

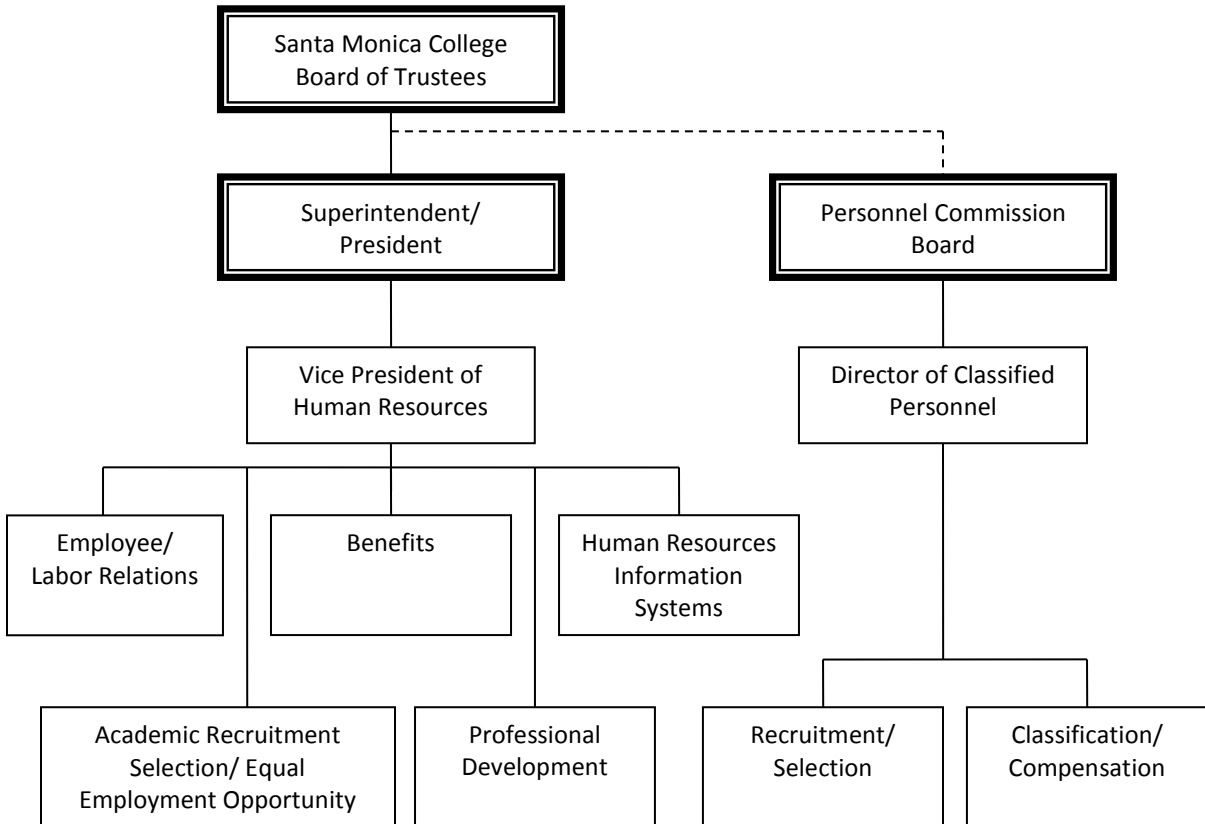
1 **STANDARD IIIA: HUMAN RESOURCES**

2
3 **Introduction**

4
5 Santa Monica College’s faculty and staff members are the driving force for innovations,
6 activities, and accomplishments that help the College achieve its Mission. The dedication,
7 commitment, and creativity of its human resources allow the College to establish and
8 maintain exceptional programs and services that foster student success.

9
10 The Santa Monica Community College District is one of five districts in the California
11 Community Colleges system that has a two-pronged human resources structure, consisting of
12 a District Human Resources Office and a Personnel Commission, as shown below.

13
14 **Office of Human Resources and the Personnel Commission Office**



15
16
17 The [Office of Human Resources](#)¹ is responsible for overseeing the recruitment and hiring of
18 academic personnel (both faculty and academic administrators), benefits, equal employment
19 opportunity, select employment matters, all evaluation processes for management and
20 classified personnel, and professional development of all employees. The Office also has
21 responsibility for labor relations/negotiations and contract administration.

22
23 The [Personnel Commission Office](#)² is responsible for implementing the District’s Merit
24 System, which includes a set of [Merit Rules](#)³ that govern the classification, recruitment, and

25 selection of classified employees; promotional opportunities for classified employees; and
26 other matters related to merit and the principle of “like pay for like work.” While Personnel
27 Commission staff are District employees, the office itself is under the purview of the five-
28 member Personnel Commission and is not governed by the District.

29
30 The Office of Human Resources and the Personnel Commission Office work as strategic
31 partners to provide comprehensive services; ensure compliance with all federal, state, and
32 local laws related to employment practices; and ensure adherence to the provisions of the
33 District’s collective bargaining agreements.

34
35
36 **IIIA.1 The institution assures the integrity and quality of its programs and services**
37 **by employing administrators, faculty and staff who are qualified by appropriate**
38 **education, training, and experience to provide and support these programs and**
39 **services. Criteria, qualifications, and procedures for selection of personnel are clearly**
40 **and publicly stated and address the needs of the institution in serving its student**
41 **population. Job descriptions are directly related to institutional mission and goals and**
42 **accurately reflect position duties, responsibilities, and authority.**

43
44 *Evidence of Meeting the Standard*

45
46 Santa Monica College has a well-defined personnel hiring process that has two equally
47 important goals: 1) to select highly qualified individuals who have the appropriate education,
48 training, and experience to provide and support the College’s programs and services and 2) to
49 ensure equal opportunity among all qualified individuals interested in employment at the
50 College. The College’s administrative regulations (ARs), specifically AR 3120, Equal
51 Employment Opportunity Program and Discrimination [Complaint Procedure](#),⁴ outline the
52 process by which both goals are achieved. Key to the hiring process for all employee groups
53 is an understanding of each position’s minimum qualifications which includes education, and
54 experience requirements, essential functions, duties and responsibilities of the position, and
55 the requisite skills, knowledge and abilities required. Subject matter experts – working with
56 Human Resources personnel for [faculty](#)⁵ and [academic administrator](#)⁶ positions, or Personnel
57 Commission for [classified staff](#)⁷ and [classified administrators](#)⁸ – define these qualifications.

58
59 As noted in AR 3120, job descriptions are developed on the basis of analyses that describe
60 essential duties and bona fide minimum job requirements and minimum qualifications for all
61 positions. As part of the job analyses, programs and departments that are seeking new,
62 replacement, or temporary positions use the College’s Personnel and [Budget and](#)
63 [Augmentation Request \(PBAR\) Form](#)⁹ to document that the requested positions are aligned
64 with the Mission, Goals, and adopted budget of the College. Documentation may include
65 evidence that details program expansion, new program development, and/or identification of
66 new needs that require additional resources. Academic job descriptions also include a
67 requirement that applicants demonstrate sensitivity to and understanding of the diverse
68 academic, socioeconomic, cultural, disability, and ethnic backgrounds of community college
69 students, faculty, and staff.

70

71 Job announcements are created from position descriptions or classifications. [Faculty](#) and
72 [classified](#) job announcements are publicly posted on the College’s website^{10,11} and through
73 advertisements in numerous sources to assist with outreach and development of diverse
74 applicant pools. The Offices of Human Resources and the Personnel Commission monitor
75 their effectiveness in recruiting qualified applicants from diverse backgrounds, making
76 adjustments as necessary. Human Resources and Personnel Commission staff verify the
77 qualifications of applicants and newly hired personnel. They call references including
78 applicants’ current supervisors, scrutinize official transcripts, verify employment histories,
79 and review applicants via online and social media sources.

80
81 A standard system for hiring ensures that hiring procedures are consistently applied. For
82 example, when a department chair selects candidates to hire as part-time faculty, the
83 department chair forwards the paperwork to the Dean of Human Resources, who verifies that
84 the candidates meet the minimum qualifications. For full-time faculty positions, all hiring
85 committee members must attend an orientation meeting before participating in the hiring
86 process, and there must be a faculty, non-voting Equal Employment Opportunity (EEO)
87 representative who has undergone EEO training to serve on each hiring committee. During
88 orientation, committee members are given a [hiring packet](#)¹² that details their duties and the
89 policies they must adhere to.

90
91 **Analysis**

92
93 The College’s commitment to student success is rooted in its practice of hiring
94 administrators, faculty, and staff who are qualified for their positions as demonstrated by
95 their education, training, and experience. The College develops each position with the
96 Mission in mind. Procedures are clearly outlined in the College’s administrative regulations
97 and help ensure the hiring of highly qualified employees within an equal employment
98 environment that reflects, to the best extent possible, the diversity of the College’s student
99 population and its local community. If a sufficient number of qualified applications are not
100 received during a recruitment process, the College may extend the search or reopen the
101 position at a later time.

102
103 Faculty who will teach in the new Bachelor of Science degree program in Interaction Design
104 will be hired via the policies and practices of the College and in compliance with the
105 [minimum qualifications](#) as outlined in the ACCJC policy¹³ enacted in June 2016. The [job](#)
106 [descriptions](#)¹⁴ for faculty members teaching in the baccalaureate degree program accurately
107 reflect the duties and responsibilities associated with the position and all faculty teaching in
108 the program have earned Master’s degrees in relevant fields.

109
110 **Plan**

111
112 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
113 continue to monitor its performance.

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

122

123 *Evidence of Meeting the Standard*

124

125 Santa Monica College hires both full-time and part-time faculty to meet the instructional and
126 counseling needs of its students.

127

128 **Full-Time Faculty**

129

130 At the core of all hiring processes is the development of a position description that clearly
131 outlines the necessary qualifications and the expected responsibilities of the position. In
132 developing minimum qualifications for full-time faculty positions, the College follows
133 California Education Code and AR 3211, Recruitment and Selection – Permanent Personnel.
134 As stated in AR 3211.7, [Equivalency Process](#) for Full-Time Faculty Positions,¹⁵ the required
135 qualifications for all full-time faculty positions must meet or exceed the minimum
136 qualifications set forth for that discipline by the Board of Governors in its *Minimum*
137 *Qualifications for Faculty and Administrators in California Community Colleges*.

138

139 Applicants who do not meet the qualifications outlined in the job description may still apply
140 if they have an appropriate, valid California Community College Credential or meet the
141 equivalency guidelines posted in AR 3211.9, Guidelines for Determining the [Minimum](#)
142 [Qualifications](#) for Faculty Positions.¹⁶ The College has outlined guidelines for determining
143 the minimum qualifications both for disciplines requiring and not requiring a master’s
144 degree.

145

146 While the Board of Governors dictates the minimum qualifications for each of the College’s
147 academic disciplines, the instructional department and programs themselves are responsible
148 for developing the job responsibilities, as outlined in AR 3211.1, Procedure for Hiring Full-
149 Time Contract Faculty.¹⁷ Specifically, the Department Chair and/or Faculty Leader or
150 designee, appropriate area Vice President or designee, and representative(s) from the Office
151 of Human Resources work together to develop clear and complete job descriptions and
152 announcements, including all job-related skill requirements and any additional qualifications
153 recommended by the faculty for each position. [Preferred qualifications](#)¹⁸ might include
154 experience teaching distance education courses or other unique qualifications desired in [ideal](#)
155 [candidates](#).¹⁹

156

157 The job descriptions and announcements for all full-time faculty positions, including
158 responsibilities and tasks, are also guided by [Article 6](#), Faculty Assignment and Load, of the
159 Collective Bargaining Agreement between the College’s Faculty Association and the
160 District.²⁰ Faculty members, particularly those hired to teach, are expected to engage in
161 curriculum development activities and in assessment activities, including “grading student

162 assignments or tests” and other assessment activities at the course, program, and institutional
163 level, including but not limited to “institutional or assignment-based research.”

164

165 To ensure that applicants selected for an interview have subject matter expertise and requisite
166 skills for the service to be performed (including, as appropriate, experience teaching online),
167 the identified candidates may be required to demonstrate effective teaching through an
168 exercise designed by the committee and deemed appropriate for the discipline which might
169 include grading student essays, or delivering a teaching demonstration during the interview,
170 or conducting a full class session with students.

171

172 Questions and scenarios are designed by the committee to ascertain a candidate’s knowledge
173 in the field, discipline expertise, and potential to contribute to the Mission and core values of
174 the College. The College’s core values include a commitment to diversity, inclusivity, and
175 respect for the inter-relatedness of the global environment, engagement with diverse peoples,
176 and acknowledgement of the significance of daily actions relative to broader issues and
177 events. As such, every committee asks at least one question designed to demonstrate that the
178 candidate understands diversity concepts and has experience working with a diverse
179 population of students.

180

181 **Part-Time Faculty**

182

183 The minimum qualifications for part-time faculty positions are outlined in [AR 3231](#),
184 Equivalency Process for Part-Time Faculty Positions,²¹ which states that candidates must
185 possess one of the following:

186

1) Minimum qualifications for hire in that discipline as determined by the Board of
187 Governors; or

188

2) Qualifications that are at least equivalent to the minimum qualifications determined
189 by the Board of Governors; or

190

3) An appropriate valid California Community College Credential.

191

192 Candidates who feel that they possess qualifications equivalent to those determined by the
193 Board of Governors may also apply using the Equivalency Guidelines included in [AR](#)
194 [3211.9](#).²²

195

196 The process for hiring part-time faculty is described in [AR 3230](#), Recruitment and Selection
197 – Part-Time Hourly Temporary Faculty.²³ The need for part-time faculty varies according to
198 student demand and the College’s enrollment plans. Part-time faculty applications are
199 submitted through the [job application portal](#) on the Office of Human Resources web page and
200 are accepted on an ongoing basis.²⁴ As outlined in AR 3230.1, Procedure for Hiring
201 Temporary Faculty, during each academic year, the department chair/faculty leader
202 establishes a selection committee to identify, screen, and interview a pool of potential
203 temporary faculty.

204

205 Upon selection of an applicant for a part-time position, the committee forwards the name to
206 the appropriate vice president (e.g., the Vice President of Student Affairs for counselors and
207 athletic coaches and the Vice President of Academic Affairs for instructional faculty and

208 librarians). Human Resources staff review and verify that the candidate's qualifications for
209 the position are met and extend an offer of employment to the candidate selected.

210

211 Analysis

212

213 The College's administrative regulations clearly outline the process for hiring qualified
214 individuals who have subject matter expertise and requisite skills for full- and part-time
215 faculty positions. These regulations incorporate the Board of Governors' guidelines.

216

217 The Office of Human Resources has implemented a process that ensures that the College has
218 documentation of each selected candidate's qualifications prior to the start of each
219 assignment. Qualification information is included in the personnel files. If an individual is
220 hired through an equivalency, the person's file must note which equivalency standard was
221 met and the information that documents that the standard was met.

222

223 The new Human Resources online job web page has improved and facilitated the hiring of
224 part-time faculty. Department chairs and faculty leaders are now able to receive a pool of
225 candidates to review and potentially hire throughout the academic year. This has not only
226 streamlined the process, but helped to ensure timely hiring of qualified part-time faculty.

227

228 Plan

229

230 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
231 continue to monitor its performance.

232

233

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

237

238 Evidence of Meeting the Standard

239

240 In setting the qualifications for academic administrators responsible for educational programs
241 and services, the College adheres to the qualifications outlined in California Education Code
242 §53420, [Minimum Qualifications for Educational Administrators](#).²⁵ The Office of Human
243 Resources works with the vice president responsible for the area to which the position is to
244 be assigned to develop a [job description](#)²⁶ that clearly outlines job responsibilities and
245 minimum and [preferred qualifications](#).²⁷ When appropriate, the College will consider both
246 management and non-management experience, including teaching, when hiring academic
247 administrators. Individuals who do not meet the minimum qualifications set forth in the
248 California Education Code may apply if they possess qualifications that are at least
249 equivalent to the minimum qualifications specified by the California Education Code and the
250 Board of Governors.

251

252 For other employees responsible for educational programs and services, the [job](#)
253 [classifications](#) are developed by the Personnel Commission to reflect the qualifications and
254 experience necessary for the position as indicated by the scope of the assignment and

255 departmental goals.²⁸

256

257 **Analysis**

258

259 While Santa Monica College’s academic administrators must meet the minimum
260 qualifications set forth in the California Education Code, the College often sets minimum
261 qualifications that exceed those qualifications. Most administrative positions require three to
262 five years of formal training, internship, or leadership experience reasonably related to the
263 assignment, and the individuals often hired to fill these positions have significantly more
264 experience than this.

265

266 For positions that require the use of specialized software or programs, the College may
267 include preferred qualifications that indicate prior experience with these tools and/or
268 programs is preferred. However, for positions where few candidates might possess this
269 experience, the College sets aside resources to train new employees as necessary.

270

271 **Plan**

272

273 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
274 continue to monitor its performance.

275

276

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

280

281 **Evidence of Meeting the Standard**

282

283 In hiring faculty, administrators, and other employees, the College adheres to California
284 Code of Regulations, specifically Title 5, sections 53400-53430, which state that all faculty,
285 administrators, and other employees working in the community college system must possess
286 degrees and/or credits from accredited institutions ([section 53406](#)²⁹). In addition, the
287 College’s [faculty contract](#) stipulates that all degrees have to be from accredited institutions.³⁰
288 Depending on the position, either the Office of Human Resources or the Personnel
289 Commission verify that individuals proposed to be hired have earned the required degree(s)
290 for the position and/or discipline; verification includes confirmation of the granting
291 institution’s accredited status.

292

293 For applicants who have earned degrees outside of the United States, the Offices of Human
294 Resources and the Personnel Commission refer to a credential evaluation service to verify the
295 accreditation status of the institution and show degree equivalency.

296

297 **Analysis**

298

299 Employees in positions with degree requirements must have earned their degrees from
300 institutions accredited by recognized U.S. accrediting agencies or that meet U.S.
301 accreditation equivalency standards. The College attracts many candidates for faculty

302 positions that have earned degrees from outside the United States. As such, the College has
303 established procedures to confirm the status of these institutions and credit/degree
304 equivalencies.

305
306 At this time, the Personnel Commission Office is working to update all of its class
307 descriptions to indicate that required degrees must be from accredited institutions.
308 Procedures are in place to confirm the accreditation status of all institutions prior to selection
309 and hire.

310
311 **Plan**

312
313 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
314 continue to monitor its performance.

315
316
317 **IIIA.5 The institution assures the effectiveness of its human resources by evaluating**
318 **all personnel systematically and at stated intervals. The institution establishes written**
319 **criteria for evaluating all personnel, including performance of assigned duties and**
320 **participation in institutional responsibilities and other activities appropriate to their**
321 **expertise. Evaluation processes seek to assess effectiveness of personnel and encourage**
322 **improvement. Actions taken following evaluations are formal, timely, and documented.**

323
324 **Evidence of Meeting the Standard**

325
326 As outlined by [Board Policy \(BP\) – Section 3000](#), Human Resources,³¹ and Administrative
327 Regulation – [Section 3000, Human Resources](#),³² Santa Monica College’s Board of Trustees
328 is committed to the [evaluation](#)³³ of the performance of all faculty, staff, and administrative
329 personnel employed by the College. There are three distinct evaluation processes that ensure
330 that all personnel are systematically evaluated at stated intervals, outlined below.

331
332 **Faculty Evaluation:** The requirement and procedures for the evaluation of tenured,
333 probationary, temporary contract and hourly faculty are specified in BP 3212, [Evaluation](#),³⁴
334 which states that all faculty are evaluated in accordance with applicable provisions of the
335 [collective bargaining agreement](#)³⁵ and/or consistent with [AR 3212](#)³⁶ or [AR 3232](#),³⁷ as
336 appropriate.

- 337 • **Non-Tenured (Probationary) Faculty** members follow a four-year process described
338 in AR 3212.1, Procedure for Evaluation – Probationary and Temporary Contract
339 Faculty. The Office of Human Resources maintains an evaluation file that contains
340 all materials used by the evaluation panel to inform its decisions and
341 recommendations, including observation reports, reports of professional development
342 activities, student evaluations, course syllabi, the faculty member’s self-evaluation
343 and plans for improvement.

- 344 • [Tenured Faculty](#) members are evaluated every three years by a department chair,
345 faculty leader¹ or designee, and every nine years by a panel.³⁸
346 • [Part-Time Faculty](#) (including those who teach [noncredit classes](#)) are evaluated at least
347 twice during their first four semesters of employment and then once every four
348 semesters thereafter by the department chair or designee.^{39,40}
349

350 For each faculty classification, the College’s evaluation forms clearly outline assessment
351 factors and provide sufficient information to help facilitate the evaluation. There are separate
352 forms for peer observation and faculty professionalism. The [professionalism form](#)⁴¹ is
353 notable in that it addresses faculty participation in the development of student learning
354 outcomes and assessments, as well as collegiality, maintaining currency in the field,
355 accessibility to students, participation in department and college activities, and adherence to
356 college and department policies. Additionally, there are four different faculty evaluation
357 forms tailored to evaluating faculty from each area of focus, including 1) [instruction](#);⁴² 2)
358 [counseling](#);⁴³ 3) programs for [disabled students](#);⁴⁴ and 4) [library services](#).⁴⁵ These forms
359 provide feedback to the faculty members undergoing evaluation, which serves to help the
360 faculty members improve their performance.
361

362 In addition to peer evaluation, faculty are also evaluated by their students. Student
363 evaluations are collected during the semester in which the faculty member is evaluated and
364 forwarded to the faculty member after grades are submitted. This feedback provides a
365 mechanism for faculty to improve their teaching methods in subsequent semesters.
366

367 Evaluation of faculty who teach online adhere to the same processes in place to evaluate on-
368 ground faculty. For probationary faculty who are teaching online, the department ensures
369 that at least one member of the evaluation panel is an experienced online educator who
370 observes the probationary faculty member’s online class. Likewise, student evaluations are
371 solicited from both the online and on-ground classes.
372

373 **Classified Personnel Evaluation:** [BP 3310](#), Collective Bargaining Agreement,⁴⁶ refers to
374 the terms and conditions of employment for classified employees, including the evaluation
375 process, as set forth in Article 4 of the collective bargaining agreement between the District
376 and [California School Employees Association](#) (CSEA) – Chapter 36.⁴⁷ Probationary staff are
377 evaluated bi-monthly during their six-month probationary period. Permanent classified
378 employees are evaluated on the anniversary of their hiring date at least once every three
379 years, although supervisory staff are encouraged by Human Resources to evaluate permanent
380 classified employees on an annual basis.
381

382 The evaluation process provides a method for measuring employee performance based on the
383 employee’s classification standards and requirements as stated in the employee’s position
384 description. Formal evaluations are designed to help classified employees achieve and
385 maintain high levels of work performance by encouraging the establishment of mutually
386 agreed-upon goals and objectives for the coming year, thereby setting benchmarks against

¹ At Santa Monica College, some department such as Nursing, Library, and Athletics, are led by a faculty leader or coordinator rather than by a department chair as stated in the collective bargaining contract.

387 which the employee's accomplishments can be objectively reviewed. The Office of Human
388 Resources sends reminders to supervisors when classified personnel evaluations are due and
389 holds workshops on effective evaluation techniques.

390
391 **Administrator and Manager Employee Evaluation:** [BP 3435](#), Evaluation,⁴⁸ states that the
392 Superintendent/President is responsible for implementing an evaluation process that ensures
393 continued excellent performance by administrative and management staff. [AR 3420](#),
394 Evaluation Management Personnel,⁴⁹ establishes the procedure for management evaluations.

395
396 Each manager is required to complete an annual self-evaluation of his or her performance
397 relative to job responsibilities and agreed upon objectives established with the supervising
398 manager. This evaluation must be considered in the context of how the employee is working
399 to achieve both the Mission and any relevant priorities in the *Master Plan for Education*.
400 The self-evaluation also includes a description of the progress made toward achieving the
401 past year's objectives, identification of new objectives for the coming year, issues impacting
402 performance, and comments pertaining to objectives and outcomes.

403
404 At least once every three years, administrative personnel participate in a full performance
405 evaluation. This process includes the annual self-evaluation completed by the employee, and
406 an assessment of performance by the employee's supervisor. As part of this process, any
407 faculty member or other staff member may also provide written comments to an employee's
408 supervisor.

409 **Analysis**

410
411 All Santa Monica College employees are regularly and systematically evaluated according to
412 administrative regulations and collective bargaining agreements with the relevant bargaining
413 units. To ensure fairness and compliance with all state and federal regulations and college
414 goals, evaluation procedures, defined in ARs, are regularly assessed and improved
415 accordingly.

416
417 With regard to the faculty evaluation process, one such improvement is the creation of
418 separate evaluation forms, including professional obligation assessments, for instructional
419 faculty, counseling faculty, faculty librarians, and faculty working in Disabled Students
420 Programs and Services. The College recognized that one form was not able to address the
421 intricacies of each of these positions. As the College was developing these forms, it
422 considered the possibility of creating a different evaluation form for faculty teaching
423 noncredit courses. However, the College determined that the evaluation form used to assess
424 for-credit instructional faculty is equally effective in the evaluation of noncredit faculty, but
425 the College developed a separate process for [evaluating faculty who teach in the Emeritus
426 College](#).⁵⁰ Since there are no full-time faculty working with Emeritus, the lead administrator
427 must play a more active role in evaluation. The Office of Human Resources has updated its
428 manual to include an evaluation checklist to ensure that faculty submit all required
429 documents on time and offered multiple orientation sessions to review the evaluation process
430 with evaluators.

431
432

433 The evaluation process for administrative/management personnel which – includes classified
434 managers, academic administrators and confidential employees who are not represented by a
435 bargaining unit – was updated to achieve more uniformity and consistency with employee
436 groups who have evaluation processes defined in their respective bargaining agreements.
437 These revisions align all of the College’s employee evaluation processes so that all
438 permanent personnel are evaluated at least once every three years.

439
440 As the College implements these updates, it will assess the personnel evaluation process of
441 each employee group and make revisions as necessary to strengthen the process.

442
443 **Plan**

444
445 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
446 continue to monitor its progress.

447
448
449 **IIIA.6 The evaluation of faculty, academic administrators, and other personnel**
450 **directly responsible for student learning includes, as a component of that evaluation,**
451 **consideration of how these employees use the results of the assessment of learning**
452 **outcomes to improve teaching and learning.**

453
454 **Evidence of Meeting the Standard**

455
456 Established performance evaluation procedures for faculty, academic administrators, and
457 other personnel directly responsible for student learning require that evaluators consider how
458 employees use the results of assessments of learning outcomes to improve teaching and
459 learning. This is a critical component of the College’s commitment to use the results of
460 outcome assessments to improve teaching and learning at the course, program, and
461 institutional level. To ensure that outcomes assessment are included in departmental
462 planning and program review processes, department chairs and program managers work with
463 faculty and staff in their areas to create, assess, and discuss student and program learning
464 outcomes. For example, in response to the low success rates in the ESL intermediate level
465 writing courses (ESL 21A/B), the ESL Department worked during 2014-2015 to revise
466 curriculum, select new textbooks, and develop course materials. Participation in these
467 discussions and follow-up actions then become an evaluation factor for individual faculty,
468 administrators, and other staff.

469
470 The College acts to ensure that faculty collect and enter student learning outcome (SLO) data
471 in the online SLO portal. The College encourages robust collection and reporting of SLO
472 data rather than evaluating individual faculty members in terms of their individual outcomes
473 results. For this reason, faculty members have no reason to inflate or misrepresent the data;
474 thus, the District uses the entirety of the captured SLO data in its institutional effectiveness
475 processes, and the SLO portal also allows for disaggregation of the data in terms of student
476 demographics. While the College does not use SLO assessment results to evaluate faculty,
477 department chairs encourage faculty to address this subject in their self-evaluations.

478

479 **Faculty**

480

481 The College assesses the degree to which faculty use SLO assessments to improve teaching
482 and learning through the [evaluation process](#).⁵¹ Faculty who will be evaluated are [asked](#)⁵² to
483 write a [self-evaluation](#)⁵³ and reflect on their plans for improvement, including in the area of
484 “Data gathered from students such as SLO outcomes.” As part of the [self-evaluation](#),⁵⁴
485 faculty document the degree to which they are carrying out the activities listed in the job
486 description by using the self-evaluation guidelines included [in Appendix J](#)⁵⁵ of the collective
487 bargaining agreement. Second, the [evaluation process](#)⁵⁶ requires that the department chair or
488 faculty leader complete a [professionalism form](#)⁵⁷ as part of the faculty member’s evaluation
489 file. This form, presented in [Appendix S](#)⁵⁸ of the 2013-2016 contract, includes the following
490 criterion for evaluation: “Participates at the appropriate level in creation, assessment, and/or
491 discussion of SLOs.” The professionalism form clearly outlines that the creation and
492 assessment of student learning outcomes, as well as follow-up collegial discussion about
493 them, are essential activities for the faculty. Both the self-evaluation and the professionalism
494 form are reviewed by the [evaluation panel](#),⁵⁹ discussed with the evaluatee, and used to make
495 recommendations for improvement, including participation in professional development
496 and/or department activities.

497

498 **Academic Administrators**

499

500 The [evaluation process](#)⁶⁰ for academic [administrators and managers](#)⁶¹ requires that
501 administrators who are responsible for using student learning outcomes to improve teaching
502 and learning provide an annual self-evaluation of their performance in fulfilling this assigned
503 duty and/or responsibility. The self-evaluation form for administrators, managers, and
504 supervisors serves as the means by which this information is monitored and recorded in the
505 evaluation file. Administrators who are responsible for programs related to student learning
506 also document their program’s assessment efforts in their programs’ annual and six year
507 Program Review reports.

508

509 **Other Personnel Directly Responsible for Student Learning**

510

511 Article 4 of the Agreement between Santa Monica Community College District and
512 California School Employees Association – Chapter 36 governs the evaluation of classified
513 employees. The evaluation process allows for, but does not require, that supervisors evaluate
514 staff who are responsible for SLOs regarding the degree to which they use assessments of
515 SLOs to improve teaching or student learning. This issue is negotiable and will be discussed
516 between the District and the CSEA. The College is working to strengthen the existing
517 evaluation process so that staff who are responsible for SLOs are more regularly and
518 consistently assessed as to how they are doing this.

519

520 Classified staff are not directly responsible for course SLO achievement. However, some
521 employees, such as instructional assistants, work directly with students to improve their skills
522 in specific areas. These employees do monitor learning achievement through their
523 interaction with students. For these staff members, supervisors may use the comments and
524 objectives sections of the classified evaluation form to reflect on the achievement of SLOs

525 and how the employee is working to support this achievement. As needed, this reflection
526 may lead to implementation of new work practices or recommendations for training.

527

528 In addition, the Academic Affairs office has tasked appropriate departments with identifying
529 a few faculty members who will meet with the department's instructional assistants and other
530 staff who are responsible for SLOs to review the SLO assessment results with them. Faculty
531 and staff discuss areas in which students are struggling in particular classes and then work
532 together with the College's Student and Instructional Support Office, which oversees the
533 tutoring and Learning Resource Centers, to develop ways in which the work in the labs can
534 better support student learning and improve SLO achievement. These meetings of faculty
535 and staff occur at least once a year as part of the program review process to ensure that all of
536 the instructional and student support components are working together for the benefit of
537 student achievement.

538

539 *Analysis*

540

541 Santa Monica College's evaluation processes for faculty, academic administrators, and other
542 personnel responsible for student learning requires that individuals undergoing evaluation
543 must outline actions that they have taken to create, assess, and discuss SLOs. The creation
544 and assessment of SLOs helps to ensure that the tools are in place to effectively measure
545 student learning and achievement, while the discussion ensures that the results of these
546 student learning assessments are used to improve student learning. These discussions occur
547 throughout the year and culminate in the completion of annual program review reports that
548 feed into a comprehensive six-year program review report. All faculty, staff, and
549 management members are expected to participate in this process. As such, the College
550 continues to evaluate the best process for fostering and assessing this involvement.

551

552 *Plan*

553

554 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
555 continue to monitor its progress.

556

557

558 **IIIA.7 The institution maintains a sufficient number of qualified faculty, which**
559 **includes full time faculty and may include part time and adjunct faculty to assure the**
560 **fulfillment of faculty responsibilities essential to the quality of educational programs**
561 **and services to achieve institutional mission and purposes.**

562

563 *Evidence of Meeting the Standard*

564

565 Santa Monica College maintains a sufficient number of qualified faculty to fulfill faculty
566 responsibilities essential to delivering educational programs and services that achieve the
567 institutional Mission and purpose. While the College consistently exceeds the California
568 Community Colleges [Full-Time Faculty Obligation](#), as shown in the chart below, increasing
569 the percent of full-time faculty is a Board of Trustees goal,⁶² and development of a specific
570 plan to do so is a 2015-2016 [Master Plan for Education objective](#).⁶³ In response to this
571 objective, a task force was formed to develop a plan which was presented at the February 24,

572 [2016 District Planning and Advisory Council \(DPAC\) meeting](#).⁶⁴ This resulted in a
 573 recommendation from DPAC to the Superintendent/President that the College pursue an
 574 annual five percent increase in the number of full-time faculty, thus attaining a 60 percent
 575 increase in five years. The Superintendent/President is considering this recommendation but
 576 has not yet reached a decision, due to the dynamic budget situation. However, during the
 577 2015-2016 hiring cycle, in cases when it was sensible to do so, the Superintendent/President
 578 hired more full-time faculty than what had been originally anticipated and announced.
 579

Faculty Status	Fall 2010		Fall 2011		Fall 2012		Fall 2013		Fall 2014		Fall 2015	
	#	%	#	%	#	%	#	%	#	%	#	%
Full-Time	320	49	325	48	332	48	330	47	326	45	354	47
Part-Time	338	51	346	52	359	52	370	53	396	55	396	53
Total FTEF	658	100.0	671	100.0	691	100.0	700	100.0	722	100.0	750	100.0
FON	237.4		237.4		252.4		244.4		255.4		262.4	

580 Source: California Community Colleges, [Full Time Faculty Obligation Report](#)⁶⁵

581
 582 Multiple processes are used to determine appropriate staffing levels for each program and
 583 service. The [program review process](#)⁶⁶ includes a prompt asking programs to identify
 584 staffing and this documentation is used when [classified staffing requests](#) are submitted to the
 585 College’s senior administration for approval.⁶⁷ For faculty positions, the College has a well-
 586 defined process, described in Standard IIA, for ranking the full-time faculty positions that
 587 will be hired in the following year. This process begins with the [New Faculty Ranking](#)
 588 [Committee](#) assessing the programs’ requests in light of Program Review data, enrollment
 589 data and trends, and proposals submitted by each department seeking to hire fulltime faculty.
 590 The list is submitted to the Superintendent/President for final consideration.⁶⁸

591
 592 The Office of Distance Education and its staff are assigned to supporting Distance Education
 593 students and faculty. Staff members are available to help faculty manage their courses,
 594 develop online content, and assist students. The migration from eCollege – the online course
 595 management system used by the College for over 20 years – to Instructure Canvas will be
 596 supported by faculty trained to assist their colleagues.

597
 598 **Analysis**

599
 600 Santa Monica College has multiple processes in place to ensure that there are sufficient
 601 faculty and staff who are qualified for their positions (Refer to IIIA.2 and IIIA.3). Board
 602 policies and administrative regulations require the employment of highly qualified faculty.
 603 Because the Bachelor of Science degree in Interaction Design program is new and is in a
 604 pilot phase, a limited number of faculty are needed at this time. There are currently four full
 605 time faculty and three adjunct faculty members who are [qualified](#) to teach the major
 606 courses,⁶⁹ but there are only two courses offered in Fall 2016. By June 2017, two cohorts of
 607 students will be enrolled in the program and the College will hire additional faculty to
 608 accommodate the increased demand.

609
 610 The [New Faculty Ranking process](#)⁷⁰ has been effective in identifying and prioritizing
 611 appropriate [faculty hiring](#)⁷¹ decisions. While Santa Monica College is [in compliance](#)⁷² with
 612 the [Full-Time Faculty Obligation](#) Number (FON),⁷³ the College does not meet the ideal

613 “75/25” standard defined by AB 1725, it is working toward meeting the 2015-2016 Master
614 Plan for Education objective #11 to “develop and implement a long-term plan to increase the
615 percentage and net number of full-time faculty.” This has also been a long standing priority
616 for the Board of Trustees (e.g., the 2015-16 Board of Trustees priority # 3 reads, “Continue
617 to support and hire a diverse and outstanding full-time and adjunct faculty that demonstrates
618 a commitment to student success, engagement and equity. Develop and implement a plan to
619 ensure the college progresses over time toward increasing the percentage and net number of
620 full time faculty”).

621

622 **Plan**

623

624 Based on analysis of the evidence, Santa Monica College is meeting this standard and will
625 continue to monitor its progress.

626

627

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

632

633 **Evidence of Meeting this Standard**

634

635 Santa Monica College integrates its part-time faculty in the life of the institution through
636 various means beginning with orientation and continuing through oversight, evaluation,
637 professional development, and departmental and institutional social activities.

638

639 **Orientation:** All newly hired and rehired part-time faculty are contacted by the Office of
640 Human Resources to schedule a face-to-face meeting with a Human Resources Specialist.
641 Prior to this meeting, newly hired and rehired part-time faculty members are directed to visit
642 the [Human Resources website](#) to complete required paperwork and review the orientation
643 materials.⁷⁴

644

645 Part-time faculty are provided a [welcome memo](#)⁷⁵ from the Office of Human Resources, a
646 copy of the [Faculty Handbook](#),⁷⁶ and copies of board policies and administrative regulations
647 related to [hiring](#)⁷⁷ that are applicable to hiring; compliance; reporting sexual harassment;
648 bullying, alcohol, and drugs in the workplace; non-discrimination in employment; and
649 diversity.

650

651 Some departments also offer an orientation for new part-time faculty. For example, in the
652 History Department, the chair meets individually with all new faculty to ensure that the
653 faculty member understands his/her responsibilities, the culture of the department and of the
654 College, and essential department and institutional policies and procedures. This is also an
655 opportunity for the new faculty member raise his/her awareness of departmental strengths,
656 challenges, and projects underway to improve student success.

657

658 **Oversight:** Oversight of part-time faculty is provided by the department(s) in which they
659 teach. For many departments, which employ a relatively small number of part-time faculty
660 each semester, the department chair provides this oversight. Some departments, such as
661 Mathematics and English, are so large that one person cannot effectively guide and mentor
662 all of the adjunct faculty. In these departments, the chair works with other full-time faculty
663 to ensure that the part-time faculty have the support they need.

664
665 **Evaluation:** The evaluation of part-time faculty is guided by [Article 7C](#)⁷⁸ of the Agreement
666 between the District and the SMC Faculty Association. The department chair is required to
667 evaluate adjunct faculty at least twice in their first four semesters of employment and at least
668 once every four semesters of employment thereafter. Student evaluations are distributed
669 during the semester that the faculty member is evaluated. In the last five years, a taskforce
670 was formed to review and update the peer and student evaluation process to ensure that part-
671 time faculty scheduled to be evaluated are notified and evaluated in a timely manner.

672
673 **Professional Development:** As outlined in the [faculty collective bargaining agreement](#),⁷⁹
674 part-time credit faculty are required to fulfill flex day credit, prorated based on the number of
675 credits they teach. Part-time faculty are strongly encouraged to participate in all professional
676 development activities that occur on campus, including institutional flex days conducted in
677 the fall and spring, departmental flex days and/or meetings conducted throughout the year,
678 and professional development workshops offered by a myriad of groups on campus,
679 including the [Professional Development Committee](#).⁸⁰

680
681 A calendar of [professional development](#) activities⁸¹ is prepared, updated regularly and posted
682 online for all faculty. Part-time faculty may also participate in the [Faculty Summer Institute](#)
683 (FSI) and other activities organized by the Center for Teaching Excellence.⁸² In fact, as of
684 2016, of the 144 total faculty FSI participants, 78 have been part-time faculty. Adjunct
685 faculty are also invited to participate in professional development activities off-campus,
686 including conferences and workshops offered throughout the state and nation. The District
687 provides annual funding for individual professional development, per the faculty collective
688 bargaining agreement.⁸³ Part-time faculty are also eligible to apply for [fellowships](#).⁸⁴
689 Fellowship recipients are awarded \$1,500 to pursue professional development opportunities
690 relevant to their teaching responsibility.

691
692 **Other Opportunities for Integration:** Part-time faculty are required to attend at least one
693 department meeting per semester as outlined in [Article 6.5.2](#) of the faculty collective
694 bargaining agreement⁸⁵ and are invited to attend any meeting.

695
696 The Academic Senate [Adjunct Faculty Committee](#)⁸⁶ addresses issues relevant to adjunct
697 faculty. Part-time faculty serve on Academic Senate joint committees and the Faculty
698 Association Executive Committee and have served on the contract negotiation teams.

700 Analysis

701
702 As noted previously, Santa Monica College employs a large number of part-time faculty that
703 are the equivalent of nearly 400 full-time equivalent faculty positions. As such, it is essential

704 that the College’s part-time faculty are thoroughly and consistently oriented, mentored,
 705 evaluated and supported by the College. Much of this support is provided at the department
 706 level by full-time faculty who are committed to ensuring the quality of the curriculum. The
 707 departments receive support from the Office of Human Resources, Academic Affairs,
 708 Student Affairs, and other groups on campus as they work to integrate part-time faculty into
 709 the life of the institution.

710

711 **Plan**

712

713 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
 714 continue to monitor its progress.

715

716

717 **IIIA.9 The institution has a sufficient number of staff with appropriate qualifications
 718 to support the effective educational, technological, physical, and administrative
 719 operations of the institution.**

720

721 **Evidence of Meeting the Standard**

722

723 All instructional, student support, and administrative offices submit an annual program
 724 review report which addresses staffing needs within the area. Such needs are prioritized
 725 through the College’s planning processes. The most critical needs are addressed by the
 726 College’s senior staff through the evaluation of the Personnel and Budget Augmentation
 727 Request (PBAR) form which requires personnel requests, including requests for replacement
 728 personnel, to be tied to program review, the *Master Plan for Education*, Accreditation
 729 Standards, Board of Trustees Priorities, or other means of substantiating the request. The
 730 following table provides an overview of the number of support staff employed by the College
 731 to support the educational, technological, physical, and administrative operations of the
 732 institution.

733

734

Number of Staff Employed by Santa Monica College

Staff Classification	Fall 2010	Fall 2011	Fall 2012	Fall 2013	Fall 2014	Fall 2015
Classified Support Staff	472	471	460	442	437	466
Confidential Staff	7	8	8	8	6	6
Total Staff	479	479	468	450	443	472

735

Source: Office of Human Resources, 2014-2015 Diversity Report

736

737 **Analysis**

738

739 The College has three basic types of support staff who provide student and faculty support;
 740 infrastructure support (including maintenance, grounds, and physical plant operations); and
 741 technology support. While additional staff are always needed, the College carefully
 742 considers its fiscal resources when reviewing requests for replacement and/or additional
 743 personnel. The College has been under a hiring “freeze” for several years, meaning that each
 744 non-faculty request is reviewed by senior staff. More than 80 positions are on the College’s
 745 vacancy list.

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Two operational areas that are perennially understaffed, often due to the difficulty in securing and retaining qualified staff, are Technological Support and Physical Operations. In both areas, the College’s Fiscal Services Department is developing a “Total Cost of Ownership” plan to document the fiscal resources necessary to support infrastructural needs, but these plans are still in work and do not yet include staffing. The College is working to integrate staffing into both plans using recognized metrics for assessing adequate levels of support:

- **Technological Support:** Information included in the California [Community Colleges’ Chancellor’s Office Technology Plan](#), which has been updated several times by the System wide Architecture Committee.⁸⁷ This plan outlines recommended staff levels for Technological support. As noted in the Information Technology Department’s 2014-2015 six-year [Program Review Report](#),⁸⁸ the Information Technology Department has been below standard staffing level rating in almost every category of IT support functions based on the state-defined benchmark. The Information Technology Department has since developed a multi-phased staffing restoration and restructuring implementation plan which will be incorporated into the future Total Cost of Ownership plan.
- **Physical Operations Support:** When completed, the Total Cost of Ownership plan will also help the College plan for the “true cost” of building, maintaining, and upgrading the College’s physical infrastructure by including current and future staffing, such as operations and grounds personnel. This plan recognizes that while the cost of capital construction represents a large cost in a short period of time, the costs to maintain and operate a facility will continue annually for at least 50 years. In the next few years, the College will be adding additional square footage and is planning for this expansion now.

Plan

While Santa Monica College is meeting this standard with regard to its educational and administrative operations, the College needs to improve its staffing for Technological Support and Physical Operations.

Proposed Activities	Responsible Parties	Timeline	Anticipated Outcomes/ Benchmarks of Success
Objective: To ensure that Technological and Physical Operations of the College are adequately staffed.			
1) Include staffing projections into the final version of the Total Cost of Ownership Plan.	Fiscal Services, Information Technology, Facilities	2016-2017	1) Total Cost of Ownership plan reflects recommended staffing levels to support current and planned infrastructure levels.
2) Include staffing requests in program review reports.	Information Technology, Facilities	2017-2018	2) Program Review (annual or six year) includes projected staffing needs.
3) Prepare PBAR to request budget increases commensurate with recommended staffing.	Information Technology, Facilities	2017-2018	3) Financial resources identified and approved for additional staffing positions.

Proposed Activities	Responsible Parties	Timeline	Anticipated Outcomes/ Benchmarks of Success
Objective: To ensure that Technological and Physical Operations of the College are adequately staffed.			
4) Revise or develop job classifications that reflect current requirements	Personnel Commission, Information Technology, Facilities	2018 -2019	4) Personnel recruitment based on current (upgraded) job classifications.

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IIIA.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 purpose. (ER 8)

Evidence of Meeting the Standard

Santa Monica College employs both academic administrators and classified administrators and managers to provide leadership and oversight to the College’s various programs and departments. As previously noted in this standard, position descriptions clearly outline the responsibilities and tasks for each position and the qualifications required to successfully complete these responsibilities. These qualifications adhere to the minimum standards set forth in the Board of Governors’ “Minimum Qualifications for Faculty and Administrators in California Community Colleges.” The qualifications and responsibilities for [classified administrators and managers](#) are maintained by the Personnel Commission.⁸⁹ The following table summarizes the administrators, both academic and classified, employed by the College.

Staff Classification	Fall 2010	Fall 2011	Fall 2012	Fall 2013	Fall 2014	Fall 2015
Academic Administrators	50	46	48	45	48	50
Classified Managers	42	41	44	41	38	42
Total Administrative Staff	92	87	92	86	86	92

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Analysis

The College maintains a sufficient number of administrators to provide effective leadership and services to support the Mission. Program review, in conjunction with the Personnel and Budget Augmentation Request (PBAR) process, is used to assess whether the College employs a sufficient number of administrators. In the case of a new program or service, if administrative support is not assumed by an existing administrative position and a new position is being requested, the PBAR process alone is used to determine the need since no program review reports will exist to document and support the request.

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Plan

Based on an analysis of the evidence, Santa Monica College is meeting this standard and will continue to monitor its progress.

IIIA.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

Santa Monica College has clearly established personnel policies and procedures as outlined in its board policies, administrative regulations, and collective bargaining agreements with the Faculty Association, the California School Employees Association, and the Santa Monica College Police Officers Association. The board policies and administrative regulations are available online through the College’s [College Governance](#) web page,⁹⁰ while the collective bargaining agreements are available on the [Human Resources](#) website.⁹¹ The development and ongoing review and revision of these policies involves the Academic Senate joint committees; DPAC, which is comprised of faculty, management, staff, and students; and the Board of Trustees.

[Board policies](#) and administrative regulations that govern the treatment of personnel at the College⁹² include BP 3121-3123 and 3130-3132 which address all personnel; BP 3224-3225 which address academic personnel; BP 3310 which addresses classified personnel; and AR 3120, 3121, and 3130 which address similar issues.

In addition, there are specific policies and regulations on the following topics:

Board Policies

- BP 2116, Whistleblower Protection
- BP 2405, District-Wide Code of Ethics
- BP 2410, Nondiscrimination on the Basis of Disability
- BP 3111, Drug Free Campus/Prevention
- BP 3120, Equal Employment Opportunity and Non Discrimination in Employment
- BP 3121, Diversity
- BP 3122, Sexual Misconduct
- BP 3123, Sexual Harassment
- BP 3124, Workplace and Campus Violence
- BP 3125, Anti-Nepotism
- BP 6116, Reporting Fraud, Waste or Abuse

Administrative Regulations

- AR 2116, Whistleblower Protection
- AR 3120, Equal Employment Opportunity Program and Discrimination Complaint Procedure

- 853 • AR 3121, Sexual Harassment Prevention
854 • AR 3122, Sexual Misconduct
855 • AR 3123, Workplace/Campus Violence and Anti-Bullying

856

857 The Office of Human Resources has worked with the Superintendent/President’s office and
858 other governance groups, including the Academic Senate Joint Personnel Policies
859 Committee, DPAC, and the Personnel Commission, to institute an ongoing and systematic
860 review of these personnel policies and procedures to ensure fair and consistent administration
861 and continuity with documents. To promote consistency, the Office of Human Resources has
862 developed standardized forms to support many of these policies, including the complaint and
863 [grievance](#) process,⁹³ [unlawful discrimination/sexual harassment](#),⁹⁴ and workplace and [campus](#)
864 [violence](#).⁹⁵ The college community may access this information through the [Human](#)
865 [Resources website](#).⁹⁶

866

867 An online training program on harassment prevention for all supervisors and managers was
868 implemented to ensure that the college community is adhering to its personnel policies,
869 particularly with regard to anti-harassment, including sexual harassment. Anti-harassment
870 and unlawful discrimination training was also developed for faculty and students. A
871 Compliance Administrator/Title IX Coordinator was hired in September 2015 for awareness
872 of, and prevention and reporting of sexual misconduct issues.

873

874 **Analysis**

875

876 The College has established personnel policies for all of its employees, including specific
877 policies and procedures for faculty, classified staff, and management and administrative
878 personnel. The Office of Human Resources and the Personnel Commission work together to
879 ensure that these policies are consistently and fairly implemented by offering new employee
880 orientation, training, standardized forms, and by working directly with hiring committees and
881 employee evaluation panels. The Faculty Association and the California School Employees
882 Association also work with Human Resources and the Personnel Commission to ensure that
883 these policies and procedures are consistently implemented across campus. The Office of
884 Human Resources is documenting its internal operating procedures through two new
885 operating manuals: a Human Resources Manual² and a [Benefits Procedure Manual](#).⁹⁷

886

887 **Plan**

888

889 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
890 continue to monitor its performance.

891

892

² Due to file size, the Human Resources Manual is available in hard-copy only.

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

897
898 *Evidence of Meeting the Standard*

899
900 The College prioritizes its appreciation of, attention to, and services for individuals from all
901 backgrounds and experiences as expressly stated in the Mission Statement:

902
903 *To serve the world's diverse communities by offering educational opportunities that embrace*
904 *the exchange of ideas in an open, caring community of learners and which recognize the*
905 *critical importance of each individual's contribution to the achievement of the College's*
906 *vision.*

907
908 Furthermore, Institutional Learning Outcome #3 expresses the College's goal of fostering a
909 commitment to diversity among its students:

910
911 *Through their experience at Santa Monica College, students will learn to respect the inter-*
912 *relatedness of the global human environment, engage diverse peoples, and acknowledge the*
913 *significance of their daily actions relative to broader issues and events.*

914
915 In addition, the College's Supporting Goal of providing a Supportive Collegial Environment
916 further supports this commitment to diversity. This goal states that the College will "*improve*
917 *and enhance decision making and communication processes in order to respect the diverse*
918 *needs and goals of the entire college community.*" Several board policies and administrative
919 regulations articulate the College's commitment to diversity and its policies and procedures
920 for ensuring diversity through the creation and maintenance of appropriate programs,
921 practices, and services that support its diverse personnel. [BP 3120](#), Equal Employment
922 Opportunity and Nondiscrimination in Employment,⁹⁸ establishes the College's commitment
923 to diversity and equal employment opportunity in all areas of employment. [BP 3121](#),
924 Diversity,⁹⁹ extends that commitment:

925
926 *The Santa Monica Community College District is committed to building an inclusive and*
927 *diverse environment and maintains a comprehensive program to ensure that practice*
928 *reflects these principles. Diversity within the college environment provides opportunity*
929 *to foster mutual awareness, knowledge, and sensitivity, to challenge ingrained*
930 *stereotypes, and to promote mutual understanding and respect. The District is committed*
931 *to a work and learning environment conducive to open discussion and the free exchange*
932 *of ideas. Global awareness and exploring the diversity of the local communities served*
933 *by the College are both important components of the College's commitment to diversity.*
934 *Embodying, promoting and celebrating diversity inspires innovative ideas, practical*
935 *solutions, and team-building in achieving the District's goal of professional and*
936 *educational excellence.*

937

938 **Policies and Procedures to Support its Diverse Personnel**

939

940 The plan for accomplishing these goals and outcomes is spelled out in the College's [Equal](#)
941 [Employment Opportunity \(EEO\) Plan](#),¹⁰⁰ which includes an EEO & Nondiscrimination in
942 Employment Policy Statement, the establishment of an EEO Advisory Committee, and the
943 development of college plans and procedures for such activities as filing complaints; hiring
944 personnel; establishing screening/selection committees, including their make-up; and specific
945 measures to address identified underrepresentation.

946

947 The Office of Human Resources provides [Unlawful Discrimination and Harassment](#)
948 Prevention training¹⁰¹ both on-ground and online. Other policies that support these goals
949 include:

950

951 • [AR 2250](#), District Planning and Advisory Council,¹⁰² established DPAC's Human
952 Resources Planning Subcommittee that continually reviews and revises the College's

953

954 • [AR 3120](#), Equal Employment Opportunity Program and Discrimination Complaint
955 Procedure,¹⁰³ outlines the specific procedures for managing complaints.

956

957 • [AR 3121](#), Sexual Harassment Prevention,¹⁰⁴ and [AR 3130](#), Citizen Complaints
958 Against District Personnel,¹⁰⁵ articulate the College's commitment to adhere to
959 Assembly Bill 1825, which mandates state-wide sexual harassment training for any
960 employee who performs supervisory functions within a company of 50 employees or
961 more.

962

963 Human Resources places guidelines in work areas around campus to provide employees
964 information about the procedure for making discrimination complaints and makes the
965 information easily available on the college website. When complaints arise, they are brought
966 to Human Resources for investigation. Other established and new board policies have also
967 been adopted to ensure a safe, equitable, and comfortable working environment that address
968 whistleblower protections ([BP 2116](#)),¹⁰⁶ bullying and workplace violence ([BP 3124](#)),¹⁰⁷
969 disability discrimination ([BP 2410](#)),¹⁰⁸ and sexual misconduct ([BP 3122](#)).¹⁰⁹

970

971 **Programs, Practices, and Services to Support its Diverse Personnel**

972

973 In addition to stated policies and procedures, this commitment expresses itself through a
974 myriad of programs, practices, and services at the College, as outlined below:

975

976 • [Title IX – Gender Equality](#): In 2014-2015, the College's Superintendent/President
977 established a Title IX Task Force that included faculty, staff, students, and
978 administrators representing the general segments of the college community. This task
979 force was charged with reviewing the District's current [Title IX](#)-related policies and
980 practices and making recommendations for improvement as necessary.¹¹⁰

981

982 • [Disability](#): The College's Office of Human Resources consults with employees and
983 their supervisors with regard to reasonable accommodations requests.

984

985 • [Sexual Orientation and Gender Expression](#): In 2013-2014, the college community
986 began addressing equity and diversity concerns with regard to sexual orientation and
987 gender expression. At that time, the Equity and Diversity Committee of the College's
988 Academic Senate organized a team of faculty, staff, and students to complete the

984 Academic Senate for California Community College’s (ASCCC) Equity Committee’s
985 LGBT-Friendly Campus Climate Index³ survey to understand and improve how well
986 the College is serving its lesbian, gay, bisexual, transgender, queer, intersex, and
987 asexual (LGBTQIA) community. The Santa Monica College Campus Police attend
988 sensitivity trainings each year that support an understanding of LGBTQIA students,
989 and the College offered a two-part Safe Zone training during the 2015 professional
990 development day.

- 991
992 • Racial/Ethnic/Cultural Diversity: Many programs support the College’s commitment
993 to racial/ethnic diversity for all members of the college community, including campus
994 initiatives, guest lectures, visiting professors, celebrations, and professional
995 development activities. Among the College’s most prized initiatives is [Global](#)
996 [Citizenship](#), which began in 2007,¹¹¹ a key component of which has been the
997 expansion intercultural awareness through college-sponsored [professional](#)
998 [development](#) opportunities for faculty and staff, including trips to Austria, Turkey,
999 and China.¹¹² During the fall semesters, the International Education Week¹¹³ in
1000 November includes lectures, films, and other opportunities to explore and celebrate
1001 [international diversity](#). In the spring, the Global Citizenship Student [Research](#)
1002 [Symposium](#) celebrates outstanding student work that illustrates the concepts, themes,
1003 and concerns of global citizenship.¹¹⁴

1004 **Assessment of the College’s Record in Employment Equity and Diversity**

1005 The College is committed to employing and maintaining a diverse workforce. As outlined in
1006 AR 3120, Equal Employment Opportunity Program and Discrimination Complaint
1007 Procedure, each applicant may choose to identify himself/herself as a member of a
1008 historically underrepresented group when his/her application is submitted. This information
1009 is kept confidential and may be used only in evaluating the effectiveness of the District’s
1010 diversity program and in ensuring that the applicant pools are reflective of historically
1011 underrepresented groups in the workforce and each screening committee for faculty and
1012 academic administration positions includes an Equal Employment Opportunity (EEO)
1013 representative to ensure the fairness of the selection process and all faculty, staff, and
1014 administrators who serve on hiring committees must attend orientation sessions that include
1015 EEO training.

1016 The Office of Human Resources conducts a biannual [assessment of the race and ethnic make-](#)
1017 [up](#) of college personnel. This information is presented to the Board of Trustees with
1018 recommendations for improvements to the hiring process as necessary.¹¹⁵

1019 **Analysis**

1020 Through its policies and practices, the College maintains and expands programs, practices,
1021 and services that support its diverse personnel and contribute to its Mission. Despite its
1022 commitment to diversity and the development and implementation of these policies and
1023

³ While this is the official name of the index, the College serves the LGBTQIA community.

1028 practices, the College’s record in employment equity and diversity has significant room for
 1029 improvement. As shown in the following table, which compares student ethnic
 1030 demographics to various employment categories, approximately 45 percent of Santa Monica
 1031 College students represent traditionally underrepresented races/ethnicities, with Hispanic
 1032 students representing 38.5 percent of the total student population. Gains in the diversity of
 1033 college personnel include an increase in the academic administrators who self-identify as
 1034 Hispanic, from 14.6 percent in Fall 2012 to 20.8 percent in Fall 2014. However, with the
 1035 exception of comparing Black employees to the student population, minority populations are
 1036 still underrepresented within the College’s full-time and part-time faculty members and are
 1037 not reflective of either the College’s student or County of Los Angeles’s ethnic populations.
 1038 Additionally, employees from all ethnic groups are underrepresented when compared with
 1039 the White, non-Hispanic employees in each category.

1040
 1041

Student Racial/Ethnic Demographics

	Students*		Academic Administrators		Academic Tenured/Tenure Track Faculty		Academic Temporary		Classified Managers		Classified Employees***	
	Count	%	Count	%**	Count	%**	Count	%**	Count	%**	Count	%**
Total	32,166	100.0%	48	2.5%	311	16.1%	1,085	56.1%	38	2.0%	452	23.4%
Black	2,649	8.24%	9	18.8%	35	11.3%	89	8.2%	7	18.4%	102	22.6%
American Indian/ Alaskan Native	60	0.19%	0	0.0%	0	0.0%	1	0.1%	1	2.6%	0	0.0%
Asian	3,984	12.39%	7	14.6%	38	12.2%	94	8.7%	4	10.5%	43	9.5%
Hispanic	11,417	35.49%	10	20.8%	46	14.8%	119	11.0%	5	13.2%	117	25.9%
Multi-Ethnicity	1,140	3.54%	1	2.1%	1	0.3%	14	1.3%	0	0.0%	1	0.2%
Filipino	528	1.64%	0	0.0%	3	1.0%	0	0.0%	1	2.6%	11	2.4%
Pacific Islander	82	0.25%	1	2.1%	1	0.3%	5	0.5%	0	0.0%	0	0.0%
Unknown	2,456	7.64%	1	2.1%	4	1.3%	56	5.2%	0	0.0%	20	4.4%
White, Non-Hispanic	9,850	30.62%	19	39.6%	183	58.8%	699	64.4%	20	52.6%	154	34.1%

* Source: http://datamart.cccco.edu/Students/Enrollment_Status.aspx
 ** Percentages are based on a total employee count of 1,934.
 *** “Classified Employees” includes Classified Confidential and Police Officers

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 1051

The results from the Academic Senate for California Community College’s Equity Committee’s LGBT-Friendly Campus [Climate Index survey](#) (completed by staff, faculty, and students) suggested that the College should provide more training for faculty and staff and work on improving its recruitment and retention efforts of both staff and students.¹¹⁶ Efforts are underway to address some of the areas of concern regarding LGBTQIA and gender expression support and services. For example, the College is adding “gender expression” to all of its inclusion policies in compliance with California law and has hired a post-doctoral psychology student to provide individual counseling to LGBTQIA students through the Office of Psychological Services.

1052
 1053 However, the College needs to make a visible commitment to prioritize addressing
 1054 LGBTQIA and gender expression concerns on campus rather than relying primarily on the
 1055 LGBTQIA community itself to identify areas of concern. The LGBT-Friendly Campus
 1056 Climate Index report further suggested that the College should provide more training for
 1057 faculty and staff and also work on improving its recruitment and retention efforts of both
 1058 staff and students.

1059
 1060 **Plan**

1061
 1062 Based on an analysis of the evidence, Santa Monica College is addressing this standard and
 1063 will continue to monitor its performance, most specifically its progress in diversifying its
 1064 workforce.

1065

Proposed Activities	Responsible Parties	Timeline	Anticipated Outcomes/ Benchmarks of Success
Objective: To increase the diversity of part-time and full-time faculty hired by the College.			
1) Continue to advertise employment opportunities in professional publications and other sources that have ties to historically underrepresented groups.	Office of Human Resources Personnel Commission	Ongoing	1) Applicant pools reflect increased diversity.
2) Outreach to participants in California State University, Dominguez Hills' Community College Teaching Certificate program. ¹¹⁷	Office of Human Resources	2016-2017	2) Prospective instructors are aware of full- and part-time faculty employment opportunities. Applicant pools for part-time faculty reflect greater diversity.
3) Ensure that current part-time faculty who are members of underrepresented groups are encouraged to apply for full-time positions.	Office of Human Resources	Ongoing	3) Applicant pools for full-time positions include current part-time faculty who are members of underrepresented populations.
4) Develop outreach efforts to both current employees and external applicants to increase the diversity of applicant pools for classified management positions.	Personnel Commission	Ongoing	4) Applicant pools for classified management positions are more diverse.

1066

Proposed Activities	Responsible Parties	Timeline	Anticipated Outcomes/ Benchmarks of Success
Objective: To develop a more inclusive climate for LGBTQIA students and staff.			
1) Create training modules to help build a community of	Psychological Services	Completed (training	Training modules available for faculty and staff and students

Proposed Activities	Responsible Parties	Timeline	Anticipated Outcomes/ Benchmarks of Success
Objective: To develop a more inclusive climate for LGBTQIA students and staff.			
respect, inclusion and support for LGBTQIA students.		ongoing)	on a number of topics related to students and staff who identify as LGBTQIA.
2) Develop recruitment materials to attract diverse faculty, with focus on attracting candidates who may identify as LGBTQIA.	Human Resources	2016-2017	Increased diversity in hiring pools.
3) Utilize the data from the Campus Climate index to identify other areas of concern regarding students and staff who identify as LGBTQIA.	Institutional Research Psychological Services Human Resources	2016-17	A more welcoming college culture for students and employees.

1067

1068

1069 **IIIA.13 The institution upholds a written code of professional ethics for all of its**
 1070 **personnel, including consequences for violation.**

1071

1072 **Evidence of Meeting the Standard**

1073

1074 [BP 2405](#), District-Wide Code of Ethics,¹¹⁸ applies to all college employees, including faculty,
 1075 classified staff, and administrators and is supported by [AR 5220](#), Ethics Statement,¹¹⁹ which
 1076 articulates the College’s ethical expectations of faculty under their rights of Academic
 1077 Freedom and Responsibilities, as well as professional [codes of ethics](#) established by the
 1078 Academic Senate¹²⁰ and the [Management Association](#).¹²¹

1079

1080 The Academic Senate’s Professional Ethics and Responsibilities Committee facilitates
 1081 institutional discussions regarding ethics, [faculty responsibility](#), and how to apply the
 1082 principles laid out in the code of ethics; some of these discussions take place online via the
 1083 committee’s “Ethical Professor” blog.¹²² Topics have included posting grades and student
 1084 privacy, syllabus content, avoiding grade appeals, student-instructor relationships, and
 1085 responsibilities of faculty in writing recommendation letters for students.

1086

1087 In the event of an alleged ethical violation, the employee meets with his/her supervisor to
 1088 discuss the allegation, and a report is placed in the personnel file. Faculty who are accused
 1089 of unethical behavior meet directly with the Vice President of Academic Affairs. In the
 1090 event of an allegation of sexual harassment, the Office of Human Resources conducts an
 1091 investigation.

1092

1093 **Analysis**

1094

1095 The College has a [college wide Code of Ethics](#),¹²³ complemented by [individual](#)
 1096 [constituency](#)¹²⁴ [Codes of Ethics](#),¹²⁵ available on the college website and shared during new-
 1097 hire orientation.

1098

1099 **Plan**

1100
 1101 Based on an analysis of the evidence, Santa Monica College is addressing this standard but
 1102 will continue to identify and implement effective strategies for increasing campus wide
 1103 awareness of the College’s Code of Ethics and ensuring compliance with its tenets.
 1104

Proposed Activities	Responsible Parties	Timeline	Anticipated Outcomes/ Benchmarks of Success
Objective: To ensure that the Santa Monica College Ethics Code is understood by all members of the college community and develop written consequences for violation of the code.			
1) Develop and document the consequences for employees who violate the Code of Ethics.	Office of Human Resources Personnel Commission	2016-2018	1) Employees understand the consequences for violating the Code of Ethics.
2) Post copies of the Code of Ethics with other mandatory workplace notices across the campus.	Office of Human Resources	2016-2017	2) All college personnel are aware of the Code of Ethics.
3) Facilitate a workshop on the Code of Ethics at least once per year during the College’s institutional professional development days.	Office of Human Resources Academic Senate Joint Professional Development Committee	Ongoing	3) Faculty and Staff have the opportunity for professional development training about the Code of Ethics and consequences for violations.

1105
 1106
 1107 **IIIA.14 The institution plans for and provides all personnel with appropriate**
 1108 **opportunities for continued professional development, consistent with the institutional**
 1109 **mission and based on evolving pedagogy, technology, and learning needs. The**
 1110 **institution systematically evaluates professional development programs and uses the**
 1111 **results of these evaluations as the basis for improvement.**

1112
 1113 **Evidence of Meeting the Standard**

1114
 1115 In 2012, Santa Monica College identified professional development as an institutional
 1116 priority and established an [objective](#)¹²⁶ in the 2012-2013 *Master Plan for Education* to ensure
 1117 that all personnel groups were receiving appropriate opportunities for continued professional
 1118 development, as much of the training to date had focused on faculty professional
 1119 development and there were concerns that classified staff and others were not well
 1120 represented in the process. The professional development process that emerged from this
 1121 workgroup was included in the [Master Plan for Education Update, 2013-2014](#).¹²⁷

1122
 1123 The College provides a full array of professional development opportunities throughout the
 1124 academic year for faculty, classified staff, and managers. Professional development planning
 1125 is driven by the College’s master planning process with annual activities focused on
 1126 institutional goals, initiatives, and priorities. Activities such as workshops, presentations, and

1127 discussions supporting college initiatives are tied to Institutional Learning Outcomes and
1128 Supporting Goals.

1129

1130 At the institutional level, the primary means by which the College provides professional
1131 development is through two institutional flex days, one in the fall and one in the spring.
1132 Planning for the institutional flex days is guided by the Mission and focuses on learning
1133 needs, pedagogy, and technology. The results of surveys administered after each flex day
1134 inform the planning process for subsequent flex days, as do professional development
1135 surveys periodically disseminated to the constituency groups by their respective professional
1136 development groups, such as the [Faculty Needs Assessment Survey](#) disseminated to faculty
1137 in January 2012.¹²⁸

1138

1139 Recent flex day programs have addressed the College's increased focus on student equity and
1140 what can be done both in and out of the classroom to address gaps in student success. The
1141 College has engaged regional and national experts as keynote presenters to discuss these
1142 topics, including such notable researchers as the following:

- 1143 • [Fall 2014](#), Dr. Frank Harris on *Facilitating Student Success for Men of Color in*
1144 *Community Colleges*¹²⁹
- 1145 • [Spring 2014](#), Dr. Ken Bain, *What the Best Teachers Do*¹³⁰
- 1146 • [Fall 2015](#), Dr. Pedro Noguera, *Motivating, Engaging, and Empowering Students to*
1147 *Learn*¹³¹

1148

1149 The College also offers other institutional trainings for the entire campus in such areas as
1150 emergency/disaster preparedness, responding to an active shooter, and trainings in sexual
1151 harassment, discrimination, student privacy laws, and accessibility. As an example, in [Fall](#)
1152 [2013](#), in response to a shooting on campus, and in line with the College's global citizenship
1153 theme of *Peace and Security: Managing Conflict and Violence in a Turbulent World*, the
1154 Fall Institutional Flex Day focused on issues related to emergency and disaster
1155 preparedness.¹³² To consolidate the information about the many [professional development](#)
1156 [activities](#) into one place, a professional development calendar has been posted on the college
1157 website.¹³³

1158

1159 Other professional development activities may address a specific personnel group, such as
1160 faculty or classified staff, or address specific institutional priorities:

- 1161 • **Faculty Professional Development:** The College has established a professional
1162 development fund for faculty that can be used to reimburse them for individual
1163 professional development expenses, such as conference registration fees and travel costs,
1164 contracts with external experts, and specialized departmental trainings.
- 1165 • **Sabbaticals and Fellowships:**¹³⁴ The College budgets for [eight one-semester](#)
1166 [sabbaticals](#)¹³⁵ each year for full-time faculty to engage in professional development.
1167 Fellowship awards of \$1,500 each are available to full- and part-time faculty to develop
1168 special projects.
- 1169 • **The [Margin of Excellence Mini-Grants Program](#):**¹³⁶ Funded through private
1170 donations, the Santa Monica College Foundation awards Margin of Excellence grants to
1171 faculty, providing equipment, professional development and other support. Awards are a

- 1172 maximum of \$5,000 each and the Foundation has awarded an average of \$52,000
 1173 annually to support faculty projects related to improving teaching and learning.¹³⁷
- 1174 • **President’s Circle [Chair of Excellence](#):**¹³⁸ The Santa Monica College Foundation also
 1175 supports several Chairs of Excellence in a variety of disciplines. Designed as an
 1176 incentive for faculty members to try new and innovative avenues to improve the teaching
 1177 and learning environment, recipients receive \$5,000 annually for three years. There are
 1178 currently ten chairs in Life Science, Physical Science, Music, Performing Arts, Art,
 1179 Nursing, Philosophy and Social Science, Business, and Communication.
 - 1180 • **The [Center for Teaching Excellence](#):**¹³⁹ The Center for Teaching Excellence,
 1181 established with funding from the Title V, Hispanic Serving Institutions (HSI) Program
 1182 under the U.S. Department of Education, aims to develop sound pedagogy in the areas of
 1183 technology, teaching excellence, and cultural responsiveness. In addition to the annual
 1184 Faculty Summer Institute, the Center recently added the [Career Technical Education](#)
 1185 [\(CTE\)](#)¹⁴⁰ Winter Institute, a three-day professional development experience for CTE
 1186 faculty, the Center regularly offers [seminars, workshops](#), and customized individual and
 1187 small group support.¹⁴¹
 - 1188 • **Classified Professional Development:** The College provides an annual professional
 1189 development fund for classified bargaining unit staff in the amount of \$15,000 per year
 1190 for “reimbursement of tuition, registration, and/or the cost of books...for classes,
 1191 conferences or workshops.” Classified staff are encouraged to attend the institutional
 1192 flex day activities, and the [Classified Professional Development](#) Committee coordinates
 1193 workshops included on those days as well as training offered throughout the year solely
 1194 for classified staff.¹⁴²
 - 1195 • **Professional Development on Global Citizenship:** As discussed in Standard IIIA.12,
 1196 the College has sponsored [professional development opportunities](#) for faculty and staff,
 1197 including trips to Austria, Turkey, and China.¹⁴³ The [Global Citizenship Initiative](#) also
 1198 provides [mini-grants](#) to full- and part-time faculty¹⁴⁴ to support professional development
 1199 projects associated with the Global Citizenship mission.¹⁴⁵
 - 1200 • **Professional Development for Distance Education:** The College offers specific
 1201 professional development for faculty and staff who support students learning at a
 1202 distance, specifically by training and supporting faculty readiness in using online
 1203 instructional resources. The [Distance Education Program](#) serves faculty who teach
 1204 online, as well as hybrid class instructors, and eCompanion users. The program ensures
 1205 ADA 508 compliance of the College’s online course offerings, encouraging instructors to
 1206 use Universal Design principles to make sure that all online classes, hybrid class
 1207 information, and eCompanion shells are accessible to all students.¹⁴⁶ The College is
 1208 moving to the Instructure Canvas platform and professional development will be a key
 1209 component of this effort.

1210

1211 Evaluation of Professional Development

1212

1213 Professional development planning at the College is a dynamic process that begins with a
 1214 needs assessment, continues through program planning and implementation, and ends with
 1215 evaluation of the professional development offerings and improvements to subsequent
 1216 offerings based on these results. For example, the Academic Senate Joint Professional
 1217 Development Committee (PDC) conducted a [faculty needs assessment survey](#) in January

1218 2012¹⁴⁷ that has been used to coordinate, plan, support, and facilitate faculty professional
1219 development activities.

1220

1221 Post-activity evaluation feedback is crucial to both assessing the effectiveness of the
1222 professional development activity and determining the direction of future professional
1223 development activities. Planning committees, such as the PDC, the CPDC, the Global
1224 Citizenship Committee, and the Distance Education Committee solicit feedback from
1225 participants through surveys and use this information to assess the quality of the content,
1226 including the presenters, and make decisions on future presentations.¹⁴⁸

1227

1228 The Center for Teaching Excellence solicits assessment feedback for all of its offerings and
1229 uses this information to develop and improve subsequent offerings. For example,
1230 participants in the [Faculty Summer Institute](#) evaluated each day's workshop using an online
1231 survey that was provided at the end of each session.¹⁴⁹

1232

1233 To evaluate training needs for distance education professional development, new
1234 administrative unit outcomes have been developed and implemented, the assessment of
1235 which will determine future trainings. Evaluation of eCompanion is conducted by looking at
1236 the repetition of questions and the demand in specific topics from faculty to monitor the
1237 trends online education. The Distance Education Department uses this information to better
1238 address the faculty's needs.

1239

1240 *Analysis*

1241

1242 Santa Monica College has worked diligently to strengthen its professional development
1243 offerings for faculty and staff and ensure that all personnel groups are receiving the ongoing
1244 training and support that they need to effectively do their jobs and contribute to the
1245 institutional Mission to improve student learning and achievement. There has been a
1246 concerted effort on the part of all constituency groups to tie professional development
1247 planning to institutional planning. To support this outcome, the classified staff now has its
1248 own Classified Professional Development Committee that works in concert with the faculty
1249 Professional Development Committee.

1250

1251 The College has worked to institutionalize the Center for Teaching Excellence, giving it a
1252 permanent home. The Center plans to work more extensively with new faculty and to
1253 involve more adjunct faculty. The Center is contracting with a third party to provide online
1254 professional development offerings for faculty who may have scheduling conflicts with on-
1255 campus events.

1256

1257 The College offers multiple opportunities for all faculty to participate in college-funded
1258 professional development activities, including sabbaticals and the Santa Monica College
1259 Foundation-funded Margin of Excellence grants. However, both the College and the
1260 Foundation have had difficulty awarding the full number of sabbaticals and grants available;
1261 since 2012-2013, the College has awarded an average of 6.25 sabbaticals per year although it
1262 budgets to fund eight sabbaticals per year. The Academic Senate joint committees are

1263 working to streamline the application process and raise faculty awareness of available
 1264 opportunities.

1265
 1266 **Plan**

1267
 1268 Based on analysis of the evidence, Santa Monica College is addressing this standard and will
 1269 continue to monitor its progress. The College will ensure that professional development
 1270 opportunities are provided to faculty teaching online through the new Instructure Canvas
 1271 program and will make improvements to the sabbatical application and award processes.
 1272

Proposed Activities	Responsible Parties	Timeline	Anticipated Outcomes/ Benchmarks of Success
Objective: To ensure that faculty who teach online in the new platform or who use the equivalent of eCompanion are afforded training opportunities to build the skills needed to effectively use the new platform.			
1) Initiate training contract with Instructure/Canvas.	Distance Education Purchasing	2016-2017	1) Contract includes professional development.
2) Conduct training.	Distance Education DE Faculty	Ongoing	2) DE Faculty and support personnel ensure that DE students are supported.

1273

Proposed Activities	Responsible Parties	Timeline	Anticipated Outcomes/ Benchmarks of Success
Objective: To ensure that eight sabbaticals are awarded as per the agreement between the District and the Faculty Association.			
1) Develop streamlined application process.	Sabbaticals Committee Office of Human Resources	2016-2017	1) Application process results in a larger pool of sabbatical applications submitted.
2) Provide outreach to faculty.	Sabbaticals Committee Professional Development Committee	2016-2017	2) Faculty are encouraged to apply for sabbaticals.

1274
 1275
 1276 **IIIA.15 The institution makes provision for the security and confidentiality of**
 1277 **personnel records. Each employee has access to his/her personnel records in**
 1278 **accordance with law.**

1279
 1280 **Evidence of Meeting the Standard**

1281
 1282 The Office of Human Resources maintains personnel files for all employees. Personnel files
 1283 are stored in a file room within the Human Resources Office and are locked during non-
 1284 business hours. Access to these files is limited to Human Resources personnel
 1285

1286 The College provides employees access to their records in accordance with the California
1287 Education Code, Title 3, Section 87031. [AR 3131](#), Personnel Records,¹⁵⁰ and [BP 3131](#),
1288 Personnel Records,¹⁵¹ defines the procedure for personnel who wish to access [records](#)
1289 [archived by the District](#).¹⁵²

1290
1291 The College has undertaken imaging documents. The objective is to image active files and
1292 achieve a paperless operation to enhance the security and retrieval of employee records.

1293

1294 **Analysis**

1295

1296 Santa Monica College has clearly established policies and procedures that provide for the
1297 security and confidentiality of its personnel records. The Human Resources staff is trained to
1298 ensure that they are knowledgeable about of these policies and procedures and utilize
1299 effective practices to ensure compliance. For example, staff participate in an online training
1300 provided by LawRoom, an online vendor, entitled California Access to Personnel Records,
1301 which outlines what institutions need to retain and what information is disposable. This
1302 training is updated each time the law changes; as such, staff attended in the training in 2013
1303 and again in 2015.

1304

1305 The College is making progress toward a paperless personnel records system, although
1306 constraints on fiscal and human resources have slowed the process.

1307

1308 **Plan**

1309

1310 Based on analysis of the evidence, Santa Monica College is addressing this standard and will
1311 continue to monitor its progress.

1312

1313 **LIST OF EVIDENCE FOR STANDARD IIIA**

- 1 Evidence: IIIA1_Human_Resources_webpage.pdf
- 2 IIIA1_Personnel_Commission.pdf
- 3 IIIA1_Merit_Rules.pdf
- 4 IIIA1_AR_3000_Human_Resources.pdf
- 5 IIIA1_Example_of_a_Faculty_Description.pdf
- 6 IIIA1_Example_of_an_Administrator_Description_Dean.pdf
- 7 IIIA1_Example_of_a_Classification_Description_nonmanagement_Lab_Tech.pdf
- 8 IIIA1_Example_of_a_Classification_Description_Acct_Manager.pdf
- 9 IIIA1_Personnel_and_Budget_Augmentation_Request_Form.pdf
- 10 IIIA1_SMCCD_PT_Faculty_Job_Postings.pdf
- 11 IIIA1_PersonnelCommission_Classified_Job_Opportunities.pdf
- 12 IIIA1_Screening_Selection_Committee_Orientation_9-10-2015.pdf
- 13 IIIA2_Faculty_Min_Quals_Upper_Division_Courses.pdf
- 14 IIIA_Job_Bulletin_FT_Graphic_Design_Faculty_2015.pdf
- 15 IIIA2_AR_3211-7_Equivalency_Process.pdf
- 16 IIIA2_AR_3211-9_Min_Quals_Human_Resources.pdf
- 17 IIIA2_AR_3211_Human_Resources.pdf
- 18 IIIA2_Recruitment_Process_HR_2015-16.pdf
- 19 IIIA2_Job_Bulletin_FT_Economics_8-4-2014.pdf
- 20 IIIA2_Article-6.pdf
- 21 IIIA2_AR_3231_Human_Resources.pdf
- 22 IIIA2_AR_3211-9_Min_Quals_Human_Resources.pdf
- 23 IIIA2_AR_3230-1_Human_Resources.pdf
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- 31 IIIA5_BP_3200.pdf
- 32 IIIA5_Article-7A.pdf
- 33 IIIA5_AR_3200.pdf
- 34 IIIA5_BP_3210_Evaluation_of_Academic_Personnel.pdf
- 35 IIIA5_Article-7.pdf
- 36 IIIA1_AR_3212-1_Evaluation_of_Permanent_Personnel.pdf
- 37 IIIA2_AR_3231_Human_Resources.pdf
- 38 IIIA5_Article7B-Evaluation_of_Tenured_Faculty.pdf
- 39 IIIA5_Article7C-Evaluation_of_Part-Time_Faculty.pdf
- 40 IIIA5_Article7D-Evaluation_of_Part-Time_Faculty_in_Emeritus_College.pdf
- 41 IIIA5_Professionalism_Form.pdf
- 42 IIIA5_Faculty_Observation_Form-Instructional_Faculty_Member.pdf
- 43 IIIA5_Faculty_Observation_Form-Counseling.pdf
- 44 IIIA5_Faculty_Observation_Form-DSPS_Faculty_Member.pdf
- 45 IIIA5_Faculty_Observation_Form-Librarian_Faculty_Member.pdf
- 46 IIIA5_BP_3310_Classified_Employees.pdf
- 47 IIIA5_2012-15_CSEA-SMC_Agreement_excerpt.pdf
- 48 IIIA5_BP_3434_Evaluation_of_Managers.pdf
- 49 IIIA1_AR_3420_Evaluation_of_Management_Human_Resources.pdf

50 IIIA5_Faculty_Evaluation_Summary_Form_for_Emeritus_College_Faculty.pdf
51 IIIA6_Evaluation_Timeline_PT_Faculty_2016.pdf
52 IIIA6_Faculty_Evaluation_email_notification.pdf
53 IIIA6_Tenured_Faculty_Evaluation_15-16.pdf
54 IIIA5_Article-7.pdf
55 IIIA6_Appendix-J.pdf
56 IIIA6_Evaluation_Timelines-Faculty_2015-2016.pdf
57 IIIA5_Professionalism_Form.pdf
58 IIIA6_Appendix-S_of_Faculty_Contract.pdf
59 IIIA6_Evaluation_letter_to_Dept_chairs_3-1-16.pdf
60 IIIA1_AR_3420_Evaluation_of_Management_Human_Resources.pdf
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72 IIIA7_Fall_2014_Full-time_Faculty_Final_Report.pdf
73 IIIA7_Full-time_Faculty_Obligation_CCC.pdf
74 IIIA8_SMC_New_Hire_Orientation_Powerpoint_4-30-2015.pdf
75 IIIA8_Welcome_Memos.pdf
76 IIIA8_Faculty_Handbook_2015.pdf
77 IIIA8_New_Hire-Part-Time_Adjunct_Faculty_webpage.pdf
78 IIIA8_Article_7C-Evaluation_of_Part-Time_Faculty.pdf
79 IIIA8_FA_Contract_2013-2016_excerpt.pdf
80 IIIA8_Professional_Development_Committee_webpage.pdf
81 IIIA8_Faculty_Professional_Development_webpage.pdf
82 IIIA8_Annual_Faculty_Summer_Institute_webpage.pdf
83 IIIA8_Article_15.pdf
84 IIIA8_Sabbaticals_Fellowships_and_Awards_Committee.pdf
85 IIIA2_Article_6.pdf
86 IIIA8_Adjunct_Committee_webpage.pdf
87 IIIA9_CCC_TechnologyPlanII_Total_Cost_of_Ownership.pdf
88 IIIA9_Program_Review_Info_Tech_2014.pdf
89 IIIA10_Classified_Manager_Example_from_PersonnelCommission_webpage.pdf
90 IIIA11_SMC_College_Governance_webpage.pdf
91 IIIA1_Human_Resources_webpage.pdf
92 IIIA11_BP_2116_up_to_6116_Final.pdf IIIA11_AR_2116_up_to_3130.pdf
93 IIIA11_Complaint_and_Grievance_Forms.pdf
94 IIIA11_Unlawful_Discrimination_Sexual_Harassment.pdf
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100 IIIA12_EEO_Plan.pdf
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105 IIIA12_AR_3130.pdf
106 IIIA12_BP_2116.pdf
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110 IIIA12_TitleIX_Report-July_2015.pdf
111 IIIA12_Global_Citizenship_Web_Page.pdf
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119 IIIA13_AR_5220.pdf
120 IIIA13_Statement_on_Ethics.pdf
121 IIIA13_Management_Association_Ethics_Statement.pdf
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124 IIIA13_Management_Association_Ethics_Statement.pdf
125 IIIA13_Statement_on_Ethics.pdf
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127 IIIA14_Professional_Development_chart_from_MPE_2013-2014.pdf
128 IIIA14_Faculty_Needs_Interests_Survey_Findings_6-17-2013.pdf
129 IIIA14_Professional_Development_Day_Fall_2014.pdf
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132 IIIA14_Fall_2013_Professional_Development_Day.pdf
133 IIIA14_Professional_Development_calendar_2015-2016.pdf
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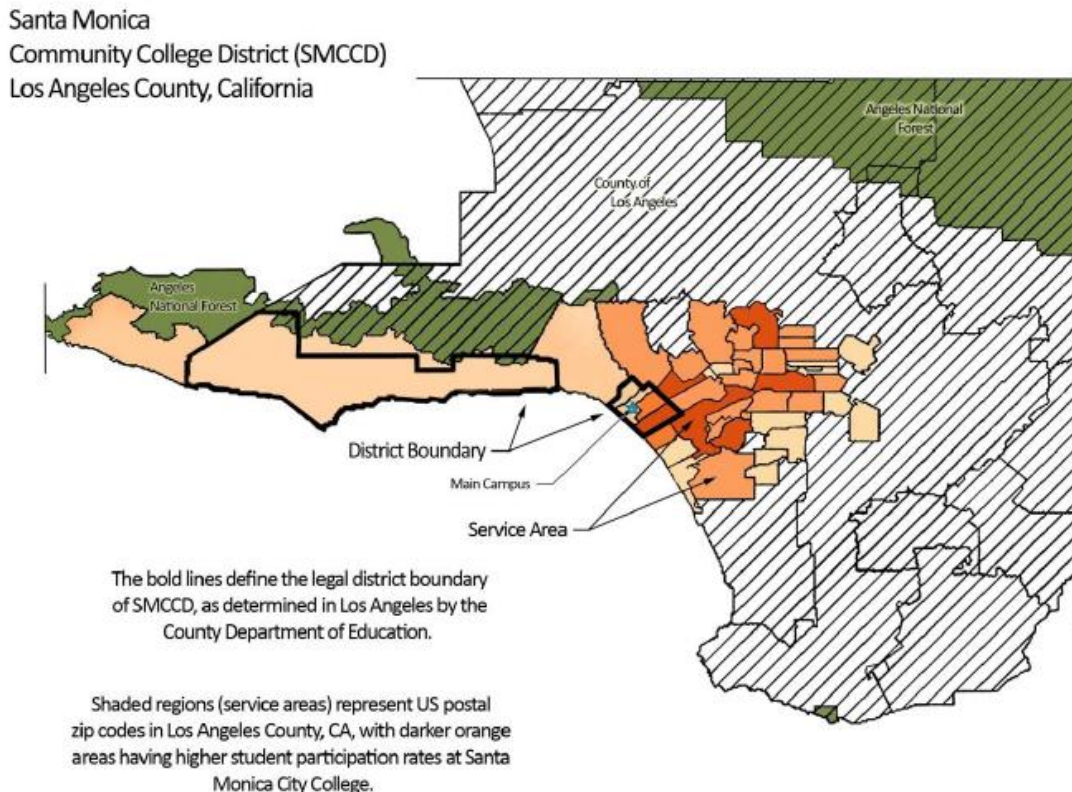
1 **STANDARD IIIB: PHYSICAL RESOURCES**

2
3 ***Introduction and Overview of the Facilities Master Planning Process***

4
5 The Santa Monica Community College District operates a single college, Santa Monica
6 College, within its district boundaries, which encompass the cities of Santa Monica and
7 Malibu, portions of unincorporated Los Angeles County, and a single property within the city
8 of Los Angeles annexed through agreement with the Los Angeles Community College
9 District. In addition to enrolling students who live within these boundaries, the College
10 attracts students from throughout the greater Los Angeles basin, with most students residing
11 within seven miles of the College in high-population communities.
12

13 The College’s Main Campus is located at 1900 Pico Boulevard in Santa Monica. The
14 College also offers instruction at five nearby satellite sites: Bundy, Airport Arts, Performing
15 Arts Center, Center for Media and Design (formerly the Academy of Entertainment and
16 Technology), and Emeritus College. Several administrative offices, including those of the
17 Superintendent/President, Fiscal Services, and Human Resources, are housed off-site at
18 2714 Pico Boulevard. The Alumni Office, the Facilities offices, and a community room are
19 located near the Main Campus at 1510 Pico Boulevard, while the Santa Monica College
20 Foundation is housed next door at 1516 Pico Boulevard. Although the Foundation is
21 distinct from the College, its sole purpose is to generate resources in support of the
22 College’s Mission. As such, through a quid pro quo agreement with the College, the
23 Foundation uses the College’s physical resources in exchange for human resources and
24 other services.
25

26 **Figure 1: Santa Monica College District Boundaries**



46
47 The Main Campus includes 38 acres in itself, while the satellite sites add approximately 26
48 acres. As of October 15, 2015, the College has [38 buildings](#) for a total of 1,054,930 gross
49 square feet, of which 651,814 square feet are assignable (i.e., used for classrooms, offices,
50 conference rooms, laboratories, libraries, and auditoriums).¹ In contrast to older facilities,
51 the newer buildings have been designed to use space far more efficiently than those they
52 replaced.

53
54 In 1998, the Board of Trustees adopted clearly defined planning and development principles
55 to inform the development and implementation of the College's *Facilities Master Plan*.
56 Since then, these principles have kept key college, academic, and sustainability objectives on
57 track and have served to successfully guide campus construction through multiple updates
58 and revisions to that initial plan. The College is currently operating from the 2010 [Facilities](#)
59 [Master Plan](#),² although it is preparing to update the plan in 2016. This plan incorporates an
60 understanding of the College, outlines current planning objectives, projects future needs, and
61 lays the groundwork for implementation. Sustainability is an integral component of all
62 facilities planning.

63
64 The comprehensive *Facilities Master Plan* is a living document that provides a long-range
65 planning framework for the College and the flexibility to accommodate changes in future
66 conditions. Using the plan as a guide, the College can respond quickly and efficiently to
67 address the needs and concerns of students, faculty, and programs. This rapid response to
68 changing conditions includes the College's strategies for dealing with the continuing
69 expansion of residential preferential parking which started in 1988, the 1994 Northridge
70 Earthquake, the 2013 on-campus shooting, and the new Expo Light Rail Line. It also
71 includes responding to changing educational needs of students and employers, such as the
72 expansion of facilities to accommodate the needs of the Design Technical program and the
73 new baccalaureate degree in Interaction Design. In addition to the *Facilities Master Plan*,
74 the College's facilities planning process develops five-year, state-required capital outlay
75 plans, local bond measures to support capital improvement projects, and ongoing assessment
76 results.

77
78 The College's Facilities team is responsible for the implementation of the *Facilities Master*
79 *Plan*, working in conjunction with multiple groups on campus, including the associated
80 planning and decision-making groups, as well as programs and services housed in each
81 facility. This team includes Facilities Planning, which oversees the planning and execution
82 of all new construction and capital projects, and Facilities Management, which oversees
83 Campus Operations, including Grounds/Landscape and Custodial Services, and Maintenance
84 and Mechanical and Energy Management Systems. Both offices are critical to the delivery
85 of premier learning environments that help facilitate achievement of the College's Mission.
86 To carry out their responsibilities, they work with the District Planning and Advisory
87 Council's (DPAC) two related subcommittees:

- 88 • Facilities Planning Subcommittee, which informs and reviews the facilities master
89 planning process and evaluates the effectiveness of facilities services, including new
90 construction, renovations, maintenance, grounds, and campus operations.
- 91 • College Services Planning Subcommittee, which makes recommendations on matters

92 pertaining to how operational services, such as Food Services, Custodial Services,
93 and Network Services, impact instruction and direct services to students.

94
95
96 **IIIB.1 The institution assures safe and sufficient physical resources at all locations**
97 **where it offers courses, programs, and learning support services. They are constructed**
98 **and maintained to assure access, safety, security, and a healthful learning and working**
99 **environment.**

100
101 *Evidence of Meeting the Standard*

102
103 Santa Monica College provides safe and sufficient physical resources at all of its locations to
104 address the teaching and learning needs of students, faculty, and programs and assure that the
105 Mission of the College is achieved. Though separated by short distances, the Main Campus
106 and the satellite sites operate as a single system, thus facilitating the ability of the College’s
107 support programs, including the Facilities Management Office, the Santa Monica College
108 Police Department (SMCPD), and other groups, to maintain sufficient control over all sites.
109 The following pages outline the College’s effort to ensure access, safety, security and a
110 healthful learning and working environment.

111
112 **Access**

113
114 The College provides the necessary physical resources to ensure that students from a variety
115 of backgrounds have access to high quality education. This includes providing sufficient
116 physical access by addressing the access needs of students and faculty in accordance with the
117 Americans with Disabilities Act (ADA), ensuring that there is adequate parking, and helping
118 students travel to and between college sites.

119
120 As part of the College’s recent emergency preparedness planning, the Emergency
121 Preparedness Committee, which included the ADA/504 Compliance Office, conducted a
122 comprehensive review of the College’s [emergency evacuation procedures](#)³ for individuals
123 with disabilities. Based on the results of this review, the College obtained evacuation chairs
124 for its multi-storied buildings and developed an [evacuation plan](#)⁴ that utilizes the chairs and is
125 in compliance with ADA requirements.

126
127 Another access issue is parking and transportation. As with most colleges, parking is a
128 perennial problem but the College has employed innovative solutions such as land swap
129 agreements with the City of Santa Monica and the Expo Construction Authority to provide
130 additional parking and shuttle buses to help students commute to and from the satellite sites.
131 The College works with the community to implement other transportation solutions. The
132 most critical of these partnerships is the one the College has with the Big Blue Bus, which is
133 the City of Santa Monica’s public mass transit provider: The Big Blue Bus provides free bus
134 transportation on any line at any time for all students, faculty, and staff if they have a current
135 college identification card. The Big Blue Bus serves much of the west side³ of Los Angeles,
136 with lines extending east as far as downtown Los Angeles.

138 These transportation alternatives enable students to register for classes at multiple sites
139 throughout the day but because it is not possible to get from one site to the next in time to
140 take back-to-back classes, the College's enrollment management system prevents students
141 from enrolling in classes at different sites when there is not enough time to travel between
142 sites.

143
144 The City of Santa Monica coordinated with other regional governmental entities to open the
145 Exposition (Expo) Light Rail Line in May of 2016. Providing additional transportation
146 options to and around Santa Monica, the Expo Line offers a 45-minute commuting option
147 to/from Downtown Los Angeles, even during rush hour.

148 149 **Safety**

150
151 The College's Facilities Planning and Facilities Management offices are responsible for the
152 overall safety of the college community as it relates to the College's physical resources. The
153 Maintenance Department is responsible for the maintenance and upkeep of all doors,
154 closures, and locking systems and supports the maintenance of the College's fire and alarm
155 systems. As part of the College's recent emergency preparedness efforts, the department has
156 recently replaced interior and exterior lights and installed emergency phones to increase
157 safety throughout the College's various sites.

158
159 The Facilities Management Office also helps the instructional programs, as well as the
160 greater college community, manage hazardous waste and address chemical spills should they
161 happen. The College provides safety training to students, faculty, and staff who work with
162 chemicals in an instructional setting. This training provides an overview of the policies,
163 procedures, and practices outlined in the College's [Chemical Hygiene Plan](#).⁵ The College
164 also follows the policies and procedures set forth in its [Consolidated Contingency Plan](#).⁶ In
165 the event of a power outage, this department also ensures that emergency generators supply
166 ample power for priority facilities, such as labs and server rooms. The Grounds Department
167 coordinates with the Risk Management Office to conduct a safety inspection every other year
168 and to address safety hazards as they arise.

169
170 The College provides training to maintain the safety and security of the campus community.
171 As of 2014, the College has three active [Campus Community Emergency Response Teams](#),
172 who are [trained in disaster response](#).⁷ The College also created a Building Monitor Training
173 Program⁸ for management, staff, and faculty members. The building monitors manage
174 evacuations and coordinate emergency operations as needed.

175 176 **Security**

177
178 Security issues became a college wide focus in June 2013, when an active shooter from
179 outside the college community came onto the campus and killed three people before he was
180 shot and killed in a joint response by the Santa Monica College Police Department (SMCPD)
181 and the City of Santa Monica Police Department. It should be noted that the two
182 departments had recently trained together on active shooter situations and that this training
183 was responsible for saving many lives in the College's library building. Three members of

184 College's Police Department received multiple citations of honor and valor following the
185 incident. It was a result of this event that the College recognized its additional needs in
186 responding effectively in a crisis situation and its aftermath. While there was nothing that the
187 College could have done to prevent the death of three people, which included a college
188 employee, a former student, and a community resident walking through campus, the crisis
189 response plan in place at the time was recognized as underdeveloped. As a result, the
190 College has been working diligently since June 2013 to strengthen its emergency
191 preparedness in all areas.

192
193 Immediately following the shooting, the Emergency Preparedness Committee convened an
194 Emergency Preparedness [Task Force](#)⁹ that met twice a month from June 2013 to February
195 2014. This task force, which included managers, faculty, staff, and students, was charged to
196 review emergency preparedness policies and procedures and make [recommendations](#)¹⁰ for
197 improvements. The Committee issued a [summary report](#)¹¹ at the conclusion of their
198 meetings.

199
200 Coincidentally, the College was in the midst of collecting feedback regarding faculty, staff,
201 and student assessment of the College's emergency preparedness when the June 7, 2013,
202 incident occurred. The [survey](#)¹² highlighted many of the concerns, challenges, and
203 deficiencies that the College experienced on the day of the shooting and subsequent lock-
204 down, including a general lack of awareness of what to do and where to go, inadequate
205 notification, and poor communication throughout the process. The College has addressed
206 many of the [concerns raised](#) through this survey. [Improvements](#)¹³ made in response to the
207 survey findings and as a result of post-June 7th evaluations and resulted in the creation of an
208 [Emergency Procedures Guidebook](#)¹⁴ and a section of the College's [website dedicated to](#)
209 [emergency preparedness](#).¹⁵

210
211 Security concerns are also reported through [an annual security report](#)¹⁶ in accordance with
212 the Clery Disclosure Act, mandated by the Crime Awareness and Campus Security Act of
213 1990. The Emergency Preparedness Committee, as well as other groups on campus, also
214 conducts presentations both internally and externally on physical security and life safety.
215 The College has developed [pamphlets](#)¹⁷ for Student Safety that are distributed college wide.
216 The College also has information on the college website about emergency preparedness for
217 both students and faculty, entitled [Student Tool Kit](#)¹⁸ and [Faculty & Staff Tool Kit](#).¹⁹ These
218 kits include instructional videos, an emergency checklist, and information on how to
219 schedule trainings. The SMCPD has also developed a uniformed cadet program to increase
220 the physical presence of the police department on campus.

221 **Healthful Learning and Working Environment**

222
223
224 The College is committed to creating a healthy learning and working environment, which it
225 defines as one that is healthy, sustainable, and cognizant of its impact not only on those
226 within it, but also on the community, region, and world. This pledge is articulated in the
227 College's Mission statement, which affirms that "*students learn to contribute to the global*
228 *community as they develop an understanding of their relationship to diverse social, cultural,*
229 *political, economic, technological, and natural environments.*" It is further noted in the

230 College's fourth Institutional Learning Outcome, which states that students will *"take*
231 *responsibility for their own impact on the earth by living a sustainable and ethical life style."*
232

233 The offices of Facilities Planning and Facilities Management are the primary groups on
234 campus that implement the College's efforts to yield a healthy and sustainable learning and
235 working environment. However, these departments work collaboratively with instructional
236 departments, Academic Affairs, and the College's Sustainability Department, including the
237 [Center for Environmental and Urban Studies](#),²⁰ to ensure there is a positive feedback loop
238 between facility planning and curricular planning. Evidence of the College's sustainability
239 planning can be found in the [Master Plan for Education](#),²¹ Board Policy 2480, [Zero Waste](#)
240 [Events](#);²² the [Sustainable Transportation Plan](#);²³ and the [Sustainability Department's](#)
241 [website](#).²⁴
242

243 The College's Facilities Management Office responds appropriately when facilities concerns
244 are raised by members of the college community. In the past few years, several issues have
245 arisen that required quick mitigation, including bacteria issues with the football field's
246 AstroTurf (the College now sanitizes the field); mold issues in buildings and parking garages
247 (the College hired experts in mold mitigation and executed recommendations); and leaky
248 roofs (which are mended and or replaced as needed).
249

250 Some issues are associated with the age and/or design of the buildings and require longer-
251 term responses. One such issue involves the ceiling tiles in the Science Building. The
252 original grid design and materials have proven problematic and unsafe, resulting in two
253 incidents in which tiles fell, hitting employees. The College has developed an immediate
254 solution to the safety issue and is considering the best course of action for a permanent
255 solution (replacing the tiles or possibly the entire grid system).
256

257 The infrastructure of several of the College's older buildings are now presenting challenges
258 that require longer-term responses. Although the College has typically benefited from
259 cooling ocean breezes to keep room temperatures reasonable, recent climate changes in the
260 last few years have resulted in high temperatures in buildings that do not have air
261 conditioning, which has resulted in extreme discomfort for faculty, students, and staff. For
262 several years, the Facilities Department provided fans to the classrooms where there have
263 been complaints about the heat to mitigate the problem. The fans only provided limited
264 relief, and during Fall 2015, the Santa Monica area had record high temperatures and
265 humidity for a prolonged period of time. The College contracted with an HVAC company to
266 develop a [mitigation plan](#)²⁵ and the College has begun the process of installing temporary air
267 conditioning to the non-air-conditioned buildings.
268

269 The College has a number of non-construction programs designed to yield a healthy and
270 sustainable environment; they also highlight how the College uses its physical resources as a
271 living learning laboratory that connects facilities planning and management to instructional
272 programs and Institutional Learning Outcomes. Key projects include the following:

- 273 • [SMC Bike Park](#) (a 400-space bike parking facility) and bike rentals through the City's
274 [Bikeshare](#) program²⁶
- 275 • [Water Refilling Stations](#)²⁷

- 276
- [Organic Learning Garden](#)²⁸
 - [Green Cleaning Program](#),²⁹ which includes the use of environmentally preferable janitorial products and equipment.
- 277
- 278
- 279

280 The College has additional policies and practices that focus solely on a healthy learning and
281 working environment. One such policy is the College's [Smoke-Free Campus policy](#), Board
282 Policy 2440.³⁰ Likewise, the students, faculty, and staff have identified healthy eating as a
283 priority of the College. To assess the impact of these policies and practices, the College
284 conducts a College Services satisfaction survey for [students](#)³¹ and [employees](#)³² every three
285 years. The [results of this survey](#)³³ helped to inform the College's subsequent food vendor
286 selection process by focusing on vendors who offer healthier food options, including
287 vegetarian and vegan choices. In addition, the DPAC [College Services Planning](#)
288 [Subcommittee](#)³⁴ worked with the Associated Students to implement a Free Lunch Voucher
289 program called [FLVR](#) to provide nourishment to low-income students and worked with food
290 vendors to provide healthy options for program participants.³⁵

291

292 **Analysis**

293

294 Santa Monica College is committed to the safety and well-being of its students, faculty, staff,
295 and community partners who visit the campus. Through a multi-pronged approach that
296 includes multiple offices and programs, the College develops and implements policies,
297 processes, and practices to assure safe and sufficient physical resources at all locations.
298 When ongoing monitoring and assessment efforts identify issues impeding the accessibility,
299 safety, and security of the college community, the College responds quickly and efficiently to
300 mitigate the situation.

301

302 The on-campus shooting in 2013 raised the college community's awareness of the need for a
303 comprehensive emergency preparedness plan. Since then, the College conducts emergency
304 drills involving the entire college community at least once a semester. Evaluation and
305 assessment is a key component of these drills. The most recent drill was conducted in
306 October 2015 as part of the [California ShakeOut](#).³⁶ The College's Office of Institutional
307 Research distributed an online survey to the campus community to assess awareness and
308 knowledge of emergency evacuation procedures. The results indicated that the majority of
309 respondents received adequate information regarding emergency preparedness and were able
310 to evacuate as planned:

- 83 percent of respondents were able to locate an evacuation area;
 - 84 percent of respondents received an emergency notice to evacuate through email, phone, or text;
 - 67 percent knew who their building monitors were; and
 - 78 percent and 61 percent knew where the fire extinguishers and AED devices were located, respectively.
- 311
- 312
- 313
- 314
- 315
- 316

317 **Plan**

318

319

320 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
321 continue to monitor its progress. However, the changing global environment requires the

322 College to take action regarding the buildings where prolonged heat spells impact student
 323 learning and the safety of the staff, faculty, administrators, and students. The *Master Plan*
 324 *for Facilities* update will include new buildings that address adequate heating and cooling
 325 systems, but new facilities will require years to plan, fund, and build. Therefore, the College
 326 has actively pursued alternative solutions for buildings that lack air conditioning.
 327

Proposed Activities	Responsible Parties	Timeline	Anticipated Outcomes/ Benchmarks of Success
Objective: Develop and implement a solution for excessive temperature mitigation in buildings without air conditioning.			
1) Explore solutions for providing air conditioning to buildings that lack HVAC.	Facilities Planning DPAC Facilities Planning Subcommittee	Completed	1) Bidding documents prepared.
2) Solicit bids for implementing the chosen plan.	Facilities Planning Purchasing	Completed	2) Successful bidder contracted with to implement the chosen solution.
3) Implement the solution.	Facilities Planning Selected Contractor	2016-2020	3) Heat mitigation in buildings without air conditioning.

328
329

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

334
335 *Evidence of Meeting the Standard*
336

337 Santa Monica College engages in comprehensive master planning, complemented and
 338 informed by annual program planning, to ensure effective utilization of its physical resources
 339 and to maintain the quality necessary to support its programs and services and achieve its
 340 Mission. These plans are used to guide the acquisition, construction, and renovation of
 341 college facilities on an ongoing basis. However, the College retains the flexibility necessary
 342 to respond to new programming opportunities, external mandates, and unforeseen challenges
 343 or concerns.
344

345 Planning for the provision of safe and sufficient physical resources to support programs and
 346 services is encompassed within the *Master Plan for Education*, which defines the goals and
 347 objectives for the College and provides guiding principles for facilities planning. For
 348 example, in the 2015-2016 plan, Objective 5 states that the College will “[e]xplore and
 349 inventory unmet space needs and physical facilities available to accommodate those needs,
 350 including program space (e.g. Supplemental Instruction) and office space (e.g. to
 351 accommodate part-time faculty office hours).” The *Comprehensive Facility Master Plan*
 352 focuses on facilities issues related to specific projects needed to meet the goals set forth in

353 the *Master Plan for Education* and ensures that programs, services, and learning facilities are
354 adequately provided for and maintained. Updates to both plans are integrally tied to
355 instructional needs as demonstrated by facilities projects affecting nearly every discipline.

356
357 The College engages in two primary types of facilities planning: [long-term planning](#),³⁷ which
358 results in updates to the *Comprehensive Facility Master Plan*, and [short-term planning](#),
359 which occurs on a continuous basis and identifies new needs that require immediate or near-
360 term action.³⁸ Both types of facilities planning are informed by the annual program review
361 process.

362

363 **Analysis**

364

365 Santa Monica College maintains a very aggressive and successful ongoing facilities
366 improvement planning and implementation process. The use of a comprehensive facilities
367 master planning process coupled with annual program review planning assures that the needs
368 of the college community, individually by program, by department, and collectively, are
369 addressed. Both the master planning process and the annual program review planning tie
370 into the *Master Plan for Education* to help ensure that all proposed facilities improvements
371 support achievement of the College's Mission and strengthen the teaching and learning
372 environment.

373

374 To ensure proper maintenance and operation of a growing campus, the College is working to
375 develop policies and procedures for guiding, documenting, and evaluating departmental
376 performance, including the development of a Total Cost of Ownership Plan – which is
377 currently in work but expected to be implemented during the 2016-2017 academic year – that
378 will help ensure that the College is planning for the ongoing maintenance and upkeep of its
379 new facilities. The College is committed to the implementation of new cutting-edge
380 practices and technologies that ensure the development of world class facilities, such as an
381 advanced energy management system and new HVAC (heating, ventilating, and air
382 conditioning) chiller systems. Likewise, the College's policy to build LEED (Leadership in
383 Energy and Environmental Design) certified buildings has helped to curb operational costs.
384 However, these new practices and technologies often require enhanced skill sets on the part
385 of the staff assigned with maintaining and upgrading these systems. To address these
386 changes, the Facilities departments document their needs in their respective [program review](#)
387 [reports](#) and work with Human Resources and the Personnel Commission to update job
388 descriptions, provide training to existing staff, and hire new personnel so that these systems
389 can be properly maintained.³⁹

390

391 As the institution moves forward with new instructional and student support programming
392 such as the new Interaction Design baccalaureate degree program, these programs will
393 continue to consult with Facilities Planning and Management to ensure that the College's
394 physical resources can accommodate plans that require new facilities and equipment. While
395 the College's expansion of its distance education program did not have any significant
396 impact on the physical plant, the increased use of computer-based instructional software and
397 hardware has demanded increased network and server capacity, often in buildings that did
398 not have the cooling and electrical capacity to maintain these systems. In order to provide

399 the necessary facilities, the College built a new Information Technology building, which
400 opened in 2015.

401

402 **Plan**

403

404 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
405 continue to monitor its progress.

406

407

408 **IIIB.3 To assure the feasibility and effectiveness of physical resources in supporting**
409 **institutional programs and services, the institution plans and evaluates its facilities and**
410 **equipment on a regular basis, taking utilization and other relevant data into account.**

411

412 **Evidence of Meeting the Standard**

413

414 The College evaluates the feasibility and effectiveness of its physical resources in supporting
415 institutional programs and services through the annual and comprehensive program review
416 process. Evaluation of the College's physical resources respond to two primary questions:

417 1) At a practical level: Is the implementation of facilities planning and management an
418 effective and efficient process?

419 2) At an institutional level: Are the College's physical resources effectively addressing
420 the needs of the College's instructional and student support programs and ultimately
421 helping to achieve the Mission of the College?

422

423 For example, the Bachelor of Science degree in Interaction Design will be housed in the
424 newly remodeled Center for Media and Design as part of the Design Technology department.
425 The physical resources of this remodeled building were designed to meet the needs of the
426 existing, lower division coursework which is now part of the baccalaureate degree program.
427 The upper division coursework shares the same needs in terms of facilities and equipment,
428 and therefore, will be well accommodated in the new space. In fact, the upper and lower
429 division classes will be held in the same classrooms utilizing the same equipment. The
430 Interaction Design program will provide analysis of facilities needs in its annual program
431 review report.

432

433 Given this dual focus of facilities planning and evaluation, the offices of Facilities Planning
434 and Facilities Management, as well as the instructional and student support programs, review
435 the feasibility and effectiveness of the College's physical resources, each from their unique
436 perspective. These reviews occur on an annual basis as outlined through the program review
437 process. Each program has identified specific evaluation procedures and processes that take
438 into consideration utilization and other relevant data. The following processes for each
439 specific program are briefly described below.

440

441 **Facilities Planning and Evaluation:** The goal of the Facilities Planning Office, as noted in
442 its 2011 Comprehensive Program Review, is *"to provide outstanding facilities to enhance*
443 *the learning environment,"* taking into consideration strict state guidelines for building
444 safety, environmental regulations, and sustainability. The office evaluates the effectiveness

445 of its efforts in meeting this goal through feedback from institutional planning bodies,
446 including the DPAC Facilities Subcommittee. Additional evaluation takes place through the
447 various documents including an [annual space inventory](#)⁴⁰ and [Construction Projects](#)
448 [Update](#),⁴¹ both of which become part of the justification for the [Five Year Construction Plan](#),
449 presented to the Board.⁴²

450

451 **Maintenance Planning and Evaluation:** The Facilities Management Department maintains
452 the infrastructure necessary to create a safe and inclusive learning environment. As part of
453 its [annual program review process](#),⁴³ the department uses the work order system to track
454 work requests by functional area (i.e., mechanical, custodial, or grounds) and analyzes the
455 data to determine how effectively it is managing its resources. The department has
456 implemented system improvements as a result of analyzing this data, including a [notification](#)
457 [process](#) that informs the requestor that the work has been completed and provides an
458 opportunity for the requestor to provide feedback.⁴⁴ In addition, a new [Facilities](#)
459 [Management Department webpage](#)⁴⁵ allows quicker access to maintenance information and a
460 link to the work order system.

461

462 **Instructional and Student Support Review of Physical Resources:** Instructional programs
463 and student support services are responsible for evaluating the degree to which the College's
464 physical resources are meeting program needs through the program review process,
465 specifically by identifying 1) issues or needs impacting program effectiveness or efficiency
466 for which institutional support or resources will be requested in the coming year and 2)
467 additional capital resources (facilities, technology, and equipment) that are needed to support
468 the program as it currently exists. These responses are considered through the institutional
469 planning processes and ultimately serve as the best assessment of the feasibility and
470 effectiveness of the College's physical resources in achieving the Mission of the institution.

471

472 Analysis

473

474 Through careful planning, the College has been able to maintain the principles and bring to
475 fruition the goals outlined in the 1998 *Comprehensive Facility Master Plan* and updated in
476 the 2010 plan. These accomplishments have occurred in spite of what initially appeared to
477 be insurmountable obstacles resulting from limited availability of college-owned or leased
478 land. By working closely with the community and communicating instructional needs to
479 external constituency groups, including the City of Santa Monica, the District has secured
480 private funding and passed bond measures, making it possible to purchase nearby property,
481 and thus allowing for continued expansion to meet the physical space needs of students,
482 faculty, staff, and programs.

483

484 The College evaluates the effectiveness of its physical resources through a variety of tools
485 that includes feedback from end users, utilization reports, response times, and responses to
486 state requirements. Key to maintaining the feasibility and effectiveness of the College's
487 physical resources is the development and implementation of a Total Cost of Ownership
488 plan. This plan, which is currently in draft form, uses nationally recognized standards
489 developed by the American Association of Physical Plant Administrators to determine the
490 College's current level of effectiveness and identify necessary improvements.

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Plan

Based on an analysis of the evidence, Santa Monica College is meeting this standard and will continue to monitor its progress.

IIIB.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

As mentioned in IIIB.2 and IIIB.3, the College’s Fiscal Services Office is currently working on a Total Cost of Ownership calculation that will help the College identify and plan for the “true cost” of its current and new facilities and equipment. This plan recognizes that while the cost of capital construction represents a large cost in a short period of time, the costs to maintain and operate a facility will continue annually for at least 50 years. As such, it is crucial for the College to understand and budget for its facility operations.

Once completed and approved by the college community, Fiscal Services will integrate the plan into the College’s capital planning process, both for new construction, as well as major renovations, the implementation of new equipment, technologies, and systems, and other improvements that will have a significant impact on the College’s physical resources. The College is currently in the initial phases of updating its *Comprehensive Facilities Master Plan*. All new construction projects included in the 2016 *Facilities Master Plan Update* will include a Total Cost of Ownership analysis. This analysis will be updated at each stage of the project, from design to construction to implementation

Analysis

Santa Monica College has conducted an initial review of its staffing patterns and the quality of their performance. In the next few years, the College will be adding additional square footage and is planning for this expansion now. One of the challenges of new construction, as previously mentioned, is that the majority of current and future building projects are incorporating technologies and systems that are substantially different than existing systems. As such, some members of the College’s facilities team may not have the skills necessary to maintain and update these systems. For this reason, as the College implements the Total Cost of Ownership Plan, the Human Resources Department, in conjunction with the Personnel Commission, will work with the Facilities team to revise job descriptions, provide training, and hire new staff.

Plan

Based on an analysis of the evidence, Santa Monica College is meeting this standard and will continue to monitor its progress. The following plan addresses the need for ensuring that the

536 Facilities team has appropriate skills and training necessary to support the College given the
 537 latest technology and system updates.
 538

Proposed Activities	Responsible Parties	Timeline	Anticipated Outcomes/ Benchmarks of Success
Objective: The College will ensure that the Facilities team has the requisite skills needed to effectively maintain new buildings and other elements of the College’s physical plant.			
1) Review and update job descriptions, as needed.	Personnel Commission	Ongoing	1) Job classifications reflect the current job skills and knowledge.
2) Provide job training for existing employees who need upgraded skill sets in order to maintain new buildings and systems.	Human Resources	Ongoing	2) Facilities team employees are able to perform their jobs with the requisite skills.
3) Hire additional staff, as needed, to support new and upgraded facilities.	Personnel Commission Human Resources	Ongoing	3) Sufficient staff are available to maintain all college facilities.

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541 **LIST OF EVIDENCE FOR STANDARD III B**

- 1 III B1_Facilities_Inventory_Certification_2015-16.pdf
- 2 III B1_SMC_Facilities_Master_Plan_2010_Update.pdf
- 3 III B1_Emergency_Relocation_of_Persons_with_Disabilities_webpage.pdf
- 4 III B1_Emergency_Preparedness_Guide_10-6-2011_DSPS.pdf
- 5 III B1_Chemical_Hygiene_Plan.pdf
- 6 III B1_Consolidated_Contingency_Plan.pdf
- 7 III B1_Emergency_Preparedness_Trainings_webpage.pdf
- 8 III B1_Building_Monitor_Duties.pdf
- 9 III B1_Emergency_Preparedness_Taskforce_and_Committees.pdf
- 10 III B1_Emergency_Preparedness_Taskforce-Recommendations_1-28-2014.pdf
- 11 III B1_Report_for_BT-Emergency_Preparedness_Update_2-4-2014.pdf
- 12 III B1_Emergency_Preparedness_survey
- 13 III B1_Improvements_to_Emergency_Preparedness_Systems.pdf
- 14 III B1_EP_Booklet.Final.pdf
- 15 III B1_SMC_Emergency_Preparedness_webpage.pdf
- 16 III B1_2015_Annual_Security_Report.pdf
- 17 III B1_Emergency_Preparedness_Pamphlet.pdf
- 18 III B1_Student_Tool_Kit.pdf
- 19 III B1_Faculty_and_Staff_Tool_Kit.pdf
- 20 III B1_Center_for_Environmental_and_Urban_Studies.pdf
- 21 III B1_Board_Sustainability_Goals_from_MPE_2015-2016.pdf
- 22 III B1_BP_2480.pdf
- 23 III B1_SMC_Sustainable_Transportation_Plan.pdf
- 24 III B1_Sustainability_Department_webpage.pdf
- 25 III B1_HVAC_Upgrade_Study_May2016.pdf
- 26 III B1_BikeSMC_webpage.pdf
- 27 III B1_ProgramReview_FoodandVending.pdf
- 28 III B1_OrganicLearningGarden_webpage.pdf
- 29 III B1_Green_Cleaning_Program_Manual.pdf
- 30 III B1_III B1_BP2440_SmokeFreeCampus.pdf
- 31 III B1_College_Services_Satisfaction_Survey_for_Students.pdf
- 32 III B1_College_Services_Satisfaction_Survey_for_Employees.pdf
- 33 III B1_College_Services_Satisfaction_Survey_Report_2012.pdf
- 34 III B1_DPAC_College_Services_Subcommittee_Minutes_10-16-2015.pdf
- 35 III B1_FLVR_Program_Summary.pdf
- 36 III B1_ShakeOut_webpage.pdf
- 37 III B2_Description_of_SMCs_LongTermPlanning_Process.pdf
- 38 III B2_Description_of_SMCs_ShortTermPlanning_Process.pdf
- 39 III B2_Facilities_Managment_and_Planning_Program_Review_Reports
- 40 III B3_Space_Inventory_Report_17_2015-2016.pdf
- 41 III B3_Construction_Projects_Update_7-1-2015.pdf
- 42 III B3_BT_Agenda_7-5-2016_5-year_Construction_Plan.pdf
- 43 III B3_Positive_feedback_from_Facilities_Planning_Program_Review.pdf
- 44 III B3_Workorder_System_Screenshot.pdf
- 45 III B3_Maintenance_Work_Request_online.pdf

1 **STANDARD IIIC: TECHNOLOGY RESOURCES**

2
3 **IIIC.1 Technology services, professional support, facilities, hardware, and software**
4 **are appropriate and adequate to support the institution’s management and operational**
5 **functions, academic programs, teaching and learning, and support services.**
6

7 *Evidence of Meeting the Standard*
8

9 Santa Monica College recognizes that the rapid technological transformation underway
10 around the globe continues to change how students, faculty, staff, and partners work and
11 learn; actively plans how technology will improve the College; and makes institutional
12 decisions based on technology needs and trends.
13

14 To maximize effectiveness, the college community coordinates technology planning efforts
15 through the District Planning and Advisory Council (DPAC). DPAC has established a
16 subcommittee specifically focused on technology, the Technology Planning Subcommittee
17 (TPC), which is responsible for developing and updating on an annual basis the *Master Plan*
18 *for Technology*. The *Master Plan for Technology* merges the instructional technology
19 recommendations of the Academic Senate Joint Information Services Committee with
20 instructional, administrative, and infrastructure technology needs identified by the College’s
21 Information Technology (IT) Department. The College then establishes priorities based on
22 this plan and makes resource allocation recommendations.
23

24 The following Academic Senate joint committees are involved in the technology planning:

- 25 • *The Academic Senate Joint Information Services Committee (ISC)* serves as an
26 advisory body to all instructional services programs makes recommendations
27 regarding instructional computing resources and funding allocation for technology
28 projects.
- 29 • *The Academic Senate Joint Distance Education (DE) Committee* is responsible for the
30 College’s distance learning program. The committee discusses platform needs and
31 concerns and makes recommendations regarding the DE program.
- 32 • *The Academic Senate Joint Career Technical Education (CTE) Committee* is
33 responsible for the enhancement and development of CTE programs, identifying new
34 equipment and technologies needed to maintain currency with industry standards.
- 35 • *The Academic Senate Joint Program Review Committee* asks all college programs to
36 assess their current and future technology needs in the annual and six year program
37 review reports. These findings are summarized and shared with various planning
38 entities.
39

40 Guided by principles of participatory governance, these committees are integrated with other
41 central planning groups, all of which collectively provide a mechanism for soliciting input
42 and feedback from the college community and establishing [technology objectives](#).¹ A chart
43 diagramming the College’s [technology planning](#) process can be found in the evidence.²
44

45 Santa Monica College has a successful history of expanding its technology services to
46 improve its student success capabilities and meet myriad operational requirements. The

47 program review process, the technology planning committees, DPAC, and the DPAC
48 planning subcommittees all play a role in identifying technology needs for inclusion in the
49 *Master Plan for Technology* and/or the *Master Plan for Education*.

50

51 **Technology for Management and Operational Functions**

52

53 The College employs an array of technology solutions to enable the effective governance,
54 management, and oversight of its academic and business operations; at the core of the
55 resource planning system is an internally developed Integrated Student Information System
56 (ISIS) that houses all of the College's student information. This system interfaces with the
57 College's other data management system, including the Los Angeles County Office of
58 Education's PeopleSoft systems for finance, payroll, and human resources. Other solutions
59 are outlined below:

60 • Cloud and Integrated Software as a Service (SaaS): These solutions integrate the
61 College's enterprise resource planning systems and its student information systems.
62 With a single login, users can access multiple third party software systems and
63 services. For example, all students have a Gmail account that can be accessed
64 through their college network account. This integration and single login access
65 reduces costs for students and advances equity among students of varying
66 socioeconomic backgrounds.

67 • Web Content and Social Media: In 2010-2011, the main website underwent a second
68 major redesign to improve its functionality and provide a more uniform web
69 presence. The College instituted SharePoint as its content management tool, which
70 allowed faculty, staff, and departments to maintain their own web pages.

71 • Mobile and Remote Access Services:³ This solution accommodates the use of
72 mobile devices and provides convenient 24/7 access to key services. The IT
73 Department has developed a student portal that allows students to access the same
74 content and perform the same tasks from their mobile device as they would from a
75 computer.

76 There has also been increased demand from college employees for remote access to
77 the College's various enterprise business services. The IT Department has expanded
78 the use of Citrix software to provide remote access to services, tools, and information,
79 while the College remains in full control of confidential information.

80 • Network and Wireless Infrastructure: Ensuring reliable access to internal and external
81 Internet resources and supporting the proliferation of networked devices such as
82 smart phones, tablets, and laptops is critical to all members of the college community.
83 The College has achieved a 1,000 percent increase in internal bandwidth on campus
84 and between satellite campuses and also added over 200 new wireless access points,
85 targeting areas with high demand, such as the library and cafeteria.

86 • Business Continuity/Disaster Recovery: The College is currently developing a
87 disaster recovery and business continuity plan and system so that it may continue
88 essential operations after an unexpected natural disaster or other event that disrupts
89 physical operations. The [plan](#), which is still under review, relies on cloud-based

90 virtualization software as a means for maintaining systems in the event of a loss of
91 physical space and includes an out-of-state disaster recovery site.⁴

92 **Technology for Academic Programs**

93
94 The College's academic programs are prime users of information technology tools and
95 resources, with high technology programs that depend on up-to-date software and hardware
96 to ensure that students graduate with the skills that employers want, such as the College's
97 Career Technical Education (CTE) programs. To support these programs, the College
98 updates its technology, equipment, and materials each year to ensure that students obtain the
99 best possible learning experience to meet or exceed current industry standards. In addition to
100 the high technology programs, many of the departments also offer learning resource centers
101 and/or computer laboratories to support their programs. These [labs](#) provide over 2,000
102 physical computers to serve the students' technology access requirements.⁵

103

104 The IT Department also initiates new projects to strengthen the quality of the academic
105 programs and reinforce their ability to achieve the Mission of the College:

- 106 • Curriculum Management Module: To manage curriculum development and revisions,
107 the College implemented CurricUNET, a commercial curriculum management
108 solution that provides an online strategy to efficiently create, review, and maintain
109 curriculum.

- 110 • Electronic Program Review Module: The Academic Senate Joint Program Review
111 Committee is working with CurricUNET to streamline the online program review
112 module. The tool is still relatively new. It stores annual and six year [program review](#)
113 reports which are available to anyone to view and allows programs to compile
114 longitudinal data and analysis to effect continuous program improvement.⁶

- 115 • Computer Resource and Service Virtualization: The lack of facility space, financial
116 limitations, and security issues have presented challenges in providing students,
117 faculty and programs with access to up-to-date software. To overcome these
118 challenges, the IT Department has worked with the academic programs to transition
119 to a fully virtualized server infrastructure, which allows the College to offer online
120 academic services without requiring additional physical space and technological
121 support. One example of application virtualization is the efficient delivery of
122 academic services in the Modern Languages and Cultures Department. With funding
123 from a Santa Monica College Foundation Innovation Grant, the Modern Languages
124 Department purchased SANSSpace, a virtual language learning platform to
125 supplement teaching and provide students with remote access to additional language
126 support. This service eliminates the requirement for students to visit a physical
127 computer lab, thus enabling students to obtain the highest levels of access and equity
128 technically possible.

129 **Technology for Teaching and Learning**

130

131 Technology advancements, such as the use of 3-D printers and the proliferation of smart
132 mobile devices, create new opportunities to engage students both in the classroom and out of

133 the classroom through student support services and other learning processes. Over the past
134 five years, despite severely limited funding resources, the College developed systems in
135 several areas, including classroom management and outcomes assessment:

- 136 • mProfessor Faculty Roster and Portal: The College developed a completely mobile-
137 ready faculty portal, [mProfessor](#), short for Mobile Professor. This portal enables
138 faculty to manage their classes anytime, anywhere, and from any device.⁷
- 139 • Electronic/Integrated Student Learning Outcomes (SLO) Assessment Collection: As
140 part of the College's continuous improvement/program review process, the College
141 developed the means for faculty to electronically assess [Student Learning Outcomes](#)
142 [\(SLOs\)](#) attainment.⁸ The system, fully integrated with mProfessor, ensures the
143 systematic collection of both institutional and course-level student learning outcome
144 data.
- 145 • Smart Classrooms Technology: The College has implemented smart technology in
146 98.6 percent of its classrooms, and by the 2016-2017 academic year, 100 percent of
147 classrooms will have smart technology. The standard classroom package includes an
148 instructor computer, a guest laptop or device connection, a document camera, Internet
149 connection, projector, and DVD player. Several of the College's 230 classrooms
150 have more advanced technology, including interactive boards, iPads for student use,
151 and iClickers for faculty/student communication and assessment. Many of these
152 upgrades were the result of grant-funded activities that required the use of more
153 advanced technologies.
- 154 • Professional Development Activities in Support of Technology Use: Rapid changes in
155 classroom technologies require the development of new skill sets for faculty and
156 support staff to fully leverage these new solutions. The College established the
157 [Center for Teaching Excellence](#),⁹ a new facility designed to provide faculty with the
158 technical resources required to learn these new skill sets, detailed in Standard IIIA.
159 The College also promotes the use of technology resources and end user training
160 opportunities, such as the statewide @One online training workshops and CCCconfer
161 resources.
- 162 • Distance Education: The College offers a large Distance Education program to
163 support the teaching and learning goals of the institution. For nearly 20 years, the
164 College has partnered with eCollege/Pearson Learning Studio to offer its Distance
165 Education program, and together, they have developed unique tools to support the
166 academic environment. However, in Fall 2016, the College is scheduled to begin its
167 migration to the Instructure [Canvas](#)¹⁰ course management system. This move comes
168 at the request of the California Community Colleges system and with approval from
169 the [Academic Senate](#),¹¹ based on a recommendation from its [Joint Distance Education](#)
170 [Committee](#).¹²

171 172 **Technology for Student Support Services**

173
174 As the College has expanded its use of technology to support the academic programs and
175 overall administrative and operational functions, the College has also enhanced the use of
176 technology to support student success, with the following innovations:

- 177 • [MyEdPlan](#) - Electronic Education Planner:¹³ Described fully in Standard IIC, the
178 College developed this mobile-ready, interactive electronic educational planner even
179 before the passage of California Senate Bill (SB) 1456, Student Success Act of 2012,
180 which required educational plans to be reported to access what is now referred to as
181 SSSP (Student Success and Support Program) funds.
- 182 • [Early Alert](#): The IT staff worked with Student Affairs to improve the College’s [Early](#)
183 [Alert system](#).¹⁴ An integrated online application allows faculty to generate an alert to
184 Counseling and provide students with a list of resources and services available to help
185 them resolve their respective academic challenges.
- 186 • [New Scholarship Portal](#): The IT Department assisted the Financial Aid Department in
187 implementing [Academic Works](#),¹⁵ a hosted scholarship application portal. This
188 service allows the Financial Aid Department/Scholarship Office and the Santa
189 Monica College Foundation to work together to efficiently process the growing
190 number of student scholarship opportunities and facilitates students’ search and
191 application processes.

192 **Technology to Support Student Accessibility**

193

194 With regard to accessibility and technology, the College has two primary goals: 1) to ensure
195 that technology is accessible and 2) to use technology to enhance accessibility to content and
196 services. Thus, the College complies with [Section 508](#),¹⁶ [Web Content Accessibility](#)
197 [Guidelines \(WCAG\) 2.0](#),¹⁷ and [Americans with Disabilities Act \(ADA\)](#)¹⁸ compliance. The
198 College has partnered with WebAim to regularly assess the degree to which its applications
199 and web pages are accessible and to initiate updates as needed. In addition, as part of the
200 program review process, a member of the College’s Disabled Students Programs and
201 Services (DSPS) staff reviews all courses, materials, and services provided by programs
202 under review for compliance and provides assistance for programs to update courses and
203 services if they are not compliant.

204

205 With more than 30,000 students at any given time enrolled in Santa Monica College courses,
206 a significant challenge is maintaining effective communication with students. Providing
207 “anytime, anywhere with any device” services required that the College facilitate
208 communications and the delivery of content between the College, faculty, and students. To
209 accomplish this, the student [email system](#), Gmail, provides students with increased storage
210 and integrates cloud-based services such as Google Drive, Docs, Spreadsheets, and Forms.¹⁹
211 Since its debut in 2010, the system has supported more than 250,000 Santa Monica College
212 Google accounts.

213

214 **Evaluation of Effectiveness**

215

216 The program review process serves as the means by which the College evaluates the
217 effectiveness of its services. As new technology features are developed and/or adapted, both
218 the instructional and student support programs assess how technology improvements impact
219 student learning and achievement. The individual results of these assessments are shared
220 with the Program Review Committee, which then summarizes and shares both successes and
221 concerns with the relevant departments, including the Media Services and IT departments, as

222 well as DPAC and its planning subcommittees. This feedback is also integrated into the
223 *Master Plan for Technology* and the [Master Plan for Education](#) as appropriate, thus ensuring
224 that the College is engaged in ongoing quality improvement activities at all levels.²⁰
225

226 In addition to program review, the College regularly conducts surveys to assess the
227 appropriateness and adequacy of its technology services. One such survey is a [Student](#)
228 [Technology Survey](#)²¹ that the College regularly distributes to identify end user needs and
229 assess how well the College is addressing these needs. The most recent [survey](#) in 2014²²
230 focused on the increased use of mobile technologies and whether or not students had the
231 access they needed. These [survey results](#)²³ have been used by the IT Department to improve
232 services including, for example, adding wireless nodes to address concerns about coverage,
233 as previously discussed.
234

235 The College also collects feedback from end users for many of its new innovations, such as
236 MyEdPlan. Counselor and student feedback has been integral to all phases of the
237 development, pilot, implementation, and assessment of MyEdPlan. Counselors worked with
238 IT to design the product, while others participated in a pilot project, which led to several
239 changes/additions. Students and counselors continue to submit feedback on MyEdPlan
240 through an embedded feedback form. Finally, counselors also completed an end user
241 [satisfaction survey](#).²⁴ A summary of these results indicated among other findings that 78
242 percent of counselors reported being very satisfied/satisfied with MyEdPlan.
243

244 **Analysis**

245

246 The past six years have been a period of extraordinary growth in technological resources and
247 support, despite economic hardship and technology staff shortages. The evidence frames
248 how the College provides appropriate and adequate technology services, professional
249 support, facilities, hardware, and software to support the institution's management and
250 operational functions, academic programs, teaching and learning, and support services.
251

252 A prime example of this is the technology considerations for the College's new baccalaureate
253 degree program. The Bachelor of Science degree in Interaction Design will be housed in the
254 newly remodeled Center for Media and Design as part of the Design Technology department.
255 This building and its technological resources were conceptualized to accommodate the needs
256 of the lower division coursework which is now part of the degree program. As a result, the
257 upper division coursework, which requires the same technological resources, will also be
258 adequately supported for effective teaching and learning and support services.
259

260 The College is proud of its efforts to implement systems that ensure the systematic collection
261 of data and provide a solid base for the continuous improvement process. An analysis of the
262 impact of specific projects includes the following:

- 263 • Management of the College's web presence (look and feel consistency) and end
264 users' ability to interface with SharePoint remain areas of concern. The College has
265 established an office dedicated to Web Content and Social Media, which is tasked
266 with strengthening the functionality of the college website and training faculty and
267 staff.

- 268 • Progress in establishing Cloud Services and Synchronization has expanded user
269 access to services, but security and privacy remain points of concern.
- 270 • Mobile-device readiness ensures access to learning resources but the rapid adoption
271 of mobile technologies has placed additional demands on the College's limited
272 technical and fiscal resources to deliver and maintain new application types.
- 273 • Information Security requires the allocation of human and financial resources and
274 remains at the forefront of the College's policy, planning, and decision-making
275 processes.
- 276 • Virtualization provides students with access to courseware and learning resources
277 through online systems which addresses the needs of students with schedule
278 challenges.
- 279 • The popularity of video and mobile technologies placed increased demands on the
280 bandwidth of both wireless and network services. However, the College has
281 effectively planned and implemented improvements to network and wireless capacity
282 required to support students, faculty, staff, and college operations.
- 283 • Banner Financial Aid: The implementation of Banner Financial Aid and its
284 integration into the College's student portal allowed the Financial Aid Office to
285 expand its services, resulting in a 50 percent increase in [financial aid disbursements](#)
286 between 2009 and 2015.²⁵
- 287 • Assessment of students' achievement of SLOs is integrated with the faculty roster and
288 ISIS, allowing easy entry of data and immediate analysis by the department.
- 289 • The implementation of MyEdPlan has been very successful in supporting students
290 and counselors in the development, storage, and monitoring of educational plans. As
291 of Fall 2015, students have completed 45,479 [educational plans](#).²⁶

292 As the College assesses the impact of these projects, it continues to plan for the future. This
293 plan is detailed in the Quality Focus Essay.

294

295 **Plan**

296

297 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
298 continue to monitor its progress. However, as with every large institution, the College has
299 areas that require additional effort. As part of the continuous improvement and planning
300 process, the College has identified several areas that require a focused effort to improve as
301 outlined in the Quality Focus Essay and the plan below.

302

Proposed Activities	Responsible Parties	Timeline	Anticipated Outcomes/ Benchmarks of Success
Objective: Plan for and implement improvements to the College's Technology Infrastructure.			
Improve overall web presence and integration.	Web Content and Social Media Manager	2016-2019	The college webpage is user-friendly, easily updated, and has improved functionality.

Proposed Activities	Responsible Parties	Timeline	Anticipated Outcomes/ Benchmarks of Success
Objective: Plan for and implement improvements to the College's Technology Infrastructure.			
Expand the number of programs that use virtual desktop and application technologies.	IT Department	2016-2020	Additional applications increase student access and ensure equity to services.
Implement improvements to ISIS reporting functions.	IT Department Academic Affairs Student Affairs Enrollment Management	2017-2019	ISIS inputting and reporting functions are user-friendly and provide query-based functionality.
Continue to expand virtualization for course and learning resources.	IT Department	2016-2021	New and existing resources are available online, reducing impact on student labs and lowering costs.

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IIIC.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.

309 **Evidence of Meeting the Standard**

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Santa Monica College coordinates its integrated technology planning efforts through the DPAC [Technology Planning Subcommittee](#)²⁷ and Academic Senate Joint committees, specifically the Information Services, Distance Education, and Career Technical Education committees. The Academic Senate Joint Program Review Committee is also instrumental in this process, as it receives technology needs and concerns from each of the College's academic programs, student support services, and administrative units and shares these concerns with DPAC for inclusion in the *Master Plan for Education* updates as institutional objectives in alignment with the College's Mission, Goals, outcomes, and Strategic Initiatives.

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The DPAC Technology Planning Subcommittee is responsible for developing and updating the *Master Plan for Technology* and for merging the instructional technology recommendations of the Academic Senate Joint Information Services Committee with instructional, administrative, and infrastructure technology needs. This subcommittee establishes priorities according to the objectives of the *Master Plan for Technology*.

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The College's IT Department, working in conjunction with end user groups, is responsible for implementing the vision, goals, and objectives of the various committees working together to achieve the Mission of the College. Operational decisions are generally decided internally by the College's highly qualified technology staff, while institutional decisions are decided by the various planning committees working with the impacted instructional and student support programs. Currently, the goals of the department mirror the goals of the

333 College, including to facilitate access to college resources, increase equity among groups
334 traditionally underserved by the College; and address end user needs, including those of
335 students, faculty, and programs. The following pages provide examples of how this planning
336 and implementation process is carried out, highlighting efforts in each major technology
337 infrastructure domain.

- 338 • **Network:** Annual milestones are identified in the annual [Master Plan for Technology](#)
339 updates,²⁸ including increasing connectivity and bandwidth between the main campus
340 and satellite sites and ensuring that future expansion is considered.
- 341 • **Central Server and Storage:** The College plans, evaluates, redesigns, and
342 implements a major server and storage refresh project every three years and makes
343 incremental enhancements annually.
- 344 • **Mobile and Cloud Service:** The College regularly monitors performance throughput,
345 to ensure that students, faculty, and staff have the access they need to achieve their
346 teaching and learning goals and outcomes.
- 347 • **Technology Refresh/Replacement Plan:**²⁹ This plan addresses the ongoing
348 replacement of technology devices on a four- to seven-year cycle, depending on the
349 performance requirements of the devices. The plan also serves to inform the
350 College's [multi-year budget](#)³⁰ for instructional technology, which is required for the
351 Instructional Equipment Block Grant.
- 352 • **Technology Evaluation and Assessment:** To inform technology planning and
353 decision-making, including the prioritization of projects, the College conducted a
354 Student [Technology Survey](#)³¹ in May 2014 that addressed several areas, including
355 student ownership of WiFi devices, frequency of device usage, and reasons for not
356 using devices.

357

358 Analysis

359

360 The College continuously plans for, updates, and replaces technology to ensure its
361 technological infrastructure and capacity are adequate to support its Mission, operations,
362 programs, and services. The process builds upon and feeds into other planning and
363 assessment processes, including the *Master Plan for Education* and program review. The
364 College carefully plans and manages technology equipment refresh cycles to maximize
365 resource utilization so that even with reduced state funding for technology over the past
366 decade, the College has been able to move forward with many of its technology projects:

- 367 • The College's wireless access controllers were upgraded to handle 1,000 total access
368 point capacity, which was a 1,000 percent increase. The number of deployed wireless
369 access points increased from 40 to 220, up 550 percent from 2009. Additional
370 wireless access points increased coverage in high-demand areas at both the Main
371 Campus and the satellite sites. The number of supported endpoint connections
372 increased by 1,100 percent since 2009, while WiFi endpoint bandwidth increased
373 1,700 percent since 2009.
- 374 • Through a comprehensive reengineering plan, the College has been able to
375 significantly reduce the number of physical hardware machines that managed all
376 functions to a combination of physical servers and virtual machines that offer more
377 than 10 times the resource capacity when compared to a traditional approach.

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- The ongoing expansion of mobile and cloud services are essential to the College’s goal of ensuring access for all students regardless of socioeconomic status and/or technological preferences and expertise. All in-house developed services (such as ISIS, Corsair Connect, and mProfessor) and Cloud services adoption (such as Google Apps) provide mobile capability that is easily accessed via any computer, tablet, and/or smart phone. Likewise, to the extent possible, all instructional technology resources in support of teaching and learning and the College’s coursework, such as Google Apps, Microsoft, eCollege/eCompanion, Turnitin, Wimba, and other discipline-specific software, are integrated and supported through mobile and cloud services. However, depending on the software’s age, license restrictions, and/or use case, remote or mobile access is not always feasible. In these cases, the College pursues other options to ensure access, such as Citrix virtual application technology.
 - The College’s technology refresh plan, which addresses both student computing facilities and employee workstations, is a seven-year plan that outlines the existing asset inventory, the current life cycle and replacement timeline for each technology, and fiscal needs for replacement. It is reviewed and updated annually.
 - Feedback from the Student Technology Survey provided valuable information that the College immediately used to enhance program goals and objectives, program planning, policy, and decision-making.
 - Increases in Network access and bandwidth requirements also facilitated the implementation of the campus safety technology project, including a networked central emergency alert system, fire alarm system, several hundred electronic surveillance cameras, and a door/entry access control system.

402 **Plan**

403

404 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will

405 continue to monitor its progress.

406

407

408 **IIIC.3 The institution assures that technology resources at all locations where it**

409 **offers courses, programs, and services are implemented and maintained to assure**

410 **reliable access, safety, and security.**

411

412 **Evidence of Meeting the Standard**

413

414 As part of the technology planning processes, the College considers both capacity and

415 maintenance and has developed multiple plans to ensure that both are addressed

416 simultaneously on an ongoing basis. This includes upgrade plans for core network

417 infrastructure, campus wide software, and end user technology, regardless of location.

418

419 **Campus Wide Efforts to Ensure Access:** The College provides and maintains more than

420 2,000 computers for students throughout its multiple sites, as well as more than 600

421 computers for administrative use and one computer for each full-time faculty member.

422 Departments are also equipped with workgroup computers for part-time faculty. A

423 staff/faculty resource lab on the Main Campus also provides open computer access with in-
424 person assistance.

425

426 In addition, as more technologies become available, the College's technology plan considers
427 the implementation of virtualized/cloud-based services to maximize access to these
428 technologies, particularly for those working remotely. Through these efforts, users can do
429 anything from the satellite sites that they can do from the Main Campus with the same speed,
430 access, and function.

431

432 **Service Uptime and Reliability:** In the event of a hardware component failure, the network
433 system transparently moves services to available hardware and storage resources without
434 service interruptions. To address any potential issues, monitoring tools are implemented to
435 alert responsible technical managers and staff via email and phone. The IT Department also
436 subscribes to an advance alert system, Site24x7, to monitor essential services. Notifications
437 from this service provide near real-time detection of any service outages and enable technical
438 teams to react and minimize the loss or impact to end users.

439

440 **Authorization Access/Security Management:** The College works diligently to protect
441 personal data and information in compliance with state and federal regulations and laws. The
442 College has implemented an array of security monitoring tools and protection software such
443 as firewalls, proxy services, and antivirus and malware protection for email systems. To
444 protect the confidentiality of student and employee information in this cloud-based
445 environment, the College has deployed strong security and authentication measures to ensure
446 that access to the system is authorized.

447

448 **Campus Safety Technology:** The College is in the process of implementing a multi-phased
449 campus safety technology update plan including a new Emergency Mass Notification System
450 and a centrally managed surveillance camera system that manages and monitors
451 approximately 500 strategically identified locations.

452

453 **Disaster Recovery:** The College is moving forward with its plans to implement a
454 comprehensive disaster recovery and business continuity infrastructure that will maintain
455 access to essential services in the event of a disaster or interruption to local business
456 operations.

457

458 *Analysis*

459

460 Santa Monica College has made significant improvements in assuring reliable access, safety,
461 and security at all of its sites. As the College continues to plan for future capacity-building
462 and maintenance projects, the primary concerns are to address 1) access through application
463 virtualization, 2) security through additional physical and electronic security measures, and
464 3) safety via disaster recovery and business continuity efforts.

465

466 The College has already begun to implement a significant multi-campus physical security
467 upgrade. As with any upgrade of this magnitude, additional resources, regarding both
468 personnel and planned support equipment refresh cycles, must be considered in future plans.

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Plan

Based on an analysis of the evidence, Santa Monica College is meeting this standard and will continue to monitor its progress.

IIIC.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

The College plans, develops, and implements technology training, orientation, and instructional plans to effectively support students, faculty, staff, and administrators on technology used in their classrooms, programs, and services. Technology training addresses instructional pedagogy and delivery, universal accessibility, distance education, and institutional technology available to support teaching, learning, and student success.

Technology Enhanced Instructional Pedagogy and Delivery Training: The College provides ongoing technology training for faculty interested in integrating technology in their courses and classrooms. The College provides funding for full-time and part-time faculty to attend workshops, conferences, training, and other professional development activities off-site, and also offers an array of technology training opportunities on campus. Technology is often addressed during the College’s two annual institutional professional development days, either as a break-out session or part of a larger institutional professional development theme. Faculty-led [workshops](#) are also held throughout the year, addressing a variety of tools and software.³²

Beginning in the Spring 2014 semester, the Center for Teaching Excellence, which leads professional development initiatives for faculty and staff by working in conjunction with both the faculty and the classified staff professional development committees, implemented the [Tech Mentors Program](#),³³ which provides faculty with one-on-one support on specific tools that are introduced in workshops sponsored by the College.

The College also invites leading speakers and innovators in the field of educational technology to present workshops for faculty. For example, during the Fall 2013 semester, the College hosted two workshops facilitated by Rushton Hurley, an expert in the use of educational technology.

Finally, since many adjunct faculty have teaching commitments at other institutions that makes it difficult for them to attend professional development, the College offers [“Tech Friday” training](#)³⁴ opportunities during each semester to accommodate teaching schedules.

513 **Faculty, Staff, and Student Technology Training on Universal Accessibility**

514

515 Santa Monica College provides technology training for faculty, staff, and students in the use
516 of assistive technologies. For faculty and staff, the College offers workshops and training
517 sessions on a regular basis to enhance understanding of and familiarity with the types of
518 assistive technology that students use and principles of universal design that focus on
519 federally mandated accessibility guidelines for students with disabilities. Training
520 opportunities may be institutional in focus or designed specifically to address the needs of a
521 department. Training for faculty who teach online is also provided including specific
522 training for distance education faculty relating to accessibility compliance, including an
523 “Orientation to Accessible Design” training session.

524

525 The [High Tech Training Center](#) also manages a student computer lab, specifically for
526 students with disabilities who are enrolled in academic courses.³⁵ Students receive one-on-
527 one training and consultation with faculty members from the High Tech Training Center to
528 help them develop the necessary skills to utilize the requisite assistive technologies and
529 develop the ability to access any of the content that they will encounter in their academic
530 courses. The College also offers specific for-credit classes for students who will be using
531 assistive technologies to help them become familiar with and utilize industry-standard
532 technologies and applications. These courses are limited to four students per course to allow
533 for individualized instruction.

534

535 **Faculty, Staff, and Student Technology Training to Support Distance Education**

536

537 As noted previously, the College adopted eCollege/Pearson Learning Studio as its online
538 learning and course management system nearly 20 years ago. The College has used eCollege
539 to support all of its distance education offerings; however, on-ground faculty have also used
540 many of its tools to support their classes as well, including threaded discussions, mass email
541 distribution, and student/faculty and student/student interactions. These companion tools are
542 collectively referred to as eCompanion by the college community.

543

544 The College offers training for Distance Education (DE) faculty through a number of training
545 support services (or “prongs”), which assist faculty as they develop a new course. These
546 services include peer mentoring, on-campus workshops, webinars through the DE
547 Department and external vendors, and individualized support from the DE Department.
548 Trainings vary in terms of meeting the technology needs and sophistication of users and
549 include faculty teaching at a distance, faculty using eCompanion tools, and faculty who teach
550 hybrid courses. The College has also provided training through the eCollege faculty training
551 institute, as well as on-campus trainings and live and archived custom webinars. The DE
552 Department notifies faculty of these trainings via [email](#) and a Distance Education
553 newsletter.³⁶ The DE Department has also offered numerous webinars to faculty on a
554 multitude of topics to further their knowledge regarding the technologies available in the
555 eCollege platform, and broaden their understanding of teaching pedagogies in an online
556 format.

557

558 Many of these on-campus trainings and all of the College’s live webinars are facilitated by
559 eCollege staff as part of the College’s contract with eCollege. The webinar trainings are
560 open to all faculty and are archived in [FAC 101 Faculty Support](#)³⁷ for future reference
561 anytime/anyplace. The College also piloted a “Distance Education Faculty Readiness”
562 hybrid course to augment the ongoing instructional support provided to new and experienced
563 distance education faculty provided through the [@One Project](#).³⁸
564

565 All DE faculty have had access to eCollege’s iSupport technicians and have used this team to
566 address questions specific to instructional multimedia, as well as to course development,
567 instructional design, and online pedagogy. There is also access to a robust self-paced, online,
568 faculty-designed tutorial that resides on the eCollege platform and covers pedagogy as well
569 as how to effectively use the tools within the platform. The College also provides
570 individualized support to DE faculty through a dedicated Distance Education Multimedia
571 Specialist who helps faculty remain current in the use of effective distance education tools
572 and strategies.
573

574 As the College prepares to move from eCollege to Instructure Canvas as part of a statewide
575 effort among the community college system to centralize distance education platforms, the
576 college community will continue to work diligently to train and support faculty, not only as
577 they migrate their courses to the new platform, but as they work to incorporate new tools and
578 technologies through Canvas. The College is offering workshops for students to familiarize
579 them with the Canvas learning management system and the tools available to support
580 teaching and learning. These [in-house training modules](#) will be augmented with workshops
581 provided through Canvas and the [@One Project](#).³⁹
582

583 For students planning to enroll or who are currently enrolled in online, on-ground, and/or
584 hybrid courses, the College provides a [Student Orientation Tutorial](#)⁴⁰ located on the
585 eCompanion/eCollege platform itself. Students are sent an email message the day after they
586 enroll in an online/hybrid course including information instructing them to complete the
587 orientation. Students have access to this tutorial the day after they enroll, even if it is months
588 before any class becomes “unlocked” (i.e. students have access to the course shell).
589

590 The College also developed an “online readiness” introductory video. This video features
591 Santa Monica College students discussing expectations and strategies for being successful in
592 an online course. Some of the instructional departments also provide specific training for
593 students preparing to take classes online. For example, the ESL department has offered
594 [workshops](#) on using the eCompanion/eCollege platform for ESL students.⁴¹
595

596 **Student, Faculty, and Staff Training for SMART Classrooms and Reprographics**

597

598 The College’s Media Services and Reprographics office offers training to faculty and staff on
599 the use of instructional technology, including multimedia in the classroom and reprographics.
600 Media Services provides an array of training and support to faculty and staff focusing on the
601 use of technology in Smart classrooms, including an array of audio/visual equipment. The
602 College’s smart classrooms are supported by a team of five media technicians that train,
603 troubleshoot, and maintain all of the College’s technology-outfitted classrooms.

604

605 Training is also offered to faculty and staff regarding how to use the [Web Print](#) online
606 submission system.⁴² The majority of the institution’s faculty uses the online job submission
607 system, which allows people to send their print jobs from anywhere/anytime via the Internet.
608 The College provides new faculty with a printed or online customized user guide to get
609 started and this information is also available on the [Media and Reprographics website](#).⁴³

610

611 **Other Technology Training and Support for Students, Faculty, and Staff**

612

613 The College also offers an array of individualized training and support to assist faculty and
614 students as they utilize the various computer labs and classrooms across campus. Each lab
615 has specific needs and provides different training and support options from lab orientation for
616 first-time users to mini how-to manuals and frequently asked questions brochures. For
617 example, in the Modern Language lab, students are required to complete an online
618 orientation developed by the department on how to use the lab.

619

620 For faculty and staff, the College provides a designated technology hub through the Faculty
621 and Staff Technology Resources Lab, as well as an online technology training through third
622 party vendors such as Element K, Skillsoft, and Linda.com.

623

624 **Analysis**

625

626 The College recognizes the importance of technical training and support and invests staff
627 time to keep up with the various desktop operating system and application updates. While
628 many of these upgrades are identified and pursued by IT and Media Services, the academic
629 programs also request new technologies. As “cloud” computing flourishes as an emerging
630 technology, the need for user support is also increasing. While the College has provided the
631 necessary technical support and training to help faculty and staff stay abreast of the rapid
632 technological advancements during these past six years – in large part due to the many grants
633 that the College has secured – continued improvements will stress the College’s technology
634 support services.

635

636 The pending move to Instructure Canvas as the College’s distance education content
637 management system will require a significant investment in time as the College revamps its
638 training and technical support services for both online faculty and faculty who use distance
639 technologies to enhance their on-ground courses. The College has initiated the migration to
640 the Canvas platform and will work diligently to train and support all of the existing online
641 instructors. Student training resources will also be available, including a revised student
642 orientation tutorial that the Distance Education (DE) Department will update to include
643 specific references to Canvas as appropriate.

644

645 **Plan**

646

647 Based on an analysis of the evidence, Santa Monica College is addressing this standard and
648 will continue to monitor its progress.

649

Proposed Activities	Responsible Parties	Timeline	Anticipated Outcomes/ Benchmarks of Success
Objective: Implement training and other support to faculty, staff, and students as the College migrates from the eCollege to the Canvas platform.			
1) Contract with Canvas to provide initial training to the pilot DE classes undergoing migration.	DE Department	2016	1) Initial cohort of faculty are trained on the new platform.
2) Develop analogous training modules.	DE Department	2016-2017	2) Training available for all DE faculty.
3) Revamp FAC 101 to reflect changes specific to the Canvas program.	DE Department Academic Senate Joint DE Committee	2016-2017	3) FAC 101 updated to include specific information about the Canvas platform.
4) Publicize @ONE online courses and webinars to college faculty.	DE Department	Ongoing	4) Faculty are aware of training available to them.

650

651

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

654

655 **Evidence of Meeting the Standard**

656

657 The Academic Senate Joint Information Services Committee plans and initiates policy and
658 procedural processes that support effective use of instructional technology on campus, and
659 the Academic Senate Joint Distance Education Committee works in tandem with this
660 committee to make recommendations to the Academic Senate regarding policies and plans
661 for the DE program. The result of this collaboration ensures that Institutional Learning
662 Outcomes, Supporting Goals, and Strategic Initiatives are reflected in the *Master Plan for*
663 *Technology* and are supported by board policies and administrative regulations that guide the
664 appropriate use of technology in the teaching and learning process. An example is the
665 process by which the College formalized its Computer Use Policy, described in [Board Policy](#)
666 [2512](#)⁴⁴ and [Administrative Regulation 2515](#).⁴⁵ The Information Services Committee initiated
667 and drafted the first Computer Use Policy based on input from faculty, staff, students,
668 academic administrators, classified managers, and IT staff. The draft policy was then
669 reviewed and approved by DPAC and recommended to the Superintendent/President for
670 implementation. Other policies that have resulted from the participatory governance process
671 include the following [board policies](#)⁴⁶ and [administrative regulations](#).⁴⁷

672

- BP 2510, Information Technology Mission Statement
- BP 2511, Information Management and Network Programming
- AR 2512, Accessibility Standards for Electronic and Information Technology
- AR 2513, Computer Hardware and Software
- AR 2514, Telecommunications

673

674

675

676

677

678 Student use of computing resources is addressed in [Administrative Regulation 4435](#),
679 Responsible Use of Computer Resources.⁴⁸ This regulation requires that all students must
680 sign a written “Acceptable Use Agreement” and agree to responsible usage of computer
681 resources as defined in this regulation. The regulation defines key terms, outlines student
682 privileges, identifies expected ethical standards, and denotes inappropriate uses and
683 consequences. Responsible use is also addressed in the [Student Code of Conduct](#).⁴⁹
684

685 When courses are designed to be taught through the distance education (DE) platform,
686 faculty are required to complete the [Distance Education Review and Approval Checklist](#)⁵⁰
687 and submit it with the Course outline of Record to the Academic Senate Joint Curriculum
688 Committee as described in the [DE Course Proposal Procedures](#).⁵¹ Part of the Curriculum
689 Committee’s vetting [process](#)⁵² considers if sufficient and appropriate student/instructor,
690 student/student, and student/content interaction are possible at a [distance](#) via the proposed
691 technology.⁵³
692

693 The College has also developed internal operating policies and procedures to support its
694 Bring Your Own Device (BYOD) initiative. Given that the College encourages student and
695 faculty to bring their own preferred devices to campus to use with the College’s secure Wi-Fi
696 services, the College has developed guidelines to ensure the security and reliability of its
697 system while still offering efficient access to end users.
698

699 **Guidelines for Accessible Technology and/or Digital Materials Acquisitions**

700

701 The College has supported the use of assistive technology since the passage of Section 508
702 and created Administrative Regulation 2512 to ensure the continued support of universal
703 access to technology and electronic materials, including software, multimedia content,
704 computers, telephones, closed captioning, and accessible interactive web pages.
705

706 Accessibility is always considered for major software and system acquisitions. Additionally,
707 all faculty who attend technology training workshops are provided a handout on Section 508.
708 Several operating policies and practices are in place to encourage the adoption of accessible
709 digital instructional resources, including the following:

- 710 • Before on-ground or DE course proposals are reviewed, the Curriculum Committee
711 requires programs to consult with a DSPS faculty member regarding accessible web
712 design.
- 713 • All programs/departments going through program review have a web access evaluation
714 and/or consultation with a DSPS faculty member.
- 715 • DSPS faculty members have made multiple presentations on accessible web design for
716 the campus community.
- 717 • The College’s Instructional Technology programmers are committed to creating
718 accessible online resources (e.g., student portal Corsair Connect).
- 719 • Occasionally, web resources that are not accessible to everyone are made available to
720 the campus community because they provide unique advantages. In such cases (e.g.,
721 Google Docs), the usage is never mandated and back-up plans are strongly encouraged.
- 722 • Distance Education and other campus programs strive to integrate accessibility into
723 their trainings and support.

- 724 • FAC 101, the eCollege class for DE faculty, has a unit introducing the basics of
725 accessible web design.

726

727 **Analysis**

728

729 Through its participatory governance process, which includes students, faculty, staff, and
730 administrators, Santa Monica College has developed policies and procedures to guide the
731 appropriate use of technology in the teaching and learning processes. Board policies and
732 administrative regulations are complemented by internal operating procedures and guidelines
733 that are reviewed and updated regularly by the Academic Senate Joint Personnel Policies
734 Committee and the DPAC Human Resources Planning Subcommittee. These policies,
735 regulations, procedures, and guidelines address technology both in and out of the classroom.
736 Furthermore, the feedback provided from peers during the faculty evaluation process
737 described in Standard IIIA ensures that faculty are using technology appropriately in the
738 classroom.

739

740 **Plan**

741

742 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
743 continue to monitor its progress.

744

745

746 ***LIST OF EVIDENCE FOR STANDARD IIIB***

-
- 1 IIIC1_Technology_Planning_Objectives_2015-2016.pdf
 - 2 IIIC1_Technology_Planning_Chart.pdf
 - 3 IIIC1_Graphic_Illustration_of_MobileCorsairConnect_and_AskPico.pdf
 - 4 IIIC1_DPAC_Agenda_4-22-2015.pdf
 - 5 IIIC1_Computer_Labs_oncampus_list_webpage.pdf
 - 6 IIIC1_Program_Review_webpage.pdf
 - 7 IIIC1_ScreenShot_of_mProfessor.pdf
 - 8 IIIC1_SLO_By_Department.pdf
 - 9 IIIC1_The_Center_for_Teaching_Excellence_webpage.pdf
 - 10 IIIC1_SMC_Canvas_webpage.pdf
 - 11 IIIC1_Academic_Senate_Resolution_Adoption_of_Canvas_9-22-2015.pdf
 - 12 IIIC1_Distance_Ed_Committee_Minutes_Canvas_10-6-2015.pdf
 - 13 IIIC1_ScreenShot_of_MyEdPlan.pdf
 - 14 IIIC1_Early_Alert_webpage.pdf IIIC1_Early_Alert_homepage.pdf
 - 15 IIIC1_Academic_Works_Scholarship_webpage.pdf
 - 16 IIIC1_Section508.pdf
 - 17 IIIC1_WebContentAccessibilityGuidelines2.pdf
 - 18 IIIC1_ADA.pdf
 - 19 IIIC1_StudentEmail.pdf
 - 20 IIIC1_Program_Review_Summary_MPE_2015-2016.pdf
 - 21 IIIC1_2014_DE_Student_Survey_Findings.pdf
 - 22 IIIC1_Student_Technology_Survey.pdf
 - 23 IIIC1_Student_Technology_Survey_2014_Results.pdf
 - 24 IIIC1_MyEdPlan_Survey_Report.pdf
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31 IIIC1_Student_Technology_Survey_2014_Results.pdf
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33 IIIC4_Tech_Mentors_Program_webpage.pdf
34 IIIC4_Spring_2014_Tech_Friday_May_9th.pdf
35 IIIC4_High_Tech_Training_Center_webpage.pdf
36 IIIC4_Technology_Workshops_email_Spring_2016.pdf
37 IIIC4_FAC101.pdf
38 IIIC4_At_One.pdf
39 IIIC4_At_ONE_OnlineCourses_2016.pdf
40 IIIC4_Student_Orientation_Tutorial_syllabus.pdf
41 IIIC4_ESL_workshops.pdf
42 IIIC4_DSF_Web_Print_Quick_sheet.pdf
43 IIIC4_SMC_Media_Center_webpage.pdf
44 IIIC5_BP2500_InformationTechnologyMissionStatement_Incl_BP2510_BP2511_BP2512.pdf
45 IIIC5_AR_2500_Information Technology_AR2515_ComputerandNetworkUse.pdf
46 IIIC5_BP2500_InformationTechnologyMissionStatement_Incl_BP2510_BP2511_BP2512.pdf
47 IIIC5_AR_2500_Information Technology_Including_AR2512_AR2513_and_AR2514.pdf
48 IIIC5_AR_4000_StudentServices_pp104-113.pdf
49 IIIC5_AR4410.pdf
50 IIIC5_Distance_Education_Approval_Checklist.pdf
51 IIIC5_DistanceEducationCourseProposalProcedures.pdf
52 IIIC5_Form7_Distance_Education_Application.pdf
53 IIIC5_DE_Application_Example.pdf

1 **STANDARD IIID: FINANCIAL RESOURCES**

2
3 **IIID.1 Financial resources are sufficient to support and sustain student learning**
4 **programs and services and improve institutional effectiveness. The distribution of**
5 **resources supports the development, maintenance, allocation and reallocation, and**
6 **enhancement of programs and services. The institution plans and manages its financial**
7 **affairs with integrity and in a manner that ensures financial stability. (ER 18)**
8

9 *Evidence of Meeting the Standard*

10
11 Despite significant uncertainty in state funding, Santa Monica College has maintained
12 sufficient financial resources to support and sustain student learning programs and services
13 and continue ongoing efforts to improve institutional effectiveness.
14

15 **Proactive Planning and Decision-Making**

16
17 The College’s Board of Trustees has set fiscal responsibility as a top priority; thus, the
18 College balances fiscal conservatism from a multi-year perspective with a campus wide
19 planning process centered on the College’s values as expressed in the Vision, Mission, and
20 Goals.
21

22 The college community stays abreast of the financial outlook for California through
23 [communications](#)¹ from the California Community Colleges Chancellor’s Office and the
24 Community College League of California. As a result, prior to the recent economic
25 recession, the College decided to build its reserve with the understanding that it might be
26 necessary to use it as the emerging economic crisis unfolded. The Board of Trustees
27 developed [budget principles](#) as a commitment to weathering the economic recession without
28 laying off permanent personnel, eliminating programs, or reducing the number of students
29 served.² This proactive planning allowed the College to maintain its winter and summer
30 intersessions, and provide access to services to more than [5,000 unfunded full-time](#)
31 [equivalent students](#) (FTES) from Fall 2008 through Summer 2015, despite significant
32 reductions in the College budget by more than \$20 million over two years from 2010-2011 to
33 2012-2013.³ The College also used its [reserve funding](#) to partially backfill categorical
34 programs designed to serve at-risk student populations that had been cut by the state.⁴
35 Despite these cuts and the use of the reserve to maintain programs, the College maintained a
36 reserve in excess of eight percent during this time.
37

38 **How Distribution of Resources Supports College Programs and Services**

39
40 Financial efficiency and effectiveness occurs at the program level when administrators and
41 faculty chairs decide how to allocate their limited resources, or when they identify gaps in
42 services and new program needs, which are reported through the program review process.
43 The College has strengthened its program review process to include annual reports that
44 support the more comprehensive six-year review and this information feeds into fiscal
45 planning processes.
46

47 The College's Fiscal Services also implemented a new budget augmentation process that
48 requires programs, services, and administrative units to link their funding requests with
49 program review assessments. Through the College's Personnel and Budget Augmentation
50 Request ([PBAR](#)) form,⁵ each program seeking additional funding (based on the previous
51 fiscal year) must document how its request will help the College achieve its Mission,
52 Supporting Goals, Strategic Initiatives, Accreditation Standards, and/or *Master Plan for*
53 *Education* objectives. The College's senior administration, in concert with Fiscal Services,
54 considers each request and prioritizes needs, thus ensuring that the programs with the greatest
55 need and benefit to the College's Mission are funded.

56
57 The College also plans and manages its financial affairs through the work of the District
58 Planning and Advisory Council's (DPAC) Budget Planning Subcommittee which serves as
59 the recommending authority on District budget matters. The subcommittee reviews the
60 District's tentative, quarterly, and final budgets for consistency with the College's Mission,
61 annual institutional objectives, and strategic initiatives. [Recommendations](#) made by this
62 subcommittee are voted on by DPAC⁶ and those that passed move on to the College
63 Superintendent/President who makes the final decision regarding each recommendation.

64
65 Through DPAC's other subcommittees, including the Facilities Planning and Technology
66 Planning subcommittees, the College develops and approves an annual *Facilities Master*
67 *Plan* and an annual *Master Plan for Technology* which identify facility and technology needs
68 based upon input from programs, services, and administrative units, as outlined in the annual
69 program review reports. These needs are then considered as the College develops its *Master*
70 *Plan for Education* and its annual operating and capital budgets.

71
72 The Academic Senate, through its many joint committees, is also actively engaged in making
73 recommendations to DPAC to ensure that there are sufficient financial resources to support
74 and sustain student learning programs and services. These joint committees include Program
75 Review, Distance Education, Career Technical Education, and Information Services. For
76 example, the Information Services Committee makes [recommendations](#) for the use of
77 instructional block grant funding for instructional technology based on need and relevance to
78 the Mission of the College as documented in the [Instructional Technology Request](#) process.

79 ^{7 8}
80 ,

81 In 2014-2015, the District implemented a [budget line item](#)⁹ of \$500,000 for the replacement
82 of non-technology equipment and repairs to facilities as a first step toward the full
83 development and implementation of a Total Cost of Ownership (TCO) plan which should be
84 formalized in 2016-17. The District has also implemented a [Technology Replacement Plan](#)¹⁰
85 to ensure that technological resources are sufficient to support and sustain the teaching and
86 learning environment. These plans are described in Standards IIIB and IIIC, respectively.

87
88 Another example is the disbursement of two new state funding streams: Student Success and
89 Support Program (SSSP) and Student Equity funding. The College established procedures to
90 ensure that funded projects adhere to [expenditure guidelines](#) and are aligned with the
91 College's Mission, Goals, and *Master Plan for Education* objectives.¹¹

92

93 The College applied the same planning and management in developing the recently
94 accredited baccalaureate degree in Interaction Design. In recognition that that successful
95 implementation of the program demanded significant resources, the College committed to the
96 program based its long history of fiscal stability, its ability to leverage both existing and new
97 human, physical and technological resources, and the ongoing support received from high
98 technology industry members.

100 **Integrity, Transparency, and Stability**

101
102 Financial integrity to support student programs and improve institutional effectiveness begins
103 at the executive level and is promulgated throughout the College through the participatory
104 governance process. The Board of Trustees is apprised of financial and other planning
105 activities through [weekly reports](#),¹² [monthly meetings](#),¹³ individual meetings with the
106 Superintendent/President and senior staff, and meetings with Academic Senate leaders.

107
108 The College provides information to the DPAC Budget Subcommittee to help it formulate
109 recommendations to DPAC by having Fiscal Services representatives attend each meeting,
110 providing quarterly budget updates and information regarding other college fiscal issues.

112 **Analysis**

113
114 Through proactive planning and informed decision-making, the College allocates its limited
115 resources to ensure that financial resources are sufficient to support and sustain student
116 learning programs and services and improve institutional effectiveness. The College has
117 more than a ten-year history of ensuring that financial reserves meet or exceed the standards
118 set by the California Community Colleges Chancellor's Office.

119
120 The College has sufficient resources to support and sustain the Bachelor of Science degree in
121 Interaction Design. The technological and physical resources required for this program are
122 the same as those already in place for the related lower division coursework. The program
123 may also have access to Perkins funds, CTE Enhancement funds, and other resources through
124 the College's existing practices and procedures. The College received \$350,000 in start-up
125 funds from the state of California to support the development and launch of the new degree
126 program. Once the program begins, students enrolled in the upper division coursework will
127 be charged an additional \$86.00 per unit which will be retained by the College to support the
128 program and its ongoing development.

129
130 The College plans conservatively over time, building up reserves in periods of relative
131 abundance, so that instructional and student support programs are not affected by cyclical
132 dips in state funding. The College also responds to changes in government accounting
133 standards and recommendations for financial planning, such as the requirement to set aside
134 resources to offset increasing liabilities for OPEB (Other Post-Employment Benefits) as
135 required by GASB 45, which resulted in the establishment of an irrevocable trust and a
136 [funding plan](#) approved by the Board of Trustees.¹⁴

138 **Plan**

139

140 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
141 continue to monitor its progress.

142

143

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

149

150 **Evidence of Meeting the Standard**

151

152 The College Mission serves as the basis for all institutional planning as outlined in the
153 College’s *Master Plan for Education*. The College’s central planning body, DPAC,
154 is responsible for the development of the *Master Plan for Education*, and its annual
155 institutional objectives. DPAC considers major planning documents in this effort:

156

157

158

159

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161

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165

- [Facilities Master Plan](#)¹⁵
- [Master Plan for Technology](#)¹⁶
- [Program Review Annual Report](#)¹⁷
- [Institutional Effectiveness Report](#)¹⁸
- [Accreditation recommendations](#)¹⁹
- [Academic Senate objectives](#)²⁰
- [District Adopted Budget](#)²¹
- [DPAC subcommittee’s annual reports](#)²²
- [Board Goals and Priorities](#)²³

166 The annual update of [the Master Plan for Education timetable](#)²⁴ has also been revised
167 so that the plan is completed by the beginning of each academic year and can be
168 incorporated into the Adopted Budget, which is presented to the Board of Trustees in
169 September. This revised timeline has allowed the integration of institutional planning
170 with fiscal planning and budget development. This new timeline allows for all
171 College programs to complete their annual program review assessments which then
172 inform their budget planning and possible augmentation requests at the same time that
173 DPAC is beginning its annual master planning update process during which it
174 develops annual institutional objectives.

175

176 Once institutional objectives are set, managers, accounting personnel, and the DPAC
177 subcommittees may then use [this information](#)²⁵ to address both institutional- and
178 program-level objectives as part of the College’s [annual budget development
179 process](#).²⁶ For both institutional-level and department-level objectives, the relevant
180 planning bodies and/or program units must consider the financial cost of carrying out
181 these objectives. The [objective template](#)²⁷ for the *Master Plan for Education* requires
182 that proposers identify actual dollar figures for the proposed objective, as well as the

183 funding source. Likewise, department goals identified through the *Technology*
184 *Master Plan*, the [Student Equity Plan](#),²⁸ and other planning documents also identify
185 the cost and proposed funding source.

186

187 **Policies and Procedures to Ensure Sound Financial Practices**

188

189 Santa Monica College has established policies and procedures to ensure sound
190 financial practices and financial stability as outlined in [Board Policy \(BP\) – Section](#)
191 [6000](#), Business Services and Facilities.²⁹ Relevant [articles and numbers](#) include BP
192 6110, District Budget Development; BP 6111, District Budget Administration; BP
193 6113, Revolving Cash; BP 6115, Investment Policy; BP 6116, Debt Issuance; and BP
194 6215, Insurance Coverage.³⁰

195

196 These board policies, and their corresponding administrative regulations, ensure that the
197 District has the resources necessary to maintain the financial stability of the College. BP
198 6111, District Budget Administration, notes that the District will maintain a reserve for cash
199 flow and contingency purposes at a level consistent with the state guidelines so that the
200 unrestricted general fund ending balance is not less than five percent of the District’s
201 unrestricted general fund expenditures.

202

203 The District maintains adequate insurance to cover its needs in case of emergencies and/or
204 loss. BP 6215 states that the District will maintain “*adequate insurance by means of*
205 *insurance policies, appropriate deductibles and/or self-insurance funds*” to protect the
206 District, including Liability, Automobile, Worker’s Compensation, Employees Bonding,
207 Fire, Property, Athletics, and other areas deemed required by the Board of Trustees. The
208 College is a member of the Statewide Association of Community Colleges-JPA ([SWACC](#)), a
209 non-profit, self-funded Joint Powers Agreement, comprising 46 California community
210 colleges, designed to provide comprehensive property and liability in a single program while
211 addressing unique community college exposures.³¹

212

213 For its workers’ compensation program, the College is a member of the Protected
214 Insurance Program for Schools and Community Colleges (PIPS)-JPA. [PIPS](#) provides
215 its members catastrophic protection to \$155 million per occurrence and frequency
216 protection up to \$1.5 million per occurrence in excess of a 99 percent undiscounted
217 probability level.³²

218

219 **Timely Dissemination of Financial Information throughout the Institution**

220

221 To promote transparency and trust among all constituent groups, quarterly budget
222 reports, budget presentations, and summary narratives, which outline this information
223 and provide line item detail, are available on the [Fiscal Services website](#).³³ These
224 budget reports are widely disseminated, with presentations made to [DPAC](#) and its
225 [Budget Planning Subcommittee](#),³⁴ the Management Association, and the [Board of](#)
226 [Trustees](#).³⁵

227

228 *Analysis*

229

230 Since 2011, the College's annual *Master Plan for Education* has integrated all
231 institutional planning documents. This process, as evidenced by each year's [annual](#)
232 [plan](#),³⁶ demonstrates the direct relationship between [institutional objectives](#) and
233 specific budget allocations.³⁷ The College has integrated department and program
234 planning with financial planning, focusing on activities that work to achieve the
235 College's Mission. For example, in 2011-2012, when federal grant funding for the
236 College's Supplemental Instruction program ended, the College utilized its reserve to
237 not only maintain but expand the program based on the program's ability to address
238 the Mission and improve student learning and achievement, particularly among
239 groups traditionally underrepresented in postsecondary education.

240

241 *Plan*

242

243 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
244 continue to monitor its progress.

245

246

247 **IIID.3 The institution clearly defines and follows its guidelines and processes for**
248 **financial planning and budget development, with all constituencies having appropriate**
249 **opportunities to participate in the development of institutional plans and budgets.**

250

251 *Evidence of Meeting the Standard*

252

253 The Office of Fiscal Services has established clear [guidelines and processes](#),
254 described in its annual audits and budget development forms,³⁸ for programs to use in
255 their annual operational budget development and assessment. Fiscal Services
256 personnel prepare annual budgets and quarterly budget reports based on a number of
257 resources:

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269 These procedures are documented by the following:

270

271

272

- [Budget planning calendar](#) housed on the Fiscal Services website;³⁹
- Detailed budget timelines and budget procedures [narratives](#);⁴⁰
- [DPAC minutes](#) and [DPAC Budget Subcommittee minutes](#);⁴¹⁴²

- 273 • Budget documents between departments and academic administrators;
- 274 • Accounting department records;
- 275 • Annual audits conducted by an external Certified Public Accounting firm; and
- 276 • [Board of Trustee minutes](#).⁴³

277

278 **Strategies for Ensuring Constituent Involvement**

279

280 All members of the community are encouraged to participate in the institutional planning and
281 budget development process through the College’s program review and DPAC planning
282 processes. These processes result in departmental-level goals, objectives, and outcomes and
283 help each department identify their needs and challenges.

284

285 **Analysis**

286

287 Santa Monica College’s participatory governance structure ensures that all of the constituent
288 groups have the opportunity to provide input into the institutional planning and budget
289 development process. The public discussion of the budget at the open board meetings,
290 including the presentation of the preliminary budget three months before the next year’s
291 adopted budget is approved, allows a generous timeframe for public input as well as
292 thoughtful consideration by all members of the college community. The quarterly budget
293 reports are disseminated to the constituent groups and the public via presentations and the
294 college website.

295

296 **Plan**

297

298 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
299 continue to monitor its progress.

300

301

302 **IIID.4 Institutional planning reflects a realistic assessment of financial resource**
303 **availability, development of financial resources, partnerships, and expenditure**
304 **requirements.**

305

306 **Evidence of Meeting the Standard**

307

308 The College’s Board of Trustees sets a [high priority](#) on fiscal responsibility,⁴⁴ and this is
309 reflected in the work of senior administrative staff, DPAC, program leaders, and area
310 managers. For example, the highly effective planning relationship between the Academic
311 Affairs Division and the Business and Administration Division has yielded remarkable
312 accuracy over several years in predicting student enrollment and needed class offerings.
313 Likewise, the Office of Enrollment Development monitors enrollment and coordinates with
314 Student Affairs and Academic Affairs to identify student demand opportunities and to
315 respond appropriately. By working together, each of these areas is able to strengthen the
316 collective analysis and help ensure overall fiscal responsibility and stability.

317

318 **Realistic Assessment of Financial Resource Availability**

319
320 The primary source of the College’s funding is state apportionment, which is directly tied to
321 student enrollment and FTES generation. Because the College relies so heavily on
322 apportionment, it can safely begin the process of building its annual budget based on
323 previous year actual revenue and expenditures, taking into consideration any new budgetary
324 information from the state. To do this, the Office of Fiscal Services has created an annual
325 [budget development calendar](#)⁴⁵ that begins the budget development process for the coming
326 year in December/January.

327
328 Fiscal Services asks each of the college divisions to review and update, as necessary, their
329 budgets, noting new (and typically restricted) revenue streams such as new grant-funded
330 projects. Each area vice president works with his/her program administrators to review
331 proposed projections in each area and reallocate existing budgets as needed. Budget
332 augmentations are requested through the PBAR process, described in Standard IIID.1. The
333 result of these reviews is a [projected tentative budget](#) that is presented to the Board of
334 Trustees in June for review and acceptance.⁴⁶

335
336 The tentative budget is updated as the state finalizes its budget, final revenue and
337 expenditures are recorded by the College for the previous fiscal year, and new funding is
338 awarded through grants and contracts. During this time, the college community is working to
339 complete its annual planning processes, using institutional effectiveness data, program
340 review feedback, and DPAC planning committee recommendations. This information is also
341 to develop the *Master Plan for Education* objectives, and new departmental initiatives and
342 services. This information informs the development of a [budget](#) presented to the Board of
343 Trustees for [adoption](#) in September.⁴⁷

344
345 State apportionment is unpredictable, and changes in funding formulae, development of new
346 funding streams, such as the 2014-2015 Student Equity Fund, and implementation of new
347 state mandates all have an impact on financial resource availability. Board of Trustees
348 members, administrators and faculty participate in state-level governance organizations to
349 stay abreast of these changes, which allows the College to realistically plan the revenue side
350 of its annual budget.

351
352 **Realistic Assessment of Expenditure Requirements**

353
354 The development of budget expenditures occurs hand in hand with projections of revenue.
355 However, annual expenditures are relatively stable given that the majority of the College’s
356 budget is allocated to salaries and benefits. Thus, the College can build its annual
357 expenditure budgets by rolling over personnel costs, taking into consideration any cost of
358 living increases negotiated through the bargaining units, as well as step increases for faculty
359 and staff as appropriate. By rolling over these costs, the college community only needs to
360 consider a small percentage of its budget during each year’s annual budget development
361 process. Each division vice president works with his/her respective programs and services to
362 identify changes in non-personnel line items, such as supplies, travel, and contracts. If new
363 resources are necessary, programs must complete a [PBAR form](#)⁴⁸ to request new funding

364 above their allocation. Senior administration and Fiscal Services review, prioritize, and
365 disburse any unallocated revenue based on these requests, based on availability of funds,
366 institutional need, and relevance to the College's Mission.

367
368 The institution may also need to address other new expenditures as a result of state
369 requirements and/or changes in financial planning practices or policies. Fiscal Services
370 participates in this process to ensure that the planning committees have access to accurate
371 and realistic information regarding financial projections and budget impact. For example,
372 recently, the College considered its options for funding its increasing expenditures related to
373 the rising employee contribution rates for STRS and PERS as a result of Governmental
374 Accounting Standards Board ([GASB](#)) statement number 68.⁴⁹ This obligation was also
375 included in the Board of Trustees' [Goals and Priorities](#).⁵⁰ The Office of Fiscal Services
376 initially proposed a [funding plan](#), which the Board of Trustees reviewed⁵¹ and sent to the
377 DPAC Budget Planning Subcommittee for consultation. To facilitate the discussion, Fiscal
378 Services presented [several multi-year financial plans](#) to the committee, based on the
379 College's various options for funding these liabilities.⁵² Ultimately, the subcommittee agreed
380 with the initial plan recommended by Fiscal Services and made the [recommendation to](#)
381 [DPAC](#) that the Board of Trustees should accept the initial plan.⁵³

382
383 Finally, the College's *Master Plan for Education* process includes a financial consideration
384 component that works to ensure that DPAC and its various planning committees has a
385 realistic understanding of what it will cost to carry out [proposed institutional objectives](#).⁵⁴

386 387 **Realistic Assessment of Resource Development Opportunities**

388
389 To support college expenditures, the College also explores alternative sources of funding for
390 ongoing operational costs, new program development, and capital improvement projects.
391 These alternative sources include international and out-of-state student tuition revenue, state
392 and federal grants, private fundraising, Certificates of Participation, general obligation bonds,
393 and the formation of Workforce and Economic Development partnerships.

- 394 • ***Non-Residence Student Tuition:*** Although the College realizes revenue from out-of-
395 state students, international students comprise the majority of the non-resident student
396 population at the College. Revenue levels vary, but the College makes realistic
397 projections based on students' progress in their programs, application patterns, and
398 changes in immigration law.
- 399 • ***Grant Development:*** The College pursues local, state, and federal grants, as well as
400 private grants to augment funding received by the state to support the College's
401 Mission and Goals. All [grant applications](#) must address the Mission, one or more of
402 the College's Supporting Goals and/or Strategic Initiatives, and the priorities of the
403 Board of Trustees.⁵⁵
- 404 • ***Individual, Corporate, and Foundation Fundraising:*** The Santa Monica College
405 [Foundation](#) is responsible for identifying and acquiring private donations from
406 individuals, corporations, community organizations, and private foundations to
407 support the Mission.⁵⁶
- 408 • ***General Obligation Bonds and Certificates of Participation:*** As necessary, the
409 College will pursue general obligation bonds and certificates of participation,

410 combined with state support, to fund long-term capital projects. The College has a
411 successful history of pursuing voter-approved bond funding, which includes [four](#)
412 [bonds](#) over the last 15 years.⁵⁷ The College does not generally pursue certificates of
413 participation to support its capital projects, but when it does, the College develops a
414 [realistic plan](#) for timely repayment.⁵⁸

- 415 • ***Workforce and Economic Development Partnerships:*** The College’s Office of
416 Workforce and Economic Development leads many partnerships with outside
417 organizations, focusing on efforts that strengthen the College’s career technical
418 education (CTE) offerings and address the workforce development needs of the
419 county. Examples include the [Promo Pathways Program](#)⁵⁹ and [LA HI-TECH](#)
420 [Consortium](#).⁶⁰

421
422 **Analysis**

423
424 Through the annual budget planning process, as well as the participatory governance
425 structure, the College carries out a realistic assessment of both financial resource availability
426 as well as expenditure requirements. The College, along with the rest of the state of
427 California, is emerging from a budget crisis that began in 2008. At that time, the
428 Unrestricted General Fund budget of Santa Monica College was approximately \$150 million,
429 with a total annual budget of \$350 million, including unrestricted and restricted funding and
430 bond funds. In 2009-2010, as a result of decreased state funding, the College had to reduce
431 course offerings and institute cutbacks in all programs. These cutbacks were implemented
432 with input from all campus constituencies. The College sought to avoid program
433 discontinuance and opted [not to adopt policies](#)⁶¹ that would hinder student success.

434
435 Budget concerns remained a major focus of Board attention while the state’s slow economy
436 influenced community college funding. The Board sought additional, more stable, and
437 locally-controlled sources of funding and thus proposed setting up a self-supporting
438 educational option similar to that of the University of California, Los Angeles (UCLA)
439 extension program. This alternative would have comprised a limited number of high-demand
440 transfer classes so that students would be able to progress even when class offerings were
441 limited by state budget constraints. These class offerings would have been offered at a
442 higher cost as the College would not have received any apportionment for these classes.

443
444 The Board was very aware of low-income students who, unable to get classes at community
445 colleges, were using federal and state financial aid to enroll at vastly more expensive for-
446 profit colleges. As contemplated, low-income students would instead be able to use their
447 federal and state financial aid to cover the tuition for the Santa Monica College extension
448 classes at a much reduced rate from that charged by the for-profits. This would provide
449 access to courses and reduce time-to-completion during a time when students were being
450 turned away due to lack of sufficient state funding. In keeping with the College’s Mission of
451 open access, student equity, and student success, and to help reduce the cost of these more
452 expensive courses for low-income students, the College also identified donors who were
453 willing to contribute \$250,000 to enable low-income students to take advantage of the
454 program during the pilot intersession. For various reasons, this proposal was not
455 implemented. Nevertheless, it remains an example of how the Santa Monica College Board

456 of Trustees and college leaders are willing to think “out-of-the-box” to identify new revenue
457 sources in support of the Mission and student learning and achievement.
458

459 As the state budget continued to improve, the College has tempered its optimism with
460 concerns about new funding formulas that favor districts serving communities with
461 demographics that differ from the communities within the geographic boundaries of the
462 Santa Monica Community College District. As such, the College continues its policy of
463 conservative budgeting to ensure that its innovative programs do not overreach the College’s
464 capacity to fund them sustainably.
465

466 **Plan**

467
468 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
469 continue to monitor its progress.
470

471
472 **IIID.5 To assure the financial integrity of the institution and responsible use of its**
473 **financial resources, the internal control structure has appropriate control mechanisms**
474 **and widely disseminates dependable and timely information for sound financial**
475 **decision making. The institution regularly evaluates its financial management practices**
476 **and uses the results to improve internal control systems.**
477

478 **Evidence of Meeting the Standard**

479 **Internal Control Structure**

480
481
482 The College has developed an internal financial control structure that employs appropriate
483 control mechanisms at every step and for every type of transaction and/or activity. This
484 internal control structure incorporates generally acceptable accounting practices and meets
485 federal internal control requirements as noted in the Internal Control Questionnaire of the
486 College’s annual [A-133 audit](#).⁶²
487

488 One example of an internal control process in place to ensure that financial resources are
489 used properly and with integrity is the PBAR form, which is required in order to request new
490 funding beyond the projected allocation. Another internal control process is the [myTime](#)
491 electronic submission system⁶³ for student workers and hourly employees. The system
492 ensures that the proper supervisor submits the employee timesheets, that hourly wages are
493 correct, and that the department is following laws such as Affordable Care Act and AB 1522,
494 Employment: Paid Sick Days.
495

496 **Dissemination of Dependable and Timely Information**

497
498 As described earlier in this standard, the College, through the Office of Fiscal Services,
499 widely disseminates dependable and timely information for sound financial decision-making
500 to the Board of Trustees, as well as the College’s constituent groups through DPAC and the
501 DPAC Budget Planning Subcommittee. In addition, Fiscal Services responds to [ad hoc](#)

502 [requests](#)⁶⁴ made by the Budget Planning Subcommittee and other groups on campus as they
503 discuss specific financial concerns. The Office of Fiscal Services also distributes [monthly](#)
504 [financial statements](#) to all of the College's cost centers so that divisions, departments, and
505 programs can reconcile their accounting of revenue and expenditures with their adopted
506 budgets and make changes as necessary.⁶⁵ The College also offers an online [Site Budget](#)
507 [Inquiry module](#),⁶⁶ which allows departmental users to access departmental budgets in real
508 time from any computer in the District, review expenditure and encumbrance details, and
509 review purchase order details. For grant-funded projects, the Office of Fiscal Services meets
510 directly with grant staff on a quarterly basis to review grant expenditures for compliance with
511 program requirements, including fiscal requirements.

512

513 **Evaluation of Financial Management Practices**

514

515 Each year, the College is audited by an independent certified public accounting firm with
516 expertise in governmental accounting, community college accounting practices, and
517 California state law. As a part of this [evaluation](#), external auditors "*consider internal*
518 *controls relevant to the District's preparation and fair presentation of financial statements in*
519 *order to design audit procedures that are appropriate in the circumstances.*"⁶⁷ The audit
520 tests and evaluates internal controls over accounting procedures, compliance with applicable
521 accounting standards, recording reliability, and reporting accuracy. This audit also includes a
522 review of the College's federal funding and the controls in place to manage these funds, as
523 required by the United States Office of Management and Budget for Circular A-133 for
524 institutions that receive more than \$500,000 in federal funds. The District has received
525 unmodified audits for each of the last six years, and as a result, the District decided to bring
526 in new auditors as best practice.

527

528 The Office of Fiscal Services provides an overview of the annual audit to the Board of
529 Trustees and the Budget Planning Subcommittee. The College also makes its annual [audit](#)
530 [reports](#) accessible to the college community and general public through the College's
531 website.⁶⁸ In addition to the annual audit, both the Office of Fiscal Services and the
532 Purchasing Office engage in annual program assessment through the program review
533 process. There is also a Board Audit Committee that meets regularly with the auditors and
534 the Chief Director of Business Services, and one Board member who serves on this
535 committee is a Certified Public Accountant.

536

537 **Analysis**

538

539 The College has established internal control systems to ensure the financial integrity of the
540 institution and responsible use of its financial resources. These systems comply with
541 Generally Accepted Accounting Principles and have resulted in no significant audit findings
542 by the College's external auditors for the past six years.

543

544 As the College strengthens its planning processes and further integrates budget development
545 into the process, the Office of Fiscal Services has responded with the development of new
546 fiscal documents, including a new Budget Transfer Request form,⁶⁹ and the [PBAR](#) form.

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Plan

Based on an analysis of the evidence, Santa Monica College is meeting this standard and will continue to monitor its progress.

IIID.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

The College has continued to strengthen its financial management processes so that 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. Significant improvements to the financial planning and management process in support of credibility and accuracy, as well as the appropriate allocation and use of financial resources include:

- An annual budget development calendar that guides the budget planning process and coordinates it with the institutional planning process;
- Regular dissemination of the tentative and adopted budgets, and quarterly financial reports to the college committee, as previously described;
- Budget planning forms that align all new requests for funding with the Mission, Supporting Goals, Institutional Learning Outcomes, *Master Plan for Education* objectives, Accreditation Standards, and/or program review assessment results; and
- Distribution of the College’s financial documents via its website.

Analysis

The District’s annual financial audit, as well as compliance audits conducted by local, state, and federal agencies, attests to the high degree of credibility and accuracy of the College’s financial documents. These audits have not identified any material weaknesses or significant deficiencies in the District’s management of state and federal funds since 2010-2011. A [summary report](#) of each audit is presented to the Board of Trustees during open session;⁷⁰ as well as to the DPAC Budget Planning Subcommittee, which are open to all members of the college community with committee meeting agendas posted prior to the meeting as required by the Brown Act. In addition, the annual audit is available on the College’s website.

In addition, the College’s independent auditors have identified the College as a “low-risk” auditee for each year of this self-study with respect to compliance with accounting standards for federal programs. This status presents clear evidence of the financial credibility and accuracy of the College’s financial documents.

591 **Plan**

592

593 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
594 continue to monitor its progress.

595

596

597 **IIID.7 Institutional responses to external audit findings are comprehensive, timely,
598 and communicated appropriately.**

599

600 **Evidence of Meeting the Standard**

601

602 As required by state and federal law, Santa Monica College conducts an annual external audit
603 in compliance with State of California Title 5, Education Code and United States Office of
604 Management and Budget’s Circular A-133, which sets forth standards for obtaining
605 consistency and uniformity among federal agencies for the audit of states, local governments,
606 and non-profit organizations expending federal funding. The external audit process is
607 comprehensive and time-consuming, but one in which the College willingly engages. As
608 findings are identified, the College communicates these results to the college community,
609 primarily through the Board of Trustees and the Budget Planning Subcommittee, and
610 responds accordingly in a timely manner.

611

612 **Analysis**

613

614 External auditors attest to the fair presentation of financial reports on an annual basis. From
615 the 2010-2011 through the 2013-2014 fiscal year, the College’s audit reports did not identify
616 any findings or questioned costs related to financial statements, federal awards, or state
617 awards. As such, there were no findings to address. In the years prior to 2010, when
618 [findings](#) were identified,⁷¹ they were addressed with the highest priority by college personnel
619 and were re-evaluated the following year by the external auditors and addressed in that year’s
620 formal audit report. In the 2014-2015 fiscal year, there was an [audit finding](#) regarding “to be
621 arranged” hours.⁷² Before the audit report was issued to the Board of Trustees, the District
622 immediately took action as specified in the audit report. The actions included a changed
623 methodology for accounting and course revisions. In the event that the College’s external
624 audit identifies findings in the future, it will once again ensure that institutional responses to
625 external audit findings are comprehensive and timely, and communicated appropriately.

626

627 **Plan**

628

629 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
630 continue to monitor its progress.

631

632

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

636
637 **Evidence of Meeting the Standard**

638
639 The District’s financial and internal control systems are evaluated and assessed for validity
640 and effectiveness on an annual basis through the independent audit process. For example, the
641 Chief Director of Business Services holds bi-weekly [Business Services Team meetings](#) to
642 discuss program reviews, student learning outcomes, and other financial control issues.⁷³
643 Each unit also submits a [Business Services Monthly Update](#)⁷⁴ to document their respective
644 accomplishments.

645
646 **Independent District Audits**

647
648 The district audit is conducted for the purpose of forming an opinion of the District’s
649 financial statements as a whole. However, the addition of supplementary schedules,
650 including a schedule of expenditures of federal awards, and continuing disclosure
651 information are presented for purposes of additional analysis and are not a required part of
652 the basic financial statements. As an example, the [schedule of expenditures](#) of federal
653 awards is presented for the purposes of additional analysis as required by the U.S. Office of
654 Management and Budget Circular A-133, *Audits of States, Local Governments and Non-*
655 *Profit Organizations*.⁷⁵ Through this supplemental information, the auditor presents an
656 opinion of the College’s federal programs, reviewing a minimum of five federal programs
657 each year to assess the validity and effectiveness of the District’s financial and internal
658 control systems for these programs. The District’s student financial aid program is one of
659 these five [programs](#) and is evaluated each year, as well as four additional federally funded
660 grant programs.⁷⁶

661
662 **Program Audits**

663
664 The College’s federally funded programs are diverse in terms of the funding agencies and
665 thus have equally diverse requirements and regulations. Regardless of the funding source,
666 however, the College maintains adequate financial and internal control systems to ensure the
667 validity and effectiveness of each program.

668
669 In addition to the reviews conducted by the College’s independent auditor, many of the
670 College’s grant funded programs are evaluated and assessed by a representative of the
671 sponsoring program office, which typically includes an on-site review of the College’s
672 policies, procedures, documentation, and work. These visits have not identified any need for
673 improvement with regard to the College’s financial management structure.

674
675 **Analysis**

676
677 Santa Monica College remains in compliance with annual state and federal auditing
678 requirements. Although the College has been identified as a low-risk auditee as a result of

679 multiple annual audits, the college community continues to work diligently to strengthen its
680 existing systems based on program audits, program review assessments, and changes in state
681 and federal policies, such as those that resulted from the new United States Office of
682 Management and Budget (OMB) Super Circular, which offers new guidance for federal
683 awards and replaces many of the previous circulars that guided the College’s management of
684 federal funds, including OMB Circulars A-110 and A-133. The College continues to provide
685 ongoing training to fiscal administrators, grant accountants, and program staff on this new
686 “Super Circular” so that it may update its policies and procedures for compliance with these
687 new guidelines. This proactive response will help ensure that the College’s annual audit does
688 not result in any material weaknesses or significant deficiencies in the future.

689 **Plan**

691
692 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
693 continue to monitor its progress.

694
695
696 **IIID.9 The institution has sufficient cash flow and reserves to maintain stability,
697 support strategies for appropriate risk management, and, when necessary, implement
698 contingency plans to meet financial emergencies and unforeseen occurrences.**

699
700 **Evidence of Meeting the Standard**

701
702 The Board of Trustees sets fiscal integrity as a high priority, and considers it essential to
703 ensuring that the College is achieving its Mission. The college budgets conservatively and
704 maintains, at a minimum, an ending reserve fund balance of five percent as recommended by
705 the California Community Colleges Chancellor’s Office. To accommodate the
706 unpredictability of state funding, Fiscal Services personnel provide both “expected case” and
707 “worst case” scenarios to all decision-makers both during the budget process and in
708 monitoring the budget throughout the year.

709
710 To further accommodate the cyclical nature of the economy and its fluctuations in state
711 funding, the Board of Trustees and senior staff have worked diligently to build up the reserve
712 in years when funding produces a surplus. Between 2003 and 2010, the ending balance
713 increased from less than \$2 million to more than \$20 million. However, when the 2009
714 economic recession hit, state funding was significantly reduced and resulted in the loss of
715 more than \$20 million dollars between 2011 and 2013. This reduction led to structural
716 deficits in the College’s budget until the 2013-2014 fiscal year. Nevertheless, the College’s
717 reserve allowed the College to maintain stability and the flexibility to adhere to its Mission in
718 spite of the financial uncertainties. The following table provides an overview of the
719 College’s reserve funding balance since 2010-2011:

720

721 **Santa Monica College Ending Fund Balance of Unrestricted Funds/Institutional**
 722 **Reserve**
 723 **(including dollar amount and percentage of budget)**

	2010-2011	2011-2012	2012-2013	2013-2014	2014-2015	2015-2016	Average
Adopted Reserve Balance	\$14,471,783 (10.35%)	\$17,651,673 (12.75%)	\$11,109,747 (8.00%)	\$ 8,513,953 (5.96%)	\$ 9,058,031 (5.92%)	\$21,185,368 (12.94%)	\$13,665,092 (9.42%)
Actual Reserve Balance	\$23,088,841 (17.24%)	\$15,137,372 (10.88%)	\$10,520,810 (7.59%)	\$13,971,779 (9.87%)	\$13,781,577 (9.15%)	TBD	\$15,300,075 (10.95%)

724
 725 To provide optimum short-term cash-management, the College utilizes the County Treasury
 726 pool as a source of interest when there is a cash surplus and periodically borrows funds using
 727 Tax and Revenue Anticipation Notes when funds are needed to meet operational needs.
 728 Transfer loans from other funds into the General Fund, with Board approval, can also be
 729 utilized on a short-term basis. The Board has pre-approved up to \$30 million. The College
 730 only uses Certificates of Participation for asset acquisition, not cash-flow management.

731
 732 **Risk Management**

733
 734 As explained in IID.2, the College maintains adequate insurance to cover its needs and
 735 implements support strategies for appropriate risk management. Risk management is divided
 736 into three components: property and liability, worker’s compensation, and preventative
 737 safety. Primary policies have deductibles of \$25,000 for liability and \$100,000 for property.
 738 In addition, the District maintains supplemental coverage of up to \$10 million for liability
 739 and replacement cost for property. The Protected Insurance Program for Schools provides
 740 workers’ compensation coverage, with catastrophic protection to \$155 million per occurrence
 741 and frequency protection up to \$1.5 million per occurrence in excess of a 99 percent
 742 undiscounted probability level.

743
 744 The College addresses safety concerns partially through the California Community College
 745 Risk Management Association. The College’s Office of Risk Management promotes and
 746 monitors federal, state, and/or Board mandated compliance.

747
 748 Preventative safety has become a broader concern in the wake of more frequent acts of
 749 random violence, including the on-campus shooting incident in June 2013 that resulted in the
 750 loss of life. Thus, the College has undertaken campus wide training in emergency
 751 preparedness and has also invested in first aid kits, a comprehensive communication system,
 752 and security training for identified personnel in each building. Release time for faculty on a
 753 Crisis Prevention team has also been funded. The College has also been pro-active in
 754 responding to the recent nationwide focus on crimes relating to sexual violence on college
 755 campuses.

756
 757 **Analysis**

758
 759 The College has responded to national and statewide economic uncertainties with financial
 760 solvency and academic integrity. Conservative budgeting, Board of Trustees integrity and

761 leadership, continuous improvement in fiscal planning and management, cost-cutting
 762 measures, and participatory planning and governance system that involves all of the
 763 College's constituent groups have contributed to address and solve budget problems.
 764

765 Fiscal stability will continue to present a challenging management problem for the District.
 766 Nevertheless, the College's long-term commitment to maintain a healthy reserve balance,
 767 coupled with the continuous quality improvement model that exists with respect to the
 768 *Master Plan for Education* and the reporting cycle has demonstrated that its processes can
 769 produce stable results even when recessionary conditions exist in the economic environment.
 770

771 **Plan**

772
 773 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
 774 continue to monitor its progress. However, in view of the worsening budget forecast, the
 775 College is implementing the following plan:
 776

Proposed Activities	Responsible Parties	Timeline	Anticipated Outcomes/ Benchmarks of Success
Objective: To ensure that the College's 2016-2017 Tentative Budget reflects projected budget shortfalls and minimizes the use of reserve funding.			
Conduct budget briefings with college constituent groups.	Office of Fiscal Services	Ongoing	Board of Trustees, DPAC, and the Budget Planning Subcommittee, Academic Senate, and Management Association are appraised of the budget issues as budget planning, implementation and monitoring take place.
Implement across the board budget cuts to discretionary budget line items (e.g., temporary classified and student help).	Office of Fiscal Services	February-March 2016	Departments make adjustments as necessary, completing PBAR forms when "mission critical" budget augmentations are needed.
Review PBARs and make funding decisions.	Office of Fiscal Services Senior Staff	May-June 2016	Based on current and forecasted enrollment, senior staff decides which PBARs to fund.
Tentative Budget prepared, presented to constituent groups and Board of Trustees.	Office of Fiscal Services	June-July 2016	College constituents have the opportunity to review the tentative budget.
Adjustments made to budget based on information from the State and refined as the result of continued monitoring of enrollment levels.	Office of Fiscal Services College Departments	July-August 2016	Budget refined; Final budget adopted by Board of Trustees.

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IIID.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

Santa Monica College has developed robust policies and procedures for carrying out effective oversight of its finances. Ultimate fiscal responsibility for the College rests with the Board of Trustees, which reviews and approves the institutional budget and quarterly budget reports, as well as reports on financial aid, and grant and contract agreements. All grant and externally funded programs and contractual relationships must be approved and accepted by the Board of Trustees. Creation of budgets for grants and other externally-funded projects, issuance of purchase orders, and payment to contractors and vendors are dependent upon Board approval and evidence that the College’s fiscal procedures have been followed. For example, no invoice is paid without a purchase order or contract in place, as well as certification that the goods or services have been delivered. These steps ensure appropriate oversight of finances. Additional policies and procedures may be in place depending on the type of program as described in the following paragraphs.

Management of Financial Aid: The Office of Financial Aid developed a [Financial Aid Handbook](#)⁷⁷ that outlines financial aid policies and procedures as they apply to students; the handbook is available in hardcopy and online. The Office of Financial Aid is also working on an internal operating manual that will outline the processes and practices by which the office manages these funds and ensures consistency among staff and across the various financial aid programs.

As noted previously, the College’s financial aid program is evaluated on an annual basis as part of the College’s independent audit process. This audit includes an assessment of the College’s compliance with federal Title IV regulations and requirements. The office may also be audited by the Cal Grant program, which administers the Board of Governors fee waiver program. However, the last audit by the Cal Grant Program occurred before 2005. Likewise, the U.S. Department of Education may also conduct periodic assessments of the program, as financial aid is highly regulated by the federal government; the College submits the results of its annual [Federal Single Audit](#)⁷⁸ to the U.S. Department of Education each year. During this accreditation cycle, the College has had no findings in the audit of the financial aid program. In addition, with effective oversight, the College has experienced a rapid and successful expansion of its financial aid program, as the amount of financial aid disbursements has increased from \$30,739,192 in 2010-2011 to the projected amount of \$38,781,855 in 2015-2016.

Management of Externally Funded Programs, including Grants: The College manages an average of \$6 million in local, state, and federal grant funding each year, including both private and public grants. A grant manager is identified on the grant award agreements as the primary institutional contact. This person oversees all project activities, approves grant

824 expenditures, and ensures that the sponsoring program office is aware of grant progress and
825 outcomes. The College's Grants Office produced a [Grant Management Handbook](#)⁷⁹ to assist
826 managers with this process.

827
828 Although audits of federal grants (as previously described) have not yielded any findings in
829 financial management, the grant managers take feedback is provided by program monitors to
830 improve their respective programs' fiscal and programmatic operations.

831
832 **Management of Contractual Relationships:** From time to time, the College enters into
833 contractual arrangements with other institutions of secondary and postsecondary education,
834 as well as other community-based organizations and industry partners. Depending on the
835 project, the College may be either the contractor or the subcontractor. All sub-contractual
836 agreements for which the College is partnering with another organization that is serving as
837 the fiscal agent are managed as grant awards at the project level with support from the Office
838 of Fiscal Services. Each arrangement is guided by a subcontract agreement or Memorandum
839 of Understanding (MOU) signed by both parties that outlines the responsibilities of each
840 partner in light of the project goals, objectives, outcomes, and requirements. Examples of
841 these partnerships include the following:

- 842 • A collaboration with Loyola Marymount University to develop a [Guardian Scholars](#)
843 [Program](#)⁸⁰ with funding from the Stuart Foundation;
- 844 • A partnership with Pasadena City College to oversee the West Los Angeles
845 component of the [LA HI-TECH](#) grant with funding from the California Department
846 of Education's California Career Pathways Trust.⁸¹

847
848 The College may also serve as the fiscal agent for grant awards and contracts with other
849 entities to fulfill one of more of the outcomes of the award. In these situations, the College
850 must ensure that it and its sub-contractual partners are adhering to grant award requirements
851 as defined by the funding source. For federal awards, this oversight includes a review of
852 each partner's A-133 audit and/or other audits conducted to evaluate the validity and
853 effectiveness of the organization's financial management practices and internal control
854 structure. For example, the College entered into a multi-year [collaboration](#) with the
855 University of California, Los Angeles to implement the Science and Research Initiative⁸²
856 with funding from the U.S. Department of Education, Title III, Part F, Hispanic Serving
857 Institutions STEM and Articulation Program.

858
859 **Management of Auxiliary Organizations or Foundations:** The College has three auxiliary
860 organizations and/or foundations that are working to support its Mission and strengthen
861 student learning and achievement:

- 862 • **The Santa Monica College Foundation**⁸³ leads private fundraising development for
863 Santa Monica College. The [SMC Foundation](#) is a separate, non-profit, tax-exempt
864 501(c)3 organization that solicits and accepts private, tax deductible donations for the
865 benefit of Santa Monica College, its Mission, students, faculty, and programs.
- 866 • **KCRW/KCRW Foundation** is a public radio station and a community service of the
867 College. While the station is housed on the college campus, its operations are
868 supported through fundraising and donations, which are managed by the [KCRW](#)
869 [Foundation](#).⁸⁴

- 870 • **The Madison Project (DBA The Broad Stage)** has its own [board of directors](#),⁸⁵ which
871 works to develop [resources](#) in support of the theater’s goals.⁸⁶

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As private non-profit organizations under the guidance of state and federal tax law, foundations are subject to an annual audit conducted separately from the College’s audit. Copies of these [audits](#)⁸⁷ are shared with the College through an [annual report](#) presented to the College Board of Trustees.⁸⁸

878 **Management of Institutional Investments and Assets:** The vast majority of District funds
879 are held at and invested in the Los Angeles County Treasury. To manage institutional
880 investments and assets, the District follows [Board Policy 6115](#), Investment Policy⁸⁹: “*All*
881 *funds of the Santa Monica Community College District, which are not required for the*
882 *immediate needs of the District, are invested in accordance with California Government*
883 *Code Sections 53600 through 53609. The investments of the District shall be made in*
884 *accordance with the following objectives:*

- 885 • *The investment program must consider the safety of invested funds, minimize risk and*
886 *regard the preservation of principle as of primary importance;*
887 • *The investment program must provide liquidity and remain sufficiently flexible to meet*
888 *cash flow requirements.”*

889

890 **Evaluation Results Serve as the Basis for Improvement**

891

892 The College responds quickly and thoroughly if there are findings and/or recommendations
893 for improvement. For any college functions (Financial Aid, grants, contractual agreements),
894 the Office of Fiscal Services works with the respective organizations to correct or improve
895 processes.

896

897 For auxiliary organizations, if annual audits identify financial management and oversight
898 concerns, these findings are shared with the College’s senior administration and a plan is
899 developed to address the finding and improve applicable financial management practices and
900 internal control structures.

901

902 **Analysis**

903

904 Santa Monica College has developed and implemented effective financial management
905 practices to guide its management of financial aid, grants, externally funded programs,
906 contractual relationships, auxiliary organizations and/or foundations, and institutional
907 investments and assets. This is amply demonstrated by the lack of findings from the last six
908 years of annual audits. Likewise, the audit has not identified any material weaknesses or
909 significant deficiencies. In fact, during follow-up conversations with Financial Aid staff and
910 in open session reports to the Board of Trustees, the auditors have praised the office’s fiscal
911 and regulatory compliance efforts.

912

913 The College monitors its processes for providing oversight and continually improves them.
914 Examples of these improvements include professional development and training for Fiscal
915 Services personnel to ensure that they are familiar with federal fund management

916 requirements; Fiscal Services staff working collaboratively with program staff; increased
917 documentation to support fiscal decisions and expenditures; and greater emphasis placed on
918 financial integrity and control.

919
920 In addition to these internal improvements, the College continues to work with its auxiliary
921 foundations to ensure the effective development and distribution of funds to support the
922 various missions of these organizations. Additionally, the board of directors for each of these
923 foundations includes representatives from the College's Board of Trustees and/or its senior
924 leadership which helps to establish an effective working relationship between the foundation
925 and the College.

926
927 **Plan**

928
929 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
930 continue to monitor its progress.

931
932
933 **IIID.11 The level of financial resources provides a reasonable expectation of both**
934 **short-term and long-term financial solvency. When making short-range financial**
935 **plans, the institution considers its long-range financial priorities to assure financial**
936 **stability. The institution clearly identifies, plans, and allocates resources for payment of**
937 **liabilities and future obligations.**

938
939 **Evidence of Meeting the Standard**

940
941 Santa Monica College is committed to maintaining short- and long-term financial solvency
942 and does so through effective financial planning processes and strategies that link the
943 financial decisions of the College with the College's Mission, Supporting Goals, Strategic
944 Initiatives, and Institutional Learning Outcomes, and other institutional planning and
945 decision-making processes, including those that yield the *Master Plan for Education*
946 objectives, the *Facilities Master Plan* objectives, and the *Technology Master Plan* objectives.
947 Through this alignment, short-term financial planning is considered in the context of the
948 College's long-range financial priorities, such as its five-year Strategic Priorities, the Board's
949 multi-year priority to continue to increase the number of full-time faculty and other multi-
950 year financial obligations. For example, The Board of Trustees-approved [OPEB plan](#)⁹⁰ is a
951 multi-year plan that outlines how the College will support its OPEB obligations. This plan is
952 directly incorporated into the annual budget. The College has developed similar multi-year
953 funding plans for its other long-term liabilities and obligations, such as its two [Certificates of](#)
954 [Participation](#) and its bond debts.⁹¹

955
956 When making short-term financial decisions to maintain the financial solvency of the
957 College, the District looks at the multi-year impact of these decisions. A good example of
958 this planning is the development and management of reserve funding, which occurred
959 frequently during the past ten years as the College prepared for and addressed the 2009
960 economic recession, discussed in Standards IIID.2 and IIID.9.

961

962 This same process is used to facilitate other financial planning and decision-making
963 discussions, such as those related to full-time faculty hiring. Fiscal Services supports the
964 process by developing [multi-year projections](#) as to the full cost of hiring additional full-time
965 faculty,⁹² helping institutional leaders and planning committees project the total cost of
966 moving forward with their plans.

967

968 Analysis

969

970 Through its comprehensive planning processes, which integrate institutional planning with
971 budget development and resource allocation, the College is able to ensure a sufficient level of
972 resources to maintain a reasonable expectation of both short-term and long-term financial
973 solvency. Through its planning processes, the College considers the long-term financial
974 implications of all decisions, even those that address immediate concerns, and does not move
975 forward with any short-term obligations until the long-term impact is thoroughly researched
976 and discussed.

977

978 Plan

979

980 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
981 continue to monitor its progress.

982

983

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

989

990 Evidence of Meeting the Standard

991

992 Through the participatory governance structure, Santa Monica College plans for and allocates
993 appropriate resources for the payment of its liabilities and future obligations. When
994 liabilities and obligations are mandated, the college community, with leadership from the
995 DPAC Budget Planning Subcommittee, carefully considers all funding options and makes
996 recommendations with input from the Office of Fiscal Services. The following paragraphs
997 outline specific actions and/or practices that have occurred in OPEB, compensated absences,
998 and other employee related obligations.

999

1000 **Other Post-Employment Benefits (OPEB)**

1001

1002 The District began its process of addressing GASB 45 – Retiree Medical Benefits, otherwise
1003 known as OPEB, in 2007. With input from a participatory governance task force, the Office
1004 of Fiscal Services provided multiple multi-year [funding plans](#),⁹³ including the tentative
1005 impact on the College’s budget, not only in the near future, but for many years to come.
1006 With this information, and information from the College’s [actuarial plan](#),⁹⁴ the [task force](#)
1007 [recommended](#) in 2008 that the College place \$1.4 million to an irrevocable trust and make

1008 subsequent annual contributions to the trust until the College reaches its annual required
1009 contribution.⁹⁵ The recommendation was approved by DPAC and forwarded to the
1010 Superintendent/President, who used the recommendation as the basis for his [recommendation](#)
1011 [to the Board of Trustees](#) that it be reviewed, approved, and included in future years budget
1012 planning and development.⁹⁶

1013

1014 **Compensated Absences**

1015

1016 The Office of Fiscal Services monitors its Compensated Absences liabilities and calculates
1017 the [total cost of this liability](#) on an annual basis.⁹⁷ Employees are encouraged to use their
1018 vacation time during the year in which they earn it. Permanent classified employees who
1019 work 12 months per year accrue vacation with no limitation but employees who work less
1020 than a full year receive a vacation “pay-out.” In an effort to curtail this liability, the College
1021 implemented a policy for academic administrators that they cannot have more than 30 days
1022 of vacation pending; if they do, they are unable to earn additional days.

1023

1024 **Other Employee Related Obligations**

1025

1026 The college community, with leadership from the DPAC Budget Planning Subcommittee,
1027 has developed a [plan](#) to address the [increasing costs](#) related to the STRS and PERS
1028 contribution rates.^{98, 99} The recommendation, which took into account the District’s long-
1029 term budget projections, was to set aside \$3.8 million in one-time funding from the State in a
1030 designated reserve to offset a portion of future cost increases. This [recommendation](#)¹⁰⁰ was
1031 unanimously [approved](#) by DPAC¹⁰¹ and is included in the District’s budget.

1032

1033 **Analysis**

1034

1035 The College has appropriately addressed its largest liabilities/obligations including OPEB,
1036 compensated absences, and increasing STRS and PERS obligations in a manner that
1037 addresses the long-term needs with the current budgetary condition at the College. As other
1038 long-term liabilities and obligations arise, the District will continue to include the
1039 participatory governance structure to ensure that each of the College’s constituency groups
1040 understand the full impact of their recommendations and make recommendations that include
1041 the full cost of these liabilities and obligations over time.

1042

1043 **Plan**

1044

1045 Based on an analysis of the evidence, Santa Monica College is meeting this objective and
1046 will continue to monitor its progress.

1047

1048

1049 **IIID.13 On an annual basis, the institution assesses and allocates resources for the**
1050 **repayment of any locally incurred debt instruments that can affect the financial**
1051 **condition of the institution.**

1052
1053 **Evidence of Meeting the Standard**

1054
1055 Santa Monica College has very little locally incurred debt as a result of its ability to generate
1056 voter support for its general obligation bond initiatives. However, from time to time, the
1057 College borrows funds using Tax and Revenue Anticipation Notes (**TRANS**)¹⁰² and
1058 **Certificates of Participation**.¹⁰³ In recent history, the College pursued TRANS to support
1059 ongoing operational expenses at a time when the state was unable to make cash payments to
1060 the College. These notes have since been repaid as the state was able to disburse
1061 apportionment funding. The College has pursued Certificates of Participation to fund asset
1062 acquisition, not cash flow management. The College currently has two certificates of
1063 participation, one which funded two of the College's parking structures and another which
1064 helped purchase the College's Center for Media and Design (formerly the Academy for
1065 Entertainment and Technology). The College is currently repaying these certificates through
1066 parking fees and capital outlay fees paid by non-resident students.

1067
1068 Regardless of the source of locally incurred debt, the College does not issue debt without first
1069 reviewing all potential options and developing a specific plan for repayment that identifies
1070 the source of repayment prior to the issuance of debt. This helps ensure that locally incurred
1071 debt does not have an adverse effect on the financial condition of the institution and that
1072 services to students are not affected. The Board of Trustees is very active in this process and
1073 as the final decision-making body, requires that the College present a solid repayment plan
1074 prior to granting approval, as noted by a [recent Board item](#), *Recommendation No. 6:*
1075 *Resolution of the Board of Trustees of the Santa Monica Community College District*
1076 *approving, authorizing and directing the execution and delivery of a lease with option to*
1077 *purchase, assignment of lease and other documents and certificates relating thereto and*
1078 *authorizing and directing certain actions with respect thereto*¹⁰⁴.

1079
1080 **Analysis**

1081
1082 Currently, the College's locally incurred debt has a minimal impact on the overall budget of
1083 the College. The College has identified specific revenue streams to support these costs and
1084 the revenue generated through these mechanisms is sufficient to meet the College's current
1085 obligations each year. Repayment plans are reviewed and assessed on an annual basis. In
1086 the event that the College is unable to generate the revenue necessary to pay this debt through
1087 the identified mechanisms, the College will use its reserves to support these costs rather than
1088 take funds from the operating budget.

1089
1090 **Plan**

1091
1092 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
1093 continue to monitor its progress.

1094

1095
1096 **IIID.14 All financial resources, including short- and long-term debt instruments**
1097 **(such as bonds and Certificates of Participation), auxiliary activities, fund-raising**
1098 **efforts, and grants, are used with integrity in a manner consistent with the intended**
1099 **purpose of the funding source.**

1100
1101 *Evidence of Meeting the Standard*

1102
1103 Santa Monica College’s financial oversight system, which guards against fraud and ensures
1104 fiscal responsibility, also helps to ensure that financial resources are used with integrity.
1105 Through a transparent financial planning and management process that is built around the
1106 participatory governance structure, the College utilizes all of its financial resources,
1107 including short- and long-term debt instruments, auxiliary activities, fundraising efforts, and
1108 grants, to support the College’s Mission, Supporting Goals, Strategic Initiatives, Institutional
1109 Learning Outcomes, and institutional and program objectives. Specific strategies related to
1110 each type of funding are outlined below.

1111
1112 **Short- and Long-Term Debt Instruments:** The College pursues both short- and long-term
1113 debt instruments to support its Mission and improve student learning and achievement.
1114 Short-term debt instruments include Certificates of Participation, while long-term debt
1115 instruments include General Obligation Bonds. The College prefers to pursue General
1116 Obligation Bonds rather than Certificates of Participation. General Obligation Bonds are a
1117 form of debt generally considered for asset acquisition, not cash flow management, and
1118 therefore are supported by specific institutional plans to purchase new facilities and/or
1119 renovate existing facilities. These plans are set forth in the *Facilities Master Plan* and
1120 include a description of the proposed project in relation to the Mission of the College,
1121 proposed project goals and outcomes, and the benefit for students, faculty, and programs.

1122
1123 The College currently has two Certificates of Participation, which are reviewed on an annual
1124 basis by an independent auditor as part of the College’s annual audit process. As noted, prior
1125 to the issuance of debt, the College will present for review and approval by the Board of
1126 Trustees a [comprehensive debt request proposal](#)¹⁰⁵ that identifies the purpose of the debt,
1127 how it supports the Mission of the College, and a repayment plan that identifies the revenue
1128 source for repayment. Each year, the audit assesses the degree to which the College is
1129 implementing its initial proposal and repaying its debt obligations. This [audit](#) is presented to
1130 the Board of Trustees¹⁰⁶ separately from the general audit. The College has had no findings
1131 in the audit of its debt obligations.

1132
1133 All General Obligation Bonds require the development of a [Citizens Bond Oversight](#)
1134 [Committee](#)¹⁰⁷ to ensure that taxpayer dollars (in the form of bond proceeds) are [expended](#)
1135 for the [purposes](#) set forth in the ballot measure. The College also conducts two annual audits of
1136 these bonds, including a Prop 39 Financial Audit and a Prop 39 Performance Audit.¹⁰⁸ These
1137 [audits](#) are presented to the Board of Trustees¹⁰⁹ and the Citizens Bond Oversight Committee
1138 and posted on the College’s website.¹¹⁰ The College has had no findings in the audit of its
1139 bonds.

1140

1141 **Auxiliary Activities**

1142

1143 As discussed in Standard IIID.10, Santa Monica College's auxiliary activities and fundraising
1144 initiatives include three separate foundations that develop private resources to support one or
1145 more areas of the College's Mission: The Santa Monica College Foundation, the KCRW
1146 Foundation, and the Madison Project (DBA The Broad Stage). Although they operate
1147 independently of the College, they also function in support of the Mission of the College, and
1148 California Education Code applies and mandates that the Superintendent/President of Santa
1149 Monica College or his/her designee must monitor the use of foundation funds and assess the
1150 degree to which the foundation is achieving the purposes for which it was established. This
1151 is accomplished in several distinct ways:

- 1152 • The executive director/lead administrator for each entity is a college employee who
1153 reports to the Senior Director for Governmental Relations. Through [annual](#)
1154 [presentations](#) to the Board of Trustees,¹¹¹ the Superintendent/President and the Board
1155 of Trustees remain informed of the activities and fiscal status of each foundation.
- 1156 • The Superintendent/President or designee and/or one or more members of the
1157 College's Board of Trustees sit on the boards of each foundation to ensure that
1158 foundation resources are used in a manner consistent with their intended purposes.
- 1159 • Each of these foundations also conducts its own [independent audit](#),¹¹² which is
1160 presented to their respective boards and shared with the College's administration.

1161

1162 **Grant Development and Management**

1163

1164 It is the responsibility of the Grants Office, the grant manager (and supervisor), and the grant
1165 accountant to ensure that grant funds are used with integrity and in a manner consistent with
1166 their intended purposes. Prior to submission, the Grants Office reviews all grant applications
1167 and [checks for adherence](#) to institutional policies and financial practices, alignment with the
1168 College's Mission, and capacity of the College's infrastructure to support grant activities,
1169 particularly with regard to facility space and technological resources.¹¹³

1170

1171 All grant programs are required to submit an [annual performance report](#)¹¹⁴ that outlines their
1172 progress in meeting program objectives on time and within budget. These reports serve as
1173 the culmination of the process and document that program funds were used with integrity.

1174

1175 The College's grant-funded programs are also included in the annual audit process. The
1176 College has had no findings in the audits of its grant-funded programs.

1177

1178 **Analysis**

1179

1180 The College carefully monitors the use of all resources generated to support its Mission, to
1181 ensure that they are used with integrity and in a manner consistent with their intended
1182 purposes. In addition to an annual audit, many of these programs are also evaluated in other
1183 ways, including performance-based audits that ensure funds are used in the manner they were
1184 intended. An example is the [Prop 39 Performance Audit](#) of the College's long term
1185 debt/general obligation bonds.¹¹⁵

1186

1187 The continued success of the College in securing voter-approved General Obligation Bonds
1188 is a testament to the community's support for the College and their approval of how
1189 previously funded bond measures were implemented and used. The College is preparing to
1190 pursue a new bond initiative in the coming year to support ongoing capital improvement,
1191 including space to expand the College's Science, Technology, Engineering, and Math
1192 (STEM) programs.

1193

1194 **Plan**

1195

1196 Based on an analysis of the evidence, Santa Monica College is meeting this standard and will
1197 continue to monitor its progress.

1198

1199

1200 **IIID.15 The institution monitors and manages student loan default rates, revenue**
1201 **streams, and assets to ensure compliance with federal requirements, including Title IV**
1202 **of the Higher Education Act, and comes into compliance when the federal government**
1203 **identifies deficiencies.**

1204

1205 **Evidence of Meeting the Standard**

1206

1207 Santa Monica College's Financial Aid Office is responsible for monitoring and managing the
1208 College's financial aid programs, including all federal funding received in support of student
1209 financial aid. This office works with the Office of Fiscal Services to ensure compliance with
1210 federal requirements, including Title IV of the Higher Education Act. The following
1211 paragraphs provide additional detail regarding each area of compliance.

1212

1213 **Monitoring of Student Loan Default Rates:** The Financial Aid Office monitors the
1214 College's student loan default rate to ensure compliance with the maximum sanction
1215 threshold set by the federal government, currently set at 30 percent based on a three-year
1216 monitoring timeframe. The College's average [annual rate](#) for the past three years of 12.8
1217 percent is significantly less than the federal sanction threshold and the rate in 2012 (10.5
1218 percent) was one of the best for community colleges in Southern California.¹¹⁶

1219

1220 The Financial Aid Office strives to maintain a low default rate by working proactively with
1221 students to educate them about their student loan obligations and loan deferment,
1222 forbearance, and consolidation options. The Office of Financial Aid also provides
1223 individualized financial aid counseling to each student interested in assuming loan debt to
1224 pay for their education.

1225

1226 **Monitoring of Other Federal Financial Aid Revenue Streams:** In addition to receiving
1227 federal funding to disburse through direct student loans, the College also receives federal
1228 funding to award grant aid, including Pell, SEOG, and federal work study. The Financial
1229 Aid Office monitors and tracks the enrollment status of all students who receive Pell and
1230 SEOG grants.

1231

1232 Federal work study is also administered and managed by the Financial Aid Office. Office
1233 staff monitor federal work study spending throughout the year and move SEOG funding as
1234 necessary to cover overages. This is allowable under federal regulations which allow the
1235 College to transfer funding from one campus-based aid program to another.

1236

1237 **Compliance with Federal Requirements**

1238

1239 The College's management of federal financial aid is [audited](#)¹¹⁷ each year as part of the
1240 College's [independent audit](#). The Financial Aid Office conducts an annual internal
1241 assessment of its effectiveness through the College's [program review](#) process.¹¹⁸

1242

1243 **Analysis**

1244

1245 The College disburses approximately \$50 million in federal financial aid each year. The
1246 diligence with which the College adheres to Title IV of the Higher Education Act is best
1247 demonstrated through annual audits that have identified any material weaknesses or
1248 significant deficiencies.

1249

1250 **Plan**

1251

1252 Based on an analysis of the evidence, Santa Monica College is meeting the standard and will
1253 continue to monitor its progress.

1254

1255

1256 **IIID.16 Contractual agreements with external entities are consistent with the mission
1257 and goals of the institution, governed by institutional policies, and contain appropriate
1258 provisions to maintain the integrity of the institution and the quality of its programs,
1259 services, and operations.**

1260

1261 **Evidence of Meeting the Standard**

1262

1263 Santa Monica College's contractual agreements with external entities, including construction
1264 contracts, consultant contracts/professional services agreements, service contracts, lease
1265 purchase agreements, and grant contracts, are consistent with the College's Mission, goals,
1266 initiatives, and objectives. The College has clearly delineated policies and procedures to
1267 monitor the development and implementation of these contracts and maintain the integrity of
1268 the institution and the quality of its programs, services, and operations. These policies
1269 integrate California Education Code regarding the management of contractual agreements as
1270 appropriate and relevant:

1271

1272

1273

1274

- [Board Policy 6250](#), Contracts for Materials and Services¹¹⁹
- [Board Policy 6255](#), Delegation to Enter Into and Amend Contracts¹²⁰
- [Board Policy 2115](#), Institutional Accountability¹²¹

1275

1276

1277

These board policies outline the College's bidding policies, expenditure limits, lines of authority, signatory responsibilities, and other institutional practices. In addition, Business Services has established operating procedures that further delineate board policy and guide

1278 the management of the College's contractual agreements. Highlights of these procedures
1279 include the following:

- 1280 • All proposed contracts, including sub-award/sub-contractual agreements entered into
1281 by the College as a result of grant awards, are reviewed and approved by the vice
1282 president of the division in which the project is housed prior to submission to the
1283 Purchasing Department.
- 1284 • The College has identified [key positions](#) that have the authority to approve the
1285 College's participation in contracts, grant awards, and purchase agreements and bind
1286 the College to contractual obligations;¹²²
- 1287 • All of the College's contracting entities must also abide by the [conflict of interest](#)
1288 [policy](#);¹²³
- 1289 • The Board of Trustees approves all contracts in open forum; and
- 1290 • Accounts Payable will not process and pay a contractual invoice without an approved
1291 purchase order generated by the Purchasing Office.

1292
1293 **Analysis**

1294
1295 The College's purchasing processes are governed by board policy and further delineated by
1296 operating procedures and practices that incorporate California Education Code, as well as
1297 federal regulation. All proposed contracts are reviewed and prepared by the Purchasing
1298 Office only after the division vice president has had a chance to review the request in light of
1299 the College's Mission and goals. This helps to ensure consistency across contracts and
1300 maintain the integrity of the institution and the quality of its programs, services, and
1301 operations.

1302
1303 **Plan**

1304
1305 Based on analysis of the evidence, Santa Monica College is meeting this standard and will
1306 continue to monitor its progress.

1307

1308
1309

LIST OF EVIDENCE USED IN STANDARD IID

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