make significant improvements to existing buildings and build new, more efficient buildings. The Budget Council takes changes to utility and insurance expenses into consideration when developing the annual budget assumptions document.

One of the major Bond Measure I construction projects is the new Public Safety Training Complex, located at the Lompoc Valley Center. The district developed the Operational Cost Framework to estimate the cost of operating and maintaining the new facility (III.D.11-5). The report projected three fiscal years beginning in FY 2012-2013 which was the last fiscal year Public Safety programs operated from the south campus facilities in Santa Maria. Identified cost increases were included in the budget assumption document for 2014-2015 (III.D.11-6).

The Board of Trustees received an updated financial review of the Public Safety Training Complex operations through mid-year FY 2014-2015 in April 2015, and an updated plan and budget is in progress (III.D.11-7; III.D.11-8). Revenues and expenditures derived from this plan will be included in the FY 2016-2017 budget.

AHC's Budget Council reviews the projections and includes changes to projected costs for the budget year on the budget assumptions document (III.D.11-4; III.D.11-6). The budget assumptions document provides the basis for development of the tentative and final budget in September. The budget development assumptions and budgets for the 21 AHC funds are compiled into the Budget Book annually (III.D.11-9).

The college meets the standard. Financial stability is a consideration in short and long term planning. The college plans for and clearly communicates actions taken to provide for solvency. These actions are reflected in the annual financial audit, the budget book, and on-going communication with the Board of Trustees, cabinet, and the council and committee structure.

**III.D.12 The institution plans for and allocates appropriate resources for the payment of liabilities and future obligations, including Other Post-Employment Benefits (OPEB), compensated absences, and other employee related obligations. The actuarial plan to determine Other Post-Employment Benefits (OPEB) is current and prepared as required by appropriate accounting standards.**

**Evidence of Meeting the Standard**

AHC plans for and allocates resources for payment of future liabilities each year in the budgeting process. The Other Post-Employee Benefits (OPEB) actuarial plan is current and is used to determine current and future liabilities of the district.

- III.D.12-1 District Annual Audit Report, June 30, 2015, pages 36 and 38
- III.D.12-2 Adopted Budget, 2015-2016, OPEB, pages 15 and 16
- III.D.12-3 Board Agenda, Item 13.K, October 21, 2014, pages 182-183
- III.D.12-4 Board Agenda, Item 12.C, November 18, 2014, page 147
- III.D.12-5 Board Agenda, Item 15.C, December 9, 2014, page 104, Evidence
- III.D.12-6 Board Agenda, Item 13.D, January 20, 2015, pages 119-121
- III.D.12-7 Retirement Board of Authority Organizational meeting agenda March 24, 2014
- III.D.12-8 Benefit Trust Company Statement, June 30, 2015
- III.D.12-9 Actuarial Report dated February 28, 2016, pages 8 and 9
- III.D.12-10 Compensated Absences FY 2015
- III.D.12-11 CSEA Collective Bargaining Agreement, Article 14, Vacation
- III.D.12-12 District Journal Entry dated June 30, 2014

**Analysis and Evaluation**

The institution plans for and allocates appropriate resources for the payment of liabilities and future obligations.

The district's FY 2014-2015 audit report reflects total long-term liabilities in the amount of \$183,085,627 (III.D.12-1). Of this total, \$145,288,506 is due to general obligation bonds issued through June 30, 2015, including \$9,738,543 related to unamortized bond premiums. Repayment of these voter-approved bonds is an obligation of the taxpayers within the district boundaries. \$36,622,243 relates to pension liabilities for CalPERS and CalSTRS, resulting from implementation of newly enacted Governmental Accounting Standards Board (GASB) Statements numbers 68 and 71 for the fiscal year which ended June 30, 2015. The OPEB obligation for the year is zero as a result of funding the OPEB trust, and \$1,174,878 is related to compensated absences.

In 2004, the Governmental Accounting Standards Board (GASB) issued statement 45, "Accounting and Financial Reporting by Employers for Post-Employment Benefits Other Than Pensions," which requires public agencies to report their costs and obligations pertaining to health and other benefits of current and future retired employees. Under this statement, these benefits must be recognized as a current cost during the working years of an

employee. Further, each agency is to identify and disclose the benefits as an expense and, to the extent not pre-funded, as a liability on its financial statements. The effective date of the GASB 45 requirements was phased in over three years based on the district's annual revenues. The implementation year for Allan Hancock College was 2008-2009.

GASB 45 requires that the district has actuarial studies performed on a regular cycle. During fiscal year 2004-2005, Total Compensation Systems, Inc. (TCS) analyzed liabilities associated with Allan Hancock College's current retiree health program as of July 1, 2004. Following a review of that report, the Budget Council recommended that the future service liability be funded by implementing a benefit rate applied to applicable salaries effective July 1, 2006. The Budget Council also recommended that past service liability reserves be established and funded by allocating mandated cost claim reimbursements from the state when received and that at least a portion of the Certificate of Participation debt obligation funding that was relieved also be directed for this purpose. This funding arrangement was established as part of the annual budgeting process (III.D.12-2).

A recommendation for establishing an irrevocable trust for OPEB liabilities was presented to the Board of Trustees in November of 2014. Over the course of four meetings, information about the FUTURIS Trust Program was provided, and the board approved and adopted a resolution to create the trust (III.D.12-3; III.D.12-4; III.D.12-5; III.D.12-6). AHC established the irrevocable trust and a Retirement Board of Authority for oversight of OPEB assets in March 2015 (III.D.12-7). OPEB reserves in the amount \$7,214,824 were transferred to the trust in June 2015 (III.D.12-8).

As of July 1, 2015 the Actuarial Present Value of Total Projected Benefits (APVTPB) was \$9,132,545. The past service and future service liabilities are separately identified. The Past Service Liability (Actuarial Accrued Liability) was estimated to be \$8,158,875, and the Future Service Liability (Normal Cost) was calculated to be \$973,670 and is yet to be earned by active employees for service from July 1, 2015 through retirement. AHC will continue to reserve the Annual Required Contribution (ARC) of \$217,395, as calculated in the July 1, 2015 Actuarial Report (III.D.12-9). This funding will continue to come from a defined percentage of applicable salaries in compliance with established practice. The anticipated 6% earnings of the trust will allow AHC to reallocate \$245,000 that had been dedicated to funding the OPEB reserve. The Budget Council is proposing this funding be applied towards a reserve for projected increases in CalPERS and CalSTRS rates employer contributions.

AHC will continue reserving the Annual Required Contribution (ARC) of \$217,395, as calculated in the July 1, 2015 Actuarial Report (III.D.12-8). This funding will continue to come from a defined percentage of applicable salaries in compliance with established practice. The anticipated 6% earnings of the trust will allow AHC to reallocate \$245,000 that had been dedicated to funding the OPEB reserve. The Budget Council is proposing this funding be applied towards a reserve for projected increases in CalPERS and CalSTRS rates employer contributions.

AHC reviews outstanding vacation accruals annually. The total value of compensated absences as of June 30, 2015 is \$1,174,878 (III.D.12-10). This amount is reflected in the

annual audit report (III.D.12-1). The liability for classified employees with vacation day balances in excess of one year are also recognized, in compliance with the CSEA Collective Bargaining Agreement (III.D.12-11). The total liability as of June 30, 2015 was \$76,881 (III.D.12-12).

The college meets the standard. The institution plans for and allocates appropriate resources for the payment of liabilities and future obligations.

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**III.D.13 On an annual basis, the institution assesses and allocates resources for the repayment of any locally incurred debt instruments that can affect the financial condition of the institution.**

**Evidence of Meeting the Standard**

AHC does not carry any locally incurred debt.

**Analysis and Evaluation**

DRAFT



**III.D.14 All financial resources, including short- and long-term debt instruments (such as bonds and Certificates of Participation) auxiliary activities, fund-raising efforts, and grants, are used with integrity in a manner consistent with the intended purpose of the funding source.**

**Evidence of Meeting the Standard**

AHC's Board of Trustees, the superintendent/president, the vice-president of Finance and Administration, and the AHC Business Services Department provide effective financial oversight to ensure that financial resources are used with integrity and for their intended purpose.

- III.D.14-1 Citizens' Oversight Committee Meeting February 3, 2015
- III.D.14-2 Bond Measure I Financial Audit, June 30, 2015
- III.D.14-3 2015 Annual Report to the Board of Trustees, Bond Measure I Citizens' Oversight Committee
- III.D.14-4 Minutes of the November 4, 2014 meeting of the Citizens' Oversight Committee, Bond Measure I
- III.D.14-5 Board Policy/Administrative Procedure 3280, Grant Funded Programs
- III.D.14-6 Allan Hancock College District Audit, June 30, 2015
- III.D.14-7 PCPA Financial Audit, June 30, 2015
- III.D.14-8 Viticulture and Enology Foundation Audit, June 30, 2015
- III.D.14-9 Allan Hancock College Foundation Audit, June 30, 2015
- III.D.14-10 AHC Foundation Investment Policy dated June 23, 2015
- III.D.14-11 Investment Committee meeting agenda and minutes, June 23, 2015, Item 7.C.
- III.D.14-12 Investment Committee meeting agenda and minutes, June 24, 2014, Item 7.D.
- III.D.14-x AHC Board Agenda Item 6.A. "Boyd Estate Donation", May 16, 2013 and Patricia J Boyd Trust Directives
- III.D.14-x AHC Foundation Investment Committee Patricia J. Boyd Expenditure Process, October 8, 2013
- III.D.14-x AHC Board Agenda Item 14.A.2 "Award of Inner City Grid", December 8, 2016

**Analysis and Evaluation**

Financial resources are used with integrity and for their intended purpose.

The district has established board policy and procedures and internal controls and engages annual external audits to ensure that expenditures of the institution, including auxiliary organizations, comply with federal and state guidelines and are used for their intended purpose.

AHC does not have short term debt and is winding down Bond Measure I, approved by taxpayers in June 2006. This successful Bond measure provided \$180 million for upgrades to AHC facilities and technology. A Citizens' Oversight Committee (COC) was formed and meets on a quarterly basis. A Quarterly Financial Report is provided to the committee as well

as copies of the annual financial and performance audit reports for the bond program (III.D.14-1; III.D.14-2). The COC directs the preparation of and approves the annual report that is presented by the committee chairperson to the AHC Board of Trustees (III.D.14-3).

Effective January 2015, COC meetings will be held twice a year. With most of the construction authorized by Bond Measure I completed and only \$34 million of the authorized \$180 million yet to be issued for construction of the Fine Arts facility, the committee felt that quarterly meetings were more than needed at this time (III.D.14-4). As indicated on pages 15 and 16 of the Bond Measure I Financial Audit, June 30, 2015, there are no current or prior financial audit findings. Bond funds have been used for their intended purpose (III.D.14-2).

AHC programs funded through a grant external to the general fund are defined as “grant funded programs” and follow guidelines provided by Board Policy 3280 (III.D.14-5). Through the online approval process for all purchase requisitions, AHC assures that each expenditure is reviewed and approved by the appropriate personnel. Business Services provides oversight of all expenditures and grant reports to ensure that the expenditures meet district guidelines, are allowable, and meet grant or other funding guidelines.

Annual external audits of grant funded programs have not identified any material weaknesses in grant funded programs as indicated (III.D.14-6).

The AHC Department of Finance and Administration Services provides operational oversight of the AHC Auxiliary Corporation and the AHC Viticulture and Enology Foundation. The AHC Auxiliary Corporation includes the AHC Bookstore, Athletics, and the Pacific Conservatory Theatre (PCPA).

The AHC Auxiliary Corporation financials are included in the District Audit; PCPA and the AHC Viticulture and Enology Foundation each have their own annual audit (III.D.14-7; III.D.14-8; III.D.14-9). All entities have unmodified opinions.

The AHC Foundation manages 132 endowed funds valued at \$20,155,106 as of June 30, 2015. These funds include both donor restricted and board restricted endowments. As indicated in Note 10, pages 13-15 of the AHC Foundation Audit June 30, 2015, these funds are managed within the guidelines of the Uniform Prudent Management of Institutional Funds Act (UPMIFA) to provide assurance that they meet the donor’s intended use (III.D.14-9). The AHC Foundation Investment Committee oversees AHC Foundation investments to comply with the AHC Foundation Investment Policy (III.D.14-10). The investment policy is reviewed regularly and updated as necessary (III.D.14-11; III.D.14-12).

The AHC Foundation was the beneficiary of the second largest donation, at that time, to a community college in 2013. A former piano teacher at the college left a gift of approximately \$10.5 million. The declaration of trust document states that the funds received from the trust are to be held by the AHC Foundation and administered as the Patricia J. Boyd fund. The trust states the funds may be pooled for investment, but all income and principal must be used to enhance the physical assets of the AHC Music Program. The AHC Foundation has complied with the directives of the trust and have

invested the money with the goal of using the funds to add a concert hall to the Fine Arts Building, slated to be built in 2018 or as soon as potential state bond funding is available and the district has the capacity to issue approximately \$34 million left in Measure I Bond funds (III.D.14-X).

As part of the Patricia J. Boyd trust, there were two additional bequests to the AHC Foundation totaling \$263,000. The trust advisors indicated these bequests were not subject to the same restrictions of the larger bequest. To honor the spirit and intent of the second bequests, the AHC Foundation and the district established a process to use a portion of the funds annually to meet the physical asset needs of the AHC Music Department (III.D.14-X).

In 2015, the district received an anonymous grant to enhance the existing Public Safety Training Center. A portion of the allocation is earmarked for the expansion of the “Inner City Grid”, a scenario village for training of EMT, Police, and Firefighter candidates at the academy. The project went out to bid for a second time as the first round exceeded budget, and the project was awarded in the amount of \$686,462, in compliance with the direction of the anonymous grant (III.D.14-X).

The college meets the standard. All funding sources are used with integrity and in a manner consistent with their intended purpose.

**III.D.15 The institution monitors and manages student loan default rates, revenue streams, and assets to ensure compliance with federal requirements, including Title IV of the Higher Education Act, and comes into compliance when the federal government identifies deficiencies.**

**Evidence of Meeting the Standard**

- III.D.15-x 2014-2015 Request for Federal Direct Student Loan
- III.D.15-x Grace Counseling Outreach, Inceptia flyer
- III.D.15-x Allan Hancock College Catalog, 2015-2016, page 24
- III.D.15-x Cohort Default Rate Notification Letters dated September 2013
- III.D.15-x Cohort Default Rate Notification Letters dated September 2014
- III.D.15-x School Default Rates, 3-Year, FY 2011, 2010, 2009
- III.D.15-x Letter dated August 31, 2012 from ACCJC
- III.D.15-x Cohort Default Rate Notification Letter dated February 2016

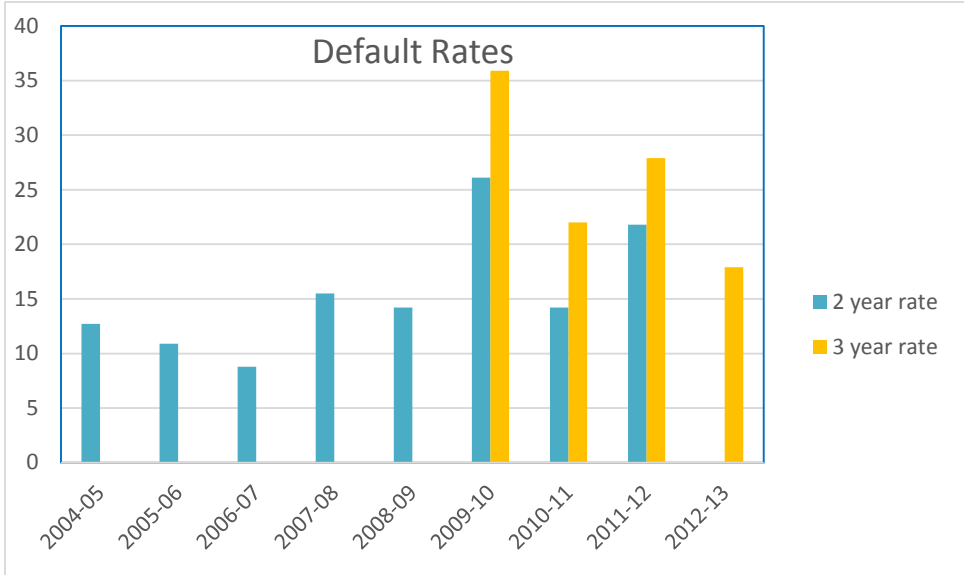
**Analysis and Evaluation**

**Monitors and Manages Student Default Rates**

At the time students apply for a Federal Direct Student Loans, they are counseled on the process and the repayment obligation (III.D.15-X). They are provided information related to restrictions on the loan program and contact information for Inceptia, a counseling outreach program designed to assist students during their grace period (III.D.15-X). The college catalog notifies students that they are entitled to a six-month grace period before repayment begins (III.D.15-X).

AHC receives annual notification from the United States Department of Education regarding the District Cohort Default Rate. In September 2013, the Department of Education notified the district that its two-year FY 2011 default rate was 21.8 and that its three-year rate was 22. The college was further notified that the FY 2011 two-year cohort default rate would be the last two-year rate released. Starting 2014, the district would only receive a three-year rate (III.D.15-X). In September 2014, AHC was notified that its three year 2011 cohort default rate was 27.9 (III.D.15-X). Table 10, below, reflects the district default rates from 2004-2005 through 2012-2013.

**Table 10**



It is important to note that with an enrollment of 17,967 in 2011, 18,747 in 2010, and 19,201 in 2009, Allan Hancock College had a total of 86, 77, and 64 students respectively in repayment with only 24, 17, and 23 then in default. Minor changes to the number of students in repayment versus default have a significant impact on the default rate (III.D.15-x).

**Manages to Compliance**

In a letter dated August 31, 2012, the district was notified by the Accrediting Commission for Community and Junior Colleges (ACCJC) that it was being assigned a category R (Referred) and would undergo a more comprehensive analysis of their financial condition by the ACCJC’s Financial Reviewers. One of the reasons cited for the review was “excessive Federal Student Loan default rates.” Following the review, it was determined that no additional action or reporting was required of AHC (III.D.15-X). In a February 29, 2016, letter from the United States Department of Education, AHC was notified that the 2013 three-year default rate had dropped to 17.9% (III.D.15-X).

The college meets the standard. The institution manages and monitors student default rates and is in compliance with federal requirement.

**III.D.16 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 and the quality of its programs, services, and operations.**

**Evidence of Meeting the Standard**

AHC enters into contractual agreements with various outside agencies to support the mission and goals of the institution. These agreements are governed by institutional policies and include provisions to maintain institutional integrity and quality support of educational and institutional program, service, and operational requirements.

- III.D.16-x District Agent Approval, Board Agenda Item 13.C, pages 143-146, March 8, 2016
- III.D.16-x Formal / Informal Bid Process Procedure
- III.D.16-2 Chancellor's Office Memo, January 5, 2015 RE: Change in Contract Bid Threshold for Inflation
- III.D.16-x Independent Contractor Agreement
- III.D.16-x Guidelines for Independent Contractor Agreement
- III.D.16-x Service Agreement (Company or Corporation)
- III.D.16-x Purchasing and Contract Guide
- III.D.16-x Board Policy 6330, Purchasing and Receiving
- III.D.16-x Creating a Purchase Request in ONESolution

**Analysis and Evaluation**

**Support of the Mission and Vision**

AHC maintains contractual relationships for a wide range of products and services to support the educational, operational, and facility needs of the institution. These contracts may include joint powers agreements, consultant services, lease agreements, construction contracts, facility-use agreements, instructional service agreements, and the purchase of goods and services. These agreements are reviewed and approved by the Director of Business Services, the vice-president of Finance and Administration, or the president within the scope of board delegated authorities. Ensuring that contractual agreements are aligned with the mission and vision of the college is a key aspect of granting authorization with an outside agency or service provider.

The AHC Board of Trustees provides authorization to specific employees who may act as agents of the institution for contract approval. This authorization is updated by the AHC Board of Trustees annually (III.D.16-x). This authorization is in conformance with Section 81655 of the California Education Code.

**Policies and Provisions to Maintain Quality and Integrity**

Procedures defining requirements for bid thresholds and the formal / informal bidding process are in place (III.D.16-X; III.D.16-X). Contract templates and instructions for independent contractors and service agreements are available to departments online

(III.D.16-x; III.D.16-x; III.D.16-x). Purchasing and contracting guidelines are provided by the Business Services Department “Purchasing and Contracting Guide” and Board Policy 6330 (III.D.16-x; III.D.16-x). Instructional Service Agreements, Contract Education, and Concurrent Enrollment Agreements are reviewed by the vice-president of Academic Affairs and approved by the vice president of Finance and Administrative Services. AHC requires that all contracts entered by its authorized agents comply with standard contract provisions, including nondiscrimination statements, hold-harmless clauses, and termination clauses when appropriate.

AHC’s ONESolution purchasing software allows the establishment of access and authorization to system functions by username. This functionality provides assurance that internal control and authorization/approval levels adhere to policy.

Training staff monitor new hires to determine if training is needed, and sessions are scheduled accordingly. Purchasing guidelines are posted online as well as instructions on creating purchase requests in the ONESolution software (III.D.16-x).

The college meets the standard. Agreements with external entities are consistent with the mission and goals of the institution, governed by policies, and maintain the quality of programs, services, and operations.

Due to a large degree of turn-over in Business Services and cabinet level positions, as well as expansion of services and outreach, there is a need to review and standardize all institutional agreements to ensure they reflect proper language in the templates, and the templates are approved and administered through a document control process. Document flow, appropriate reviews, appropriate final approvals, and document retention need to be updated and communicated to faculty and administrators.