

## **STANDARD IV: LEADERSHIP AND GOVERNANCE**

*The institution recognizes and utilizes the contributions of leadership throughout the organization for continuous improvement of the institution. Governance roles are designed to facilitate decisions that support student learning programs and services and improve institutional effectiveness, while acknowledging the designated responsibilities of the governing board and the chief administrator.*

*IV.A. The institution recognizes that ethical and effective leadership throughout the organization enables the institution to identify institutional values, set and achieve goals, learn, and improve.*

### **DESCRIPTIVE SUMMARY**

Institutional leaders create an environment that encourages participation and leadership at every level. Effectiveness is enhanced through the shared governance process in which ample opportunity is given to recognize, analyze, and integrate institutional values and goals, while focusing on continuous improvement. Faculty participate through the Academic Senate, students through the Associated Students of Cañada College (ASCC), classified employees through the Classified Senate, and administrators through the Instruction and Student Services Council.

(Academic Senate Ethics Statement? ISSC ethics statement?) THIS IS TO GET DONE

### **SELF-EVALUATION**

Institutional effectiveness is demonstrated by the existence of, and reliance upon, governance bodies—Academic Senate<sup>i</sup>, Classified Senate<sup>ii</sup>, Associated Students of Canada College<sup>iii</sup>, College Council<sup>iv</sup>, Planning and Budget<sup>v</sup>—that are guided by formal constitutions and bylaws.

The 2006 employee survey results indicates that staff, faculty, and administrators feel a high level of satisfaction in the quantity and nature of their participation regarding identifying values, setting goals, and influencing the learning environment. Almost 62% of the employees surveyed believe that all constituency groups work collaboratively towards the achievement of college goals, while only 11% of employees were dissatisfied.

Although college goals were established in the 2004 Strategic Plan (the old SP docs need to be put back on the website) and documented both on the college web site and in the college catalog, it is unclear whether constituency groups refer to established institutional goals when deliberating issues and plans. In addition, while constituency groups have established processes and goals, it does not appear that they have adopted formal ethics statements.

## **PLANNING AGENDA**

The College will ask that governance and employee groups—including board, administrators, faculty, classified staff, and students—adopt ethics statements and ask that constituency groups to refer to institution mission, vision, values statements when setting goals and objectives.

*IV.A.1. Institutional leaders create an environment for empowerment, innovation, and institutional excellence. They encourage staff, faculty, administrators, and students, no matter what their official titles, to take the initiative in improving the practices, programs, and services in which they are involved. When ideas for improvement have policy or significant institution-wide implications, systematic participative processes are used to assure effective discussion, planning, and implementation.*

## **DESCRIPTIVE SUMMARY**

The College's mission, vision, and values statements are posted on the college website<sup>vi</sup> and can also be found in the Cañada College Catalog<sup>vii</sup> and are available not only to college students and employees, but also to the community at large. These statements refer to a participatory environment within which ideas for improvement can be brought forward, in order to ensure student success and institutional effectiveness, commitment to excellence, and innovation. All members are encouraged to participate in generating ideas for improvement through constituency groups. Students participate in through the Associated Students of Cañada College (ASCC), classified staff members participate in the Classified Senate, and faculty are members of the Academic Senate. The three senates, the California State Employees Association (CSEA) and the administrative team appoint representatives to institution-wide committees and shared governance bodies on campus.

According to the Course Schedule for Spring 2007<sup>viii</sup>, the ASCC “serves as a vehicle through which students can recommend and help effect change at their college.” Students’ knowledge of how to bring up ideas for improvement to the college community varies greatly depending on how involved they are in governance activities.<sup>ix</sup>

Classified staff members have a very active leadership group and participate in shared governance bodies and decision-making on campus, possessing a strong voice at the College. They contribute to the well-being of the college as a whole by participating in shared governance bodies and holding many fundraising activities in order to raise money for scholarships that benefit students in need.<sup>x</sup>

Faculty members participate through the Academic Senate and their appointments to it. In May 2003, the SMCCCD Board of Trustees approved a revision to their policies which “delineates the ten areas of academic and professional matters as listed in Title 5, 53200.c; and clarifies the ‘delineation of authority agreement’ between the Board and the Academic Senate by specifying that, in academic and professional matters, the Board will

rely primarily on faculty expertise.”<sup>xi</sup> This formalization of the relationship between the administration and the faculty places responsibility for developing policies regarding curriculum, program development, and academic standards in the hands of the faculty.<sup>xii</sup>

Administrators participate on the Instruction and Student Services Council (ISSC). Historically, instruction and student services were administered separately; however, college administrators decided recently to modify this approach, creating the ISSC as a venue for discussing a range of institutional issues from a combined perspective.<sup>xiii</sup>

College employees discuss ideas for improvement ranging from individual programs to college-wide matters in governance bodies such as those described above. Normally, ideas are introduced within a given constituency and then brought forward by their representatives in shared governance bodies. Ideas for improvement can be taken to different governance bodies for consideration, and on occasion ad-hoc committees are formed if necessary. The Academic Integrity Committee, a sub-committee of the Academic Senate, is an example of the latter. It developed a new Academic Integrity Policy defining academic integrity, listing possible violations to the policy, and establishing the process to be followed when a violation occurs.<sup>xiv</sup>

Faculty, staff, student, and administrator leaders have created governance structures that codify participation of all constituent groups and encourage deliberation. The College Council is the shared governance body charged with advising the President of the college on college-wide issues such as policies and planning. The twenty voting members in the College Council—six students, six classified staff members, six faculty members, and two administrators, with the college president and the president of the Academic Senate as ex-officio members—represent all college constituencies. Any member of the college community can suggest an item for consideration in the College Council agenda by filling out an Agenda Request Form and asking a member of the College Council to sponsor the request. College Council members not only represent their constituencies but also act in the best interest of the college as a whole. College Council members report back to their constituent groups and get input from them on major decisions. Faculty and staff hiring processes illustrate how this governance structure works.<sup>xv xvi</sup>  
(Administrative process?)

The institution supports innovation and excellence through limited professional development funds including the President’s Fund for Innovation and the Trustee’s Fund for Innovation. The E-zine web-based college magazine, showcasing prose, poetry, art, photography, music and digital media, is an example project supported by these programs.

Another example of innovation that has come from strong faculty leadership is the development of a unique 3D Animation & Video Game Art Program, a comprehensive program that puts equal emphasis on the artistic and the technical side of 3D modeling and animation. With partial funding from the Trustees Fund for Program Improvement, faculty in the Multi-Media Department created a certificate and degree program that is unique at the community college level.<sup>xvii</sup>

## **SELF-EVALUATION**

Funding for professional development has dwindled over the past few years as the State has reduced funding and local contract negotiations have not yielded increased allocations. While the College is committed to supporting innovation, staff and faculty feel constrained by these limitations. Both the Classified and the Academic Senate have discussed the limited resources to support professional development opportunities for their members, including insufficient funds to hold an annual classified retreat and funds to support faculty travel.<sup>xviii</sup> In an interview with ASCC members, student leaders acknowledge that participation in college governance can be a valuable part of a student's educational experience, and while some students find that their participation in governance allows them to better understand the college system, giving them an opportunity to develop leadership and public speaking skills and helping them find their voice, they state that participation can be time consuming.<sup>xix</sup>

As part of the accreditation process the College conducted an employee satisfaction survey. Results from the survey that are relevant to the question of an environment of excellence and collaborative decision making include the following:

- 87% agreed or strongly agreed that “Cañada actively works toward fulfilling its vision and mission”
- 75% agreed or strongly agreed with the statement, “I am encouraged to be creative and come up with new ideas and improvements”
- 60% agreed or strongly agreed that “A consultative planning process is used to identify needed areas of improvement”
- 78% agreed or strongly agreed with the statement, “My ideas for improving my unit are taken seriously”
- 77% agreed or strongly agreed with the statement, “I am satisfied with the amount of opportunity I have to participate in college-wide planning.”

The number of committees and opportunities for participation in governance and decision-making has flourished over the past few years. While this is good for the inclusion of all perspectives, the responsibility of participating can be overwhelming given the number of staff, faculty, and administrators available. Currently there are ...xxx. Full time classified staff, 57 full time faculty and ... xxx ... administrators/managers.

## **PLANNING AGENDA**

The College will pursue increased funding for professional development opportunities for all employees and will evaluate the shared governance process and committee obligation to see where committees could be combined, eliminated, or organized more efficiently.

*IV.A.2. The institution establishes and implements a written policy providing for faculty, staff, administrator, and student participation in decision-making processes. The policy specifies the manner in which individuals bring forward ideas from their constituencies and work together on appropriate policy, planning, and special-purpose bodies.*

## **DESCRIPTIVE SUMMARY**

In the SMCCCD Mission Statement<sup>xx</sup>, the District sets forth as one of its hallmarks a commitment to decision making structures and processes that have shared governance.

The shared governance system at Cañada College includes an array of broad-based committees and working groups including College Council; Planning and Budget Committee; a sub-committee of College Council, Academic Senate Governing Council, and its sub-committees; Classified Senate; and Associated Students of Cañada College. Our governance flow chart delineates the shared governance committees and the process by which decisions are made collaboratively. MAY SOON HAVE A GOVERNANCE FLOW CHART—link?

Cañada College encourages the full participation of all constituency groups in decision making regarding instruction, student services, and planning and budget through the process of shared governance. Each shared governance body has a constitution which describes its roles, responsibilities, and membership. The shared governance bodies, with representation from all constituent groups, include College Council<sup>xxi</sup> and the College Council sub-committee for Planning and Budget.<sup>xxii</sup>

Furthermore, most of the individual constituency-based shared governance groups have a constitution describing their roles, responsibilities, and membership. In 1993 the Governing Board<sup>xxiii</sup> agreed to rely primarily upon the Academic Senate for academic and professional matters<sup>xxiv</sup> and the Academic Senate Governing Council assumed these responsibilities<sup>xxv</sup>. California law also directs that students, classified staff, and administrators play an advisory role in college matters, and they do so, respectively through the Classified Senate<sup>xxvi</sup>, the Associated Students of Canada College, and the Instruction Student Services Council.

## **SELF-EVALUATION**

The renaissance of the Planning and Budget Committee is an indication of a welcome increase in collaborative and transparent constituency-based decision making at the College. The use of quality data to make fiscal decisions in a shared governance setting is central to the trust that has developed.<sup>xxvii</sup> Under the leadership of the current President, the expectation of consultation at every level and the participation by every constituency has been strengthened. Responses to the following employee satisfaction survey statements underscore this point: 62% agreed or strongly agreed that “All groups work collaboratively towards the achievement of college goals,” and. 60% agreed or strongly agreed that “Results of college goals are regularly shared with campus constituencies.”

## **PLANNING AGENDA**

The College will develop an annual schedule to review the shared governance process to assure effective discussion, planning, and implementation of policies with significant institution-wide implications.

*IV.A.2.a. Faculty and administrators have a substantive and clearly defined role in institutional governance and exercise a substantial voice in institutional policies, planning, and budget that relate to their areas of responsibility and expertise. Students and staff also have established mechanisms or organizations for providing input into institutional decisions.*

## **DESCRIPTIVE SUMMARY**

The Cañada College governance flowchart indicates that faculty and staff have clearly defined roles in institutional policies, planning, and budget processes. Planning and Budget membership includes a faculty and staff co-chair (Presidents of the Academic and Classified Senate), administrators (two Vice-Presidents), a faculty representative from AFT, a classified representative from CSEA and two student members from ASCC. Additionally, the President, the Business Officer and the College Researcher have ex-officio membership.

The membership of the penultimate shared governance committee at the College, the College Council (with faculty and staff co-chairs), consists of administrators, faculty, staff and students.<sup>xxviii</sup>

As directed by Title V, the shared governance committees are comprised of representatives from the appropriate constituent groups. The Academic Senate, consistent with AB 1725, appoints all faculty members to shared governance committees; the Classified Senate, CSEA, appoints all classified members to the shared governance committees; and the Associated Students of Cañada College appoint student members to shared governance committees. Administrators and Confidential/Supervisory employees may be appointed to governance committees by their supervisors.

Roles are further defined by negotiated contracts with three bargaining units. AFSCME Local 829, Council 57 and CSEA Chapter 33 are the bargaining agents for classified employees. The AFT Local 1493 is the bargaining agent for faculty. The units negotiate with the District on compensation, benefits, and working conditions.<sup>xxix</sup>

Administrators and Confidential/Supervisory employees are not represented at the College or in the District.

As directed by Title V, Section 51023.7, students have the opportunity to participate in matters of governance at the College via the Associated Students of Canada College.

Students have membership on all multi-constituent shared governance committees (and, as needed, ad-hoc committees), and are granted the same rights and privileges as other committee members.<sup>xxx</sup>

### **SELF-EVALUATION**

Commencing the spring 2007 semester, the College offers the course SGOV 680 Leadership Development.<sup>xxx</sup> The College did not previously offer any formalized student leadership classes.

The College's employee survey indicated that 75% of those surveyed feel that the role of staff in shared governance is clearly stated and publicized. Furthermore, in another survey students were asked to rate (using a 7-point Likert scale) if there were sufficient opportunities to participate in governance activities. Students rated their satisfaction as 4.98, indicating that they are "somewhat satisfied" with their opportunities to participate in governance.

### **PLANNING AGENDA**

To ensure a high level of institutional support for the development of student leaders, the College will review existing systems which provide orientation and leadership training to student leaders. Specifically, student leaders need to be informed of their Title V rights and responsibilities, of how to meaningfully participate on governance bodies and of how to access institutional resources. Since student leaders often rise from the student clubs and organizations, the College will also review the relationships between the student clubs, student club advisors, and student leadership organizations.

Develop Meet and Confer working condition representative bodies for Confidential/Supervisory employees and administrators.

*IV.A.2.b. The institution relies on faculty, its academic senate or other appropriate faculty structures, the curriculum committee, and academic administrators for recommendations about student learning programs and services.*

### **DESCRIPTIVE SUMMARY**

Division deans lead each academic and student service division. Most divisions hold regularly scheduled monthly meetings, at which time discussions regarding instruction and student services are held.<sup>xxxii</sup> Division deans may be seated on governance committees and often attend meetings of those at which they are not regular members. Academic deans hold regular meetings with the Vice-President of Instruction to discuss instructional programs.

The Academic Senate is responsible for academic and professional matters that deal with curriculum, articulation, matriculation, and hiring. Title V, Section 53200<sup>xxxiii</sup> via Board

Policy XXX and the Senate's constitution <sup>xxxiv</sup> define Academic Senate functions. All faculty teaching 3-units per semester or more are members of the Academic Senate. The Academic Senate Governing Council, which meets bimonthly during the academic year, consists of officers elected by the body as a whole and elected division representatives. The Senate President regularly meets with the College President. The Senate President and Vice-President are members of the District Academic Senate Governing Council.

The primary function of the Curriculum Committee is to coordinate and monitor Cañada's curricular offerings so that they uphold the California Education Code, are consistent among the divisions and colleges of the District, are understandable for students and staff, articulate with high schools and four-year institutions, and support goals and objectives of the San Mateo County Community College District and Cañada College. To these ends, the Curriculum Committee makes recommendations to the Academic Senate Governing Council about general instructional policy and standards, degree and certification requirements, and initiation and modification of programs and courses. The curriculum committee works closely with the Student Learning Outcome Coordinator to develop and support SLOs at the course, program, and institutional level.<sup>xxxv</sup> The curriculum committee also hosts the annual presentation of Program Review. The faculty chair of curriculum committee is a member of the District Academic Senate Curriculum Committee.<sup>xxxvi</sup>

## **SELF-EVALUATION**

Historically, the Curriculum Committee has narrowly focused its agenda to course approval. More recently, under the leadership of the Academic Senate Governing Council, the committee has expanded its purview to include discussion of curricular issues such as student learning outcomes and assessment, course enrollment, and distance education. Under the direction of the Academic Senate Governing Council, the Curriculum Committee also hosts the annual presentation of Program Review.<sup>xxxvii</sup>

Our employee survey indicates that:

- 89% believe that Canada provides a high quality learning experience for students;
- 73% believe that they have been given adequate opportunity to participate in the student learning outcomes process;
- 75% believe that Canada is taking a positive approach toward implementing student learning outcomes and assessment.

Students feel that the quality of instruction they receive in most of their classes is very important to them (6.55 out of 7), and that they are mostly satisfied (5.60 out of 7) with the quality of instruction they receive.

## **PLANNING AGENDA**

The Academic Senate will develop processes to empower the Curriculum Committee to broaden its agenda to include faculty participation in program development.

*IV.A.3. Through established governance structures, processes, and practices, the governing board, administrators, faculty, staff, and students work together for the good of the institution. These processes facilitate discussion of ideas and effective communication among the institution's constituencies.*

#### **DESCRIPTIVE SUMMARY**

Board Policy 2.09<sup>xxxviii</sup> delineates faculty, student, and staff participation on both District and College Shared Governance Committee. Each of the individual constituent groups discusses, deliberates, and formulates recommendations to be made to the broad-based shared governance committees. Representatives from each constituent group have membership and voting rights on each of the college shared governance committees. The College Council receives the recommendations from each of the constituent groups, engages in further deliberation and discussion, then the College Council makes its own recommendations to the college President. Additionally, the Planning and Budget committee makes recommendations to the College Council.

#### **SELF-EVALUATION**

The process by which the College has begun a new cycle of strategic planning exemplifies the commitment of the President to open and honest communication and to the shared governance process. First, under the direction of the President, constituent leaders established a Strategic Planning Steering Committee by allowing for augmentation of the membership of the Planning and Budget Committee by division representatives. The strategic planning consultant has met with each constituent group and each shared governance committee. All constituencies feel that their voice will be heard, valued, and represented in the final product.

From the faculty and staff survey, 68% of employees feel that overall the shared governance process is working well. Furthermore, in another survey, students were asked to rate (using a 7-point Likert scale) if there were sufficient opportunities to participate in governance activities. Students rated their satisfaction as 4.98, indicating that they are "somewhat satisfied" with their opportunities to participate in governance.

The college meets the standard.

#### **PLANNING AGENDA**

None at this time.

*IV.A.4. The institution advocates and demonstrates honesty and integrity in its relationships with external agencies. It agrees to comply with Accrediting Commission standards, policies, and guidelines, and Commission requirements for public disclosure,*

*self study and other reports, team visits, and prior approval of substantive changes. The institution moves expeditiously to respond to recommendations made by the Commission.*

## **DESCRIPTIVE SUMMARY**

Cañada College has responded to the recommendations made by the Commission in the last self-study cycle with an accreditation interim report in 2002 and a mid-term report in 2003 that met the deadlines established. A recommendation from the Commission to hire a college researcher was addressed with an honest response, indicating the reasons why a researcher had not been hired at the time. Since then, a college researcher has been hired. As for the recommendations pertaining to the Educational Master Plan, the College indicated that a Facilities Master Plan was being developed, which would guide the Educational Master Plan, to be taken up later. While the College has recently engaged in strategic planning, it has not yet developed an Educational Master Plan.

The College received a Title V grant in 2000, an Upward Bound grant in 2003, and a Student Support Services grant in 2005. The College has submitted all reports as required and maintains an excellent reporting relationship with the U.S. Department of Education.

## **SELF-EVALUATION**

Prior to 2006 the College had not yet engaged in comprehensive planning; the institution understands and acknowledges the need for such planning. Recently, the institution commenced a strategic and educational master planning process that includes an internal/external scan, competitor analysis, and satisfaction surveys which will result in specific strategic educational initiatives for the institution.<sup>xxxix</sup>

## **PLANNING AGENDA**

The 2006-07 Strategic Planning process will address the need for educational master planning.

*IV.A.5. The role of leadership and the institution's governance and decision-making structures and processes are regularly evaluated to assure their integrity and effectiveness. The institution widely communicates the results of these evaluations and uses them as a basis for improvement.*

## **DESCRIPTIVE SUMMARY**

The SMCCCD Mission Statement establishes its commitment to decision-making structures and processes that have shared governance as their hallmark: "Shared governance is practiced through processes that are inclusive with regard to information

sharing and decision making...(see catalog). In support of this the board considers changes to policies through the shared governance process.

The college catalog notes, “Cañada College seeks the counsel of its faculty and students through a system of permanent councils, committees and informal consultation.” Standing and ad-hoc committees are organized under the College Council or the Academic Senate which operates through a Governing Council (elected by the faculty). Classified staff members of committees are appointed by the CSEA; student members are appointed by the Associated Student Government. Instructors, students, staff, and administrators participate in curriculum development and the learning processes and in the general campus environment as full voting members of the various college committees which provide guidance and assistance to the President.”

The Academic Senate (AS), Classified Senate (CS), CSEA, Administration, Student Senate(ASCC), and College Council (CC) comprise the institutions that, collectively, govern the College. The AS, ASCC, and CC all have constitutions and by-laws that identify membership, operation, term of office, process for appointment, and method of amendment. Elections, a form of evaluation, are held annually for most councils; however, officers of the Academic Senate hold two year terms. These elections ensure fresh ideas and allow voices into the decision-making process. Moreover, the members of the councils are charged with the task of taking information back to their constituents for comment, as well as providing their constituents a place to go so that concerns can be brought to the officers of the various councils. Public comment such as this has triggered the governing bodies of the AS, CS, ASCC, and CC to review their constitutions and by-laws to improve the effectiveness of the bodies and the integrity of shared governance.

### **SELF-EVALUATION**

As part of the accreditation process the college conducted an employee satisfaction survey. Results from that survey that are relevant to the question of participatory decision making:

- 62% agreed or strongly agreed that “All groups work collaboratively towards the achievement of college goals:.
- 76.1% agreed or strongly agreed with the statement, “I am satisfied with the amount of opportunity I have to participate in college-wide planning.”

The college thus meets the standard.

### **PLANNING AGENDA**

None at this time.

## **IV.B. BOARD AND ADMINISTRATIVE ORGANIZATION**

*In addition to the leadership of individuals and constituencies, institutions recognize the designated responsibilities of the governing board for setting policies and of the chief administrator for the effective operation of the institution. Multi-college districts/systems clearly define the organizational roles of the district/system and the colleges.*

*IV.B.1. The institution has a governing board that is responsible for establishing policies to assure the quality, integrity, and effectiveness of the student learning programs and services and the financial stability of the institution. The governing board adheres to a clearly defined policy for the selecting and evaluating the chief administrator for the college or the district/system.*

## **DESCRIPTIVE SUMMARY**

The governing body is a five-member board elected at large for terms of four years from local district communities. Terms of office are staggered with biennial elections in accordance with the California Education Code. In addition, there is one nonvoting student trustee elected by the student bodies of the three colleges for a one-year term. The essential responsibilities of the Board of Trustees, in the public interest and trust are: to provide the best possible learning experience for students of the colleges; to assure that the District and its colleges are effectively and efficiently managed; to maintain enlightened, fair, and equitable policies for employees and students of the District and its colleges; to represent the general interests of the entire college district; to act only on the basis of what is in the best interests of the college district and the community; to be knowledgeable of and support the mission and philosophy of community colleges; and to support the work of the colleges in the community as outlined in District Rules and Regulations concerning the responsibilities of the board. The board has established policies on the philosophy and purpose of the Educational Program and curriculum development, program review, and program vitality.<sup>x1</sup>

The Board of Trustees assures that the district is financially sound through careful budget planning and ongoing budget reporting from staff. The board receives quarterly reports from the Executive Vice Chancellor on the financial health of the District and on quarterly income and expenditures as compared to the budget.<sup>xli</sup>

The board has a written hiring procedure specific to the position of Chancellor/Superintendent. Annual evaluations of the Chancellor/Superintendent and college presidents are conducted to assure that the job performance of each individual is assessed and communicated to the individuals being evaluated in accordance with Rules and Regulations.<sup>xlii</sup>

## **SELF-EVALUATION**

The district meets this standard. The board conducts regular study sessions open to the public to carefully examine key district-wide initiatives and provide overall guidance. As an example, during these sessions the board discussed the apprenticeship training programs, concurrent enrollment, and facilities planning. At a recent session, the board

deliberated thoroughly on the proposal to start a dental hygiene program within the district. To assure district-wide coordination of educational services and planning, the board worked with the Chancellor and faculty academic senates to refill the position of Vice Chancellor of Educational Services and Planning. To responsibly manage an institution of this size and the two facilities bond measures that have been passed, the board has instructed the chancellor to provide quarterly, semi-annual, and annual financial statements. The board has established a bond oversight committee to directly oversee the construction planning and management. The board has a clearly defined policy for recruiting and evaluating the Chancellor and college presidents.<sup>xliii</sup>

## **PLANNING AGENDA**

None at this time.

*IV.B.1.a. The governing board is an independent policy-making body that reflects the public interest in board activities and decisions. Once the board reaches a decision, it acts as a whole. It advocates for and defends the institution and protects it from undue influence or pressure.*

## **DESCRIPTIVE SUMMARY**

Board members have authority only when acting as a board legally in session. The board shall not be bound by any statement or action of any individual board member or employee, except when such statement or action is in pursuance of specific instructions by the board in accordance with District Rules and Regulations. The board has also adopted a new policy that clearly articulates how board members should work and communicate within the District.<sup>xliv</sup>

The Board of Trustees actively seeks the advice and opinion of the community it serves by holding open-session board meetings twice monthly (except August, November, and December, months in which they are held once) in accordance with the Brown Act in which members of the public are encouraged to address the board. The board has adopted policy on community relationships, which recognized the public's right to obtain information regarding the board's actions and encourages public input into board decision making.<sup>xlv</sup>

Each board member is actively involved in community and statewide activities.

## **SELF-EVALUATION**

The District and its colleges meet this standard. Individual members of the board observe the policies that govern decision making. The board always acts in a uniform manner after a vote has been taken following thorough hearings and deliberations that involve the general public. On an annual basis each board member declares his or her financial

interests so as to ensure his or her independence in the decision-making process, and to assure the general public that there are no conflicts of interest.

#### **PLANNING AGENDA**

None at this time.

*IV.B.1.b. The governing board establishes policies consistent with the mission statement to ensure the quality, integrity, and improvement of student learning programs and services and the resources necessary to support them.*

#### **DESCRIPTIVE SUMMARY**

The Board of Trustees' educational philosophy is based on three fundamental premises: that a society requires intelligent support; that the individual has worth and dignity; and that a college has obligations to both society and the individual. The board and administration recognize that the colleges must remain sensitive to changes in the needs of the community and, within available resources, revise and create educational offerings in response to those needs.<sup>xlvi</sup>

The Board assesses the colleges' program review outcomes and changes to curricula to assure that the District is meeting the needs of the community and providing quality education resulting in a successful transfer rate and certificate completion.

#### **SELF-EVALUATION**

The District meets the standard. The governing board reviews its policies pertaining to educational services and offerings on a regular basis. In 2004 the Board of Trustees codified a reaffirmation and recommitment to core values and operating principles which is posted at the district office and can be located on the district website. The board directs the Chancellor to work closely with the college presidents to coordinate resource allocation and to identify near term and long term resource needs.<sup>xlvii</sup>

#### **PLANNING AGENDA**

None at this time.

*IV.B.1.c. The governing board has the ultimate responsibility for the educational quality, legal matters and financial integrity.*

#### **DESCRIPTIVE SUMMARY**

The Board of Trustees clearly recognizes its responsibility for providing high quality educational programs and services that meet the needs of our communities. The Board

regularly monitors the learning programs and services through commissioned reports and studies, and is provided information and statistics measuring student learning outcomes. The interests and inquiries from the board members have demonstrated their attention to the quality and the improvement of student learning. Board decisions are made with adherence to federal, state, and local policy and guidelines. The Board, through the Chancellor, has established a shared governance committee to oversee budget and finance.

### **SELF-EVALUATION**

The Board of Trustees is informed through reports at board meetings regarding the current educational programs at each college. Annually, the Board approves curricular additions and deletions to the educational program at the colleges. The board is provided statistical reports on student learning outcomes to assure the quality and effectiveness of instruction. The Board reviews the finances of the District at regularly scheduled board meetings as well as for all potential or pending litigation in closed sessions. The Board reviews and approves a tentative budget in June of each year, a final budget in September of each year, and a mid-year report in February of each year. Prior to the review and final approval of the district budget, the District Budget and Finance Committee reviews and revises fiscal reports and the resource allocation model for each college.

The board has established a Bond Oversight Committee to provide assurances that bond dollars are appropriately accounted for and spent. In addition, all contracted services in excess of \$50,000 are reviewed and approved by the board.

### **PLANNING AGENDA**

None at this time.

*IV.B.1.d. The institution or the governing board publishes the board bylaws and policies specifying the board's size, duties, responsibilities, and operating procedures.*

### **DESCRIPTIVE SUMMARY**

All Rules and Regulations are posted on the District's website to provide access to all members of the community.<sup>xlviii</sup>

### **SELF-EVALUATION**

To be specific, the District Rules and Regulations, 1.00; Organization of the Board, 1.10; Duties and Responsibilities of the Board, 1.15; Officers of the Board, 1.20; Duties of Officers, 1.40; Meetings of the Board, 1.60; Rules of Order for Board Meetings all address the standard stated above. The District therefore meets the standard.

### **PLANNING AGENDA**

None at this time.

*IV.B.1.e. The governing board acts in a manner consistent with its policies and bylaws. The board regularly evaluates its policies and practices and revises them as necessary.*

#### **DESCRIPTIVE SUMMARY**

Through its policy on Board Member Conduct, as described in Rules and Regulations 1.35, the Board of Trustees holds each board member to a high standard of performance and conduct.<sup>xlix</sup> District Rules and Regulations are regularly reviewed by administrators and necessary changes, additions, or deletions are brought to the board for approval as needed. The Board of Trustees annually conducts a board self-evaluation and makes recommendations for overall performance improvement.

#### **SELF-EVALUATION**

To ensure effective leadership and successful board meetings, the Board of Trustees does the following:

- States and follows agendas and assures requested actions are clear;
- Discusses agenda items intelligently and takes appropriate action after hearing all relevant background information and analysis as well as public input;
- Follows parliamentary procedure and conducts orderly meetings;
- Does not discuss issues and topics not on the agenda;
- Listens respectfully;
- Directs requests for action or information through the Chancellor and not through administrative staff or faculty;
- Determines the conduct of the meetings and adheres to such conduct.

#### **PLANNING AGENDA**

None at this time.

*IV.B.1.f. The governing board has a program for board development and new member orientation. It has a mechanism for providing continuity of board membership and staggered terms of office.*

#### **DESCRIPTIVE SUMMARY**

The Board of Trustees holds a new trustee orientation, the most recent one taking place in 2004 when the newest member was elected. The Board also encourages new board members to participate in the annual California Community College Trustees' New

Trustee Orientation program that is held in the winter each year. All five board members have attended one of these sessions. Board members also participate in many state-sponsored conferences regarding community colleges, leadership, and board governance.

Section 1.00 of District Rules and Regulations specifies that board members' terms of office will be staggered, with two trustees elected in one biennial election and three elected in the next election.<sup>1</sup>

#### **SELF-EVALUATION**

#### **PLANNING AGENDA**

None at this time.

*IV.B.1.g. The governing board's self evaluation processes for assessing board performance are clearly defined, implemented, and published in its policies and bylaws.*

#### **DESCRIPTIVE SUMMARY**

Section 1.35 of District Rules and Regulations states that board members, including the student trustee, shall participate in an annually conducted board evaluation process, the purpose of which is to identify areas of board functioning that work well as well as those that need improvement and to improve communication and understanding among board members. Evaluation instruments with criteria based on District Rules and Regulations have been developed, and a facilitator may be used by the Board as necessary to assist in this process. The Board uses a well-developed evaluation instrument to assess its performance under which each board member completes the evaluation form individually, the results are tabulated, and the Board as a whole discusses the results. The board has conducted annual evaluations and has made recommendations to improve overall performance and access to the public on all aspects of the District's operations. The next board self-evaluation will be conducted in the fall of 2006.<sup>ii</sup>

#### **SELF-EVALUATION**

The ongoing board evaluation process has helped identify areas in which improvement can be made. For example, the Board annually examines ten areas of governance, including institutional mission and educational policy; institutional planning; instructional/student services programs; facilities; financial resources; board operations; board-chancellor relations; faculty/student/classified relationships; community relations; and government relationships. Through a recent evaluation the Board recognized the need for more information regarding program planning. As a result, the Board will devote more time for presentations at board meetings on teaching and learning. In the area of board operations, the administration has agreed to work toward compiling a comprehensive docket of information that of the Board can review prior to regular sessions.

## **PLANNING AGENDA**

None at this time.

*IV.B.1.h. The governing board has a code of ethics that includes a clearly defined policy for dealing with behavior that violates its code.*

## **DESCRIPTIVE SUMMARY**

Section 1.35 of District Rules and Regulations on Board Member Conduct clearly outlines the expectations of board members' behaviors. It specifies what behavior is expected and the consequences of non-adherence to expected behavior.<sup>lii</sup>

## **SELF-EVALUATION**

The Board has a long-standing code of conduct that has been observed by the trustees throughout the years since its inception in the mid 1980s. Consequently over the years the Board has maintained the reputation for being collegial, collaborative, and professional.

## **PLANNING AGENDA**

None at this time.

*IV.B.1.i. The governing board is informed and involved in the accreditation process.*

## **DESCRIPTIVE SUMMARY**

The Board of Trustees is informed and involved in the accreditation process through regular reports from the Chancellor, the college presidents, and the accreditation chairs at board meetings and by reviewing self-study drafts. Accreditation reports, midterm reports, and progress toward implementation of recommendations have been presented to the Board. Board members have attended college accreditation self-study committee meetings and provided input into self-study recommendations for improvement.

## **SELF-EVALUATION**

As the colleges undergo thorough self-studies, the Board actively participates in dialogues with college leadership. In response to a request from the colleges, the Board approved the hiring of a Vice Chancellor of Educational Services & Planning to provide coordination for strategic planning and instructional and student services activities and to act as a liaison between the District and the colleges in matters relating to accreditation.

The colleges meet with the district administration on a regular basis to discuss the progress of their self-studies.

## **PLANNING AGENDA**

None at this time.

*IV.B.1.j. The governing board has the responsibility for the selecting and evaluating the district/system chief administrator (most often known as the chancellor) in a multi-college district/system or the college chief administrator (most often known as the president) in the case of a single college. The governing board delegates full responsibility and authority to him/her to implement and administer board policies without board interference and hold him/her accountable for the operation of the district/system or college respectively.*

*In multi-college district/systems, the governing board establishes a clearly defined policy for selecting and evaluating the presidents of the college.*

## **DESCRIPTIVE SUMMARY**

The District has an established procedure for selecting and hiring its Chancellor.<sup>liii</sup> The District also has a well-defined policy for the delegation of authority.<sup>liv</sup> The Board conducts annual evaluations of the Chancellor in a closed session in December of each year. The Chancellor proposes and the Board approves goals and objectives for the District each year, and the Board measures the Chancellor's performance on the successful accomplishments of these goals. The Chancellor, in conjunction with the Board of Trustees, conducts annual evaluations of each college president in a closed session meeting held in July of each year. This evaluation is based upon the college goals that are developed by the presidents each year and approved by the Chancellor.

## **SELF-EVALUATION**

The district has successfully recruited a President of Skyline College through the formation of a screening committee comprised of all constituencies at Skyline and from the district office. In addition, the services of the Association of Community College Trustees (ACCT) were utilized to assure a wide reaching national search. Following the identification of three finalists for the position, the college hosted open forums for each candidate to present him or herself to the college faculty, staff, and students as well as community members and the Board of Trustees. Final interviews were conducted with the Chancellor and ultimately with the Board of Trustees. The candidate selection was based upon a compilation of the candidate evaluations submitted after the completion of the candidate forums and the evaluation of the Chancellor and the Board of Trustees. The district is currently recruiting a new president of the College of San Mateo and is following the same successful procedure used at Skyline College. The District will be conducting a search for the president of Cañada College in 2007 after its first search did

not yield a suitable candidate for the position. The same procedure was followed during the first search and will continue to be followed for the second search.

## **PLANNING AGENDA**

None at this time.

*IV.B.2. The president has primary responsibility for the quality of the institution he/she leads. He/she provides effective leadership in planning, organizing, budgeting, selecting and developing personnel, and assessing institutional effectiveness.*

## **DESCRIPTIVE SUMMARY**

At this time Cañada College has an Interim President who was appointed by the Governing Board in July 2005. The role of the President is . . . .(get job description). The current President is valued as a trustworthy leader who honors intellectual achievement and is guided by student and community needs in decision making. The President makes time for Cañada employees, listens to and values their ideas, acknowledges their efforts, makes the best use of their talents, supports professional development, and is actively involved in the hiring processes and in the selection of personnel on campus.

The President has placed a renewed emphasis on two principles to guide planning and decision making at Cañada College: weaving open and honest communication into the fabric of the College and valuing the use of quality data to inform such decision making and assessments of institutional effectiveness.

The President is deeply connected to the local community. He is a member of the local Rotary Club, Peninsula Clergy Network, Peninsula Boys and Girls Club Board, and Police Athletic Board and attends many City Council and Chamber of Commerce meetings. He brings his considerable experience as a high school Superintendent to bear, increasing the College's high school outreach activities and developing relationships with educational organizations, business, industry, government, and community-based organizations. This commitment reflects his strong advocacy for the College within the District and at local levels.

The President inherited an understaffed budget office with inadequate accounting records and procedures. During his tenure he has led moves to institutionalize transparent budgeting processes and procedures.

The College's former president served for 6 years, through July 2005. A formal search for a permanent president was conducted this year, but a suitable candidate was not found. The Chancellor made assurances that a new search for a permanent president will begin in the coming year or two.

## **SELF-EVALUATION**

Cañada College's Interim President provides leadership that engenders open communication. Across the campus, at all meetings, every opinion and point of view is given the opportunity to be expressed. During his tenure here thus far he has fostered, in faculty and staff, a better understanding of the need for ongoing planning, using data and outcomes as essential guides.

## **PLANNING AGENDA**

The College plans to hire a permanent president, as directed by the chancellor.

*IV.B.2.a. The president plans, oversees, and evaluates an administrative structure organized and staffed to reflect the institution's purposes, size, and complexity. He/she delegates authority to administrators and others consistent with their responsibilities, as appropriate.*

## **DESCRIPTIVE SUMMARY**

The President works closely with faculty and staff, as provided for in our shared governance structure. At Cañada College the administrative structure consists of two organizational areas led by vice presidents. Reporting directly to the President are the Vice President of Instruction and the Vice President of Student Services. Reporting directly to the Vice Presidents, are the Division Deans. Additionally, the Public Information Officer, the College Researcher and the Budget Officer report directly to the President.

The Vice President of Instruction oversees each instructional division, their deans and their faculty and staff. She oversees curriculum, professional development, faculty orientation, the Middle College Program, and several Early College programs and is the liaison for College accreditation.

The Vice President of Student Services oversees all areas that pertain to Student Services, such as Counseling and Enrollment Services, Admissions and Records, Financial Aid, Health and Psychological Services, EOPS, DSPPS, Learning Center, Library, Student Activities, and the University Center. The Vice President of Student Services also oversees Student Conduct and Academic Integrity.

There has been substantial turnover among administrative personnel in the last few years. The Vice President of Instruction was hired on an interim basis in June 2003 and then subsequently hired permanently in April 2004. The Vice President of Student Services was hired on an interim basis in October 2004 and then subsequently hired permanently in June 2005.

During our former President's tenure she eliminated the position of Dean of Admission & Records and recreated the Dean of Counseling & Enrollment Services which was filled on October 2004. Aside from the Dean of Business and Workforce Development, the Dean of the University Center and Student Support Services, Dean of Humanities and Social Sciences, and Dean of Science & Technology were all filled in 2006.

REFER ORG charts for this.

### **SELF-EVALUATION**

The President appropriately delegates authority.

As a result of past administrative turnover and multiple changes in governance structure, administrative workloads have evolved in a way that has raised concerns regarding workload distribution.

### **PLANNING AGENDA**

The institution will examine the distribution of work among the administrators.

*IV.B.2.b. The president guides institutional improvement of the teaching and learning environment by the following:*

- *establishing a collegial process that sets values, goals, and priorities;*
- *ensuring that evaluation and planning rely on high quality research and analysis on external and internal conditions;*
- *ensuring that educational planning is integrated with resource planning and distribution to achieve student learning outcomes; and*
- *establishing procedures to evaluate overall institutional planning and implementation efforts.*

### **DESCRIPTIVE SUMMARY**

When the Interim President was hired he inherited a college with a history of high administrative turnover. This turnover created an environment that limited the College's ability to execute institutional plans.

The President has provided the stability for institutional planning to move forward. The President interacts with faculty and staff concerning the successes or apparent weaknesses of programs, enrollment goals, and the delineation of initiatives which reflect the needs of the student body and the community. The topics of such interactions have included Program Review, Student Learning Outcomes workshops and trainings, data analysis, facilities master plan development, and new program development, such as Multimedia. He strives to be available to as many faculty, staff, and students as possible and attends as many Division, Curriculum, and Instructional/Student Services Council,

ASCC meetings where the values and goals of the College are discussed. It is also common practice for the President to attend most College events.

The President recognizes the need for data to inform the operations, programs, and performance of the College. He directs the College Researcher to collect data that elucidates College performance and the educational needs of the student body.

The President, develops annual goals and plans for the College in consultation with the multi-constituency shared governance committees: the College Council, the Planning and Budget Committee, and the Administrative Council. The goals and plans are reviewed by the representative constituencies at the College and then presented to the College Council members. These goals are then reviewed and approved by the Chancellor at the District level to ensure consistency with District mission and goals. Goals are evaluated at the end of each year and used to establish new goals for the coming year. These goals are part of the President's evaluation.

The role of the Planning and Budget Committee has been strengthened; as a sub-committee of College Council, its charge is to advise and make recommendations regarding all aspects of budget, of hiring, and of program development and expansion while assessing the need and the cost for each outcome being considered. These recommendations are then forwarded to the College Council.

Among the President's highest priorities are heightening productivity and retaining students. The College continues to develop its enrollment management program and to pursue new and revised programs that achieve those objectives.

This academic year, 2006-07, the President is leading an initiative to provide for a new, comprehensive strategic planning process that will lead to a collaborative and collegially developed strategic plan to guide the College's future. Using College and District research capabilities, the College is now doing a thorough internal and external assessment of its community. Internally, the College is gathering qualitative and quantitative data by means of surveys and interviews with individuals and groups; externally, it is assessing the market and the potential of existing and new programs which meet the educational needs of the community and the developing workforce. The end result of the initiative is to have a written strategic and action plan with accompanying implementation steps to guide future decision making. The College intends to integrate budget plans and strategic plans by linking dollars to the implementation plan. In this way, the strategic plan will drive future efforts.

## **SELF-EVALUATION**

Despite the hurdles to planning that have hampered progress, the College has made significant progress toward stabilizing the environment so that appropriate planning occurs.

## **PLANNING AGENDA**

The College will complete the Strategic Planning process.

*IV.B.2.c. The president assures the implementation of statutes, regulations, and governing board policies and assures that institutional practices are consistent with institutional mission and policies.*

#### **DESCRIPTIVE SUMMARY**

The President takes time to review all manuals which contain pertinent district policies whenever a decision is pending. He consults the district office, the vice-presidents, and all college bodies regularly about policies. In fact, he believes that checks and balances are appropriate and in place, and he values the multiple feedback system of the shared governance process. Additionally, he gathers input from the Chancellor's Cabinet and consults with the other two presidents of the District. The President is scrupulous about following policies and regulations and has rectified practices which were not consistent with the institution's mission and policies, for example, those concerning institutional finance and budgeting.

#### **SELF-EVALUATION**

The college meets the standard.

#### **PLANNING AGENDA**

None at this time.

*IV.B.2.d. The president effectively controls budget and expenditures.*

#### **DESCRIPTIVE SUMMARY**

The President, as the College's chief executive officer, is responsible for managing resources, controlling the budget and expenditures, and implementing the budget. The College Budget Officer reports directly to the President regarding all matters related to college resources, its budget, and its expenditures. The President is in daily contact with the College Budget Officer on all issues related to budget control and expenditures. The President also values and relies upon consultation with the Planning and Budget Committee and the College Council.

The President meets with the College administrative team on a semi-monthly basis to discuss college-wide topics, including budget items and expenditures. The President of the College supervises, guides, and directs the administrative team in assuring that resources are spent efficiently. The President keeps the Chancellor informed about key

aspects of the budget process and about administrative decisions made at the college level.

The president meets regularly with the College Budget Officer for the purpose of reviewing budget projections. Budget matters are discussed monthly with the Planning and Budget Committee. The College Budget Officer is required to report all apparent deficiencies in any budget category.

#### **SELF-EVALUATION**

The college employee survey indicated that only 50.7% feel they have adequate opportunities to participate in the development of financial plans and the budget. Additionally, only 45% feel that college budget decisions are based upon input from all college constituencies.

#### **PLANNING AGENDA**

The College will formalize and schedule regular analysis and reporting of budget and financial matters.

*IV.B.2.e. The president works and communicates effectively with the communities served by the institution.*

#### **DESCRIPTIVE SUMMARY**

The president is strongly committed to keeping the College tightly interwoven with the community. This is accomplished mostly through regular interaction with local City Councils, civic leaders, and the President's Advisory Council and through participation in Chamber of Commerce events.

The President maintains an on going dialogue with local government, local elementary and high school superintendents, on the needs of the communities we serve. The President also has direct communication and regular meetings with leadership of the higher educational institutions in the region.

#### **SELF-EVALUATION**

The college meets the standard.

#### **PLANNING AGENDA**

None at this time.

*IV.B.3. In multi-college Districts or systems, the district/system provides primary leadership in setting and communicating expectations of educational excellence and integrity throughout the district/system and assures support for the effective operation of the colleges. It establishes clearly defined roles of authority and responsibility between the colleges and the district/system and acts as the liaison between the colleges and the governing board.*

#### **DESCRIPTIVE SUMMARY**

The District in its Preamble and Mission Statement clearly communicates its commitment to providing quality education and lifelong learning in an atmosphere of collegiality and shared responsibility. (IVB3:-College Catalog 2006-2007)

#### **SELF-EVALUATION**

Employee survey results show that 71% of those who responded believe that the district office adheres to clearly defined policies consistent with the District mission. It is important to note that 28% of those surveyed did not respond, indicating that they do not know.

Additionally, 75% of those who responded believe the district office acts in a manner consistent with Board policies, statutes, and regulations, with a slightly greater number of respondents answering this question.

#### **PLANNING AGENDA**

The district office should improve communication regarding their role and responsibilities to the college.

*IV.B.3.a. The district/system clearly delineates and communicates the operational responsibilities and functions of the district/system from those of the colleges and consistently adheres to this delineation in practice.*

#### **DESCRIPTIVE SUMMARY**

Operational responsibilities and functions of the District are articulated in District Rules and Regulations<sup>lv</sup>. District Rules and Regulations are currently made available to institutional and system staff as well as to the general public, through the District's website portal page.<sup>lvi</sup> In addition, District Office organization charts are maintained by the District's Office of Human Resources and available upon request to interested individuals.

[Put statement from Harry here]

#### **SELF-EVALUATION**

As prescribed in District rules and regulations, the Chancellor consistently adheres to this delineation. He gives responsibility to the College presidents to carry out operations at their respective sites. The college presidents, through the Chancellor's Council, collaborate with the district on the budget. The presidents are given wide latitude in managing their institution's budget and in decision making regarding expenditures on instructional programs and student services that support their missions.

The employee survey suggests that 71% of those who responded believe that the district office adheres to clearly defined policies consistent with the mission. It is important to note that 28% of those surveyed did not respond, indicating that they do not know.

Additionally, 75% of those who responded believe the district office acts in a manner consistent with Board policies, statutes, and regulations. A slightly greater number of employees felt they could answer this question.

#### **PLANNING AGENDA**

The District should publicize the location of existing information about its roles, responsibilities and services.

As the district portal page is the primary means of communication between the district and the colleges, the District should upgrade the webpage so that it is easier to navigate and find information.

#### Evidence

1. District rules and regulations, 2.00  
[http://smcweb.smccd.net/portal/District%20Information/Rules%20And%20Regulations/2\\_00.pdf](http://smcweb.smccd.net/portal/District%20Information/Rules%20And%20Regulations/2_00.pdf)
2. District rules and regulations, 2.02  
[http://smcweb.smccd.net/portal/District%20Information/Rules%20And%20Regulations/2\\_02.pdf](http://smcweb.smccd.net/portal/District%20Information/Rules%20And%20Regulations/2_02.pdf)
3. District rules and regulations, 2.05  
[http://smcweb.smccd.net/portal/District%20Information/Rules%20And%20Regulations/2\\_05.pdf](http://smcweb.smccd.net/portal/District%20Information/Rules%20And%20Regulations/2_05.pdf)
4. Link to entire body of district rules and regulations  
<http://smcweb.smccd.net/portal/District%20Information/Forms/AllItems.aspx?RootFolder=%2fportal%2fDistrict%20Information%2fRules%20And%20Regulations&View=%7bF268A2B9%2d228C%2d4AE5%2dB3A1%2dEF3D1F2D2DB1%7d>

*IV.B.3.b. The district/system provides effective services that support the colleges in their missions and functions.*

### **DESCRIPTIVE SUMMARY**

The District provides effective services that support the colleges in their missions and functions. Centralized support is provided for the Colleges in the areas of Business Services, Facilities Planning and Operations, Human Resources and Employee Relations, Educational Services and Planning, Information Technology Services, and Community and Government Relations. An organization chart illustrating the reporting relationships of these organizations is included as evidence to this document. (ref. 1)

The Executive Vice Chancellor, reporting directly to the Chancellor, oversees the Business Services and Facilities Planning and Operations functions. Business Services provides centralized support in the areas of purchasing (General Services) and accounting, payroll, grants, and finance. Business Services is headed by the Chief Financial Officer who reports to the Executive Vice Chancellor. Reporting to the Chief Financial officer are a Director of General Services, encompassing the areas of purchasing and accounts payable, and a Director of Bookstore Operations.

Facilities Planning and Operations is headed by an Executive Director who reports to the Executive Vice Chancellor and a Director who reports to the Executive Director. Facilities Planning and Operations provides centralized support in the areas of engineering, custodial, grounds, and facilities planning and construction management services. Facilities Planning and Operations is divided into two distinct functions – Facilities Planning and Construction and Facilities Maintenance and Operations. The Executive Director and Director are fully immersed and responsible for both operations. Over the past 5 years, voters in the district have passed two general obligation bonds totaling \$6.75 million. Consequently, the majority of both the Executive Director and Director's time is currently devoted to Planning and Construction Functions. Maintenance and Operations functions (engineering, custodial, and grounds) are run by Facilities Managers at each college. These managers report to the Director of Maintenance and Operations (ref. 10).

Human Resources and Employee Relations is headed by a Vice Chancellor, who reports directly to the Chancellor. He oversees a wide variety of centralized applicant, employee, and retiree services for the colleges. This department also facilitates the collective bargaining process.

The Vice Chancellor of Educational Services and Planning has overall responsibility for the coordination of instruction and student services. Reporting directly to the Chancellor, the Vice Chancellor of Educational Services and Planning provides overall coordination in the planning, development, and implementation of the instructional and student support programs of the district. Activities touch on areas of research, accreditation, strategic planning, workforce and economic development, and educational technology.

Information Technology Services (ITS) is headed by a director reporting to the Chancellor. The Director is responsible for technology management in the district and advises the Chancellor on district-wide technology decisions. Additionally, the Director serves as Technology Officer at each of the District's three Colleges and guides the development and implementation of the College's technology planning. ITS provides and maintains the voice and data communications infrastructure at the colleges and the District Office. As part of the District's technology strategic plan, the group recently completed district-wide installation of and training for a new Voice over Internet Protocol telephone system. Additionally, the group provides maintenance, support, and training for the district's enterprise software solution—Sungard SCT/Banner—for faculty, administration, and students. The group also provides video conferencing and multi-media support. ITS plays an integral role in the District's capital improvement program during the programming and design of facilities. ITS assists Facilities in planning instructional technology in classrooms and labs and is involved in planning for communications infrastructure. Once construction is underway, ITS also assists with installation of the infrastructure. Finally, ITS is the application services provider for the Peninsula Library System, a network of 34 libraries in San Mateo County, including for the District's college libraries.

Community and Government Relations is headed by a director reporting directly to the Chancellor. She serves as liaison for the District and the colleges to state and local legislators on legislative and governmental matters for the District. The Director also serves as liaison to local cities on land use and tax sharing issues and to community members on issues related to the community. The Director is the District's primary spokesperson to the media on district-wide issues such as budget, collective bargaining, Board policies, and other issues. The Director also handles negotiations with all redevelopment agencies in the County and manages issues related to affordable housing for faculty and staff. The Director coordinates activities of the Bond Oversight Committee and the Housing Foundation Board.

## **SELF-EVALUATION**

Overall, the District is providing effective services that support the missions and functions of the colleges. On balance, survey data related to district services supports the conclusion as is shown in responses to questions related to ITS and Facilities grounds operations. It is also evident that the District engages in dialogue about its services with the colleges through active involvement in a variety of institutional and administrative committees and through the Chancellor's Cabinet and Council meetings. There is also evidence that the District disseminates information about its processes through training, forums and websites. Finally, the District engages in evaluation, planning, and improvement processes to measure effectiveness and improve delivery of its services.

In general, accreditation survey data related to district Information Technology services indicate that faculty and staff agree that the District provides effective services in those areas. For instance, 73% of employees agreed or strongly agreed with the statement

“The technical support services for my technology issues are adequate.” The College maintains and upgrades technology and equipment to meet instructional needs.”

Survey data related to Facilities Planning and Operations data was mixed. Of classified staff responding to the accreditation survey, 79.1% agreed or strongly agreed that “Campus landscaping is adequately maintained.” Similarly, 66.9% of faculty agreed or strongly agreed with that statement. On the other hand, only 36.1% of faculty and administration agreed that “Campus facilities (i.e., classrooms, washrooms, offices) are adequately maintained,” and only 30.2% of classified agreed or strongly agreed with the statement, indicating a generally negative perception of District services related to facilities maintenance. Survey data did not address overall campus satisfaction with quality of customer service provided by the Campus Maintenance Operation. However, there is a perception, based on conversations with faculty and administration, that customer service levels are not as desirable as they could be and there is an expressed desire to see improvements in this area.

Other evidence suggests that the District actively engages the colleges in dialogue regarding district services. The Chancellor and his executives (Executive Vice Chancellor, Vice Chancellor of Human Resources, and Vice Chancellor of Educational Services and Planning) meet twice monthly with the college presidents in the Chancellor’s Cabinet meetings. This same group, plus the Chancellor’s other direct reports (Director of Community and Government Relations, Director of ITS) and the Executive Director of Facilities Planning and Operations, also meet twice monthly in Chancellor’s Council Meetings (ref. 11). These face-to-face meetings between executives, presidents, and directors provide opportunity for dialogue, if necessary, regarding district services to the colleges.

District staff are active in a variety of institutional and administrative committees and forums. For example, the Executive Vice Chancellor and Chief Financial Officer are members of the District Committee on Budget and Finance as well as the District Associated Students Advisory Committee (ref. 2, 3). The Executive Director of Facilities Planning and Operations and the Director of Facilities Maintenance and Operations meet monthly with the College President’s Cabinet. And the Director is a member of the College’s Way Finding Committee to address improved directional signage. The College Facilities Manager is an active participant in College Administrative Council Meetings in an effort to foster communication with campus administrators, faculty, and staff.

The District supports institutional forums that serve to disseminate information, promote discussion among the colleges and the district, and gather feedback related to district services. The District Instructional Technology Council is a forum, supported by Information Technology Services, for faculty, staff, and administrators to discuss, preview, introduce, and recommend products, services, and pedagogy as they relate to instruction and services using technology. This group is open to all faculty, staff and administrators (ref. 4).

In cooperation with College Emergency Operations Committees, the District sponsored 3 on-campus showings of “Academic Aftershocks: The Northridge Experience.” The purpose of the showings was to support the work of College Emergency Preparedness/Safety Committee and to illustrate to faculty and staff the possible ramifications of a major disaster on their campuses. During January and February of 2006, the District also sponsored showings of the video as a flex activity for faculty. Staff were also invited to attend (ref. 13). On April 20, 2006, the College, in collaboration with the district office and the San Mateo County Office of Emergency Services, participated in day and evening college-wide emergency preparedness drills.

The Human Resources and Employee Relations Department sponsors monthly forums for college and district managers and supervisors. The forums provide an opportunity for the district and colleges to communicate about information regarding current human resources processes, policies and procedures, and a variety of other subjects of concern to managers and supervisors throughout the district. Agenda topics are set by managers and supervisors (ref. 14). Recent meetings have covered such items as varied as sexual harassment training and a review of the new phone system, including implementation and training schedules (ref. 15). The forum has also been used to discuss and introduce websites related to district services including the CORP page (ref. 16), a resource providing a convenient means for faculty, staff, and administration to purchase a variety of products, ranging from office supplies to duplicating services to furniture. The District’s “Download” page which contains a variety of documents and forms used Districtwide.

The District also offers a wide variety of training related to District services for faculty and staff. For instance, the District’s Purchasing Department developed a series of leveled training programs to facilitate a better understanding of the District’s financial software and to foster greater communications between District Office Purchasing and Accounts Payable personnel and campus staff involved with budget and finance. The Director of General Services and his Purchasing and Accounts Payable staff conduct the training sessions. The Director works with the Budget Officers at each College to identify candidates for training. The first cohort of staff entered training in 2002. The most recent cohort of staff started “freshman” training in December 2005 and advanced through “sophomore” and “junior” training (ref. 5) during February 2006 and March 2006. In conjunction with the purchasing training effort, the Director of General Services, working with Human Resources and Employee Relations, integrated an introduction to District General Services into the New Hire Orientation Program in March 2006 (ref. 6).

As part of the District’s technology strategic plan, Information Technology Services recently completed Districtwide installation of a new voice-over-internet protocol telephone system. Training on the new system was conducted Districtwide (ref. 12).

Through its Centers for Teaching and Learning, which are located on all three college campuses, Information Technology Services offers a wide variety of support and training to faculty and staff (ref. 7). The Center’s offerings are extensive and include workshops

on District supported software, individualized consulting regarding instructional software, small group seminars and a “Bootup Camp”—a voluntary workshop series designed for new faculty on the effective use of technology in the classroom (ref. 8).

In an evaluation, planning, and improvement effort, the Facilities Maintenance and Operations Group, a part of Facilities Planning and Operations, conducted a comprehensive program review of all of its operations including its custodial, grounds, and engineering units. The review was completed in February 2006 and provided Facilities managers with valuable data for their organizations. For example, as part of the custodial review, an inventory of cleanable square footage was developed. The inventory classified the size and types of spaces that needed to be cleaned in each building district wide. Based on these and other measurements, the director developed a staffing model which quantified the number of custodians necessary to attain a particular “appearance level” (based on industry standards for custodial staffing for educational facilities). The Director of Facilities Maintenance and Operations has given presentations regarding the program review to various committees, councils, and groups across the district. For example, in December, 2004, the Director of Facilities Maintenance and Operations gave a presentation to the District Committee on Budget and Finance explaining this review process in detail (ref. 9).

The program review process has helped the Facilities Maintenance and Operations Director create balanced work assignments and healthier work environments for custodians, grounds crews, and engineering personnel. Another function of the review was to manage customer expectations regarding appearance levels of facilities. As evidenced in the accreditation data cited earlier, there is still work to be done in the area of facilities appearance and cleanliness, especially in the areas of classrooms, washrooms, and offices. Program review data, in particular the inventory of cleanable square footage, was considered in developing the facilities component of the district’s new resource allocation model which is outlined in section IV.B.3.c of this document. While allocations made via this model do support additional staffing to support additional square footage being brought “online” as a result of the District’s Capital Improvement Program, it does not take into consideration the current understaffing related to existing square footage. The program review data should also be used to drive other organizational, process, and budgetary changes that would foster improvements in the area of facilities cleanliness.

Finally, various departments and committees within the District maintain websites which are accessible district wide via the District’s portal page (ref. 17). The information available through the portal includes common forms and documents related to Human Resources, Payroll, Purchasing, Accounts Payable, district rules and regulations, food service information, calendar information, and budget information. The site also contains links to district wide committee websites, Board of Trustees information, purchasing information, facilities and construction information, and more. As noted in section IV.B.3.a, accreditation survey data indicated that significant numbers of faculty, administration, and classified staff answered “don’t know” or “n/a” to the statement, “There are clear divisions of authority and responsibility between and among the District

Office, Governing Board and CSM.” Information clarifying these divisions and responsibilities is readily available online and the District has presented information about many of these resources to managers and supervisors at the monthly Human Resources and Employee Relations Manager’s forums.

## **PLANNING AGENDA**

The College will use facilities program review data to support and illustrate the need for additional staff in order to make significant improvements in the area of facilities cleanliness.

Facilities management should assess and quantify perceived difficulties with customer service quality on campus and implement policies to make measurable improvements in this area.

Facilities Planning and Operations should implement measures to advertise more widely the body of web-based information regarding facilities services and processes.

The District should also implement measures to communicate more widely the body of web-based information available about District services, policies and procedures through the District’s portal page.

### Evidence

- (1). District Office Organization Chart, March 2006
- (2). District Committee on budget and Finance Committee Membership List  
<http://www.smccd.edu/portal/dcbf/Lists/Committee%20Members/AllItems.aspx>  
2005-2006 DASAC Committee Membership List
- (3). District Associated Students Advisory Committee Membership List  
<http://www.smccd.net/portal/dasac/DASAC%20Committee%20Members/DASAC%20members.%202005-06%20academic%20year.xls>
- (4). DITC Website  
<http://www.smccd.net/accounts/ditc/>
- (5). Purchasing training materials and agendas for freshman and sophomore training sessions
- (6). General Services PowerPoint presentation for new hire orientation, March 2006
- (7). CTL Website  
<http://www.ctlonline.net/>
- (8). CTL Boot up Camp Website

<http://smcweb.smccd.net/accounts/bootupcamp/>

(9). Facilities Maintenance and Operations Presentation: Program Review

[http://www.smccd.net/accounts/facilities/maintoperation/2004%201207%20Program%20Reviews%20-%20Cmte%20Budget%20&%20Finance\\_files/frame.htm](http://www.smccd.net/accounts/facilities/maintoperation/2004%201207%20Program%20Reviews%20-%20Cmte%20Budget%20&%20Finance_files/frame.htm)

(10). Facilities Planning and Construction Organization Chart

[http://www.smccd.net/accounts/facilities/fpo\\_orgchart.htm](http://www.smccd.net/accounts/facilities/fpo_orgchart.htm)

(11). Calendar: Chancellor's Office and Districtwide Standing Meetings

(12). Telephone system training and support materials and announcement regarding phone upgrade

Announcement regarding Telephone system training

Telephone training and support materials

<http://www.smccd.net/accounts/smccd/phone/>

Announcement regarding telephone system upgrade

<http://www.smccd.net/portal/Lists/All%20Employees%20Announcements/DispForm.aspx?ID=152&Source=http%3A%2F%2Fwww%2Esmccd%2Enet%2Fportal%2FLists%2FAll%2520Employees%2520Announcements%2FAllItems%2Easpx>

(13). Announcement: Academic Aftershocks

<http://www.smccd.net/portal/Lists/All%20Employees%20Announcements/DispForm.aspx?ID=158&Source=http%3A%2F%2Fwww%2Esmccd%2Enet%2Fportal%2FLists%2FAll%2520Employees%2520Announcements%2FAllItems%2Easpx>

(14). Email: Request for agenda topics for manager's forum

(15). Email: Manager's forum announcements and agendas: September 8, 2005 and April 20, 2005

(16). Purchasing web page

<http://www.smccd.edu/purchasing/>

(17). Corp Page

<http://www.smccd.net/corp/>

(18). District Portal Page

<http://www.smccd.edu/accounts/portal/>

*IV.B.3.c. The district/system provides fair distribution of resources that are adequate to support the effective operations of the colleges.*

## **DESCRIPTIVE SUMMARY**

For the past several years, the District's method of distribution of resources has not been effective in supporting the operations of the colleges.

The District has not previously had a formula-based resource allocation model since 1997-98. Increases and reductions to college budgets have been based on adjustments for step and column increases, longevity, COLA, and other changes (ref. 1). The model did not address enrollment changes or growth in special programs. This led to inequitable distribution among the colleges.

Since May 2003, the District Committee on Budget and Finance, a subcommittee of the District Shared Governance Council, had been discussing the subject of resource allocation and in August 2003, at the direction of the Executive Vice Chancellor, the District Committee on Budget and Finance was charged with recommending a new resource allocation model for the District (ref. 2, 3). The Committee engaged in an evaluation, planning, and improvement process that ended with the approval of a new distribution model in May, 2005. The new model goes into effect for the 2006/07 year.

## **SELF-EVALUATION**

Although 68% of faculty and administration responding to College of San Mateo's accreditation survey agreed or strongly agreed that the District distributes resources fairly, it has been the general consensus of college and district leadership that resource allocation has not been particularly responsive to changing workload measures in the years following the implementation of the 1997-98 model. As explained in the Descriptive Summary above, since that time the College's allocations have been based on the prior year's allocations adjusted for step and column increases, longevity, COLA, and other adjustments. Components most critical to a college's ability to support student learning—adjustments for enrollment growth and adjustments for special programs—have not been addressed.

The District Committee on Budget and Finance has studied the budget allocation model issue closely. Committee work regarding the budget allocation model has been thorough. The meaningful dialogue between the colleges and the district, the extent of research, and nature of the collaboration between the colleges and the district regarding this important decision is documented in the Committee's minutes beginning in August of 2003 through the Committee's most current minutes (ref. 4).

In its planning and evaluating, the Committee conducted a historical review of the District's prior budget allocation models and reviewed allocation models from other institutions (refs. 1, 5, 6, 7). The Committee also met with administrative staff to explore various programs in the District and to address how all programs might best be served by a new resource allocation model. For example, the Committee requested presentations from the colleges' Vice Presidents of Instruction regarding factors affecting cost and

efficiency of instructional programs to ensure that any new allocation model addressed program needs appropriately and thus supported positive student learning outcomes (ref. 8). Additionally, the Committee requested an overview of facilities programs from the District's Director of Facilities Maintenance and Operations in an effort to more thoroughly understand any impact that an allocation standard based on square footage might have on that operation (ref. 9). In November 2004, the Committee also discussed KCSM, the District's television and radio outlet, with its General Manager to gain an understanding of the operation's financial structure and its relationship to the District's budget. (ref. 10)

Based on their extensive research, the Committee selected and refined an allocation model during the spring semester of 2005 (ref. 11). The Chief Financial Officer presented the proposed model in May 2005 to the District Shared Governance Council, which came to a consensus to adopt the model. (ref. 18)

During the entire process, the District's Chief Financial Officer engaged college constituencies—including Skyline College's managers, Skyline College's Budget Council, College of San Mateo's Budget Committee, College of San Mateo's Academic Senate, Cañada College's Cabinet, Cañada College's Council Budget and Planning subcommittee, and Cañada College's Academic Senate—in a dialogue about the proposed model. Her presentation included examples of the model populated with sample data to illustrate how colleges might be affected in years where resources were allocated or in years where resources were cut across the district (ref. 12). To solicit feedback about the model district wide, the Committee prepared an online survey (ref. 13, 14). Feedback from the dialogues with the constituencies was documented, considered, and, where appropriate, implemented into the model (ref. 15). For example, Skyline College's Budget and Planning Committee was concerned that the proposed model did not include an incentive for productivity. The Committee on Budget and Finance agreed and modified the model so that special allocations could include incentives for productivity, enrollment, utility usage, and other efficiency related items (ref. 16).

The District began implementation of the new resource allocation model in the 2006-07 budget year. The components of the new model include the following: a base allocation for each college calculated as a percentage of current funding and FTEs; an allocation for increases in Central Services such as benefits, utilities, insurance, and other items; allocations to facilities based on increased square footage and a percentage of college growth allocations; growth allocations for all colleges based on three-year average FTEs; allocations to the District Office as a percentage of college growth allocations; and an allocation for demonstrated need, including agreed upon incentives. Tentative site allocations became available mid-March 2006 for the 2006-07 budget planning process (Ref 17).

## **PLANNING AGENDA**

The Committee on Budget and Finance has indicated that continual review and monitoring of the model is necessary and plans to review the model accordingly.

#### Evidence

- (1). District Committee on Budget and Finance, Minutes, March 2, 2004  
<http://www.smccd.edu/portal/dcbf/Minutes/2003-04/Minutes%20-%20March%202,%202004.doc>
- (2). District Committee on Budget and Finance: Agenda, May 6, 2003  
<http://www.smccd.edu/portal/dcbf/Agendas/2002-03/Agenda%20-%20May%206,%202003.doc>
- (3). District Committee on Budget and Finance: Minutes, August 19, 2003  
<http://www.smccd.edu/portal/dcbf/Minutes/2003-04/Minutes%20-%20Aug.%2019,%202003.doc>
- (4). District Committee on Budget and Finance: Meeting Minutes.  
<http://www.smccd.edu/portal/dcbf/Minutes/Forms/AllItems.aspx>
- (5). District Committee on Budget and Finance: Minutes from March 2, 2004  
<http://www.smccd.edu/portal/dcbf/Minutes/2003-04/Minutes%20-%20March%202,%202004.doc>
- (6). District Committee on Budget and Finance: Minutes from March 16, 2004  
<http://www.smccd.edu/portal/dcbf/Minutes/2003-04/Minutes%20-%20March%2016,%202004.doc>
- (7). District Committee on Budget and Finance: Minutes from April 6, 2004  
<http://www.smccd.edu/portal/dcbf/Minutes/2003-04/Minutes%20-%20April%206,%202004.doc>
- (8). District Committee on Budget and Finance: Minutes from November 2, 2004  
<http://www.smccd.edu/portal/dcbf/Minutes/2004-05/Minutes%20-%20Nov.%202,%202004.doc>
- (9). District Committee on Budget and Finance: Minutes from December 7, 2004  
<http://www.smccd.edu/portal/dcbf/Minutes/2004-05/Minutes%20-%20Dec.%207,%202005.doc>
- (10). District Committee on Budget and Finance: Minutes from November 16, 2004  
<http://www.smccd.edu/portal/dcbf/Minutes/2004-05/Minutes%20-%20Nov.%2016,%202004.doc>
- (11). Resource Allocation Model

(12). PowerPoint Presentation for Constituency Groups: Resource Allocation Model

(13). Districtwide e-mail survey

(14). Districtwide e-mail survey results

(15). Resource Allocation Model Update and Summary of Resource Allocation Feedback, April 13, 2005

(16). District Committee on Budget and Finance: Minutes, November 15, 2005  
<http://www.smccd.edu/portal/dcbf/Minutes/Minutes%20-%20Nov.%2015,%202005.doc>

(17). Board Report No. 06-1-2CA – Budget and Planning Calendar

(18). District Shared Governance Council: Summary of Meeting, May 2, 2005

*IV.B.3.d. The district/system effectively controls its expenditures.*

#### **DESCRIPTIVE SUMMARY**

The District effectively controls its expenditures. Audits for the last several years have produced no adverse financial findings and the District has consistently had a positive ending balance. The District's bond ratings are the highest for community colleges in the State at "Aa1" (Moody's) and "AA" (Standard and Poor's). The ratings are an indication of the District's financial health and stability (ref. 2). Finally, the District and colleges' financial control mechanisms include systematic and procedural controls to monitor expenditures and help produce reasonable and balanced budgets.

The Chancellor has overall responsibility for the management of the District's budget. Each college operates within the allocations of the current budget. The Chief Financial Officer is responsible for the general management of the budgeting, budget controls, and the accounting programs of the district. The president of each college is responsible for operating the college within the limitations established by the budget. College administrative responsibilities include adherence to guidelines established by the District Administrative Services Office, time/deadlines, and generally accepted accounting principles.

#### **SELF-EVALUATION**

Annual audits for the last several years reveal that the District consistently has a positive ending balance and has no adverse financial findings (ref. 1). Additionally, in November 2001 and again in November 2005, voters in San Mateo County approved bond measures totaling \$675,000,000. Upon issuance of these bonds, the District's bond rating is established by two major bond ratings agencies. As recently as March 2006, both Moody's and Standard and Poor's rated the District Aa1 and AA respectively (ref. 2).

The ratings are based on the companies' evaluation of the underlying financial condition of the District. Sound bond ratings are important to the District as they are reflected in lower municipal bond insurance costs and bond pricing that is more favorable to the taxpayers and the District.

Systematic and procedural controls at the district and college levels help produce reasonable and balanced budgets, prevent over-spending, and reinforce accountability by budget managers. The District has various personnel at different levels and with different responsibilities for accounting management. Online purchase requisitions are initiated at the department level and require administrative approvals before being routed to the Purchasing Department. Purchase orders are issued within guidelines, which require competitive bidding and ultimately Board approval—all handled through the Purchasing Department under administrative responsibility. The District's finance and accounting system includes an NSF (non sufficient funds) feature for budget management. Documents with insufficient funds are electronically flagged and are not authorized until a budget transfer takes place. The Accounts Payable Department prepares payments with required documentation and administrative approval. The Accounting Department includes accounts receivable where all income is received, deposited, and appropriately posted to the district's books.

Employees who are required to make purchases on behalf of the District are eligible to receive a procurement card. The District maintains specific guidelines governing the use of procurement cards. The cardholder is personally responsible for ensuring that the card is used within the purview of the District's policies and procedures and for retaining original receipts and card statements. The College Operations Offices and the District's General Services Office conduct routine and random audits of the employee's procurement card file to ensure accountability. In addition to these controls, the District sets specific expenditure limits with the bank for each individual employee (both transaction and monthly charges).

As an educational institution, the District uses governmental accounting with emphasis on the uses of resources to attain the College's objectives. With specific fund numbers for each source, funds are tracked to account for revenue and expenditures. A "fund" is defined as a fiscal and accounting entity with a self-balancing set of accounts recording cash and other financial resources, together with all related liabilities and residual balances and changes. These are segregated for the purpose of carrying on specific activities or attaining certain objectives in accordance with special regulations, restrictions, or limitations. Within the fund accounting structure, individual projects and grants can be established to uniquely report out related revenue and expenditures.

The District has an External Programs Department which maintains funds, records, and files on all externally funded grants and donations. Any external funding with requirements or compliances is monitored as the program or grant proceeds. The District does not accept special funding unless it can comply with accompanying restrictions.

When capital construction is involved, project funds are moved to the Capital Construction Fund as required by State reporting requirements, and the Facilities Planning and Operations Department coordinates the project and maintains required files. In light of the passage of two bond measures and an extensive capital improvement program underway, this element of management and control of expenditures should be emphasized. A grand jury report, issued in June 2005, focuses on the District's effectiveness in this regard (ref. 3). In the report, titled "School Construction Management in San Mateo County," the Grand Jury found that:

After years of experience, the San Mateo County Community College District (SMCCCD) has developed proven policies and procedures for construction planning and management. These techniques have been employed successfully for capital improvement projects on the three San Mateo college campuses.

This report cites the District's successful policies and procedures for construction planning and management as a model to be followed by other school districts throughout San Mateo County.

The Board of Trustees approves monthly bills and salary reports and reviews quarterly detailed financial statements for all funds. These reports are prepared by financial staff in the Chancellor's Office and presented by the Executive Vice Chancellor. The Mid-Year Budget Report (ref. 4) is an in-depth review of the first half of the fiscal year and includes information on actual expenditures and percentages to date, expenditure comparisons to the same period for two prior years, as well as fund transfers made since adoption of the annual budget. Also included are activity/accomplishment highlights and preliminary information on the subsequent budget year planning.

## **PLANNING AGENDA**

None at this time

Evidence

(1). San Mateo County Community College District, Annual Financial Reports for 2000 – 2005.

<http://www.smccd.edu/portal/dcbf/Documents/Forms/AllItems.aspx?RootFolder=%2fportal%2fdcbf%2fDocuments%2fAudited%20Financial%20Reports&View=%7b88759342%2dFB76%2d4476%2d925E%2d8402A49619B5%7d>

(2). Official Ratings Statements from Moody's and Standard and Poor's

(3). Report from the Grand Jury, June 2005

[http://www.sanmateocourt.org/grandjury/2004/reports/School%20Construction%20vers.%203.0\\_final.pdf](http://www.sanmateocourt.org/grandjury/2004/reports/School%20Construction%20vers.%203.0_final.pdf)

(4). Mid-year budget report, 2005-06

<http://www.smccd.edu/portal/dcbf/Documents/2005-06%20Mid-Year%20Budget%20Report.pdf>

*IV.B.3.e. The chancellor gives full responsibility and authority to the Presidents of the colleges to implement and administer delegated District/system policies without his/her interference and holds them accountable for the operation of the colleges.*

### **DESCRIPTIVE SUMMARY**

The College President's responsibilities and authority for implementation and administration of district policies are prescribed in District Rules and Regulations. The Rules state that "each President, as the College Chief Executive Officer, is responsible for implementation of District policies at the College" (ref. 1). The Chancellor gives the Presidents this authority and holds the Presidents accountable for the operation of the Colleges through an annual performance evaluation process. As part of the evaluation, the President establishes goals, and the Chancellor and President assess the progress on these goals annually. As part of the annual evaluation process, the Chancellor briefs the Board of Trustees on the Presidents' progress towards their goals.

Additionally, the Chancellor, the Executive Vice Chancellor, and the Vice Chancellor of Human Resources and Employee Relations meet weekly with the presidents to discuss areas of interest or concern related to the individual colleges, the District Office, or district wide. The presidents also attend meetings of the Board of Trustees and report on College initiatives, programs, student matters, and various college expenditures in compliance with district rules and regulations.

### **SELF-EVALUATION**

The Interim President of Cañada College feels the Chancellor is an excellent, open, trusting leader for the District. The President recognizes and appreciates the autonomy, authority, and full responsibility which the Chancellor affords him. While the Chancellor is available as an advisor and a resource, he gives wide latitude in managing the College without interference.

### **PLANNING AGENDA**

None needed

Evidence

(1). District Rules and Regulations, 2.0

[http://smcweb.smccd.net/portal/District%20Information/Rules%20And%20Regulations/2\\_00.pdf](http://smcweb.smccd.net/portal/District%20Information/Rules%20And%20Regulations/2_00.pdf)

(2). Cañada Presidential Job Announcement

*IV.B.3.f. The district/system acts as the liaison between the colleges and the governing board. The district/system and the colleges use effective methods of communication, and they exchange information in a timely manner.*

**DESCRIPTIVE SUMMARY**

The District acts as the primary liaison between the colleges and the Governing Board of Trustees. All matters considered by the Board are submitted to it by the Chancellor on behalf of the colleges. The college presidents and District Academic Senate President attend board meetings and report on College and Senate initiatives and programs. The Board of Trustees includes a Student Trustee who voices the concerns and interests of district students in board meetings (ref. 5)

Communications regarding items to be considered at upcoming board meetings are widely distributed via the paper based “board packet” to the Board, college managers, Academic Senate officers, union leaders, the press, and other interested community members in advance of a board meeting (ref. 1). The board packet contains “Board Reports” which are summaries of the items to be considered. Board meeting minutes are posted on the District’s website (ref. 2). Minutes from previous meetings are archived on the site and the minutes can be searched by keyword. The agenda for an upcoming meeting is also posted.

There are numerous administrative committees through which communications between the colleges, the District, and, ultimately, the Board may occur. The Chancellor’s Cabinet consists of the college presidents, the Chancellor, the Executive Vice Chancellor, and the Vice Chancellor of Human Resources. The Chancellor’s Council consists of the Chancellor’s Cabinet plus the Director of Information Technology Services, the Executive Director of Facilities, Operations and Planning, and the Director of Community and Government Relations. These groups meet on alternate weeks and provide a means by which the colleges (through the presidents) and the district office can engage in dialogue about a variety of college and district matters (ref. 4).

As another means of communication, Community and Government Relations publishes “Connections,” a quarterly newsletter which is distributed to all district employees as well as to members of the surrounding community. The newsletter features articles about district wide initiatives, college programs, and other items related to the District that are of interest to the colleges and surrounding community (ref. 3).

At the beginning of each academic year, the Chancellor invites all faculty and staff to an opening day meeting for a briefing on important matters currently facing the District.

**SELF-EVALUATION**

The role delineation of the District as liaison between the colleges and the Governing Board is well defined and effective. The system provides a means by which College initiatives and other business requiring Board discussion or approval can be placed in front of the Board. College presidents are required to provide the Board with executive updates regarding their respective college's programs and initiatives. The availability of web-based information about upcoming Board meeting schedules, agendas, and searchable minutes from prior meetings is an efficient way to communicate information.

All three College Presidents indicated that Chancellor's Council and Chancellor's Cabinet meetings have been an effective means by which to engage in dialogue with the District regarding college or district matters in general and about those which might require Board action or discussion.

### **PLANNING AGENDA**

Since the technology is readily available, the District should mirror or replace the paper board packet with a web-based electronic version to improve the timeliness of its distribution and make the information even more widely available.

Evidence

- (1). Board Packet from the January 25, 2006 meeting of the SMCCCD Board of Trustees
- (2). Sample board meeting minutes  
[http://www.smccd.net/accounts/smccd/boardoftrustees/board\\_minutes\\_details.asp?ID=134](http://www.smccd.net/accounts/smccd/boardoftrustees/board_minutes_details.asp?ID=134)
- (3). Connections Newsletter, Spring 2005 issue
- (4). Calendar: Chancellor's Office and Districtwide meetings
- (5). District Rules and Regulations section 1.05 – Student Trustee  
[http://smcweb.smccd.net/portal/District%20Information/Rules%20And%20Regulations/1\\_05.pdf](http://smcweb.smccd.net/portal/District%20Information/Rules%20And%20Regulations/1_05.pdf)

*IV.B.3.g. The district/system regularly evaluates district/system role delineation and governance and decision-making structures and processes to assure their integrity and effectiveness in assisting the colleges in meeting educational goals. The district/system widely communicates the results of these evaluations and uses them as the basis for improvement.*

### **DESCRIPTIVE SUMMARY**

The District regularly evaluates district/system role delineation, governance, and decision-making structures and processes to ensure their integrity and effectiveness in

assisting the colleges in meeting educational goals. The Board of Trustees meets several times each year in study session to review existing programs and to explore new policies or objectives. Additionally, the Board holds retreats that focus on strategic matters including goal setting and policy making that often result in the review of role delineation, governance, and decision-making structures and processes. During weekly Chancellor's Cabinet and Council meetings, college presidents and the Chancellor and his staff engage in dialogue addressing these matters. District and College administrative and institutional committees frequently engage in evaluation of and dialogue about governance and decision-making structures and processes. Additionally, evaluation occurs as part of the individual organization's evaluation, planning, and review processes.

### **SELF-EVALUATION**

In an ongoing dialogue at various levels of district governance, the District is engaged in evaluating or communicating role delineation, governance and decision-making structures or processes. An important part of the Board's ability to make policy decisions that are in the best interest of the College's educational goals is through review and closer examination of topics during a study session. Study session topics may be initiated either by the Board, the administration or other interested parties, and focus on particular areas of interest to the Board. For instance, during calendar year 2005, board study sessions included such topics as a review of the Governors budget for 2005-06; an update on KCSM, the District's radio and television outlet; a discussion of concurrent enrollment and other partnerships with high school districts; a facilities program definition document update; a joint meeting with the San Mateo City Council, including a tour of College Vista (the District's faculty/staff housing facility) and an update on the College of San Mateo's programs of interest to the City Council; and a briefing on safety, security, and emergency preparedness (ref. 1).

At the Board's latest retreat in February of 2006, the Board and staff discussed plans for future study sessions dealing with role delineation, governance, and process including a discussion on program review, the University Center at Cañada, and a review of the process by which professional development leave is administered. In the area of governance structures and process, Board members and staff also discussed the creation of a capital improvement program (CIP) management team that would oversee, review, and evaluate construction projects for Phase Two of the bond expenditures (ref. 2).

Policies regarding governance, role delineation, and process are shaped by the Board and subsequently implemented by the Chancellor, his staff and the college presidents. Information about these policies and issues related to implementation is communicated widely through a variety of administrative and institutional committees in place throughout the District (ref. 3). The Chancellor and his staff and the college presidents engage in dialogue as part of their regularly scheduled Cabinet and Council meetings. College presidents communicate and engage in dialog through their College cabinets, councils and administrators. Academic and professional matters of concern to faculty in these areas are discussed by the College and district academic senates. Academic Senate subcommittees, labor groups, and the district Shared Governance Council and its

subcommittees also engage in dialogue about these issues. The meeting minutes and agendas from many of these groups are readily accessible through the District's portal page for review of interested parties. A review of topics listed on agendas and discussed in the minutes from these various committees reflect the diversity and extent of communications regarding governance and decision-making processes (ref. 4)

As necessary, district wide committees are formed for the purpose of discussing, advising, and engaging in dialogue around a particular governance or decision-making structure or process. For example, in mid-2003 the Bookstore Operations Committee was formed to evaluate bookstore operations, evaluate various management structures for the bookstore operations, obtain district wide feedback regarding bookstore operations and management structures, and ultimately to "provide a recommendation to the Chancellor and the Board of Trustees regarding future bookstore operations..." (ref. 5). The committee website noted in reference 5 documents the thorough and inclusive nature of the evaluation, planning, and improvement efforts of the committee.

Finally, decision-making processes or structures—e.g. those connected to the resource allocation model described in IV.B.3.c, an organization's evaluation, planning, and review process, or the facilities program review process described in IV.B.3.e—are also evaluated as part of district initiatives.

## **PLANNING AGENDA**

It is recommended that the District review its methods and criteria for evaluating its effectiveness and disseminate that information.

### Evidence

(1). San Mateo County Community College District, Board of Trustees: Study session minutes, January 2005 through September, 2005.

[http://www.smccd.net/accounts/smccd/boardoftrustees/board\\_minutes\\_details.asp?ID=127](http://www.smccd.net/accounts/smccd/boardoftrustees/board_minutes_details.asp?ID=127)

[http://www.smccd.net/accounts/smccd/boardoftrustees/board\\_minutes\\_details.asp?ID=122](http://www.smccd.net/accounts/smccd/boardoftrustees/board_minutes_details.asp?ID=122)

[http://www.smccd.net/accounts/smccd/boardoftrustees/board\\_minutes\\_details.asp?ID=120](http://www.smccd.net/accounts/smccd/boardoftrustees/board_minutes_details.asp?ID=120)

[http://www.smccd.net/accounts/smccd/boardoftrustees/board\\_minutes\\_details.asp?ID=113](http://www.smccd.net/accounts/smccd/boardoftrustees/board_minutes_details.asp?ID=113)

[http://www.smccd.net/accounts/smccd/boardoftrustees/board\\_minutes\\_details.asp?ID=101](http://www.smccd.net/accounts/smccd/boardoftrustees/board_minutes_details.asp?ID=101)

[http://www.smccd.net/accounts/smccd/boardoftrustees/board\\_minutes\\_details.asp?ID=103](http://www.smccd.net/accounts/smccd/boardoftrustees/board_minutes_details.asp?ID=103)

(2). San Mateo County Community College District, Board of Trustees: Minutes from the March 4, 2006 Board Retreat

[http://www.smccd.net/accounts/smccd/boardoftrustees/board\\_minutes\\_details.asp?ID=135](http://www.smccd.net/accounts/smccd/boardoftrustees/board_minutes_details.asp?ID=135)

(3). List of College Committees

(4). Links to College and District Committee Minutes and Agendas

District Academic Senate (with links to college senate sites)

<http://www.smccd.net/accounts/academicsenate/>

District Committee on Budget and Finance

<http://www.smccd.edu/portal/dcbf/default.aspx>

District Shared Governance

[http://www.smccd.net/hr/SHARED\\_GOVERNANCE.htm](http://www.smccd.net/hr/SHARED_GOVERNANCE.htm)

(5). Bookstore Operations Committee

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<sup>i</sup> [http://www.canadacollege.edu/inside/academic\\_senate/ASGC-Constitution-Completed-Revision-4.17.06.pdf](http://www.canadacollege.edu/inside/academic_senate/ASGC-Constitution-Completed-Revision-4.17.06.pdf)

<sup>ii</sup>

[http://www.canadacollege.edu/inside/classified\\_senate/0607/Pat%27s%20working%20copy%20of%20Classified%20Senate%20Constitution.pdf](http://www.canadacollege.edu/inside/classified_senate/0607/Pat%27s%20working%20copy%20of%20Classified%20Senate%20Constitution.pdf)

<sup>iii</sup> Need Link

<sup>iv</sup> [http://www.canadacollege.edu/inside/college\\_council/archive0405/CC\\_BylawsUpd.pdf](http://www.canadacollege.edu/inside/college_council/archive0405/CC_BylawsUpd.pdf)

<sup>v</sup> <http://www.canadacollege.edu/inside/planning-budget/Planning-Budget-Constitution.pdf>

<sup>vi</sup> <http://www.canadacollege.edu/about/mission.html>

<sup>vii</sup> (pg. 8)

<sup>viii</sup> (pg. 9)

<sup>ix</sup> [The Student Senate website includes a statement of purpose

[http://www.canadacollege.edu/student/student\\_life/ASCC.html](http://www.canadacollege.edu/student/student_life/ASCC.html)]

<sup>x</sup> [[http://www.canadacollege.edu/inside/classified\\_senate/0607/index.html](http://www.canadacollege.edu/inside/classified_senate/0607/index.html)]

<sup>xi</sup> [Board minutes 5-14-03)

[http://www.smccd.edu/accounts/smccd/boardoftrustees/board\\_minutes\\_details.asp?ID=60](http://www.smccd.edu/accounts/smccd/boardoftrustees/board_minutes_details.asp?ID=60)]

<sup>xii</sup> [http://www.canadacollege.edu/inside/academic\\_senate/0607/index.html](http://www.canadacollege.edu/inside/academic_senate/0607/index.html)

<sup>xiii</sup> (personal communication: Marilyn McBride, VPI and Phyllis Lucas-Woods, VPSS)

<sup>xiv</sup> [http://www.canadacollege.edu/inside/acad\\_integrity/index.html](http://www.canadacollege.edu/inside/acad_integrity/index.html)

xv [http://www.canadacollege.edu/inside/academic\\_senate/0607/Full-Time-Faculty-Hiring-Process-and-Criteria-DRAFT.pdf](http://www.canadacollege.edu/inside/academic_senate/0607/Full-Time-Faculty-Hiring-Process-and-Criteria-DRAFT.pdf)

xvi

[http://www.canadacollege.edu/inside/classified\\_senate/0506/ClassifiedHiringJustificationDraft2.pdf](http://www.canadacollege.edu/inside/classified_senate/0506/ClassifiedHiringJustificationDraft2.pdf)

xvii <http://www.canadacollege.net/multimedia/3danimation.html>

xviii <http://www.canadacollege.edu/inside/development/index.html>

xix [Interview with ASSC 5-06]

xx see college catalog

xxi link to College Council Constitution

xxii link to Planning & Budget Constitution

xxiii [http://www.smccd.edu/accounts/smccd/boardoftrustees/board\\_minutes\\_details.asp?ID=60](http://www.smccd.edu/accounts/smccd/boardoftrustees/board_minutes_details.asp?ID=60)

xxiv <http://government.westlaw.com/linkedslice/default.asp?SP=CCR-1000>

xxv [http://www.canadacollege.edu/inside/academic\\_senate/ASGC-Constitution-Completed-Revision-4.17.06.pdf](http://www.canadacollege.edu/inside/academic_senate/ASGC-Constitution-Completed-Revision-4.17.06.pdf).

xxvi

[http://www.canadacollege.edu/inside/classified\\_senate/0607/Pat%27s%20working%20copy%20of%20Classified%20Senate%20Constitution.pdf](http://www.canadacollege.edu/inside/classified_senate/0607/Pat%27s%20working%20copy%20of%20Classified%20Senate%20Constitution.pdf)

xxvii [Minutes Planning & Budget 05-06, Minutes College Council, May 4, 06]

xxviii (link to Membership page)

xxix <http://www.aft1493.org/>, <http://www.afscme.org/>, <http://www.smccd.net/accounts/csea/>.

xxx [http://www.canadacollege.edu/student/student\\_life/ASCC.html](http://www.canadacollege.edu/student/student_life/ASCC.html)

xxxi

[https://websmart.smccd.edu/prod/bzwkschd.p\\_course\\_popup?vsub=SGOV&vcrse=680&vterm=200703&vcrn=40705](https://websmart.smccd.edu/prod/bzwkschd.p_course_popup?vsub=SGOV&vcrse=680&vterm=200703&vcrn=40705)

xxxii see agendas?

xxxiii web link

xxxiv (web link)

xxxv <http://www.smccd.net/accounts/canslo/>

xxxvi [http://www.canadacollege.edu/academics/office\\_of\\_instruction/curric.html](http://www.canadacollege.edu/academics/office_of_instruction/curric.html)

xxxvii [http://www.canadacollege.edu/academics/office\\_of\\_instruction/curric.html](http://www.canadacollege.edu/academics/office_of_instruction/curric.html)

xxxviii [http://www.smccd.edu/portal/District%20Information/Rules%20And%20Regulations/2\\_09.pdf](http://www.smccd.edu/portal/District%20Information/Rules%20And%20Regulations/2_09.pdf)

xxxix <http://www.canadacollege.edu/inside/strategicplanning/index.html>

xl District Rules and Regulations

xli District Rules and Regulations

xlii District Rules and Regulations

xliii Hiring Procedures for Chancellor

xliv District Rules and Regulations

xlv District Rules and Regulations

xlvi District Rules and Regulations

xlvii Board Reaffirmation

xlviii District Rules and Regulations

xlix District Rules and Regulations

<sup>1</sup> District Rules and Regulations

- <sup>li</sup> Board Self-evaluation Tool
- <sup>lii</sup> District Rules and Regulations
- <sup>liii</sup> **Hiring Procedures for Chancellor**
- <sup>liv</sup> District Rules and Regulations
- <sup>lv</sup> ref. 1
- <sup>lvi</sup> See standard IV.B.3.2