
STANDARD III: RESOURCES

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

IIIA. Human Resources

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

IIIA.1 *The institution assures the integrity and quality of its programs and services by employing personnel who are qualified by appropriate education, training, and experience to provide and support these programs and services.*

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

Description–IIIA.1(a)

The District employs individuals in several employment categories. Each category has unique rules and regulations governing their selection and employment. Faculty positions, both full-time and part-time, include individuals assigned to classroom and non-classroom assignments (e.g., as librarians and counselors). Classified positions include all staff positions. In addition, the District employs academic administrators and classified managers.

The criteria and minimum qualifications for all academic positions, including faculty and academic administrators, are set forth in Title 5, Sections 87400, 87405 (a, b, c), and 87406 of the California Code of Regulation and, for faculty, the List of Disciplines established by the Board of Governors upon recommendations from the Academic Senate for

California Community Colleges. In addition, the District's Administrative Regulation 3211 specifies the criteria and qualifications for academic positions. Santa Monica College has an equivalency process with guidelines that are used by selection committees and departments to determine whether a candidate for a faculty position has qualifications equivalent to the statewide minimum qualifications for that discipline. This process recognizes that faculty may obtain the necessary expertise to teach, counsel, or perform library service in a variety of ways.

The Academic Senate Joint Curriculum Committee approves the disciplines appropriate for each course, based upon departmental recommendations. Faculty members teaching a specific course must meet minimum qualifications or the equivalent for the approved disciplines. The names, degrees held, and degree-granting institutions of faculty and academic administrators are listed in the College's catalog. Faculty must hold appropriate degrees from U.S. institutions holding accreditation from recognized accrediting authorities or degrees from non-U.S. institutions certified as equivalent to degrees granted by accredited U.S. institutions.

The Santa Monica College Personnel Commission is responsible for determining the qualifications for all classified positions, including classified management positions. All job descriptions and job announcements delineate minimum qualifications for the particular position.

The recruitment and selection process for full-time faculty is set forth in Administrative Regulation 3211. Each year, during the fall semester, the California Community Colleges Chancellor's Office informs the District of the number of additional full-time faculty the District must hire to comply with its AB 1725 Full-Time Faculty Obligation. Discussion regarding full-time faculty needs originates in the academic departments. The academic departments then submit their requests for new faculty to the Collegewide Coordinating Council, a group consisting of administrators, faculty, classified representatives, and students. This body ranks the positions based upon criteria including, but not limited to, departmental and discipline needs, ratios of part-time to full-time faculty, and institutional objectives, and submits its recommendation to the Superintendent/President. The Superintendent/President approves or modifies the list, communicates her decision to the Collegewide Coordinating Council, and makes a recommendation to the Board of Trustees.

Job descriptions for new faculty positions are developed by department chairs for approval by the Vice President, Academic Affairs before they are forwarded to Human Resources for review. Human Resources is responsible for advertising all faculty vacancies and maintaining the recruitment file and application materials for each position. A screening committee is formed for each faculty position being recruited. The committee is composed of four to six faculty members selected from the academic department to which the faculty position will be assigned, two academic administrators, and a faculty member or administrator assigned by Human Resources to serve as the non-voting Equal Employment Representative. The screening committee, chaired by the appropriate department chair or designee, reviews all applications, determines which applicants will be interviewed, conducts interviews of selected applicants, and forwards to the Superinten-

dent/President the names of three candidates to be invited for a final interview. The final interview is conducted by the Superintendent/President in conjunction with the vice president from the area in which the position is to be assigned and a representative from Human Resources. The Superintendent/President then recommends the selected candidate to the Board of Trustees.

The Administrative Regulation concerning the hiring of part-time faculty (Administrative Regulation 3230) is not consistently adhered to, due largely to the cumbersome nature of the process and the frequent need to hire part-time faculty quickly. The need for part-time faculty is determined primarily by the number of course sections offered in a particular academic term. Since this varies from term to term, Human Resources accepts applications for part-time faculty positions on a continuous basis. All applications received are forwarded to the appropriate department chair. The department chairs have wide latitude in recommending individuals to be selected for a part-time faculty assignment. Once a department chair selects an applicant for a position and forwards the name to the appropriate vice president for approval (e.g., Vice President of Student Services for counselors, Vice President of Academic Affairs for instructors and librarians), Human Resources verifies the applicant's qualifications and proffers an offer of employment to the applicant.

Personnel Commission Merit Rules and Administrative Regulation 3310 govern the hiring of classified staff and managers. The recruitment and selection of all classified positions, including limited-term assignments, is the responsibility of the Personnel Commission. Once the District determines that a vacancy exists, a request to fill the position is submitted via the Human Resources electronic employment request system. The request flows through Human Resources and then to the Personnel Commission Office. Only after Personnel Commission staff conduct an audit to ensure that the duties to be performed fit within the requested position classification is the position advertised. If there is not a current eligibility list for the particular classification, Personnel Commission staff establish a testing process to determine an applicant's eligibility for employment. Only applicants on an eligibility list approved by the Personnel Commission may be employed. The final selection of a candidate from an approved eligibility list is coordinated by Human Resources. Eligible candidates are interviewed by a committee composed of administrators/managers and/or faculty members and an Equal Employment Representative. Other staff may be included on the committee at the discretion of the hiring manager.

The selection process for academic administrators is set forth in Administrative Regulation 3410. Once the Superintendent/President approves an academic administrative position, a job description is developed by Human Resources in conjunction with the vice president responsible for the area to which the position is to be assigned. Human Resources advertises the position and is responsible for overseeing the selection process. Screening committees for academic administrator positions consist of at least two administrators, two faculty representatives appointed by the Academic Senate President, and a non-voting Equal Employment Representative. The screening committee forwards names of final candidates to the Superintendent/President, who is joined by a vice president and

an administrator from Human Resources for the final interview. The Superintendent/President then recommends the selected candidate to the Board of Trustees.

Evaluation—IIIA.1(a)

The process for the selection of full-time faculty has worked effectively, resulting in the selection of highly qualified faculty members. However, some controversy has surfaced regarding the size and composition of hiring committees. In academic departments with multiple academic disciplines, issues have arisen concerning which faculty may serve on a screening committee. Discussions have centered around whether departmental faculty who are not from the specific discipline for which a position is being recruited should be permitted to serve on the screening committee. In response, the Academic Senate Joint Personnel Policies Committee revised the administrative regulation dealing with faculty hiring. (See Administrative Regulation 3211.1.) The new hiring regulation was adopted during the 2002-03 academic year.

On occasion, during the final interview process for full-time faculty, the Superintendent/President has, in consultation with the Academic Senate President, department chair, and appropriate vice president, recommended hiring more than one person for a full-time faculty assignment within a particular discipline. It has been expressed by some members of the Collegewide Coordinating Council that the effect of such decisions has been to provide additional faculty to departments that ranked high on the list of recommended positions while not ever reaching the lower-ranked positions. When approved faculty positions remain unfilled due to an insufficient pool or other reason, those positions receive a “roll-over” priority for hiring the next year.

It should be noted that the job descriptions for specific faculty positions primarily serve as a recruitment/selection tool. The duties of a faculty assignment are set forth, in a generic fashion, in Administrative Regulation 3211.2 and in Article 6 of the faculty collective bargaining agreement.

The process for the selection of part-time faculty is not uniformly followed throughout the various academic departments. Although the College has been efficient in hiring the required number of part-time faculty, the administrative regulation governing part-time faculty hiring needs to be reviewed and updated to remove barriers and restrictions that impede adherence to the selection process.

Historically, the process for the recruitment and selection of classified employees has been slow and cumbersome. However, approximately two years ago, staff from Human Resources and the Personnel Commission met, with the assistance of a facilitator, to review the recruitment and selection process. This led to the elimination of unnecessary duplication of work and the development of an online employment request process. Unfortunately, the current hiring freeze has made it difficult to evaluate the efficacy of the new process.

A consultant was hired to conduct a comprehensive campus-wide study of all classified employee job descriptions and job tasks. This study, referred to as the Hay Study, was designed to review and revise, if appropriate, all classified job descriptions, to eventually ensure that all positions are accurately classified in relation to other positions and in terms of actual job duties and salary. All classified employees completed surveys for the collection of data, and Personnel Commission staff are preparing job descriptions based upon the consultant's analysis.

Administrative duties and/or the need for new administrative positions is determined by the Superintendent/President in consultation the vice presidents. Faculty and staff leaders continue to question both the number of administrators and the allocation of administrative responsibilities. They have indicated a desire to provide input before decisions to fill administrative positions are made.

Plan–IIIA.1(a)

- ◆ The Academic Senate Joint Personnel Policies Committee will review and revise the administrative regulation addressing the selection of part-time faculty.
- ◆ The Personnel Commission will complete the Hay Study, and the College will implement the resulting recommendations when and where possible.

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

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

Description–IIIA.1(b) and IIIA.1(c)

The evaluation process for full-time and part-time faculty is set forth Article 7 of the faculty collective bargaining agreement and in Administrative Regulation 3212. Non-tenured (probationary) faculty evaluation follows a four-year process. (See Administrative Regulation 3212.1.) In the first and second years, the faculty member is evaluated by a committee consisting of an administrator, the department chair, a faculty peer from within the department, and a faculty peer from a different department. Human Resources maintains an evaluation file that contains materials used by the committee to make its decisions and recommendations. The file includes: observation reports, reports of conferences and other professional development activities, student evaluations, course syllabi, and a self-evaluation. The evaluation is a clearly outlined fifteen-week process of meet-

ing with, observing, and evaluating the new faculty member. In the third and fourth years, an evaluation panel - or at the request of the evaluatee, the department chair - evaluates the probationary faculty member. Once tenured, faculty continue to be evaluated every three years by the department chair or a panel. (See Administrative Regulation 3212.2.)

Part-time faculty are evaluated at least once during every four semesters of employment. An evaluation schedule is kept by Human Resources, and a list of which faculty are to be evaluated is sent to department chairs each semester. Each part-time faculty member is evaluated by the department chair or by a full-time member of the department designated by the chair. (See Administrative Regulation 3231.)

Student evaluations are to be included in the faculty evaluation process as well, per Administrative regulation 3212. However, for practical purposes, the timing of the gathering and compilation of student evaluations is often too late in the semester, thereby precluding inclusion in the evaluations for a given year.

Although there is no specific mention of student learning outcomes on the faculty evaluation forms, consideration of whether the faculty member being evaluated is teaching according to the objectives stated on the course outline of record is common. Ongoing discussions of student learning outcomes take place within departments, on college committees, and among various departments regarding student retention patterns, literacy skills, computer literacy, grading patterns, composition norming, efficacy of placement testing, textbook evaluations, and curriculum. Thus, although student learning outcomes are analyzed both informally and formally throughout the College, there is no documented connection between the evaluation process and assessment of student learning outcomes.

The evaluation process for all regular classified positions is set forth in Article 4 of the collective bargaining agreement. All probationary classified employees are evaluated at least three times during the probationary period. All permanent classified employees are evaluated on an annual basis.

A process for the evaluation of academic administrators was instituted by the Superintendent/President in 1996. Although originally designed for the evaluation of vice presidents, its use has been extended to include all academic administrators. The process consists of a self-evaluation and a final evaluation by the supervising administrator. The Superintendent/President is responsible for the evaluation of vice presidents.

A proposed new process for the evaluation of classified managers is under discussion by the Academic Senate Joint Personnel Policies Committee. Currently, classified managers are not evaluated consistently. Evaluators oversee managers who fall into diverse categories (e.g., associate vice presidents, supervisors, managers, etc.) and therefore have used a variety of evaluation instruments.

Evaluation—IIIA.1(b) and IIIA.1(c)

The evaluation process for probationary and tenured faculty is flawed in that pertinent information is often incomplete or not available in a timely manner, and there are problems in compliance with the process. Evaluations are often based on a single classroom observation, and greater attention needs to be paid to established timelines. The Office of Academic Affairs sends information on individual faculty grading patterns and success and retention rates, based upon The Instructional Management System (TIMS) reports, to department chairs each semester. This information is intended to aid in providing feedback to faculty, but is not routinely shared with evaluation committees.

Although there is no mention of student learning outcomes in the formal evaluation of individual faculty, attention is paid to learning outcomes generally across the campus. Both the Academic Senate Joint Curriculum Committee and the Academic Senate Joint Program Review Committee are discussing ways to incorporate the evaluation of student learning outcomes into their processes.

According to Article 6 of the collective bargaining agreement, part-time faculty may qualify for associate faculty status. This provides certain reemployment rights if, after five consecutive semesters of employment at a prescribed assignment level, they maintain satisfactory evaluations. It has become more important than ever for department chairs to complete timely evaluations, as non-compliance has resulted in part-time faculty members not obtaining associate faculty status.

Another issue has been the incongruence between the timetable for administering and processing student evaluations and the timetable for completing peer evaluations, especially for part-time and probationary full-time faculty. Results of student evaluations of faculty are generally not distributed in time for the evaluator(s) to effectively use the results. A review of the various evaluation timetables is needed to ensure that sufficient time is allotted for the administration and processing of student evaluations so that the results may be appropriately considered in peer evaluations.

In most academic departments, part-time faculty are observed and evaluated by full-time faculty members assigned by the department chair. However, there is no training of faculty evaluators and, as a result, consistency in how evaluators rate part-time faculty has become a concern. With the drastic reduction in the number of course sections during the 2003-2004 academic year, department chairs have had to make difficult decisions about which part-time faculty to recommend for rehiring. The peer evaluation process could be improved through comprehensive training of participants in appropriate evaluation techniques and required procedures.

Although department chairs are evaluated under the faculty evaluation process as faculty, there is currently no formalized process for evaluating their performance specifically in the role of department chair. Department chair elections are staggered on a four-year cycle. Whether or not a department chair is re-elected could be viewed as an informal

evaluation, but that process provides no specific feedback for improving job performance.

Classified employees are evaluated by means of an evaluation form completed by the employee's immediate supervisor. While the evaluation form does provide for the establishment of mutually agreed upon objectives, the evaluation is primarily based on a ranking of specific areas on a scale from 1 to 5. Although the evaluation form provides some guidance for rating, it is a generic, "one-size-fits-all" form that does not adequately address the wide variety of classified jobs and duties within the College. Additionally, the ranking is subjective and varies among managers. However, the evaluation form is subject to collective bargaining, and only minor changes have been agreed to in negotiations.

The evaluation of all personnel is important in ensuring a responsive and qualified workforce. Faculty and classified staff who work closely with administrators and managers would like to play a more active role in the evaluation of academic administrators, most of whom are amenable to this. A proposal advanced in 2003 by the Academic Senate for administrative evaluations was not accepted by the Superintendent/President. (See Standard IVA). However, proposed Administrative Regulation 3414.3 provides for any faculty or staff member to submit written comments to the supervisor for consideration in the evaluation of an administrator.

Plan–IIIA.1(b) and IIIA.1(c)

- ◆ Human Resources will conduct workshops to train faculty and administrators in evaluation techniques and procedures.
- ◆ Human Resources will collaborate with Management Information Systems to ensure that the administration of student evaluations and the compilation and distribution of the resulting data correspond appropriately to the timetables for peer evaluations.
- ◆ The District and the collective bargaining units will review and consider modification of the current evaluation forms for classified employees and faculty to incorporate more focused evaluation criteria, including achievement of student learning outcomes.
- ◆ Human Resources will address the issues of inconsistency in the evaluation of classified managers.
- ◆ The Academic Senate Joint Personnel Policies Committee will develop an evaluation process for department chairs.

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

Description—IIIA.1(d)

The College does not have a single code of ethics applicable to all college constituents. The Academic Senate recently adopted a revised code of ethics for faculty. (<http://www.academicssenate.com/ethics/EthicsStatement0302.htm>) The Associated Students paid to have the code copied and posted in all classrooms. Administrators and Managers also recently adopted a code of ethics based on the faculty code, and it is posted on the Management Association's website (http://www.smc.edu/managment_association_ethics_code/statement%20of%20professional%20ethics.htm). The classified employees bargaining unit maintains that a code of ethics for its membership must be a negotiated item and, to date, has not developed a code for classified employees. Currently, there is no Board policy or administrative regulation regarding breaches in the codes of ethics, although the Professional Ethics Committee of the Academic Senate is discussing appropriate steps to take when there is a breach. Some academic department chairs provide new faculty with orientation packets that include the faculty code of ethics, but this has not yet become a standard practice.

Board Policy 3122 deals with sexual harassment, and an administrative regulation to support the policy is in the approval process. Complaints of sexual harassment by employees or students are investigated through the Office of Human Resources. The College does not have either a Board policy or administrative regulation addressing issues of copyright, although the issue is under discussion in the Academic Senate, and an *ad hoc* management committee has developed materials to inform the College's discussion. The Academic Senate has approved a Computer and Network Use policy developed by the Academic Senate Joint Information Services Committee, but the policy has not yet received the approval of the Faculty Association and CSEA.

Evaluation—IIIA.1(d)

The code of ethics statements adopted by the faculty and administrators/managers provide for a comprehensive statement of their respective ethical responsibilities. Both the Academic Senate and Faculty Association are discussing what should be done when there is a breach of ethics by a faculty member. In addition, there are debates about whether the statements should be part of administrative regulations and whether they should be included in the formal evaluation of faculty and staff.

The Academic Senate is also grappling with copyright issues, and the Academic Senate Joint Personnel Policies Committee is working to develop an administrative regulation to support the Board policy on sexual harassment. There is concern that the classified employee bargaining unit has not yet joined the other campus constituent groups in developing a code of ethics for classified employees. In addition, the proposed Computer and Network Use policy is a particularly volatile issue for CSEA.

Plan–IIIA.1(d)

- ◆ Classified employee organizations will develop a code of ethics for classified employees.
- ◆ The District will work with the collective bargaining units to approve and implement a Computer and Network Use Policy.

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

Description–IIIA.2

In Fall 2003, the District employed 319 full-time faculty members. See details on the College Policy and Planning website. (<http://www.smc.edu/policies/pdf/Acad%20Per%20Fall%2003.pdf>)

A hiring freeze and the abolishment of some positions during the 2003-2004 academic year have reduced the numbers of administrators and classified employees.

Evaluation–IIIA.2

Up until the 2001-02 academic year, the District met or exceeded its full-time faculty hiring obligation. However, as a result of ongoing budget constraints, the District received a deferral of its new full-time faculty hiring obligations for the 2002-03 and 2003-04 academic years. The District will be required to hire approximately 18 full-time faculty to maintain its base obligation for the 2004-05 academic year, unless a decision is made to take advantage of the revision to Title 5 approved in September 2003 by the Board of Governors. This change allows districts to defer and spread over a three-year period penalties for not meeting full-time faculty hiring obligations. The College will soon need to choose to absorb the cost of hiring full-time faculty to maintain its base obligation, take advantage of the regulatory change to defer the penalty and spread its payment over three future years, or some combination of the two.

The reduction of staff due to layoffs, attrition, and a hiring freeze over the past two years has negatively impacted the ability of many areas of the College to provide adequate and timely services. These include, but are not limited to: Human Resources, Business Services, the Library and Learning Resources, Financial Aid, College Police, Custodial Services, Grounds and Facilities, Information Technology, Counseling, and Enrollment Services. Another consequence of reduced staffing is that fewer classified staff participate in committees such as Professional Development and Program Review, as employees and managers are reluctant to have their work areas inadequately covered during meeting times.

Plan–IIIA.2

- ◆ The Collegewide Coordinating Council will develop recommendations for addressing support staff needs as the College prepares for re-growth.
- ◆ The Collegewide Coordinating Council and the Budget Committee will develop scenarios and recommendations for the Superintendent/President to provide options for meeting or deferring the Fall 2004 AB 1725 Full-Time Obligation.

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

IIIA.3(a) *The institution establishes and adheres to written policies ensuring fairness in all employment procedures.*

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

Description–IIIA.3(a) and IIIA.3(b)

Personnel policies and procedures are set forth in Board policies, administrative regulations, collective bargaining agreements, and the Personnel Commission Merit Rules. The Academic Senate Joint Personnel Policies Committee routinely reviews and updates administrative regulations dealing with academic personnel. The Personnel Commission reviews the Merit Rules for classified personnel. Procedures concerning discrimination, sexual harassment, and equal employment opportunity exist as administrative regulations. (See Administrative Regulations 3120 and 3121.)

Human Resources maintains the official personnel file for each employee. Personnel files are maintained in a room within the Human Resources office and are secured by a door that is locked at the close of business each day. Only authorized personnel in Human Resources are permitted access to the personnel files. Confidential information, such as medical information, is maintained separately. All employees are provided the right to access their personnel files.

Evaluation–IIIA.3(a) and IIIA.3(b)

The College has done a creditable job of developing and adhering to personnel policies and procedures and of ensuring they are administered equitably and fairly. However, there is room for improvement.

The Academic Senate Joint Personnel Policies Committee serves as a resource for the development of personnel-related administrative regulations. Unfortunately, it often takes

the committee an excessive amount of time to complete the development of new administrative regulations. Faculty members of the committee believe that this has been exacerbated by the irregular attendance at meetings by administrative committee members, since administrative participation in the development of proposed regulations is critical to ensuring that there is buy-in at all levels before proposals are forwarded.

Until recently, Administrative Regulations were only available in printed copy and not widely distributed. Some regulations regarding faculty evaluation are available on the Faculty Association's website. The District is currently working on posting all Administrative Regulations on the College Policy and Planning section of its website. This process has taken longer than originally anticipated because the revisions are in different stages of participatory governance processes, and the administrative regulation update process also includes renumbering and reorganization. The Academic Senate and the administration recently agreed upon a more effective communication process to track the status of those revisions requiring Academic Senate approval.

Although security concerns have generally not been an issue for the College, electronic transmission of documents has resulted in increased security risks, as evidenced by a recent isolated incident involving the accidental inclusion of the social security numbers of faculty requesting the 12-month salary payment plan in an e-mail message to all faculty members. The Postmaster quickly intervened and expunged the message from the system, but not before some employees had printed the list.

Plan—IIIA.3(a) and IIIA.3(b)

- ◆ Human Resources will ensure administrative regulations pertaining to personnel are posted on the District's website and that printed copies are distributed to each college department.
- ◆ Human Resources will develop strategies and procedures to mitigate the increased security risks created through electronic transmission of documents.
- ◆ The Superintendent/President will investigate the circumstances surrounding the irregular participation of administrators on the Academic Senate Joint Personnel Policies Committee and address the issue.

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

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

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

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

Description—IIIA.4(a), IIIA.4(b) and IIIA.4(c)

The District is committed to employing and maintaining a diverse workforce and has increased the representation of traditionally underrepresented groups. The Office of Institutional Research produces a report every year to assess the diversity of the workforce. (<http://www.smc.edu/research/EEO%20Fall%202003.doc>)

In September 2001, the Court of Appeals, in a case entitled *Connerly v. State Personnel Board*, issued a decision effectively bringing to an end the affirmative action requirements set forth in the Education Code and Title 5 Regulations. This court decision severely curtailed the District's ability to utilize progressive strategies to ensure the employment of a diverse work force. Administrative regulations dealing with Equal Employment Opportunity have been revised to comply with the Court's decision and newly adopted Title 5 regulations. (See Administrative Regulation 3120.)

Until the recent reduction in administrative positions, the District employed an Assistant Dean, Equal Opportunity and Diversity, responsible for handling Title IX complaints, training equal opportunity representatives to serve on hiring committees, and conducting compliance training on such issues as sexual harassment. These duties have been reassigned, primarily to the Assistant Dean, Human Resources.

Student diversity is discussed under Standard IIA.

Evaluation—IIIA.4(a), IIIA.4(b) and IIIA.4(c)

The College has demonstrated a commitment to addressing issues of equity and diversity, both through its hiring practices and in the programs and support offered to all staff and students. Due to severely limited hiring in the past two years, any changes in the diversity of staff and faculty have been primarily the result of retirements and other separations. However, the College remains committed to maintaining a diverse staff, reflective of the general population.

The College has developed policies and procedures to ensure equitable treatment of all staff and students. All complaints, grievances, and lawsuits related to discrimination, harassment, and other personnel issues are taken seriously and investigated. Depending upon the type of complaint, either Human Resources staff or external legal consultants conduct these investigations.

Plan—IIIA.4(a), IIIA.4(b) and IIIA.4(c)

None

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

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

Description—IIIA.5(a)

The College provides opportunities for professional development in a number of different ways. The academic calendar includes designated days set aside for institutional and departmental flex activities which, combined with required individual flex time devoted to professional development activities, provide a total of nine days in an academic year for ongoing professional development for faculty. The District formerly provided a separate training day for classified employees, but this training has now been merged into the Institutional Flex Day.

A primary source for planning and supporting professional development is the Academic Senate Joint Professional Development Committee, made up of faculty, classified staff, and administrators. This committee oversees the distribution of state funds made available to the District for the purpose of professional development. These funds are used to support employee attendance at professional conferences and the institutional flex activities. Institutional Flex Day, scheduled during spring semester, offers professional development opportunities for all employees by means of a variety of workshops, presentations, and activities presented throughout the day. The Academic Senate Joint Professional Development Committee is also responsible for planning the afternoon activities for the College's Opening Day at the beginning of each fall semester.

The current faculty contract provides for eight one-semester sabbaticals to be used for professional development and, at the discretion of the Vice President of Academic Affairs, up to five fellowships for development of special projects. These sabbaticals and fellowships, though limited in number, provide opportunities for in-depth faculty professional development.

In addition to activities funded through state professional development funds, the Academic Senate Joint Professional Development Committee and various departments offer periodic training in areas such as how to deal with angry students, effective teaching, and technology training. The College also subscribes to 4faculty.org, an online professional development network of resources designed for community college faculty. (<http://4faculty.org/index.jsp>) Specific training for faculty developing online courses is provided through the Office of Distance Education.

Until the recent staff reductions, the College maintained a technology training program that offered a variety of professional development training opportunities to all faculty and staff. This program was supported primarily through Chancellor's Office Telecommunications and Technology Infrastructure Program (TTIP) funds, which have been severely

reduced. The recent elimination of staff positions has resulted in suspension of the training program. (See Standard IIC for further discussion.)

On occasion, to maximize resources, the College has brought specialized training to the campus in order to make the training available to a larger audience. These opportunities have been particularly appreciated in areas where many staff can take advantage of the training or when staff could not afford to supplement Professional Development Committee financial support to attend off-site training.

Evaluation—IIIA.5(a)

The College has provided professional development opportunities in a number of formats and venues, supported primarily through state funds designated for these activities. Although the College is clearly committed to professional development, many of these activities have recently been curtailed or eliminated due to funding reductions, with the exception of sabbaticals, which are part of faculty contractual obligations. Faculty fellowships were funded in 2001-2002, but not in 2002-2003.

The Academic Senate Joint Professional Development Committee has been a major force in developing and supporting the professional development needs of the District's employees. For the past two years, the State has provided no professional development funds, but the committee has judiciously used funds carried over from prior years to provide limited funding for individual conference attendance and to support the Institutional Flex Day.

Although the Professional Development Committee includes classified staff representation, no classified representatives have served in the last year—a matter of concern to the committee. Despite this lack of participation, the committee works hard to target the needs of all groups on campus.

Plan—IIIA.5(a)

- ◆ Classified organizations will address issues of representation on the Academic Senate Joint Professional Development Committee.
- ◆ The College will address staff technology training needs more comprehensively when the budget improves.

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

Description—IIIA.5(b)

The College systematically includes evaluation as part of any formal training offered or supported by the District, generally in the form of surveys. An online feedback survey for

all technology training participants has been used in the development and planning of future training. The Academic Senate Joint Professional Development Committee actively solicits input from campus constituent groups each year as it plans activities and the distribution of funds. In addition, faculty and staff fill out evaluation forms, either written or online, immediately following flex activities to provide feedback on the presentations to inform future planning.

Faculty sabbaticals and fellowships are prioritized by the Academic Senate Joint Sabbaticals and Fellowships Committee, based on the relevance of the proposals submitted by the faculty to their disciplines and assignments. Upon completion of a sabbatical, the faculty member is required to submit a report of activities demonstrating accomplishment of sabbatical goals to the committee. Fellowship stipends are paid upon project completion and the submission of a fellowship report. Sabbatical and fellowship recipients often share their experiences through reports presented at Board of Trustees meetings and Institutional Flex day workshops.

Evaluation—IIIA.5(b)

The College has demonstrated a strong commitment to professional development for all college constituents. Evaluation and feedback are systematically solicited for all District-supported professional development activities. These evaluations are used to improve professional development opportunities and activities and to respond to the needs and requests of a diverse community.

Plan—IIIA.5(b)

None

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

Description—IIIA.6

Planning for new faculty positions is tied to state-mandated AB 1725 Full-Time Obligation requirements and is directly integrated with institutional planning. The Collegewide Coordinating Council is responsible for establishing a recommended prioritization of the requests for new faculty positions.

Planning for the filling of classified and management positions is less formally integrated. Staffing required to meet institutional goals is prioritized by area vice presidents, with recommendations made to the Superintendent/President. Positions are filled only if funding is available after all other budget obligations have been covered.

Evaluation—IIIA.6

Human resources planning is best integrated into institutional planning in the hiring of new faculty. There are clearly outlined steps for submitting requests for new faculty, with recommendations made to the Superintendent/President by the Collegewide Coordinating Council. Planning processes for establishing and filling classified and administrative positions do not currently include participation by any of the college wide planning bodies, although Objective 12 of the 2003-04 *Master Plan for Education* states that the Collegewide Coordinating Council “...will develop criteria for assessment of classified staffing needs.”

When recent reductions were made in classified and management positions, no formal institutional plans were in place to inform the evaluation of budget and service priorities, contributing to perceptions that reductions in classified staff could have been avoided. The institution needs to better assess college functions to evaluate critical needs and the best ways to fulfill these functions. The Collegewide Coordinating Council has been charged with this task and will presumably use a variety of methods and resources for gathering data and information to inform its recommendations.

Recent reductions in staff and programs also highlighted hiring practices for grant-funded positions that created unforeseen obligations. Contracts for grant managers mirrored traditional contracts for permanent administrative positions in granting administrators retreat rights to probationary faculty positions for which they qualified, whether or not they had previously held faculty status at the institution. Although the College was able to accommodate these obligations, in accordance with recent changes in the Education Code, future contracts for grant managers will eliminate this provision.

With regard to classified positions, the Personnel Commission Merit Rules make no distinction in seniority rights between permanent and grant-funded positions. Thus, the College cannot adjust hiring practices or contractual commitments for grant-funded classified positions.

Plan—IIIA.6

- ◆ The Academic Senate Joint Program Review Committee will include in its process a review of program staffing patterns to identify areas of concern regarding the allocation of resources. These findings will be included in the committee’s annual report to the Collegewide Coordinating Council.
- ◆ The Collegewide Coordinating Council will act upon the 2003-2004 institutional objective to “develop criteria for assessment of classified staffing needs.”
- ◆ Human Resources will ensure that future contracts for grant-funded academic administrators do not include retreat rights to probationary faculty status.

IIIB. Physical Resources

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

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

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

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

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

Description—IIIB.1(a) and IIIB.2(b)

Physical resource planning is integrated with institutional planning in a number of ways. The primary planning document for the College, the *Master Plan for Education*, defines the goals and objectives for the College and serves as a document of guiding principle for facilities planning, with a focus on safe and sufficient physical resources to support programs and services. The *Comprehensive Facility Master Plan* then looks at facilities issues with a focus on specific projects needed to meet the goals set in the *Master Plan for Education* and ensure that programs and services are adequately provided for and maintained.

The *Comprehensive Facility Master Plan* drives facilities funding requests, so projects listed on the *Five Year Construction Plan*, required annually by the Chancellor's Office, are first identified in the comprehensive plan. Not all projects identified in the comprehensive plan are eligible for state funding, but all projects over \$400,000 must be placed on the list, regardless of funding source. Those that are eligible for state funding remain on the *Five Year Construction Plan* until they are funded or rejected by the State, or until the facilities priorities change because of other factors.

Hazardous mitigation is another limited state funding source for which the College applies annually. Available funds are never sufficient to address all campus hazardous mitigation needs, so each annual request is driven by those construction projects, scheduled for the following year, that require mitigation identified through a facilities assessment. An example of such planning is the mitigation required (asbestos removal) by the demoli-

tion of the old Main Stage Theatre, built in 1951, to make way for the renovated theatre currently under construction.

Additionally, the *Master Plan for Technology* specifies that requests for improvements and/or new technology must include an assessment of facilities and infrastructure needs required to support the request. Requests for modifications to existing structures, change of use, or specific equipment are reviewed at several levels to ensure that issues of feasibility, cost, health and safety, and appropriateness are addressed.

Most funding available for facilities maintenance and improvement, including the aforementioned *Five Year Construction Plan* and hazardous mitigation funds, has specific guidelines and/or restrictions. The College regularly applies for state scheduled maintenance funds earmarked for repairs to existing structures. The availability of these funds varies from year to year, with specific guidelines for the types of projects that qualify. Awards of these funds require a district match. Each project submitted is then rated against a state formula, with available funding determining the number of projects funded. The College updates the list of projects to be submitted every year, based on critical needs that arise, periodic facilities assessments, and the ability of the District to meet the match requirements.

The Chancellor's Office requires the College to update the space inventory each year. This document details the type of usage for every space in every building and becomes part of the justification for the *Five Year Construction Plan*. The State uses these figures, along with projected enrollment growth, to develop capacity/load ratios that are considered in the prioritization of projects.

Occasionally, the College applies for grants or other funding sources for specific projects, at the behest of interested parties. If the project is deemed to be of value to the College or a specific program, the College does not restrict such requests only to those projects identified in the *Comprehensive Facility Master Plan*. An example of such funding is the "Eco House," a sustainable resources demonstration center, for which a private donation funded the startup. Subsequent small grants from the City of Santa Monica supported the development of a periscope demonstration garden and the installation of photovoltaics (solar powered panels).

At the time of the last accreditation visit in 1998, college facilities planning was focused primarily on earthquake recovery. Since then, the College has placed heavy emphasis on the development of a long-range facilities master plan. The College has been fortunate to secure funds from a variety of sources to begin implementation of the *Comprehensive Facility Master Plan*. In fact, the number of building projects currently in process or scheduled to begin on the main campus and at satellite sites in the next six years is staggering. Simultaneously, the College will complete the last projects from the 1994 Northridge Earthquake recovery.

On January 12, 1998, the Santa Monica College Board of Trustees unanimously adopted the *Comprehensive Facility Master Plan*, prepared with the participation of more than

1,000 individuals, from both on- and off-campus. The review process for the plan included more than 35 public meetings. The *Comprehensive Facility Master Plan*, including a lengthy section on Design and Development Principles, supports the College's vision and mission, specifically to preserve educational quality and to enhance student success.

The *Comprehensive Facility Master Plan* assists the College in several ways: implementing earthquake recovery projects and Proposition T (a 1992 bond measure) projects in retiring and replacing obsolete buildings; developing a telecommunications infrastructure; improving parking and circulation; achieving cost-effective use of space through program groupings; integrating new facilities onto the campus; maintaining open space and regulating density; guiding the relationship of the main campus with the satellite facilities; and preserving college facilities as a community resource. The implementation section of the plan recognizes the then-current resources, primarily FEMA (Federal Emergency Management Agency) earthquake recovery funds, Proposition T funds, and State capital grants. However, the plan also addressed the significant number of unfunded capital needs, anticipating that future funding resources would become available.

To update the *Comprehensive Facility Master Plan*, the Santa Monica College Board of Trustees, on May 7, 2001, authorized 3D/International (3D/I) to assess current facilities and new construction requirements. 3D/I, a multi-disciplinary company that specializes in the management and design of construction programs for large institutions throughout the United States, found that only 5 of the College's 32 buildings on the main campus and at the satellite sites are in good or fair condition, and eleven buildings have a Facilities Condition Index (FCI) of 50% or greater, which indicates that a building should be considered for replacement. 3D/I proposed a number of replacement and modernization projects divided into three groups:

- Energy, safety, technology, environmental, and campus perimeter improvements:
 - Central utility plant and distribution system
 - Underground parking
 - Relocation of non-essential services (warehouse, etc.) off the main campus to restore open space and relieve congestion
 - Land acquisition
- Consolidation, modernization, or replacement of severely deficient temporary, modular, and earthquake-damaged buildings:
 - Liberal Arts Building replacement
- Other renovation, modernization, and replacement projects:
 - Student Services and Admissions "one stop" building
 - Emeritus College permanent home
 - Main Stage Theatre renovation to meet current building codes and disabled accessibility codes
 - Science Complex expansion

At the time the report was prepared, the estimated cost to complete the identified projects was \$195.5 million.

Based upon the facilities assessment, and recognizing that available funding sources were insufficient to address the needs of an aging campus, the Santa Monica College Board of Trustees placed on the March 5, 2002 ballot a bond measure (Measure U) that authorizes the College to issue up to \$160 million in bonds for capital improvement projects. The communities of Santa Monica and Malibu approved Measure U with a “yes” vote that was 69.99% of those cast. This was the highest margin of victory among the fourteen community college bond measures on the March 5, 2002 ballot.

Proposition 39, which delineates how education bond measures are to be written and monitored, requires that the Board of Trustees adopt a list of specific projects to be funded from the bond prior to the election. The list of specific projects adopted by the Board of Trustees was based on the goals of the *Master Plan for Education* and specific needs identified in the *Comprehensive Facility Master Plan* that were then prioritized based on the 3D/I facilities assessment.

The bond projects list includes:

- Site plan and infrastructure development
- Central Utility Plant and distribution system
- Technology improvements at existing campus and satellite buildings
- Construction of campus perimeter enhancements and campus north-south pedestrian walkway
- Construction of new Student Services and Administration Center
- Campus north-side plaza and underground parking
- Demolition of earthquake-damaged Liberal Arts Building and replacement with new facility
- Construction of underground parking for new Liberal Arts facility
- Construction of a building for the ESL program and the International Education Center
- Construction of off-site warehouse and related land acquisition
- Replacement and additional off-site parking
- Related land acquisition and construction of off-site parking garages
- Emeritus College facility replacement and related land acquisition
- Renovation of campus Main Stage Theater to meet modern teaching standards
- Construction of a new addition to Science Complex for Nursing, Environmental Sciences, Earth Sciences, Mathematics, and related programs
- Construction of parking ramp and recessed entrance to complete replacement of earthquake-demolished Parking Structure B

- Modernization and renovation of Student Activities Building
- Replacement or repair of Letters and Science Building

An annual financial audit of the bond proceeds and a citizen's oversight committee are required until all proceeds have been spent. The Board has appointed a Citizens Advisory Committee to review expenditures and report on Measure U activities. The committee must have at least seven members, and its membership includes senior citizens, a representative from a taxpayer association, a student, business people, and other community members. College employees, officials, vendors, contractors, and consultants are not eligible for membership on the independent committee.

Although there is an unfortunate irony in the number and scale of building projects undertaken by the College in a time of severe budget cuts and reductions in staff and programs, Measure U bond monies may only be used for purposes permitted by law, and not for salaries or other college operating expenses.

The following major construction projects and/or land acquisitions have been completed since the last accreditation report:

- Academy of Entertainment and Technology – property acquisition and building remodel
- Madison Campus – building remodel and hazardous mitigation
- Administrative Offices (2714 Pico) – land acquisition, remodel, and moving functions off the main campus to address growth
- Science Complex – earthquake replacement building
- Media Center - space remodel
- Municipal Swimming Pool (funded by City of Santa Monica) – old pool demolished and new pool constructed at a different location
- Art Annex at Airport Campus – space remodel
- Parking Structure – earthquake replacement
- 17th Street Entry – new entry to campus to facilitate traffic flow to new parking structure
- Student Services – remodel of former administrative offices and move of functions to different main campus location
- Art - North and South Wing renovations
- Student Activities - building addition (Bookstore)
- Library – major earthquake renovation and expansion
- Emeritus College – land acquisition with building shell built out to meet Emeritus program needs
- Bundy site – a 10.4-acre site to be developed as an additional campus

- Child Care Center – temporary site not owned by the District
- 1410 Pico Blvd – acquisition of a lot near the main campus
- 1738 Pearl St – acquisition of a house between two properties already owned by the College
- 2020 Pearl – acquisition of a small apartment complex (units currently leased)

The following projects are currently in planning or under construction and have been submitted on the state *Five Year Construction Plan*. All of these projects have been developed as a result of the master planning process and the facilities condition assessment:

- *Earthquake Replacement Liberal Arts Building* - Replacing a building extensively damaged during the 1994 Northridge Earthquake, the new building will have two wings funded from a variety of sources, including federal, state and local (City of Santa Monica).
- *Renovation, Main Stage* – The previous Main Stage was designed as a small children's theater and speech correction facility and first occupied in 1951. The renovation will increase the building area by 4,462 ASF (assignable square feet) and include numerous functional improvements and significant ADA (Americans with Disabilities Act) and Fire Code upgrades.
- *Relocate Kinesiology, Dance, and Athletics* - Currently housed in a temporary building, program faculty offices will move to a new second floor complex being added to the existing gymnasium; the temporary building will be removed, and the land incorporated into the new open space quad.
- *Renovation for Music, Madison* - The program will move from the current location, built in 1952, to expanded space at the Madison Site.
- *1410 Pico* - Currently an empty located one block from the main campus, planning was begun on a building to include the ESL Department and the International Education Center. Planning has been temporarily suspended due to the number of other ongoing projects.
- *Campus Infrastructure/Safety* – This is a vital need, as the campus moves forward with myriad construction projects, and much of the inadequate and obsolete infrastructure from 1952 remains. This project proposes to update the campus infrastructure for water, gas, sewer, electrical, fire, and security, based upon recent master planning efforts. The changes will be coordinated with construction activity in each area of the campus.
- *Northwest Quad Development* - Current campus congestion will be relieved with the development of satellite sites, providing an opportunity to develop open space, as called for in the *Comprehensive Facility Master Plan*. In addition to open space, this will provide an area for student events that are currently held in the

Amphitheater, which is scheduled to be removed for the new Student Services/Administration Building.

- *Student Services/Administration Building* - Planning for this building is scheduled to begin in 2004. The Student Services portion of the building will centralize all student services operations - presently dispersed throughout the campus and housed in temporary buildings - and will provide office and service space for approximately 25 student services functions. The Administration portion of this proposed project will permit some administrative functions to return to the main campus, and to be integrated along with the Student Services functions to provide a one-stop service delivery location. The new building will be sited near the Pico Boulevard main entrance to the Santa Monica College campus and thereby provide immediate access for students and members of the college community.

This proposed project also includes accommodation for vehicular access/egress and underground parking space for approximately 135 vehicles, all in compliance with the *Comprehensive Facility Master Plan* goal to provide more below-grade vehicle parking at the main campus.

- *Pico Campus Entrance* - Intended to create an identifiable entrance to the College, the new entry will consist of a pedestrian entry to the new campus quad, a vehicle entry to underground parking in the new Student Services/Administration Building, and a transportation plaza for buses, taxis, and student drop-off.
- *Shuttle Replacement Parking Structure* - The 400-space parking lot at the Santa Monica Airport, which the College has been leasing from the City of Santa Monica since 1994, will soon be reclaimed by the City. Adequate parking is an ongoing problem at the College, so the College plans to provide shuttle parking at the newly purchased Bundy Site adjacent to the Santa Monica Airport. To accommodate site users and shuttle parking, a parking structure will eventually be required.

Letters and Science Replacement - Originally opened in 1952 as the college library, this building was remodeled for use as a classroom building in 1980. The College has determined that costs to bring this building up to current structural, life safety, and technological requirements are too high to be feasible. In addition, the programs currently housed in the building have no room to expand, and the building is too close to other structures to be enlarged in any way. There is currently no location on the main campus to rebuild this structure so it may be relocated at a satellite site. If the current building were demolished (as proposed), the site would remain open to provide much-needed green space.

- *Math/Science Addition* - This proposal is for an addition to the new Science Complex to house the Mathematics Department and additional sciences, such as anthropology, astronomy, geography, and geology. The College would like to locate

these programs adjacent to the rest of the sciences and provide the necessary technological infrastructure.

- *Letters and Science Demolition/Site Restoration* - Once the Letters and Science Replacement is completed, the College intends to demolish the original 1952 building. Because of the small size of the site, the proximity to neighboring buildings, and the need for more open, green space, this site is not being considered for a replacement building.

A project which evolved outside the facilities planning process is the Madison Theatre, which emerged because of community interest, and several large donations that funded its initial plans. This project proposes a 500-seat performing arts center with full staging facilities for conducting theatrical, instructional, general assembly, and community-based activities. Funding will be provided by donations through the Santa Monica College Foundation.

Evaluation—IIIB.1(a) and IIIB.2(b)

Over the years, the College has employed a variety of processes and structures to effect facilities planning. Since the last accreditation visit, the Collegewide Coordinating Council, the main college planning body, has become involved to a greater extent in the review of facilities planning, which is driven by the *Master Plan for Education*. The Council served as the steering committee for the development of the *Comprehensive Facility Master Plan*—a plan specifically called for in the *Master Plan for Education* and completed a few months after the last accreditation visit. This was an undertaking so large and complex that an outside consultant, Gensler and Associates, was hired to conduct the process, which involved input from both the college community and the larger communities of Santa Monica and Malibu. At the end of the process internal and external communities generally thought that their input had been heard and, as much as feasible, incorporated into this plan for upgrading the campus.

The subsequent hiring of 3D/International to assess facilities produced a report that supported the proposals already included in the *Comprehensive Facility Master Plan*, thus providing a basis for prioritizing the projects, especially as the assessment indicated that more buildings than originally anticipated were in need of upgrading or replacement.

However, misunderstandings about the relationship between plan development and decision-making to affect plan objectives have contributed to a sense that all voices and opinions have not been heard. Many faculty and staff believe that any construction project or land acquisition should be discussed within the college community. Some faculty and staff thought that 3D/I's report moved toward implementing projects that had, to some extent, been discussed with affected faculty and staff but not by the campus as a whole. In part, the moderate level of disagreement came from misunderstanding the purpose of the 3D/I assessment—a technical review of the condition of college buildings for purposes of prioritizing facilities needs—and how that assessment was linked to revisions to the *Comprehensive Facility Master Plan*.

The administration takes the position that the *Comprehensive Facility Master Plan* has been discussed by all affected constituents, and that the order in which the projects and plan objectives are implemented depends upon multiple factors. As specific projects are implemented, input and needs are solicited from the tenants of the project, and participation shifts from the Collegewide Coordinating Council and college-at-large to the group most impacted by the project—the tenants.

Although the *Comprehensive Facility Master Plan* specifically identifies land acquisition as a major objective to relieve crowding and congestion, there is disagreement over the level of participation and knowledge shared in the process of acquiring property. When real estate has been identified for possible acquisition, the District generally does not share its intentions until negotiations have resulted in an acceptable price. The purchase of the Bundy Site is the largest and costliest acquisition ever made by the College and, not unexpectedly, raised significant concern over the lack of participation in the decision-making process. (See discussion in Standard IVA.)

Soon after the Bundy Site was purchased, a joint *ad hoc* task force (BAE Task Force) was formed to make recommendations on specific usage of the site. Recommendations were forwarded to the Collegewide Coordinating Council, but further planning was halted. Due to the budget crisis, the College sought short-term (maximum of five years) tenants for all or part of the site. However, by late Fall 2003, it became apparent that the College would need additional classroom space by Fall 2004 because of the large number of current classrooms that will be lost due to construction across the College. Senior administrators decided to fast track the remodeling of one of the existing buildings at the Bundy Site to provide additional classrooms, and specific programs recommended by the joint *ad hoc* task force are among those identified for relocation to this building. Additional planning will occur as other parts of the Bundy Site are developed for college use.

As construction projects are identified a long planning process begins, including input from the tenants of the building and appropriate facilities staff charged with maintaining the building after completion. Faculty participants in two of the most recent large projects, the Science Complex and the Library renovation, appreciated participating in these successful projects. Science and Library faculty and staff benefited from working with planning consultants in the design phase and from attending the weekly project meetings during construction. Based on their experience, faculty involved in those projects recommend that future projects include training for faculty in reading blueprints and, if extended delays occur, the opportunity to revisit the plans.

Facilities staff recommend greater communication with the architects in determining materials and finishes. Toward that end the Facilities Department has extended the length of time plans are available for review and required the different Facilities area heads to review them with appropriate staff. In addition, the Facilities Department is developing standards documents for materials, fixtures, and finishes to aid project architects and facilitate maintenance.

Construction and renovation have created more noise, impeded pedestrian flow, and dislocated departments and services. However, given the multitude of projects being undertaken, the college community generally commends the Facilities Department for minimizing disruption through timely announcements and scheduling, the temporary relocation of departments and services, and clear signage to direct traffic around obstacles. Some problems like the physical separation of departmental faculty offices—a function of growth and reorganization as well as changes in facilities—have no immediate or permanent solution, although completion of the Liberal Arts replacement and other buildings will help alleviate them.

Plan–IIIB.1(a) and IIIB.2(b)

- ◆ The Collegewide Coordinating Council will develop mechanisms for ensuring more widespread participation in facilities planning.
- ◆ The Facilities Department will complete standardization documents for materials, fixtures, and finishes to be used in all construction projects.

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

Description–IIIB.1(b)

The primary focus of all facilities planning is to ensure that facilities are constructed and maintained to assure access, safety, security and a healthful learning and working environment, while meeting instructional and institutional goals. The College recognizes that older facilities do not meet current construction standards and code requirements and addresses upgrades as funds become available.

All new and remodeled facilities are fully accessible and meet or exceed all ADA standards and building codes. New building plans are routinely checked by a representative of the College's Disabled Students Center. In recent years when ADA funds have been available, the College has improved accessibility by adding electronic doors, constructing an accessible restroom module at the Airport Campus, adding ramps, and improving walkways. Two older buildings with limited accessibility, Liberal Arts and Letters and Science, are slated to be replaced.

The College maintains a safe environment through the use of trained security professionals and technology. The College Police Department patrols the main campus and all satellite sites twenty-four hours a day. The Police Department consists of sworn police officers, parking/security officers, and a 24-hour dispatch staff. Many campus buildings have complex security systems, including intrusion detection, access control, and video surveillance. In 2002, the College completed a high technology police communications center with telephone and radio communications, alarm monitoring, video monitoring with twenty-six monitors to monitor up to 256 cameras, and fire alarm controls.

The College has an ongoing maintenance program. Funding has been provided for major maintenance projects through the state scheduled maintenance program. Projects that have been completed include re-roofing, heating and air conditioning unit replacements, and replacement of water and sewer lines. In addition to the scheduled maintenance program, the District has participated in state programs to remove hazardous substances, such as asbestos, from buildings. Unfortunately, in recent years funding for scheduled maintenance has been reduced. So far, the College has been able to maintain an acceptable level of scheduled maintenance, but continued reduction in funding will result in a backlog of maintenance projects that the College will be unable to complete. This, in time, could result in systems not functioning, water leaks, and damage to buildings.

Until recent budget cuts and subsequent cuts in maintenance staff, the College had a staff sufficient to perform routine maintenance and repairs. However, the impact of the recent personnel cuts has severely taxed the maintenance staff, allowing only for emergency repairs.

The College's custodial services have improved since the last accreditation self-study. Additional staff were hired and new programs put in place, such as the creation of specialized cleaning crews. Restroom cleanliness has improved, but continues to be a concern voiced by students, faculty, and staff, especially since recent personnel cutbacks have reduced the frequency and amount of time allotted for each cleaning.

The District is now implementing a "team cleaning" approach to better deal with staffing shortages. In an effort to improve the ease of cleaning and maintenance of restrooms, the District is planning to use Measure U funds to upgrade several older restrooms that are in poor condition.

The Grounds staff has been responsible for the maintenance of the landscape, parking lots, and athletic fields on the main campus and the satellite sites. Over time, Grounds has become heavily impacted by the increasing number of students on the main campus. Because of limited open space on the campus, students tend to congregate in and heavily use certain areas, making it difficult to keep these areas free of litter and to prevent the grassy areas from being over-run.

The continual construction on campus has also been a problem for Grounds. Construction frequently damages landscaping and irrigation piping. The Grounds staff maintains all college sites, as well as the athletic field at a neighboring middle school. (This maintenance is performed in exchange for the field's use by college athletic teams.) Recent reductions in Grounds staff will have an impact on the level of maintenance possible.

The Grounds Department is also responsible for the College's recycling program. The District has made a commitment to be as environmentally responsible as possible and has developed a highly successful recycling program. The District now exceeds all state standards for recycling of solid waste. In 2002, Santa Monica College recycled 51.5 tons of paper, saving 1,236 trees. Whenever possible, Santa Monica College purchases recycled

paper and paper products. The College is one of the first to install a Vermitech machine, which uses worms to naturally recycle food waste, cardboard, and brown paper towels. The worms transform the waste into a high nutrient fertilizer.

With input from the College's Center for Environmental and Urban Studies, along with various campus and community groups, the College is incorporating sustainable, environmentally responsible building concepts in new construction projects. Many of the College's newer building projects will be LEED certified. LEED is an independently monitored nationwide certification process, which provides a complete framework for assessing building performance and meeting sustainability goals. Based on well-founded scientific standards, LEED emphasizes state-of-the-art strategies for sustainable site development, water savings, energy efficiency, materials selection, and indoor environmental quality.

The District is also successfully working with contractors and vendors. Contractors are recycling up to 90% of construction waste. Vendors are employing more environmentally friendly packaging and containers in the products that they sell on campus. Santa Monica College also recycles computer printer toner and ink cartridges.

The District also uses environmentally safe products in cleaning and maintaining campus buildings and is committed to finding cost effective, environmentally responsible options wherever possible.

Evaluation—IIIB.1(b)

Some older buildings, such as Liberal Arts and Letters and Science, continue to have classrooms that are inaccessible; adjustments are made as necessary for individual students (including relocating entire classes). All renovated and new buildings are ADA accessible. Other older buildings, such as Drescher Hall and Madison, have acoustical problems (mostly related to very high ceilings) that create a less than optimal learning environment. Unfortunately, at this time there are no available funding sources to address this issue.

While general maintenance of the grounds and buildings has improved, there are still problems with unclean restrooms, worn carpeting that, and inefficiently cooled/heated buildings. The reduction in custodial staff undoubtedly will continue to have a negative impact. However, custodial schedules have been reorganized to minimize gaps in coverage.

Through the outstanding efforts of the College Police and the addition of updated security technology, the campus has continued to maintain a safe environment.

Having new buildings incorporate the LEED standard should create a supportive learning environment in those facilities by providing natural light, fresh air, and better air quality.

Plan—IIIB.1(b)

- ◆ The College will set priorities and develop a plan for hiring appropriate maintenance staff when the budget improves.
- ◆ New buildings will incorporate sustainable design techniques, with the goal of furthering environmental quality.

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

Description—IIIB.2(a)

The College has a long-range capital planning program that consists of several elements: the *Comprehensive Facility Master Plan*, facilities condition assessment, and the *Five Year Construction Plan*. (The master planning process and the facilities condition assessment are described in detail in section III.B.1(a) above.) In addition to these, a *Master Plan for Technology* evaluates the condition of technology equipment and infrastructure. (See Standard III.C for a more detailed description).

The *Five Year Construction Plan*, a report that is filed annually with the State, is an important document since it helps determine the level of state funding received for capital projects. The plan lists construction projects planned for the future and fully describes how existing and projected facilities will be used. The report uses current and projected enrollment data, as well as the College's current facility space inventory, to plan facilities to accommodate future enrollment growth. Part of the plan - the facility condition assessment - surveys the need for major maintenance projects and facility replacement. It also compares the cost of repairing and maintaining an existing facility to the cost of new construction.

The College has been successful in developing a variety of funding sources for facilities improvements. These funding sources include federal, state, local bonds, City of Santa Monica, and local fundraising. From 1992 through 2002, the College has expended over \$75 million on construction projects. From 2003 through 2012, the College expects to receive almost \$200 million in construction funding, including Measure U bond funds.

Evaluation—IIIB.2(a)

The College is benefiting from a range of funding sources from all levels of government—local to federal. This range has required coordinating multiple revenue streams in single projects, a circumstance that has funded ambitious projects, but also has created delays and complications in project scheduling. In the short term, the complications have added to the level of frustration and misunderstanding within the college community, but, in the long term, the resulting projects have been enormously beneficial to the College. One example of this is the Library expansion. Originally planned as a much smaller ex-

pansion funded by Prop T, the project was postponed multiple times because of the Northridge Earthquake and other factors, and it was re-planned when additional FEMA funds became available. Completed ten years after the initial planning, the resulting facility is much better than the original design. However, along the way, there was much legitimate frustration and uncertainty as to whether it would ever be completed.

Given the range and commitment of funding sources, most current proposed construction projects can proceed despite the budget crisis. However, some projects, such as the development of the 1410 Pico site, are being postponed further, causing misapprehension and disappointment.

As effective as the planning and securing of funding for new construction have been, staffing and maintenance of the new structures must be supported out of current district revenues. Although additional state funds are supposed to come to the College to support new construction after completion, such funding often is cut or reduced from the state budget. This budgetary uncertainty calls for a difficult balancing act. The College desperately needs new and increased facilities, but must then determine how best to maintain them within existing budgets. In a period of retrenchment, funding uncertainty makes planning particularly difficult. When the budget improves, there will be even greater pressure to replace recently lost staff positions, regardless of whether the state provides specific funding for them.

Plan–IIIB.2(a)

- ◆ The Collegewide Coordinating Council will develop strategies to better communicate facilities planning and funding information.

IIIC. Technology Resources

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

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

IIIC.1(a) Technology services, professional support, facilities, hardware, and software are designed to enhance the operation and effectiveness of the institution.

Description–IIIC.1(a)

Santa Monica College is committed to providing access to technology and to using technology effectively to reach its goals. All college departments promote and support the use of technology to improve student learning outcomes and create a more efficient operational environment. The Information Technology (IT) departments design and implement effective technology solutions to support the College's mission and goals. Specifically, Information Technology has outlined its primary responsibilities as follows.

The Information Technology departments:

- Facilitate student learning and college operations through the effective use of technology;
- Create universal access for users through a single interface and single sign-on;
- Manage the complexity of new technology by utilizing industry open architecture and standards;
- Optimize the availability, accessibility, and performance of the College's technology resources;
- Promote the effective use of technology through a variety of systems, applications, and processes integrated to enhance business automation, electronic communication, and collaboration;
- Further promote the effective use of technology by providing thorough, relevant training and other user support resources designed to help users apply technical solutions appropriately and skillfully;
- Integrate information technology asset management, project tracking, and support tracking to enhance equipment life-cycle planning and meet user support needs;
- Formalize technology use policies, regulations, and standards to protect the College's technology resources and to improve the efficiency of information technology operations;

- Implement cost-effective solutions to support the College’s needs, current and future, for telecommunication, networking, instructional, and administrative technologies.

Information Technology at Santa Monica College currently consists of four distinct departments, each of which has its own primary function:

- The Network Services Department administers the College’s computer network, including all network components, network security, the campus e-mail system, and an array of campus servers.
- The Telecommunications Department maintains the campus telephone system, installs/repairs computer systems owned by the College, and installs/upgrades related software on office computers.
- The Management Information Services (MIS) Department is responsible for creating, maintaining, and expanding the College’s primary, centralized information system in support of enrollment services, business services, human resources, and other student services and administrative areas.
- The Academic Computing Department is responsible for instructional technology planning, budgeting, and purchasing; overseeing the operation of the student computer labs and computer classrooms on the main campus, the Madison Site, and the Emeritus College Site; installing and upgrading software and server administration for the student computing facilities; maintaining the college websites; and providing technology training for faculty and staff.

Collectively, these departments are the primary resource for providing solutions to and support for all campus technology-related initiatives, deployments, and requests. Academic programs and administrative users are further served by secondary centralized technology resources, which include Media Services, Distance Education, the Library, and the Academy of Entertainment and Technology. Detailed information about the technology services available to college users is provided in the *Master Plan for Technology*.

The processes by which technology services are developed—from the initial idea to the deployment of the final solution—are designed to ensure that technology is distributed systematically and equitably and that technical solutions are effective in meeting user needs. Before any new technology services are implemented, they are proposed and evaluated via the technology planning process. The *Master Plan for Technology* is updated annually by the Academic Senate Joint Information Services Committee (whose function is to assess academic computing needs) and the District Technology Committee (the purpose of which is to integrate academic computing needs with student services, administrative services, and other college infrastructure technology needs in establishing recommended priorities). Reviewing local technology plans and requests from departments and programs throughout the College, these committees prioritize the plans so that whatever funding is available can be allocated in a systematic and equitable manner. The *Master Plan for Technology* has widespread input and, although not explicitly keyed to the objectives statement of the Collegewide Coordinating Council, does take the Col-

lege's mission and goals into account. (For more information about the technology planning process, please see Standard IIC.1(d).)

While the formal technology planning process ensures equitable distribution of technology resources, technology procurement and development processes ensure that technical solutions are efficient and effective in meeting the pedagogical, operational, or administrative needs of the users. These processes are highly interactive, with technical staff, users, and, on occasion, technology vendors sharing their expertise with each other.

A typical technical solution is designed via several steps: meeting with end users to define the need and the scope of the project; soliciting vendor demonstrations and proposals; evaluating outsourced versus in-house options; and, if an in-house solution is selected, additional collaboration between technical staff and end users to define every detail of the proposed solution so that the final product will match the users' expectations. When outsourcing, the process continues with collaboration between the College's technical staff, vendor representatives, and the users to determine how best to integrate the third-party solution with existing campus technology. Either way, users and technical experts engage in detailed discussions throughout the development and implementation process to ensure that both parties understand the needs and requirements of the other and that the final product is technically sound, sustainable, and effective for the end users.

The College's procurement process ensures that third-party technology is compatible with existing college systems, appropriate for user needs, and not redundant with existing systems. The paperwork for all technology equipment purchases must be approved by Information Technology management prior to processing in the Purchasing Department. This system ensures that users consult with Information Technology before making the final selection of any third-party product. When conflicts arise, Information Technology works with the end user and the manufacturer of the proposed product to identify, clarify, and resolve potential problems associated with the proposed technology.

For example, at the inception of the Distance Education Program, various options for an online delivery system were evaluated by the Distance Education Committee, an *ad hoc* advisory committee that later evolved into a standing joint committee of the Academic Senate. The committee elected to contract with an outside online service provider, eCollege, where most online courses now reside. Technical problems associated with course modification are resolved by the eCollege Help Desk, available to faculty and administrators twenty-four hours a day, seven days a week. Help is also available 24x7 to students, faculty, and administrators for issues of connectivity and delivery of online instruction. The contract also specifies that backup/recovery systems and data security be provided by eCollege at a level comparable to that which Santa Monica College provides internally for its student information systems.

The Management Information Systems department works closely with eCollege staff to integrate the eCollege system with the College's student information system. Data are provided by Santa Monica College to eCollege and updated nightly to ensure accurate enrollment in eCollege course shells. Santa Monica College staff monitor log files, docu-

menting any problems encountered during the evening updates, so problems are detected and resolved quickly.

Another example of an outsourced technology service is the College's online transcript request, degree check, and enrollment-status check system. The College has elected to partner with the vendor Credential to provide these online services. Students have access to a hyperlink on the Santa Monica College website to request verification of their enrollment status, their degree status, or to request a transcript. When students select this link, they actually access Credential's website, though this fact is not obvious to them. Credential's system collects data regarding the type of information requested and the recipient (i.e. a prospective employer), and then processes the request. Clearly, Credential cannot complete the transaction without access to Santa Monica College's collection of student data. Therefore, the Management Information Systems Department worked very closely with Credential to build an interface that allows Credential real-time access to Santa Monica College's student information system to check highly variable data, and transfer Santa Monica College's more stable data into Credential's system on a monthly or daily basis, as appropriate.

Many technical services are also developed internally. The development process itself generates some unexpected benefits, such as strengthening integration and communication among various student services departments, business services departments, and academic departments. Throughout the development process, Information Technology staff help to identify and clarify links between different departments' processes, as required to automate workflow and thereby eliminate manual paper processes, extensive filing, and constraints caused by multiple college sites.

For example, Management Information Systems recently developed an Internet-based student and faculty self-service system to provide access to common activities involving Integrated School Information System (ISIS) data. This process involved representatives of Student Affairs, Academic Affairs, academic department chairs, Business Services, and Information Technology to identify and implement the most efficient, effective way to guide students and faculty through the processes, enabling them to conduct daily administrative tasks via one web-enabled interface. The product eliminated time and location constraints for students and faculty and dramatically reduced the long waiting lines experienced by students during enrollment periods. This development effort is ongoing, as Management Information Systems works to improve and expand functionality and accessibility and to enhance the workflow and online collaboration capabilities.

Evaluation—IIIC.1(a)

Most new Information Technology initiatives are developed or purchased in consultation with Information Technology staff. However, there are still occasional exceptions that often result in incompatible or redundant technologies being employed in a Santa Monica College department. To eliminate the need for double or triple entry of data and to ensure that all technical services are maintainable and effective, it is critical that all members of the college community consult with Information Technology prior to investing in sub-

stantial new technologies. The role of Information Technology is simply to provide technical expertise in support of the users' goals so that technology solutions will meet the expectations of the users, while avoiding disappointment and wasted resources.

It is also essential to reassess the technology procurement and development processes regularly, as technology continues to evolve and become integrated with an increasing number of college functions. For example, many digital projectors housed in college classrooms are now in need of replacement, yet no replacement/cascading plan for projectors currently exists. Some college photocopiers are now networkable and capable of functioning also as scanners and printers, but they were not purchased in consultation with Information Technology, since these issues of compatibility with the college network are new.

Plan—IIIC.1(a)

- ◆ The District Technology Committee will reassess technology procurement and development processes.

IIIC.1(b) *The institution provides quality training in the effective application of its information technology to students and personnel.*

Description—IIIC.1(b)

Since the last accreditation, the College developed a formalized in-house training program referred to as the Technology Training program. The primary goal of the Technology Training program is to provide relevant and effective training, help documents, and individual assistance needed by college employees to make appropriate and efficient use of technology in the performance of their job responsibilities. Training is tailored to the Santa Monica College computing environment and includes instruction on making electronic information accessible to disabled users. The program is also involved in evaluating new instructional technologies as they emerge in the industry and participating in the planning process to implement those that show particular promise for instructional programs.

The Technology Training program was established in 1998 to serve all college employees. Prior to 1998, Academic Computing staff offered workshops on common office applications several times each semester. Since 1998, workshops have been conducted many times each week, year round. The first workshops developed were those deemed most urgent by the college community, as indicated in the results of a collegewide training needs assessment conducted by Technology Training. Since then, questions designed to elicit additional training needs are included in the workshop evaluation form that all training participants are asked to complete to provide ongoing information regarding the training needs of users.

The drastic reductions in state funding faced by the College, beginning in 2002-2003, have now forced the temporary suspension of the Technology Training program. Both

Educational Computer Specialists—the employees formerly responsible for the bulk of Santa Monica College training—were laid off in September 2003, and the Multimedia Specialist, who handled training on multimedia applications, has been relieved of the responsibility for regularly scheduled workshops to focus instead on the increased volume of drop-in and e-mail questions received from the college community.

Prior to these reductions, the Technology Training program provided training for faculty and staff on the effective use of common software in the college environment through several avenues:

- Regularly scheduled workshops;
- Customized departmental training upon demand;
- Online training courses;
- QuickSource Guides (printed help documents);
- Individual help via drop-in, telephone, e-mail, or online help documents.

Customized departmental workshops and individual help are still available to Santa Monica College employees. There are also several no-cost online training options available to college employees via the 4faculty.org program for which the College pays annual dues, the @ONE consortium funded by the Chancellor's Office, and an online training service donated by the Foundation for California Community Colleges for 2003-2004. The Information Technology departments are also developing an online Tech Knowledge Center, where college employees and students will have access to documents, schedules, facility information, and Information Technology policies and procedures anytime, anywhere.

Typical workshop titles of interest and relevance to the college community include:

- Acrobat 1: Getting Started
- Acrobat 2: Intermediate
- Computer Basics
- DocuShare
- Don't reinvent the wheel! Using the web to find quality, computer-based teaching supplements: MERLOT, SMETE, and more.
- Dreamweaver
- eCompanion Quick Start
- Eve: Detecting Plagiarism Online
- Excel 1: Getting Started
- Excel 2: Intermediate
- File Management

- Flash: Animated GIFs
- Free Stuff!! How to get free software and training via the Internet.
- Front Page
- How can I learn more about designing web sites?
- How To Scan
- Internet Skills
- Manage Your E-Mail
- Outlook: Contacts and Lists
- ParScore
- Photoshop/ImageReady 1: Getting Started
- Photoshop/ImageReady 2: Intermediate
- Power Tools—Power User Basics
- PowerPoint 1: Getting Started
- PowerPoint 2: Intermediate
- Put Your Handouts Online
- Web Drop-In Workshops
- Word: Mail Merge

Technology training for students is provided informally via the staff of the various student computer laboratories available for their use, via faculty who require the use of technology in their classes (i.e. through the online learning management system, e-mail, faculty homepages, etc.), and, formally, via credit courses. (These services are described in more detail in Standard IIC.1(b)).

Evaluation—IIIC.1(b)

The Technology Training program serves all College employees, though faculty make up the majority of workshop participants. Attendance data were not collected prior to Fall 2001, but since that time, 1,247 unduplicated users have participated in at least one regularly scheduled workshop. These data are self-reported by training participants when they sign-in to workshops. Some decline to state their role (faculty, staff, or administrator). Participants in departmental workshops are not included in these numbers. It is important to note that, in nearly all departmental workshops conducted, the department head or manager was an active participant.

Technology Training solicits feedback from participants in all of its regularly scheduled workshops. Since Fall 2001, this process has been conducted online and the results tabulated. Responses have been extremely positive. The following summary applies to all Tech Training classes from March 4, 2002 through March 5, 2003. During this time pe-

riod, 332 people completed the evaluation form. Overall, employees expressed great satisfaction with the Technology Training program.

Training Workshop Evaluation Results

Question	Average Response (5 is best)	“4” or “5” Responses	“1” or “2” Responses
1. The information I learned in this class will be helpful to me on the job.	4.6	95.0%	0.3%
2. The class was clear and well organized.	4.7	97.2%	1.2%
3. The rate at which the material was presented.	3.0	7.2%	3.4%
4. The instructor demonstrated a good understanding of the material.	4.8	97.2%	1.5%
5. The other participants in the class seemed to be at about my skill level.	3.7	63.0%	10.6%
6. I am glad that I attended this class.	4.7	96.0%	0.3%
7. I would like the opportunity to learn more about this topic.	4.5	88.7%	2.6%
8. I have or plan to attend additional technology training at Santa Monica College.	4.7	96.0%	0.9%

In 2002, a statewide review of the growth of instructional technology over the past ten years was conducted under the direction of the @ONE project. One major component of that review was an ethnographic study of two California Community Colleges. The study evaluated the growth of instructional technology at both campuses in detail. Santa Monica College was selected as the focus of one of the two case studies. An excerpt from the report follows:

Today, training at SMC is thorough, multi-level, and offers a wide range of opportunities, from intensive week-long group institutes to individual quick shots in the hall before a class demo for students. Training recently received a solid boost when trainers did a ten-minute “dog and pony show” at department meetings on what’s possible and what’s available in SMC training. The training staff is focusing more directly than in the past on course applications for the Web. Training for Prometheus, for example, included basic uses and then about 80 interested instructors piloted its uses with at least one class in Spring Semester, 2002. The research team interviewed volunteers from the new Prometheus users group and found that they had widely differing approaches to the tools in the course management program and that one-on-one training evolved to fit their needs. Some of the interviewees recognized the need to learn more about styles and ways of learning so they can use these tools effectively with students to enhance their learning.

The Technology Training program has relied heavily upon categorical funds for support. Until 2003, the Telecommunications and Technology Infrastructure Program (TTIP) allocation from the Chancellor’s Office provided the salaries of the Director, Technology

Training and one of the two Educational Computer Specialists. The Faculty/Staff Computer Training Lab provides ample space for eighteen workshop participants and office space for both Educational Computer Specialists. TTIP funds were used to equip this facility with cubicles, furniture, participant and trainer workstations, an instructor's podium with digital projection and sound capabilities, a networked printer, a scanner, and software to support all scheduled workshops. TTIP funds have also provided QuickSource guides, ElementK online training licenses, conference and training registration and travel costs for faculty and Information Technology staff, and consultants for onsite training events for Information Technology staff. College general funds provided the salary and benefits for one Educational Computer Specialist and the overhead costs involved in keeping the facility open, heated, secure, etc. TTIP allocations to colleges for training were eliminated completely in 2002-2003 and have not yet been restored. The loss of this categorical funding was a primary reason for the temporary suspension of the program.

Plan–IIIC.1(b)

- ◆ The District will restore the Technology Training program when it becomes feasible to do so.
- ◆ The Information Technology departments will complete the online Tech Knowledge Center and make it available to the college community.

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

Description–IIIC.1(c)

Santa Monica College's technical infrastructure is maintained according to documented procedures designed to optimize performance and efficiency. The replacement and upgrading of equipment is accomplished via a cyclic schedule, adjusted annually to meet changing technical and budgetary requirements through the technology planning process. The most crucial maintenance and replacement plans, described below, include plans for security, data/systems backup and recovery, system performance and capacity, desktop software management, equipment replacement and cascading, and technology asset and support services management.

The ongoing implementation of these plans represents a substantial effort by Information Technology staff and management. Maintaining the underlying technology infrastructure is critical to optimize performance and to ensure overall system availability and accessibility. It is equally critical to secure the computing environment to protect the vast quantity of sensitive college and user data. Before any new technology initiative is evaluated for potential adoption, its impact upon this infrastructure is assessed, including hardware requirements, software upgrade plans, network/system capacity plans, and associated security requirements. Information Technology staff handle the bulk of this planning and must stay abreast of current hardware and software availability, as well as methods used

to determine the quantity and capacity of hardware and software options. Vendor meetings and demonstrations, on/off-site training, conferences, and exhibits provide staff with the latest information.

Critical system maintenance and upgrading plans are described below. For more detailed information about the planning cycle, please refer to the College's *Master Plan for Technology*.

Security Management

Each Information Technology department cooperates in ongoing re-engineering and enforcement of security policies established to protect the integrity of the information resources of the College. Major security restructuring efforts are planned and implemented with all systems software version upgrades to take advantage of any functional improvement from those products. The internal security policy of each department is updated regularly to keep up with the progressively implemented new functions of the software.

Security related issues and implementation plans fall into several categories:

- Physical infrastructure security: Information Technology works to ensure that network, telephone, servers, and other technology-related devices and equipment are consistently located in locked rooms or closets.
- Password policy: Industry experts agree that secure passwords are the most effective security mechanism in a network environment. Information Technology worked closely with the Academic Senate Joint Information Services Committee to formalize password regulations that were implemented in June 2003.
- Directory structure: The College utilizes a Lightweight Directory Access Protocol (LDAP) compliant directory structure to host domain network directory functions. These services involve the regular maintenance of the user and computer accounts database, as well as ensuring replication of these data from the main campus to all satellite campuses. The tasks of managing e-mail enabled distribution lists, list views, and student account creation fall into this category. Security is then enforced and integrated with subordinate or co-dependent systems that are part of a single sign-on environment.
- Virus protection: Information Technology maintains constant updates to anti-virus software on workstations, servers, and all e-mail systems (student e-mail is a separate system) to protect the College and its correspondents from viruses. The department is currently working to further develop a support plan to help users recover systems damaged by viruses and to provide users with references to effective resources on virus prevention.
- Network traffic segregation/filtration: Data originating from student lab workstations are segregated from confidential faculty/administrative data through the use of virtual local-area networks (VLANs), a supported feature implemented as part

of the last network upgrade. This feature logically groups physically distinct network devices according to function and is ideally suited for just this type of traffic containment. In addition, access control lists, configured at routers across campus, filter network traffic by protocol and connection endpoints. As a further precaution, a Windows 2000 Active Directory domain group policy prohibits access by students to any faculty/staff workstation.

- Network firewall/IDS: A secure system detects and blocks access attempts that are unauthorized and/or arrive in such large numbers as to constitute a malicious dedicated denial-of-service (DDOS) attack. A firewall handles such breaches that originate from the Internet (external) by intervening in the College's outside connection. A robust and stable CISCO PIX firewall system was installed to ensure better performance and provide higher security, throughput, availability, and reliability.
- Internet, network, and data security: Network traffic is managed through core distribution and access layer network devices. In addition, a proxy service optimizes Internet connectivity for faculty, staff, and student users on the main campus and all satellite campuses, as well as for dialup access users.

Data/Systems Backup and Recovery

Santa Monica College maintains student records permanently, securely, and confidentially. Student data and records maintained in computing systems have adequate security and provisions for recovery from major and minor disasters. The Dean, Enrollment Services, must approve employee access to student records. Access to levels of student record information is governed by an employee's individual computer entry code. Only certain individuals on the college campus have access to student records. Changes to computerized student records are permitted only through designated staff members who have a secondary password to access and modify sensitive information. An audit trail is generated by the computer system on all changes to student records (time, date, location of computer, and user code). Students may also create and modify selected information through the new student self-service system, via either the telephone or the Internet. SSL (secure socket layer) technology is used to encrypt sensitive information traveling across the network.

Semester records are archived on magnetic tapes and stored in Information Technology's Chubb Data Safe (with two-hour UL class-125 fire-proofing). Daily tape backups of the administrative database as well as the Windows NT/2K servers (imaging, e-mail, Internet payment, etc) are in the Chubb Data Safe for a period of two weeks. They are also stored off campus. Tapes are picked up weekly by Iron Mountain Off-Site Data Protection and rotated in and out of storage on a six-month retention schedule, so that all areas of Information Technology have critical data, stored on tapes, from the last six months of backup. When the need arises, these tapes can be retrieved, depending on the severity of the request: Critical (within 1.5 hours), Emergency (within 3 hours), or On Demand (within 24 hours). Information Technology uses Oracle Database on-line archived redo

log technology to enable the up-to-fail-point recovery capability. This enables point-in-time recovery from user errors as well as system errors.

The main physical storage is a Hewlett-Packard SureStore XP256 Disk Array using RAID (Redundant Array of Inexpensive Disks) 5 technology to protect data from individual drive failure, as well as providing high performance.

The administrative systems are protected by password security, as well as by physical layer network security. As noted above, a new password policy, which enforces strong passwords with periodic changes, was put into place in June 2003. The systems are separated from the student network by hardware and software filters, active domain policies, and by a virtual LAN implementation on the College's 802.3z gigabit Ethernet backbone. The College has also installed a firewall and proxy servers for added security.

System Performance and Capacity Planning

- Performance benchmark and service agreement: Information Technology strives to define clear benchmarks to measure system performance for all technology services. Typical benchmarks include system response time, hours of availability, means of access (e.g. LAN based vs. Internet enabled), and data backup/recover capabilities. These measures are developed in consultation with end users so that system performance and user expectations match.
- Daily pro-active maintenance and monitoring: System and network administrators and analysts monitor critical system event logs and trace files on a daily basis to identify potential problems or resource shortages. They also document system changes and problem resolutions in a standard location to facilitate follow-up activities and future trouble-shooting of system issues by technical support staff.
- Capacity planning: The technical requirements for equipment increase continuously due to software and hardware version releases and to increasing functional needs from end users. Accordingly, Information Technology analyzes system resource capacity planning needs at least annually. In each budget cycle, proposals for the expansion of servers, server components, devices, and other peripherals are developed and submitted to the District Technology Committee for possible inclusion in the *Master Plan for Technology* annual objectives. The proposals are developed using a Total Cost of Ownership (TCO) model to anticipate both direct and indirect costs of implementation.

Desktop Software Installation and Software Metering

- Software upgrade purchase plan: In most cases, software maintenance agreements are purchased along with all new licenses for collegewide software. A schedule of maintenance renewal dates is maintained to ensure that all maintenance agreements are renewed prior to expiration, as part of each year's technology objectives. This system enables the College access to the most current versions of software packages and enables substantial cost savings. For specialized titles li-

censed by individual departments, upgrades are generally purchased as approved through the technology planning process.

- **System Management Software:** The College currently manages more than 2,000 workstations, making individual desktop visits the least feasible solution to frequent software installation upgrade requirements. Information Technology selected Microsoft's System Management Server (SMS) with Intellimirror Group Policies (native to MS-Windows) to accomplish centralized software distribution tasks whenever possible. System Management Server has also been helpful in collecting asset information and providing some remote diagnosis capabilities to facilitate remote troubleshooting of problems.
- **Software metering and license compliance:** Currently, the College supports more than forty titles of collegewide licensed software and hundreds of specialized titles licensed by individual departments. The management and enforcement of the use of licenses is a tremendous effort for technical staff to accomplish. Software installation rights and concurrent usage rights vary from title to title, and most software vendors do not offer affordable unlimited-use licensing. Thus, the number of installations and/or simultaneous users for each title must be monitored. Keyserver, a LAN-based software license control tool, is now in use to accomplish these requirements. The use of Keyserver enables the College to use several popular software titles far more efficiently, thus reducing licensing costs.
- **Cloning of workstation images:** To achieve an effective method of workstation installation, upgrade, or repair, most common software "images" (the complete operating system and software environment) are identified, documented, stored, archived, and deployed with a standard tool and procedure. The College is currently standardizing on Ghost (Version 7). The plan also includes the creation of a single, centralized image repository on a file server that keeps versions of each image for change management, documentation, and other administration purposes.
- **Student technology resource management:** There are many campus computing facilities available to students, some equipped with unique computer hardware/software, and each with its own use policies defined based on a student's enrollment pattern, membership, or other characteristics. To manage this variety of computing facilities and associated software, a combination of off-the-shelf software and software developed in-house was implemented to achieve administrative functions, including workstation policy enforcement, wait-list management, lab monitoring, student workstation usage tracking, lab capacity planning, fee-based printing/quota management for printing, and other utility programs to facilitate student requests for e-mail or network accounts.

Equipment Replacement and Cascading

The useful lifetime for a computer workstation is a topic of much debate, and its answer depends critically upon the applications for which that computer is employed and upon

the initial system specifications of the workstation. The needs of users at Santa Monica College vary dramatically from those at the high end, where state-of-the-art video editing and advanced programming techniques are being taught, to those who use their computers only for basic word processing and e-mail. It is therefore necessary to construct a plan for replacing, upgrading, and cascading workstations to get the maximum usage out of each, while simultaneously ensuring that each user is assigned a workstation that can accommodate the needs of his or her job or curriculum. The details of the College's replacement and cascading plan are available in the *Master Plan for Technology*.

In short, the College plans on a lifetime of approximately four years for most workstations. Instructional workstations in areas using very high-end systems are replaced every three years, budgets permitting, with truly state-of-the-art systems. Even after these systems are three years old, they are useful for more basic applications for another two years or so. Thus, they are refurbished and reassigned to users with more basic needs. This reassignment of systems is called computer cascading. Information Technology is careful to maintain standard minimum specifications for workstations on campus so that cascaded systems do not remain in service too long, thus achieving a balance between the cost savings associated with cascading and the added costs of repairs and other support for systems that are too old.

Technology Assets and Support Services Management

A current and comprehensive inventory of technology assets is a critical foundation for technology planning efforts. With the evolution of Internet technology, computer hardware and software have become essential tools for staff, faculty, and students to conduct their daily business. Not surprisingly, the number of workstations, peripherals, servers, and other technology assets has grown tremendously in the past five years. Currently, most technology assets are recorded in the College's in-house purchasing system. Then, as equipment arrives and is deployed, most is entered again into Remedy, the College's support tracking software.

Evaluation—IIIC.1(c)

Security Management

Although students must agree to abide by a specific set of rules before a network logon or e-mail account is issued to them, there currently is no computer and network use policy that applies to college employees. In the absence of an employee policy, problems occasionally arise over both the monopolization of shared computing resources and the unauthorized sharing of access to restricted resources. Without a policy, the problems are more difficult to identify and to resolve. Operating without a computer use policy not only jeopardizes confidential data, but also may tacitly permit activities that could adversely affect the general performance and availability of networked resources. It also unnecessarily exposes the College to potential liability if information is improperly used or disseminated.

The Academic Senate Joint Information Services Committee drafted a Computer and Network Use Policy, drawing upon the opinions of a wide variety of campus users. The

draft was officially adopted by the Academic Senate in May 2002, but is still under review by the collective bargaining units. In the recent program review of the Information Technology Department, the Academic Senate Joint Program Review Committee recommended that college constituencies endorse a staff computer and network use policy expeditiously.

The College is working to improve physical infrastructure security. Critical equipment should be installed in access-controlled environments to which a small number of staff members have admittance. Critical equipment server rooms need an appropriate uninterruptible power supply (UPS) and power generator installed to protect the availability of the network, servers, and services. Appropriate fire protection equipment should also be installed and earthquake prevention activities implemented. Many of these issues may be addressed in the proposed move of the main Information Technology and server functions to the Bundy Site.

Data/Systems Backup and Recovery

The current backup and recovery plans ensure security and confidentiality for student records. It would be ideal if the College could enter into a disaster recovery agreement with a third party to duplicate all of the network and computing environment. However, this option has been prohibitively expensive.

System Performance and Capacity Planning

The College is satisfied with its current system performance and capacity planning process.

Desktop Software Installation and Software Metering

The current Keyserver implementation is recent and still under development. The total number of licenses of each title are logged, but Keyserver allows a more robust license metering option that would prevent the launch of any software title for which the maximum number of licensed copies in use has been reached. Since some of the software titles monitored with Keyserver are used both in faculty and staff offices and in student classrooms, Information Technology is reluctant to enable the metering feature, for fear that students in a class setting could be prevented from launching software if too many office users happen to be using it simultaneously. The newest release of Keyserver offers a solution to this problem—“pooling” and restricting groups of licenses so that only users in specified locations may access them. Once licenses for Santa Monica College classes have been “pooled” in this way, metering of licenses can be enabled without negative effect upon students.

As the number of unique workstation images in use on campus grows, so too does the need for a centralized image repository to provide easy maintenance, deployment consistency, and documentation.

Equipment Replacement and Cascading

The current replacement and cascading process is cost-effective and satisfactory. However, the process could be streamlined substantially if the various Information Technol-

ogy departments were to use one centralized workstation inventory system, design that system to be flexible enough to meet the unique needs of each Information Technology department, and establish procedures to ensure that the inventory data be kept current.

Technology Assets and Support Services Management

A current and comprehensive inventory of assets is a critical foundation for technology planning efforts. The Remedy system currently in use was purchased for the primary purpose of supporting help desk ticket tracking, and the asset functions are very limited. The system is used heavily by Telecommunications, but has not been adopted by the other Information Technology departments consistently because it lacks functionality needed in those areas. Information Technology is therefore considering options that could provide a more flexible asset management software package that all Information Technology departments could share.

The newly designed and implemented Los Angeles County Office of Education PeopleSoft Finance system recently replaced the Santa Monica College in-house purchasing system. Depending on the flexibility of uploading necessary data from the County system, there is a strong possibility of integrating the data with WebISIS (Web-enabled Integrated School Information System) and designing an in-house information technology asset tracking system to record all the hardware, software deployment, and cascading changes. The Remedy system would then be re-evaluated in terms of the integration and functions. Information Technology is committed to streamlining information technology asset-procurement, tracking, and post-installation support to facilitate equipment capacity planning, resource allocation, replacement and cascading planning, and the process of support and maintenance.

Staffing to Support Information Technology Functions

Each function described above is, of course, carried out by Santa Monica College's technical staff, who are also responsible for many other functions, including hardware/software installation and troubleshooting, development, and user support. The growth in the use of technology on campus has, in general, far outstripped the human resources available to support it. Although the number of instructional application developers has grown commensurately, the staffing of most Information Technology support areas has increased only slightly during this period. The following table demonstrates the expansion of technology in the past six years. Due to the extremely dynamic environment in which the College operates, these numbers were approximated.

	1997	Spring 2003
Number of student use workstations	350	1,200
Number of full-time faculty workstations	50	322
Number of administrative/staff workstations	260	678
Number of student computer user accounts	12,000	29,000
Number of employee computer user accounts	1,580	1,820
Number of student computing facilities	8	38
Total number of ports on network	2,000	5,382
Number of servers	28	114

Total centralized data storage	N/A	3TB
Campus network backbone bandwidth	100MB	1GB
Internet bandwidth	1.5MB	13MB
Number of voicemail boxes	970	1,700
Number of phone extensions	2,000	2,700
Number of smart classrooms and multimedia carts	2/2	61/25
Number of faculty homepages	37	650
Number of on-line course sections	0	80
Number of faculty using on-line course supplements	12	168
Hours of technology training offered per week	3	21.2

Appendix D of the *Master Plan for Technology* lists detailed benchmarks established by the California Community Colleges Chancellor’s Office. These benchmarks are based on an extensive analysis of the technology and technical support needs of the colleges by the Gartner Group, a leader in technology research and advice, and form the basis of the as yet unfunded state *Tech II Plan*. The baselines established therein indicate that the College is in need of additional technical support staff in most areas. It should be noted that the statewide Technology II plan, designed to provide the funding to support colleges in meeting these baseline standards, was never implemented.

Using the Gartner Group’s Information Technology staffing recommendations for higher education, comments and suggestions from members of the college user community, and the collective experience of Information Technology staff and management, a reorganization of the existing Information Technology departments and programs has been proposed.

Prominent features of the proposed reorganization plan include:

- Combining into unified teams all roles which redundantly support disparate groups of users;
- Creating a single unit responsible for the initial handling of all user inquiries and requests;
- Making available a broader array of promotional paths to Information Technology staff;
- Separating, to the extent possible, interpersonal communication functions from technical and research/development roles.

The proposed new organizational structure consists of three departments—Information Technology User Support Services, Information Technology Network Support Services, and Management Information Systems. This reorganization proposal represents a long-term goal, and its implementation will be a gradual process. Development of detailed documentation for the standards and procedures relevant to each service area is a time-consuming effort. Moreover, the migration must be thoroughly coordinated to ensure that no function is left with inadequate staffing during the transition.

Information Technology's organizational restructuring has been delayed, due to classified hiring regulations, changes within the Personnel Commission, and uncertainty surrounding the ongoing comprehensive classification study by the Personnel Commission. These delays have created temporary, but extended, extra assignments for two critical Information Technology managerial positions, one of which has involved a "management extra duty assignment" for the past three years.

Plan–IIIC.1(c)

- ◆ The collective bargaining units for faculty and staff will complete their evaluations of the proposed Computer and Network Use Policy, so that a mutually agreeable policy can be established.
- ◆ Information Technology will assess the possibility of integrating County People-soft data with WebISIS and designing an in-house Information Technology asset tracking system to record all the hardware, software deployment, and cascading changes.
- ◆ Information Technology will formalize a security manual to define an internal operational security policy and ensure the implementation of the policy.
- ◆ Information Technology will work with Human Resources and the Personnel Commission to implement the restructuring of the Information Technology departments.

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

Description–IIIC.1(d)

The College's technology resources are widely distributed, with allocations coordinated centrally by the District Technology Committee via the technology planning process.

The District Technology Committee maintains and updates the *Master Plan for Technology*, a responsibility that includes developing the annual technology budget. This committee is chaired by the vice president responsible for Information Technology and is composed of faculty, administrators, classified staff, and a student representative. Each year, this committee receives input about the College's current technology needs from four primary sources:

- The Academic Senate Joint Information Services Committee (ISC) annually solicits requests for new/replacement instructional technology from academic departments and programs. The requests are prioritized by the committee and then forwarded to the District Technology Committee.

- Student services departments follow a similar procedure for non-instructional technology needs by submitting requests to the Vice President, Student Affairs. These requests are forwarded to the District Technology Committee.
- Leaders of the various Information Technology departments provide input regarding special projects, upgrades to existing systems, and other system and infrastructure maintenance needs that are not included in their regular departmental budgets.
- Leaders of academic departments or programs with vocational offerings are eligible to submit proposals internally to compete for Vocational and Technical Education Act (VTEA) funding each spring. The VTEA Committee reviews the proposals and allocates the funds accordingly. Since the 2002-2003 academic year, VTEA-funded initiatives that relate to information technology have been incorporated into the *Master Plan for Technology* annual objectives.

The District Technology Committee allocates available funding based upon the following principles:

- Maintaining existing technologies (e.g. replacing/upgrading computers that can no longer run essential software; maintaining service contracts and software licenses on essential services such as instructional applications, the Integrated School Information System (ISIS), e-mail, Microsoft Office, Internet security, and antiviral systems; and maintaining and upgrading the campus network in keeping with expanding usage) is generally given higher priority than expansion or implementation of new initiatives.
- New initiatives are evaluated based upon their potential positive impact upon student learning and upon feasibility issues related to user readiness, availability of necessary facilities and staffing, and other indirect costs of implementation.
- When categorical funds are allocated, appropriate use guidelines tied to those funds are followed.
- Desktop systems are “cascaded” from areas demanding high level system specifications to users of less demanding applications such as word processing, e-mail, and Internet browsing, thereby maximizing the useful life of each workstation.

Funding for the technology plan is provided through a combination of the College’s general and categorical resources. The College’s general funds provide Information Technology staff compensation, supplies, maintenance contracts, and occasional equipment purchases. Most equipment and software is purchased with various categorical funds, in accordance with the guidelines for the appropriate use of each. In recent years, the following programs have provided the majority of funding for technology plan purchases:

- Instructional Equipment and Library Equipment grants are usually allocated to the colleges by the state annually to support needs for instructional equipment, in-

cluding both technical and non-technical equipment needs, for instructional programs and for the Library.

- Vocational and Technical Education Act (VTEA) funds are allocated by the federal government via the State. They are intended to support the development of occupational programs and may be used for technical and non-technical needs. There is considerable uncertainty at the Federal level regarding the continuation of this program after 2003-2004.
- One-Time Technology Block Grant funding was allocated by the state in fiscal year 2000-2001 to support College technology needs. These funds were used to support critical Information Technology needs that did not meet the use requirements associated with other categorical funds.
- Student ID card sales generate revenues, a portion of which are set aside to support technology initiatives that directly benefit students.
- The Associated Student Government collects revenues annually via its membership fee. The Associated Students leadership develops an annual budget and frequently opts to invest in technology for student use.

The College is committed to fulfilling its legal and ethical obligation to provide equal access to electronic and information technology to all students and employees, including those with disabilities. Consistent with this commitment, the College integrates into its technology plan universal access goals based upon current accessibility standards for software, web pages, telecommunications products, video and multimedia products, self-contained closed products, and desktop and portable computers. The current federal standards are those delineated in the 1998 revision to Section 508 of the 1973 Rehabilitation Act. California Assembly Bill 105, which went into effect January 1, 2002, mandates compliance with Section 508 standards for any purchases made with state funds. Recognizing both the importance of compliance with 508 standards and the fiscal constraints that preclude hiring a 508 coordinator, the Academic Senate Joint Information Services Committee formed a subcommittee to address Section 508. The goals include drafting administrative regulations for complying with laws on equal access to electronic and information technology, evaluating the current level of Section 508 compliance, and developing a plan for compliance, including achievable, prioritized goals.

Providing universal access to electronic and information technology requires the cooperation of many campus programs, primary among which are the Disabled Students Center, Academic Computing, Management Information Services, and the Media Center. The Disabled Students High Tech Training Center is dedicated to ensuring that all students with disabilities in academic courses and all college employees have equal access to electronic and information technology. Toward this end, the High Tech Training Center provides access evaluations, training in assistive technology, computer courses, and consultation to the college community on all aspects of universal technology access. Universal access to mainstream campus labs is provided through the Campus-Wide Assistive Technology Plan, approved by the Academic Senate and incorporated into the *Master*

Plan for Technology during Spring 1998. This plan established a philosophical and operational foundation for distributed access to assistive technology, ergonomic equipment, and adjustable furniture. Each year, the Academic Senate Joint Information Services and District Technology committees recommend funding for collegewide assistive technology in mainstream labs.

The College's planning process has resulted in widespread use of technology across all disciplines, student services areas, and geographic locations. Computers are located in all departmental offices, most faculty offices, all administrative offices, most staff offices, more than twenty-three student computer labs and classrooms, two faculty/staff computer labs (one for drop-in use, one for training workshops), at instructors' podiums in all smart classrooms built since 1999, and in many classrooms built before that time.

To keep pace with the rapidly expanding use of technology, the Academic Senate Joint Information Services Committee developed, and the District implemented, a Student Computer Use Policy. The Information Services Committee also developed a draft of a staff Computer and Network Use Policy that was approved by the Academic Senate in May 2002. Copies of both are available in the appendices to the *Master Plan for Technology*. The draft policy for employees is now awaiting evaluation by the employee collective bargaining units.

Evaluation—IIIC.1(d)

The technology planning process works very well to distribute technology resources equitably and to leverage the limited financial resources for technology equipment and software to cover all critical needs. While most departments and programs would prefer to have access to additional or newer equipment and more software, there is general satisfaction that the resources available are distributed fairly. However, the current distributed computing approach is costly to support, both with respect to staffing requirements and to inefficiency in the use of existing equipment and software.

Each student computer lab requires one or two permanent instructional staff, ready access to technical support staff, and perhaps several student assistants for smooth operation. Instructors prefer to have a computer lab dedicated to their department and housed near their classrooms and office facilities, so they can easily interact with lab staff regarding software needs and other operational issues. While all parties agree that this is the ideal situation for each department, it is simply not financially possible for the College to provide a dedicated, staffed computer lab for each department without dramatic increases in state funding. All instructional departments should have ready access to facilities where their students can access computer resources, but it will be necessary for departments to share centralized facilities before this can occur. Furthermore, student computer usage levels vary dramatically from department to department, leaving some departmental labs underused, while others struggle to accommodate long lines of waiting students. A centralized approach would allow unused resources (workstations, software licenses, and staff) to be reallocated as needed, would allow all departments access to computer labs,

and would dramatically reduce the number of permanent instructional staff required to provide high quality service to students.

In addition to numerous user computing facilities throughout the College, there are a few centralized facilities that house the supporting infrastructure for information technology initiatives. For example, the College's main phone switch, voice mail system, second network backbone, Internet firewall, and proxy servers are located in a room in the Media Center. These systems have outgrown the physical capacity of this room, due to the drastic functional expansion of these services in recent years. The uninterrupted power system (UPS) and air conditioning unit are constantly under stress to support the loads generated by all the hardware.

The College's main server room, housed in Drescher Hall, is also deficient. The UPS was upgraded in 2000, including an increase to the building power feed that enabled the use of an emergency power generator connected to the UPS. However, due to the size of the room and the limitations of the main power feed, even this upgraded UPS is only able to accommodate current needs. There is no capacity for anticipated growth. The server room air conditioning unit is also problematic. Designed as a building air conditioning backup system, it alone cannot sustain the heat generated by all the equipment in the room. Therefore, when the building air conditioning fails or is shut down for energy preservation, the server room temperature soars above 90 degrees in two to three hours, causing system shutdown. It is costly to upgrade the air conditioning system, but necessary. An additional deficiency of the current server room is the lack of a fire protection system, another costly but necessary addition to the facility that houses the heart of all campus technology services and data.

One possible solution is the recently proposed move of the main server functions and many of the Information Technology staff to the Bundy Site. Currently in the planning process, this solution would provide a large, ground-floor server space sufficient for current operations and anticipated growth, as well as ancillary functions. Although the Telecommunications staff and functions would, for the time being, remain on the main campus, this solution for the rest of the Information Technology functions offers the best and most cost-effective option for providing expanded, more secure facilities and centralizing the majority of Information Technology functions and staff.

Academic Computing staff are scattered amongst the various student computing facilities. Staffing needs in a distributed setting are costly, and usage levels of lab resources are reduced when labs are designated only for specific disciplines. A main centralized computing facility, with limited distributed computing locations, would maximize usage of resources and provide the most cost-effective solution.

The costs of software and hardware upgrades and replacements needed to maintain current technology services are substantial. Meeting this need using fluctuating categorical funds is challenging, and implementing new initiatives is even more so. Replacement and upgrade costs for equipment and software consume an ever-increasing portion of the available funds. Indeed, in 2002-2003, these costs exceeded available funding, resulting

in the extension of the lifetimes for many college workstations beyond even the most conservative recommendations. The situation for 2003-2004 is similar. Accordingly, the *Master Plan for Technology* objectives are substantially modified annually, partially to keep up with new developments in the industry, but primarily to adjust the annual budget to match the funds available that year. In the past, technology funding was used primarily for new initiatives that could be delayed during years of low funding without significant negative impact upon college programs. Currently, however, a large portion of each annual *Master Plan for Technology* budget is devoted to maintaining existing technology via software license renewals and replacement of aging equipment, activities that are critical to the daily instructional and operational activities of the College.

A key component of technology planning is the recognition and inclusion of the total cost of ownership of new technologies in all stages of planning and implementation. To accurately project the impact of additional or new technology, planning must address, over and above the initial cost of any equipment or software, the costs associated with:

- Changes to physical space allocation necessary for new/additional technology to operate properly: moving, removing, or adding walls; additional electrical or data equipment or wiring; and additional loads on existing air conditioning systems. Additionally, changes in space usage must be included in the state space inventory and adhere to required fire, life safety, and building codes.
- Additional network infrastructure necessary to support new or additional technology such as servers, routers, switches, hubs, ports, and IP addresses.
- Additional staff to support new or additional technology, including lab staff for student labs, tech support for college staff, network staff to support the additional impact on the infrastructure, staff to maintain and repair equipment, and user training staff. (If existing staff are to assume additional duties, the impact on workload, turn-around time, and scheduling must be addressed).
- Expansion of existing software licenses. College-wide licenses cannot absorb additional users without additional cost.
- Maintenance and repair. (Additional technology increases energy consumption, which must be projected; additional equipment must be repaired and maintained, requiring staff).

Plan–IIIC.1(d)

- ◆ The District Technology Committee will examine the feasibility, efficiency, cost benefits, and impact upon technology usage of moving forward with a plan for centralizing student computing facilities.
- ◆ The District will examine ways to budget for the maintenance of the information technology infrastructure, including maintenance agreement renewals and equip-

ment replacement costs that are predictable and independent of the individual operating budgets of the Information Technology departments.

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

Description—IIIC.2

The College's technology planning process is well developed, as described in Standard IIIC.1(d) and, in more detail, in the *Master Plan for Technology*. Integration with other college planning committees occurs several ways: through the input received from the various campus constituents; overlap in the membership of the District Technology Committee with other planning committees; and via the *Master Plan for Technology*, which is available to other college planning committees. This integration is currently under evaluation for potential improvement as stated in Objective 11 of the July 2003 update to the *Master Plan for Education*:

To refresh and refine the institutional planning process by conducting a Collegewide Coordinating Council self-evaluation of the performance of its functions and its relationship to and interaction with other college committees (such as the Budget Committee and the District Technology Committee), Academic Senate joint committees, and the College's departmental structures.

Information Technology departments receive feedback on technology initiatives through myriad processes:

- The College's program review process requires each department to conduct a thorough self-evaluation and undergo a review by the Academic Senate Joint Program Review Committee every six years. In March 2003, the Information Technology departments received a very positive evaluation via this process. This was the first time that Information Technology elected to conduct the review as one unit, rather than as individual departments. The result was a broader, more comprehensive analysis of overall Information Technology services than has been conducted previously. Recommendations from the Program Review Committee included proceeding, as soon as is feasible, with the proposed Information Technology staff reorganization and with the implementation of the online Tech Knowledge Center.
- The California Community Colleges Chancellors Office commissioned technology consultants, the Gartner Group, to analyze the technology needs and costs for the community colleges. After extensive research, a series of benchmarks were developed to serve as guidelines for the colleges on technology distribution and support. The guidelines address such topics as ideal ratios of students, faculty, and

staff to workstations and various peripheral devices; appropriate software tools; appropriate online services; and ratios of users to technical staff, broken down by function. The benchmarks and corresponding statistics for the College are listed in the *Master Plan for Technology*. The College provides sufficient workstations, software, peripherals, and online services to meet or exceed each of these benchmarks. As indicated in Standard IIIC.1(c), the level of staffing is below the benchmarks in most areas of technical support. The College plans to provide additional support when it becomes financially feasible.

- All centralized technology services provide Information Technology staff and management with usage statistics that are valuable tools for assessing the value of various services to the user community: server logs provide data on system reliability and efficiency; WebTrends software (run on the campus web servers) provides such information as frequency of user access for each web page; Management Information Systems collects data on the number of students using each of the enrollment options (telephone, online, or in-person).
- The Academic Senate Joint Information Services and Distance Education committees have designed and conducted surveys on learning management systems, hold discussion forums to collect faculty and staff input and feedback on new technology initiatives, and periodically survey the students on their use of technology services—ranging from learning management systems to online enrollment to library resources. The data collected are included in the *Master Plan for Technology*, where they are available to the college community.
- The Technology Training program conducted a formal needs assessment in 1998 and requests all workshop participants to evaluate each workshop. Evaluation results are used to identify weaknesses in workshop curricula, improve training techniques, and select topics for future workshops.

Evaluation—IIIC.2

Information Technology staff routinely utilize detailed quantitative data regarding system performance to optimize software and hardware configurations and designs. Quantitative data regarding user perceptions of technical services and of the technology planning process are more difficult to obtain.

The *Master Plan for Technology* has become increasingly comprehensive, as technology initiatives from more areas of the campus are incorporated under its umbrella. For Information Technology, the document has therefore become an extremely helpful tool for tracking progress and evaluating the “big picture” of the expansion of technology collegewide. Ideally, the next phase of its evolution will involve more direct linkage of technology objectives to institutional objectives and the inclusion of standards that can be used to measure the success of each objective.

The benchmarks for technical services and support for instructional computing provided by the Chancellor's Office and the Gartner Group are valuable to Information Technology administration in assessing the College's support structure and level of services provided. The Information Technology departments are seeking similar benchmarks for the administrative computing functions.

Plan–IIIC.2

- ◆ The Collegewide Coordinating Council will conduct a self-evaluation of its relationship to and interaction with the District Technology Committee and the Academic Senate Joint Information Services Committee to improve the integration of technology planning with institutional planning.
- ◆ The District Technology Committee will include measurable outcomes for each objective in the *Master Plan for Technology* to facilitate evaluation of the plan's effectiveness.
- ◆ The District will continue to support statewide efforts to develop concrete benchmarks for technology services and staffing for administrative and student services computing, similar to those that have already been adopted for the support of instructional computing.

IIID. Financial Resources

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

IIID.1 The institution relies upon its mission and goals as the foundation for financial planning.

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

Description—IIID.1(a)

Several major planning documents drive the planning process. The *Master Plan for Education*, updated yearly, serves as the basis for all planning efforts, including financial planning. Other planning documents that contribute to the updating of the Master Plan for Education include the *Comprehensive Facility Master Plan* (the major long-range facilities plan) and the *Master Plan for Technology*, both of which have been developed and/or updated since the last accreditation review. The role of these planning documents is significant because, in recent years, any additional funds available to the College to support student learning have been used to increase the number of faculty and classified instructional support positions, support instructional and infrastructure technology needs, and address the need for adequate facilities.

The primary body for review and updating of the *Master Plan for Education* is the Collegewide Coordinating Council. In addition, there is a Budget Committee, which is responsible for reviewing expenditures and income, making recommendations, and informing the various college constituent groups of the status of funding and expenditures and any modifications made to the budget throughout the year in response to funding changes. Discussions focus on state and local funding and the non-collective bargaining parts of the expenditure budget. Institutional goals are discussed in general, with responsibility for ensuring that priorities and decisions meet the college mission and goals referred to the Superintendent/President and the senior staff.

Both the Collegewide Coordinating Council and the Budget Committee include representatives of all college constituent groups, many of whom serve on both committees. Both committees are primarily recommending bodies, with final decisions and accountability resting with the Superintendent/President. Based on input from the recommending bodies, senior staff meets with the Superintendent/President to set spending priorities and ensure that these can be accomplished within a balanced budget.

Due to insufficient information from the State prior to adoption of the annual budget and the certainty of the State making revisions to the budget during the funding cycle, Santa Monica College's financial planning process is, by necessity, flexible. Within those parameters, the planning process is linked to the *Master Plan for Education* and the academic calendar and schedule. Requests for discretionary budget increases, new positions, equipment, and facilities are reviewed in the context of how those requests meet planning goals. Although individual requests are not necessarily required to demonstrate a specific link to the planning documents (e.g., requests for non-technology instructional equipment are assumed to support student learning and success, so are not required to delineate links), some requesting processes such as those for technology and VTEA (Vocational and Technical Education Act) funds do require detailed justification, including the relationship to planning goals.

Personnel, the majority of whom are faculty, account for 85% of the budget expenditures. Faculty have the most direct impact on students. Thus, requests for new faculty support college goals that relate to student learning and success. The Collegewide Coordinating Council reviews requests for new faculty and forwards recommendations to the Superintendent/President. As the same body responsible for reviewing the annual *Master Plan for Education*, the Collegewide Coordinating Council is the link between planning and faculty hiring. Approval of requests for classified positions is not as clearly tied to the College's planning processes; final approval rests with the College's senior administrators who determine hiring priorities in conjunction with the budget and the most critical needs to meet college goals.

Another overarching goal articulated by the *Master Plan for Education* and the *Comprehensive Facility Master Plan* is the acquisition of property to enable the institution to meet facilities needs and fully utilize its growth funding potential. Both planning documents recognize the limitations imposed by a cramped, 38-acre main campus site and include the acquisition of property to expand the College's options for growth and efficiency. However, there is disagreement within the college community about the amount and level of discussion that should take place before property is acquired.

Since the last accreditation review, the College has purchased several pieces of property. The largest, a 10.4 acre site known as the Bundy Site, will be developed as a satellite campus with full support functions on-site. An *ad hoc* joint committee, including faculty, classified, and management representatives, was formed to make recommendations for proposed uses of the site. Committee recommendations were forwarded to the Superintendent/President, but planning was interrupted when it became clear that the state budget picture would force the College to make severe reductions in offerings. In the interim, the College is seeking short-term tenants (five year) for parts of the site to cover operating costs and general revenue. Some of the recommended programs will be moved into the west building because of the shortage of classrooms due to construction projects scheduled to begin in Fall 2004.

In March 2002, the College successfully passed a \$160 million bond issue (Measure U) for capital improvement projects. Scheduled to be spent over the next ten years, this fund-

ing will significantly increase the ability of the College to implement many of the replacement and modernization plans recommended in the *Comprehensive Facility Master Plan* and through the facilities assessment report prepared in 2001. A list of 17 projects was included in the bond measure, including the acquisition of property. The success of this bond measure is a reflection of community support for the College and acknowledgement of the impact of the projects funded under the previous bond measure, Proposition T, passed in 1992, which only just retired the last project—the expansion and modernization of Santa Monica College's library.

The Board of Trustees has ultimate fiscal responsibility for the institution and is apprised of all planning activities through weekly reports, monthly meetings, individual meetings with the Superintendent/President and senior staff, and biannual retreats at which in-depth planning is highlighted.

The Budget Committee meets monthly and makes recommendations to facilitate financial decisions necessary to implement the *Master Plan for Education*. The Budget Committee also reviews the *Five Year Construction Plan*, which is submitted annually to the Chancellor's Office and is directly linked to the *Master Plan for Education*. Recommendations from the Budget Committee are forwarded to the Superintendent/President. Occasionally, issues discussed in the Budget Committee are referred to the Collegewide Coordinating Council for review and further discussion.

Evaluation—IIID.1(a)

The annual budget of Santa Monica College meets the expenditure requirements of state law, but does not provide the funding desired to meet all the requirements of the various areas of the College. The California community college system is primarily dependent upon state funding, which is contingent upon legislators' perceptions of the California economy. System funds are allocated by formulas to individual districts and colleges. Particularly in the 2002-2003 and 2003-2004 fiscal years, the incongruence between projected revenue and state funding allocations has produced a deficit budget that is severely impacting the ability of those sectors dependent upon legislative funds (Santa Monica College included) to plan effectively.

In an institution the size of Santa Monica College with a reputation for academic excellence, the demand for continuous improvement and innovation exceeds the capacity of financial resources. Thus, the importance of linking financial planning to institutional planning is critical.

To be sure, not all constituents of the college community agree on the priorities established and revised each year. Not surprisingly, the allocation of financial resources is the primary focus for discontent and disagreement. At the root of an underlying discontent are issues of communication, perception, style, and a lack of consensus regarding the roles of planning bodies. There is some agreement that communication in general has improved, except in the area of planning. Perceptions tend to focus on two areas—disbelief among some college constituencies regarding the accuracy of financial documents and

projections prepared by college management and disagreement on the level and role of participatory governance in the decision-making process. The role of various committees and documents in the planning process is not clearly understood within the college community, and there is disagreement over whether the relationship between membership and participation in the planning committees constitutes an acceptable level of participatory governance. (See Standard IIA and IVA for related discussions).

Plan—IIID.1(a)

- ◆ The College will evaluate the dissemination of fiscal planning information and clarify roles of individuals and groups in the planning process.

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

Description—IIID.1(b)

In addition to the *Master Plan for Education*, the College includes the funding priorities of revenue sources in planning. Beyond college objectives tied to the *Master Plan for Education*, state capital improvement guidelines serve as an additional resource and reference in developing the *Five-Year Capital Improvement Plan*, *Master Plan for Technology*, and revisions to the *Comprehensive Facility Master Plan*.

Institutional planning also includes the acquisition of external funding through grants and contracts and through the development of partnerships with external groups. The College's concerted effort to secure external funding has resulted in a significant increase in such revenue from \$941,472 in 1995-96 to \$5,130,057 in 2002-2003—an increase of 468%. As the College has increased the number of grants applied for and received, grant funding guidelines serve as a planning resource for determining applicability to college goals and the impact that requirements, such as matching funds, may have on available financial resources.

One funding source that has allowed the College to aggressively develop programs is non-resident tuition. The international student population at Santa Monica College is the major component of the non-resident population, and is one of the largest in the country. International students pay both a non-resident tuition fee and a capital improvement fee. At 13% of the 2002-2003 general fund unrestricted revenue, international student fees represent a significant, yet variable, funding source. Recent changes in immigration law have and will continue to have an impact on international student enrollment and are thus more heavily considered in the budget planning process than might be the case at other institutions.

Projecting non-resident enrollment is based on a number of factors—current non-resident enrollment, projected number of credits remaining for current students to complete their

educational goals, and the application pattern for the coming year. If known, changes in immigration law are factored in as well.

In recent years, state block grants and categorical funds have enabled the College to implement a number of planning goals in specific areas such as new equipment and technology. A major commitment has been the hiring of new faculty and classified staff funded from a number of sources, including Partnership for Excellence funds.

Evaluation—IIID.1(b)

Support for student learning, either directly or indirectly, is the primary focus of planning processes at the College. Specific examples of the emphasis on student learning include the hiring of new faculty and classified instructional support staff since 1997. By allocating a significant portion of Partnership for Excellence funds to support these hires, the College not only recognized the positive impact on student learning these hires would make, but also committed to meeting the financial obligation of covering the cost of COLA and increased benefits for these positions in subsequent years. Shrinking Partnership for Excellence funds will not cover these costs.

The *Master Plan for Technology* now provides an effective process for managing financial resources available for technology—an area for which the demand is growing exponentially and that is now essential to supporting student learning and institutional infrastructure. In the past, technology was considered more "value added" than essential, and the distribution of resources tended to be allocated without significant reference to institutional goals. The District Technology Committee has developed purchase and replacement priorities in acknowledgement that the proliferation of technology and requests for hardware and software, coupled with the maintenance of existing technology, have exceeded the capability of projected financial resources.

Projecting a budget is subject to many variables and fluctuations. The District has made errors in significantly under projecting expenses, has erred by not including all known costs in initial projections, and has not done an adequate job of relating published state figures to actual college budget revenues and expenses. This has led to a perception that the budget is not as bad as the District portrays and/or that funds are being hidden. It is clear that the administration must make a more directed effort to ensure that there is a better understanding of the myriad variables, fluctuations, complexities, and limitations of funding streams; it must rectify errors; and it must include all known costs in initial projections.

A model planning relationship exists between the offices of Business and Administration and Academic Affairs with regard to linking the planning of scheduled course offerings to projected funding. Working together, the two offices have been remarkably accurate in projecting the student attendance (FTES) that will be produced by careful planning and allocation of class offerings.

The very effective planning link between Academic Affairs and Business and Administration is not mirrored in the working relationships between the administration and other college constituency groups. There have been occasional complaints from members of the Budget Committee that information has not been presented in a timely manner to allow for sufficient time to review and analyze the information prior to the meetings. When information is distributed either the night before or during the meeting, some committee members feel that this results in one-way communication from the administration, with little opportunity for informed discussion. On several occasions, members of the Budget Committee have identified errors in the budget documents and discrepancies between figures on the budget documents. These discrepancies, coupled with changes in the budget forecasting, have resulted in increased mistrust of the information presented.

Plan–IIID.1(b)

- ◆ The Budget Committee will increase opportunities for college constituencies to provide input to the budget planning process.
- ◆ The College will improve the use of available data in developing budget projections.

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

Description–IIID.1(c)

The *Master Plan for Education* is the basis for long-range planning and establishing fiscal priorities to achieve plan objectives. Short-range plans tend to be more responsive to the immediate fiscal realities; more priorities are addressed when funding is increased while lean budget years require retrenchment and reductions. For example, the Faculty Association contract negotiated in 2001 anticipated a consistent income stream for the three-year contract period (2001-2004). However, during the second and third years of the contract, reductions in state funding have resulted in a disparity between available funding and the funding needed to meet contractual obligations.

Payments of long-term liabilities and obligations are included in both short-term and long-range planning, with matches made to revenue streams wherever appropriate. For example, the long-term debt accrued to pay for parking structures is predicated on the projected revenue from parking permits; and the Certificate of Participation (COP) issued for the purchase of the Academy of Entertainment and Technology satellite site is being funded by the capital improvement fee collected from international students.

State apportionment includes growth revenue for new buildings, which becomes part of the base budget. In theory, the increased maintenance costs of bringing a new building on line are added to and continued in the base budget apportionment. In reality, when the

base budget is cut or adjusted after the fact for funding deficits at the state level, funds for maintaining new buildings are also reduced, resulting in expenses the College will have to include in future budget planning.

The annual short-range financial plan for the next academic year has typically consisted of using: (1) the current year's estimates for ongoing operations and obligations; (2) the prior year's actual expenses and revenue; and (3) the future year's new obligations and revenue projections to determine the amount that should be added to or reduced from current year accounts to plan for the next academic year.

Financial planning leans toward the conservative side, when projecting liabilities and obligations covered by the General Fund, to better cover under-projected increases. The projection of revenues includes only those amounts and items for which there is a high degree of certainty. Issues have been raised as to how conservative budget projections should be.

Evaluation—IIID.1(c)

Multiple factors are considered in fiscal planning. Payments of long-term liabilities and obligations that can be matched to revenue streams, such as the sale of parking permits to pay for the long-term debt on parking structures or the international student capital improvement fee to pay the Certificate of Participation (COP) for the Academy of Entertainment and Technology, become minor items in the planning process, once the match has been made.

Increases in liabilities and obligations covered by the General Fund, such as the costs of health and retirement benefits, worker's compensation insurance, and energy rates, have been harder to project and have a much greater impact on financial planning. Until recently, the college leadership had been able to fairly accurately predict increases and make adequate adjustments throughout the year. A steeper than usual rise in these costs, begun in 2001-2002, has continued to escalate beyond projections. Driven in part by the drop in the state economy and the higher faculty salaries, these factors, along with a reluctance to lay off large numbers of employees during 2002-2003 and the mid-year state budget cuts, have contributed to the College's inability to maintain the required reserve at the end of 2001-2002 and 2002-2003.

The College needs to improve projection and planning models for developing a budget. Given that 85% of the budget is committed to salaries and benefits, closer collaboration between the Business Services and Human Resources offices in crafting the budget model is suggested. Care should be given to building the model so that all items and their effect have been included. For example, retirement health care benefits, the value of accumulated vacation time for administrators, and the value of all faculty banked hours should be projected and included. As the budget is planned, the rationale behind the figures should be disseminated, along with an indication of areas in which figures are likely to change throughout the year. Currently human resources and payroll data are main-

tained on unconnected systems, a factor which can contribute to errors in projections and budgeting. It is anticipated that, at a future date, the systems will be connected.

Plan–IIID.1(c)

- ◆ The Business Services office will develop and test a series of budget models for projecting revenue and expenses.
- ◆ The Human Resources and Business Services offices will collaborate to ensure consistency of information between the personnel and payroll systems.

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

Description–IIID.1(d)

A number of collegewide committees and other bodies contribute to the planning process, some with a more specialized focus than others. All collegewide committees include representatives from faculty, staff, and management, and most include student representatives.

Committees that participate in financial planning, in addition to the Collegewide Coordinating Council and Budget Committee, include the Academic Senate Joint Information Services Committee (responsible for recommending instructional technology expenditures to the District Technology Committee) and the District Technology Committee (responsible for all technology expenditure recommendations including student services, administrative services, and infrastructure).

Additionally, a joint *ad hoc* committee meets yearly to allocate Vocational and Technical Education Act (VTEA) funds for the following year. Occupational programs are invited to submit plans, and resulting VTEA allocations are based on the committee's evaluation of the ability of the proposal to respond to and meet the VTEA core indicators.

Each year, in addition to the submission of technology requests, departments and programs submit requests for non-technology instructional equipment. The funding source for these requests is state categorical instructional equipment money. The amount of these funds varies from year to year and must be matched, often from the General Fund. The Office of Academic Affairs reviews and prioritizes the requests, based on the potential effect on student learning outcomes and the *Master Plan for Education* objectives, and distributes available funds across departments to meet as many prioritized requests as possible. Through this process, other funding sources and cascading opportunities are also identified.

These committees and processes rely on the *Master Plan for Education* and other planning documents to inform their recommendations and decisions and to ensure that allocations meet funding guidelines (as in the case of VTEA funds) and college goals and objectives.

Departments, programs, and other college groups submit requests for additional financial support in years when the budget includes increased revenues. Requests for additional faculty positions are submitted to the Collegewide Coordinating Council, which prioritizes the requests and forwards the recommendation to the Superintendent/President, who traditionally has accepted the recommendations with only an occasional modification. In fact, in several of the years since the last accreditation, the Superintendent/ President recommended to the Board of Trustees that the District hire more faculty than originally planned.

Requests for increases in discretionary budgets and additional classified staff and management positions are reviewed by senior staff, and available funds are allocated based on priorities established to meet college goals and objectives. The impact on improving student learning, meeting college goals, and responding to externally imposed mandates are the driving forces in these decisions.

Department and area administrators, faculty, and support staff are involved in preparing budgets for their respective departments and areas. These budgets are based primarily on past practice. Department chairs usually disseminate budget information to department members on an as-needed basis. Equipment and facility needs are generally identified and prioritized through discussion or voting among departmental faculty. Additionally, the allocation of new faculty hires can have a major effect on how budget items are allocated.

Evaluation—IIID.1(d)

Planning documents have improved the planning process. In the past, some funding recommendations made by planning committees tended to be based on the input of those individuals who served on the committee and perceptions of whose turn it was to receive funds. With the development of planning documents and a more focused charge, the perception of favoritism has been reduced, and a measure of objectivity has been instilled into the committee processes and outcomes.

For example, the federal Vocational and Technical Education Act (VTEA) funds are now allocated using a competitive, internal application process, which requires the College's occupational programs and the support services that serve them to submit requests that define how their use of the VTEA funds will increase student success and other accountability measures.

While the guidelines for some funding decision-making processes have improved over the past six years, others are the subject of dissenting views between college constituent groups and the administration. For example, because the District postponed hiring new

faculty in 2003-2004, some faculty view the Superintendent/President's past decisions to hire more faculty than originally allocated to a particular department as a negative departure from the faculty hiring process. These individuals feel strongly that, while it is generally agreed across campus that there is a long-unmet need for full-time faculty, the practice leads to committing more resources in some areas while leaving other needed positions and specialties unfilled. Although, at the time, there was general support for additional faculty hires, in the current reduced budget climate, concern has been voiced by some that the risks and benefits of committing additional resources at such times was not debated by the planning committees charged with making faculty hiring allocation recommendations.

There is also concern that the guidelines and processes for financial planning and budget development have not been clearly articulated within the college community. While discussions on financial issues clearly take place in both Collegewide Coordinating Council and Budget Committee meetings, the extent of meaningful participation by all constituent groups in these discussions is disputed by some members of those committees. Budget information is not clearly communicated to the campus community, and there is strong disagreement as to the basic accuracy of the figures presented.

On one hand, the administration believes that there is not a clear understanding among and between members of the campus community of the complexities of the revenue streams, any limitations imposed by these revenue streams or other obligations, or the long-term ramifications of collective bargaining agreements. Most critical is the necessity for a flexible budget-planning process in order to be able to respond to adjustments required because the State's financial cycle is subject to mid-year revisions. Specifically, the fact that funding allocations from the State are not finalized until well after the fiscal year has closed is not generally acknowledged, in part because the College has until recently been fairly accurate with projections. Specific areas that the administration feels are misunderstood by faculty and staff include the following:

- The administration's approach to projecting budget shortfalls is admittedly, but necessarily, conservative. It would be fiscally imprudent to ignore the reality that continued state reductions will take place as California continues to grapple with its growing deficit.
- Approximately 85% of the college budget is devoted to salaries, benefits, and other items governed by collective bargaining. After covering other obligations and liabilities, only in years of projected growth is there the possibility of additional budget to allocate to items recommended by the planning process. Planning bodies then have a limited scope in which to make recommendations. In bad budget cycles, this adds to the feeling of being disenfranchised.
- Suggestions for supporting some of the discontinued programs through external funding (e.g., donations and grants) are impractical in the long term. Ongoing operational costs are difficult to sustain and the restrictions governing grant funding coupled with the uncertainty of continued funding preclude using these grants as an ongoing permanent financial resource.

- The college community tends to look at bottom-line state budget numbers, leading to a misunderstanding of the relationship of published state figures to college obligations and the limitations of specific line items.

On the other hand, many faculty, staff, and students feel that the administration perceives the role of planning committees in the decision-making process as one of making recommendations that need no reply from the administration when decisions are actually made. Faculty and classified groups insist that they do understand the uncertainty and changing nature of state budget information and the non-discretionary nature of the majority of budgeted items. They also declare that they understand the difference between voting power and recommendation, but they feel that alternative proposals (budget or otherwise) deserve a full and public consideration, including a response about why other decisions are made instead. Specific areas of disagreement include the following:

- Faculty and staff describe the administration's portrayal of budget prospects at any given point during the 2003 calendar year as being overly pessimistic compared to information and opinion widely available through the state community college groups.
- Budget analysts from faculty and staff groups have identified accounting procedures that have allegedly hidden dollars in the budget that would have been reported as ending balance in a previous year. (These assertions are disputed by the administration.)
- Faculty and staff perceive that alternative budget planning scenarios have been summarily dismissed by administration without due consideration.

There is also disagreement as to whether these differing opinions exist during "good" versus "bad" budget years. The administration perceives that these differing views coexist somewhat peacefully in good budget years when decisions focus on who will get additional resources and that the perception of being excluded from the decision-making process is exacerbated during years in which the budget is limited or reduced. The view held by the faculty and classified staff is that distrust in budget matters and feelings of exclusion from participatory governance have been growing concerns over the past eight years, and they point to examples of protests, job actions, and lawsuits.

In summary, the contrast between years of rapid growth and increased resources and the 2002-2003 and 2003-2004 reductions have taken a hard toll on the campus, particularly in relations between management and the faculty and staff, as evidenced by the June 2003 votes of no confidence in the Superintendent/President's leadership by both faculty and staff groups. These actions were precipitated by the decision to discontinue several academic programs. Many faculty, staff, students, and members of the community opposed the program discontinuance and countered with proposals for substitute recommendations. The differences of opinion on what budgetary actions were necessary and prudent, coupled with the short timeframe for making those decisions due to externally imposed deadlines, have led to an impasse of purpose and exacerbated misunderstandings.

Plan–IIID.1(d)

- ◆ The Superintendent/President will clearly delineate planning committee processes, timelines, and roles.
- ◆ Planning committee representatives will develop strategies for increasing communication back to their respective groups and create opportunities for representatives to gather feedback and suggestions during the planning process.
- ◆ Constituent groups will be encouraged to include links on their websites to collegewide committee agendas, minutes, and related documents.

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

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

Description–IIID.2(a)

Throughout the budget planning process, funds are first allocated to ongoing expenses, including anticipated increases in those expenses, with any additional funds allocated to support institutional objectives established through the planning process. These objectives support the college goals which are primarily directed at improving student learning.

In the six years since the 1997-1998 accreditation review, the College has received satisfactory audits. The only exception noted in the first five years was the practice, common with many California community college districts, of not maintaining a complete record of the historical costs of fixed assets. In the most recent audit for the fiscal year ending June 2002, the College had sufficient information to address this issue, resulting in an audit containing no exceptions. The auditors consistently reached the conclusion that the “basic financial statements ... presented fairly, in all material respects, the financial position of the Santa Monica Community College District ... and the results of its operations, changes in net assets and cash flows for the fiscal year...”.

Audit findings support the overall preparation of the budget and financial statements of the College as conforming to accepted accounting principles. Corrections are responded to in a timely manner, and an annual audit report is presented to the Board of Trustees at a regularly scheduled public meeting, providing the opportunity for public comment. A

report on the 2002-2003 audit is scheduled for the February 2004 Board of Trustees meeting.

Recent increased audit scrutiny mandated by the Chancellor's Office regarding compliance with the provisions of Education Code Section 84362 (the "50% Law") can be directly attributed to events that occurred at Santa Monica College. During the protracted negotiations for the 1998-2001 faculty contract, the Faculty Association initiated a lawsuit against the District, alleging that the District had not been in compliance with the 50% Law for fiscal years 1995-1996, 1996-1997, and 1997-1998. This lawsuit was dismissed "without prejudice" by the Los Angeles Superior Court with the opinion that the Faculty Association had not exhausted administrative remedies through the Chancellor's Office and the Board of Governors.

In December 1999, the Faculty Association directed this issue to the Chancellor's Office. The Chancellor's legal staff determined that regulations did not provide for dealing with compliance issues beyond the prior year, so a process was initiated to determine whether Santa Monica College had complied with the provisions of the 50% Law for the 1998-1999 fiscal year. This process resulted in the determination that the College had been in compliance with the 50% Law for 1998-1999 despite the fact that an accompanying legal opinion regarding faculty reassigned time as it relates to the "salaries of classroom instructors" portion of the 50% Law calculation significantly reduced the College's originally reported percentage.

Issues surrounding compliance with the 50% Law captured statewide attention, and the Chancellor assembled a 50% Law Task Force in an attempt to deal with system-wide policy issues regarding future compliance requirements. Santa Monica College's Vice President, Academic Affairs, Vice President, Student Affairs, and former Faculty Association Chief Negotiator were all appointed by their statewide constituent groups to serve on this task force.

In October 2000, an audit by the California State Bureau of Audits, prompted in part by the Santa Monica College Faculty Association lawsuit, concluded that Santa Monica College and other community colleges randomly selected for the audit had misreported compliance with the 50% Law for fiscal year 1998-1999. The Chancellor's Office disputed some of the criteria applied in the audit as not being consistent with regulation and concluded that, absent the disputed criteria, Santa Monica College had been in compliance for 1998-1999, albeit at a lower percentage than reported. The Chancellor then convened a workgroup made up of Chancellor's Office staff and members of the original 50% Law Task Force (including Santa Monica College representatives) to recommend additional 50% Law audit tests to be applied to all community college districts.

In September 2001, the Faculty Association re-filed the lawsuit against both the District and the Chancellor's Office. A contract resolution of the issue was reached in November 2001, with an agreement that the Faculty Association would not pursue compliance with the 50% law for the duration of the 2001-2004 contract. In exchange, the Faculty Association gained new salary benefits beyond the 10% salary increase that had been unilater-

ally implemented by the Board of Trustees in January 2000. These salary benefits included a decompression of the longevity salary schedule steps over a three-year period.

In response to the increased scrutiny regarding 50% Law compliance, Business and Administration, Academic Affairs, and Human Resources staff worked diligently over several years to clean up account coding inconsistencies that had contributed to the Faculty Association's original inquiries. The District has also instituted controls on expenditures for faculty reassigned time and non-instructional staffing. For the 2002-2003 fiscal year, Santa Monica College reported the "salaries of classroom instructors" as representing 56% of expenditures included in the 50% Law calculation.

Evaluation—IIID.2(a)

The College follows standard accounting practices and consistently meets standards for a satisfactory audit. In regard to the 50% Law calculation, faculty salary increases and the decompression of the longevity steps on the faculty salary schedule have had the greatest impact on maintaining the desired percentage. The final year of this decompression coincides with a revenue decline for the District for 2003-2004. Negotiations were initiated in an attempt to postpone this salary schedule adjustment to partially address the gap between revenue and expenditures, but were unsuccessful. The District views continuation of the controls on non-instructional staffing and faculty reassigned time as necessary to ensure that 50% Law issues do not resurface. The reduction of faculty reassigned time, which some faculty have called retaliatory, has created significant changes in how the College operates, and its implementation has contributed to current campus climate issues.

Plan—IIID.2(a)

None

IIID.2(b) Appropriate financial information is provided throughout the institution.

Description—IIID.2(b)

In addition to the annual audit and quarterly budget reports presented to the Board of Trustees in public sessions, copies of the audit report are sent to the leadership of the Faculty Association, CSEA, Academic Senate, and Classified Senate; placed in the college library; and posted on the college website for public access. (The Associated Students leadership has requested inclusion in future distributions of copies of the report.) As the body ultimately responsible for certifying the financial position of the College, the Board of Trustees is also given regular updates with regard to any changes to the current budget and the projected impact of legislation, funding agency requirements, and externally driven changes in expenditures.

The Budget Committee is the primary mechanism for disseminating financial and budget information to the college community. Representatives from each constituent group serve

on the committee and are charged with reporting back to their respective groups. In addition, quarterly budgets are presented at public board meetings, with additional information impacting the financial outlook regularly presented through public reports at Board meetings.

Budgets are assigned to a system of cost centers, generally tied to departments, programs, and specific offices or functions. Each cost center receives a monthly budget printout and is responsible for monitoring expenditures and the accuracy of the printout. Vice presidents are also accountable for ensuring cost centers assigned to their areas of responsibility remain within budget and either assign a staff member to serve as a clearinghouse and monitor for expenditures or develop other mechanisms to accomplish this.

The College has contracted with the Los Angeles County Office of Education to maintain computerized accounting and to provide off-site budget and accounting computer support services, which include producing accounting records and budget printouts, as well as issuing checks. On July 1, 2003, the County changed from their existing software system to a PeopleSoft-based system, which is heavily impacting college purchasing and accounting operations.

Evaluation—IIID.2(b)

The Collegewide Coordinating Council serves as the primary planning and advisory committee to the Superintendent/President, while the Budget Committee has focused more on the review of income and expenditures. Major recommendations having financial impact—such as those for new faculty hires—are made by the Collegewide Coordinating Council. The committees share a majority of the same membership, which ideally should better inform the planning process. In the view of some faculty and staff, information flow in both committees is from administration to other constituent groups, raising a concern that there is not a satisfactory process for incorporating proposals made from the committee floor into the College's planning process.

Faculty and staff perceptions that the planning process is not effective appear to be based on assumptions that, if recommendations from the planning bodies are not implemented, they have been ignored. This is exacerbated by a sense that the reasoning behind decisions should be explained. Management tends not to explain how conclusions that resulted in decisions were reached and clearly does not wish to engage in debate after the fact. This fosters a belief that financial information and its relationship to the College's vision is not shared.

Aside from planning, the decision by the Los Angeles County Office of Education's switch to the PeopleSoft software system has impacted the flow of financial information. Despite input from community colleges, the system, designed primarily to serve the K-12 educational system, simply does not serve the needs of the community colleges. The change has significantly impacted the ability of college staff to streamline processes and has increased the time required to process any documents tied to the system.

Adding another layer of inflexibility and room for error is the fact that the Los Angeles County Office of Education does not authorize any linkages between the PeopleSoft system, the Human Resources system (used by the County), and the College's in-house Integrated School Information System (ISIS). This causes staff members who interface with these systems, both as users and producers, to experience a high degree of frustration. This is exacerbated by the inability of the user to track items through the system. The accounting and budget processes have also been negatively impacted by the new account numbering system, which has increased the number of digits from 19 to 30, requiring additional verification and increasing the likelihood for error.

The additional time required to complete any of the fiscal processes will make it more difficult to expedite purchasing processes all the way through to processing payment for goods and services. Based on the experience of college districts that have independently implemented a PeopleSoft based system, the debugging of the system is anticipated to require four years.

Plan–IIID.2(b)

- ◆ Business Services areas will develop steps for ensuring that users are apprised of the status of requests and submissions (purchase orders, budget amendments, etc.) in a timely manner.
- ◆ The College will develop strategies for ensuring that data stored on the PeopleSoft, Human Resources, and ISIS systems are consistent and accurately reflect activity and allocations.
- ◆ Beginning with the June 2003 audit, the College will send a copy of each annual financial audit to the Associated Students leadership.

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

Description–IIID.2(c)

Under a system that requires planning and projections to occur with insufficient information, the College has historically been adept at achieving projections and has thus been able to maintain operations and stability except in truly abnormal circumstances. From 1997-1998 through 2000-2001 the College maintained reserves of 5% or higher. However, in 2001-2002, the beginning reserve of 5.7% actually dropped to 1.2% by year's end. Actual 2002-2003 reserves as of June 30, 2003, in the unrestricted general fund, were \$1,862,057 or 1.8% of the expenditures. The June 30, 2004 reserves are projected to remain at the same dollar level, as the result of balancing budgeting revenues and expenditures. The Board of Trustees has accepted this reserve plan, based upon uncertainties remaining for the 2003-2004 budget, and understands this will place the College on the Chancellor's Office Fiscal Stability Watch List.

Cash flow is governed by the revenue source. Once a budget has been approved by the legislature, apportionment is channeled through the Los Angeles County Office of Education and is received monthly. The bulk of enrollment fees and non-resident tuition is received at the beginning of the fall and spring semesters, and property tax revenue is received throughout the property tax cycle, generally as two large installments and then smaller amounts intermittently.

During periods of surplus cash flow, the College invests the surplus in short-term investments to maximize return. If cash flow is tight and funds are needed to meet operational needs, the College borrows funds using Tax and Revenue Anticipation Notes (TRANS). These notes must be paid back in April of the fiscal year in which they are borrowed. Fortunately, the flow of apportionment, property tax, and student tuition revenues generally occurs with sufficient time to meet the payback deadlines. In addition, amounts not in the General Fund may be “borrowed” by way of a short-term inter-fund transfer, with Board of Trustees approval, should the need arise. These funds must be “repaid” in the same fiscal year in which they occur. The Board has pre-approved short-term transfers of up to \$3,000,000 on an as-needed basis. The College only uses Certificates of Participation (COPs) for the acquisition of assets, not to meet cash flow needs.

The College maintains insurance policies to protect itself from financial loss from liability claims and/or property damage and from internal and/or external circumstances, factors, or parties. Santa Monica College’s risk management is divided into three components: property and liability, worker’s compensation, and preventive safety. The College’s property and liability programs are secured through the State-Wide Association of Community Colleges (SWACC). The primary policies have deductibles of \$25,000 for liability and \$100,000 for property. In addition, the District has secured supplemental coverage of up to \$10,000,000 for liability and replacement cost for property. The Protected Insurance Program (PIP) for schools provides worker’s compensation coverage.

The College is a member of the California Community College Risk Management Association; safety concerns are addressed through this organization. The college Office of Risk Management is responsible for monitoring and ensuring federal and state mandated compliances (AQMD, Cal OSHA, hazardous materials and waste treatment, storm water management, etc.), managing environmental review, and responding to violation citations. The office is also responsible for processing worker’s compensation claims and managing employee health and welfare benefits.

Following previously successful processes for planning and projections, the administration declared that it could not avert the severe measures required by the state-imposed January 2003 mid-year revenue cuts that came with minimal warning. Senior staff took immediate steps to reduce expenditures by cutting departmental and program discretionary budgets (supplies, equipment, repairs, etc.) by 15%, restricting travel, reducing Spring 2003 course offerings by 7.5% (resulting in about 160 part-time faculty positions being eliminated), freezing all hiring, and eliminating most hourly classified positions—primarily in Enrollment Services and instructional support. This resulted in some pro-

jected savings for the balance of 2002-03, but not enough to make up the projected 2003-04 deficit of \$8 million.

With health care, insurance, energy, and other costs projected to increase in 2003-04, the College looked to other areas for cost cutting. The College administration developed a list of classified positions to consider for elimination. Intense discussion ensued, and the proposal was strongly opposed by both classified staff and faculty. As a result, the Superintendent/President recommended that the item be pulled from the March 2003 Board of Trustees agenda. At the time, there was a general feeling among college faculty and staff that such drastic action would not be necessary and that the budget projections being used as a basis for decision-making were overly pessimistic.

This perception continued as senior staff opened the campus discussion to review certain academic programs for possible discontinuance. In May 2003, with only a short period available to review alternatives because of legal deadlines governing reduction of faculty positions, the Board of Trustees took action to discontinue only half of the programs on the initial list of programs reviewed. Three of the programs discontinued—Architecture, Public Safety, and Transportation Technology—had a total of eight full-time faculty and four classified staff whose positions were eliminated by the Board action. (Five of the faculty members took advantage of the retirement incentive offered to all eligible faculty members.) An additional staff position in Office Information Systems was also eliminated, due to a change in instructional modality and a marked reduction in the offering of the courses it supported.

Evaluation—IIID.2(c)

There is strong disagreement between the faculty and administration over the necessity and efficacy of the program discontinuance. With 85% of the budget allocated for salaries and benefits, the majority of potential alternative budget cuts and savings fall under collective bargaining. (The only group not covered by collective bargaining is management, which froze salaries in January 2003 and eliminated 13 positions.) While discussions between the administration and the respective unions have continued, the only budget reductions or savings realized through collective bargaining were through the early retirement incentive plans for faculty and classified staff.

Faculty and staff have a strong perception that management is both projecting an overly negative assessment of the budget and refusing to negotiate alternatives to program discontinuance and layoffs. These perceptions contribute to an atmosphere of mistrust.

Plan—IIID.2(c)

- ◆ The College will rebuild the reserve to better protect the institution against mid-year cuts and under-projected revenue.

IIID.2(d) *The institution practices effective oversight of finances, including management of financial aid, grants, externally funded programs, contrac-*

tual relationships, auxiliary organizations or foundations, and institutional investments and assets.

Description—IIID.2(d)

Ultimate fiscal responsibility for the College rests with the Board of Trustees, which reviews quarterly budget reports, as well as reports on financial aid, auxiliary services, and the Foundation. All grants and externally funded programs must be accepted by the Board and contractual relationships approved. Creating budgets for grants and other externally funded projects, issuing purchase orders, and payments to contractors and vendors are dependent upon Board approval and evidence that college fiscal procedures have been followed. For example, no contract will be paid without a purchase order, an invoice, and certification that the goods or services have been delivered. All of these steps provide checks and balances to ensure appropriate oversight of finances.

Business Services establishes and maintains internal control procedures that support financial integrity and ensure that financial resources are being used for institutional programs and services. An independent CPA firm conducts a complete audit of all financial records and internal controls annually, and its findings are addressed and implemented in a timely manner.

In addition, internal self-audits are conducted regularly, both formally and informally, within Business Services offices and by programs and departments through the review of monthly budget reports. Financial aid is subject to ongoing internal review, due to regular drawdowns of funds for students. All financial aid cash requisitions must be reviewed and approved by Business Services. Grants are audited by the vice president in whose area of responsibility the grant lies and are also reviewed at the time reports are prepared for submission to the granting agency.

The auxiliary operations of Santa Monica College consist of Auxiliary Services, food and vending, the college radio station KCRW, the Associated Students, and, for audit purposes, the Santa Monica College Foundation. Additionally, various departments have trust accounts in Auxiliary Services. These accounts result from fundraising activities generated by the individual departments.

Auxiliary Services oversees the campus bookstores, the sale of college parking permits, and transportation. The campus bookstores form a self-supporting operation. Any profits from the operation are used to enhance the operation (construction of main campus bookstore expansion, upgrade of inventory maintenance system, etc.) and to fund programs once covered by Associated Students—such as Athletics. Funds generated from parking permits are used to pay off the debt incurred through building parking structures.

Food and vending operations are under the purview of the Special Events operation; contracts are awarded following college contractual agreement policies and procedures. Funds generated from these contracts cover maintenance of the Cayton Center (Student Activities Building), as students are the primary generators of these funds. Food and vending income also supports student activities.

KCRW is a public radio station with a large following. Operations are completely supported through fundraising and listener donations, which are held in a trust account in Auxiliary Services.

Associated Students receives the revenue generated by the \$10 student ID fee. This revenue is distributed as follows: (1) \$5.50 is allocated to the Inter Club Council, which awards funds to the various campus clubs; (2) \$2 goes toward maintenance of the Cayton Center for students; (3) \$2 is placed in an investment reserve for Associated Students to award to larger special projects benefiting students; and (4) \$0.50 is assigned to the Associated Students President and the Superintendent/President to jointly allocate.

The various auxiliary operations are audited independently, and the results included in the annual college audit as separate line items. In addition, income and expenditure statements are generated for each auxiliary and trust account, as requested by the account holder. Account holders are expected to monitor these reports for accuracy.

The Santa Monica College Foundation is a separate entity with 501(c)3 status and has its own board of directors. The Foundation Board is responsible for overseeing the management of Foundation investments and distributing the income in accordance with donor wishes. Funds in the Foundation generally fall into two categories—capital donations, either restricted or unrestricted, and scholarships. The Foundation Board meets four times a year and is subject to an annual audit, independent of the annual college audit.

Evaluation—IIID.2(d)

The annual audit of the College has resulted in a number of findings each year. These findings are not material weaknesses, but rather issues to be addressed. In subsequent years, the College has responded to previous findings either by making the suggested changes or by indicating why the suggestions are not feasible or practical. Previous findings are included in each audit, so there is a trail of each finding and the college response. The College has not received any disclosure of items of non-compliance.

Audits and other forms of required review of financial aid, grants, externally funded programs, contractual relationships, auxiliary organizations, and the Foundation have consistently found effective oversight of finances and sound financial practice. The significant drop in the student loan default rate from 16.4% at the time of the last accreditation visit to 4.1% in 2001-2002 is a prime example of the College changing practice and taking steps to ensure stronger and more effective financial oversight.

Plan—IIID.2(d)

None

IIID.2(e) *All financial resources, including those from auxiliary activities, fundraising efforts, and grants are used with integrity in a manner consistent with the mission and goals of the institution.*

Description—IIID.2(e)

All special funds are audited or reviewed by the funding agency and consistently demonstrate the integrity of financial management practices. These audits and reviews are independent of the annual college audit. Prior to submittal, grant applications are reviewed to ensure that the intent of the grant meets institutional goals and that the budget is both sufficient to meet the plan and appropriately allocated.

Use of auxiliary funds is determined by the department or program raising the funds and is assumed to be consistent with departmental/program goals, which, in turn, have been set to meet institutional goals. Funds donated to the Foundation, both restricted and unrestricted, are solicited with the institutional mission and specific college or program goals in mind.

Financial aid to students is another indirect financial resource in that it provides access to students who might not otherwise be able to attend. At the time of the last accreditation visit, the number of students receiving financial aid was significantly lower than in 2002-2003, and the default rate on federally guaranteed student loans by Santa Monica College students was a perilously high 16.4%. By 2000-2001, the default rate had dropped to an outstanding 5.3%, and even further in 2001-02 to 4.1%. While a high default rate does not impact direct college funding, it does impact access for students and therefore, indirectly, enrollment.

Evaluation—IIID.2(e)

Financial resources, even those outside of district operational revenue, are used to meet college and program goals, which are tied to the institutional mission and goals. While neither auxiliary nor Foundation funds may be used for district operational expenses, they do add value to programs and projects for which no district funds are available.

The Director, Grants reviews grant requests for proposals (RFPs) for applicability to college and program goals and works with grant submitters to ensure that the proposals meet college and funding agency guidelines. Completed proposals are reviewed by the offices of Human Resources, Planning and Development, Academic Affairs, and Student Affairs before being sent to the Executive Vice President, Business and Administration and the Superintendent/President for signature. This ensures the integrity of the request, foreknowledge of any financial obligation (such as a match) on the part of the College, and that the commitment of the grant, and therefore the College, is consistent with stated goals.

The drop in the student loan default rate is especially gratifying, as it positively affects the College's level of federal funding. New leadership in the Financial Aid office focused on a multi-pronged approach. Counseling students before loans are taken ensures that a

complete financial aid package includes grants wherever possible. Further, students are counseled to reserve loans for upper division work and not accrue loan debt unless it is absolutely necessary.

The role of the Financial Aid office is to serve the best interests of the students and to protect the College from federal and other outside sanctions. The office is an active participant in the checks and balances set up to ensure the integrity of the financial aid accounting process. Reconciliation of accounts is a joint effort between the offices of Financial Aid and Business Services, with the former certifying and authorizing payments to students and the latter responsible for disbursement of funds and oversight of the accounting process.

Plan–IIID.2(e)

None

IIID.2(f) *Contractual agreements with external entities are consistent with the mission and goals of the institution, governed by institutional policies, and contain appropriate provisions to maintain the integrity of the institution.*

Description–IIID.2(f)

The College has a variety of contractual agreements, ranging from purchase orders to construction contracts, and including consultant contracts, service contracts, and lease purchase agreements. All contracts are reviewed before they are signed. Standard terminology protecting the College is on the back of all purchase orders. Legal counsel has reviewed this terminology and the standard consultant agreement so that the integrity of the institution can be maintained. Another control the College has in maintaining its integrity in district contracts is that very few people in the institution are valid signatories for contracts. These people have received training in contract administration and management.

Board policies and college administrative regulations define bidding and expenditure limits of purchasing activities. The conflict of interest policy prohibits the purchase of materials or services from any employee or student of the District except under specific conditions. The Purchasing Department is responsible for ensuring that the College obtains the best possible price while adhering to state regulations. To do this, the College participates in a number of consortia and “piggybacks” on state and county contracts. The department employs both formal and informal bidding processes, depending upon the projected cost of a purchase order (PO) and/or if it falls above or below the state-mandated threshold requiring competitive bidding.

Contractual agreements are entered into and monitored following specified processes, including appropriate review, consistent with the mission and goals of the institution and according to sound fiscal policy. Many contracts require Board of Trustees approval and

are included in the agenda of the monthly, open Board meetings, thus providing an opportunity for public comment and open discussion by the Board.

Contracts over \$15,000 require either the use of a public government contract or a bid process, with the award going to the lowest bidder. Large equipment purchases and construction contracts constitute the majority of bids solicited by the College. This affects planning to the extent that extra time must be built in for any purchase or project requiring a bid process.

Evaluation–IIID.2(f)

The College has instituted a variety of checks and balances in the contract award process to ensure that contractual agreements are consistent with the mission and goals of the College.

Plan–IIID.2(f)

None

IIID.2(g) *The institution regularly evaluates its financial management processes, and the results of the evaluation are used to improve financial management systems.*

Description–IIID.2(g)

The annual audit is the primary external source for evaluating financial management processes. Feedback and findings from the audit are one source used to improve financial management systems. Other sources include feedback from the program review process and from end users.

Once the annual budgets are loaded into the accounting system, monthly budget printouts reflecting the prior month's activity are distributed to each account manager for reference and review. However, loading budgets in a timely manner has been a continuing problem that hampers the ability of cost center managers to monitor both the accuracy of the budgets and expenditures. The implementation of the PeopleSoft system has further aggravated this problem because, as of the end of December 2003, budget printouts for 2003-2004 were still not available, and account managers do not have permissions to access PeopleSoft online.

The purchasing process is an integral part of the financial management system. Once requisitions have been received in Purchasing, a requisition number is assigned, and later a purchase order is issued with a different number assigned. Copies of both the requisition and the purchase order are sent to the initiator. The requisition and purchase order numbers are used to track activity and location of the item. Most purchases are delivered to Receiving, which certifies receipt of the item(s) and approves payment of the purchase order by Accounts Payable. In theory, this should be a smooth process with relatively

short turn-around time and feedback to the initiator. In reality, what was already an inconsistent process has been made more so by the implementation of the PeopleSoft system.

Evaluation—IIID.2(g)

The switch by the Los Angeles County Office of Education to the PeopleSoft system occurred with no overlap between the old and new systems. Some training of college purchasing and accounting staff took place before the switch. However, the system bugs and the lack of training of other end users has resulted in significant delays in setting up budgets for the 2003-04 fiscal year and the issuing of purchase orders, including large numbers of standard open purchase orders and maintenance agreements.

This has created a high level of frustration at all levels of the College, when expected supplies and equipment are not obtainable, maintenance does not occur, and plans requiring implementation at the start of the academic year have to be postponed. Some of the delays can be attributed to lack of preparedness on the part of the County. For example, instructions on how to convert existing accounts to the new numbers were not released until a month after the switch took place.

However, timeliness and the lack of feedback to the initiators of requisitions, budget amendments, and other internal financial requests have been an issue in the past, as has the delay in receiving accurate and timely budget printouts. The change to PeopleSoft has simply exacerbated the situation because there seem to be fewer options for recourse or workaround solutions.

Evaluation of the financial management process relating to Business Services has been spotty at best. As a result of repeated requests for postponement, Business Services is long overdue for program review—the primary evaluation tool by the college community at large. This has added to collegewide frustration with the perceived lack of responsiveness in fiscal processes. Although Business Services has attempted to address internal workflow problems and a greater than normal reduction in staff due to extended illnesses and other reasons, the larger college community identifies Business Services processes as a major problem area.

Internally, the College could do a better job of monitoring fiscal workflow (purchasing, accounting), rectifying consistent problem areas, and providing feedback to facilitate tracking and any corrections required of the initiator. Currently, an initiator often never learns there is a problem with a submitted request, and the only way to determine the location of a request in the process is to ask someone in Business Services to track it down.

Plan—IIID.2(g)

- ◆ The College will create an internal tracking and response system for various fiscal processes to enable requestors to monitor activity.

- ◆ Business Services will provide training on appropriate functions of the PeopleSoft system to a wider internal population to enhance understanding and usability of the system.
- ◆ Business Services will make loading and distributing budgets in a timely manner a priority.