Irvine Valley College

ACCREDITATION FOLLOW-UP REPORT 2012-2013

Accreditation Follow Up Report

Submitted by

Irvine Valley College
5500 Irvine Center Drive
Irvine, California 92618
South Orange County Community College District

Submitted to

Accrediting Commission for
Community and Junior Colleges of the
Western Association of Schools and Colleges
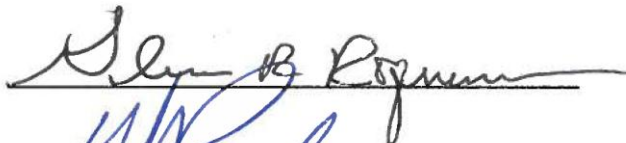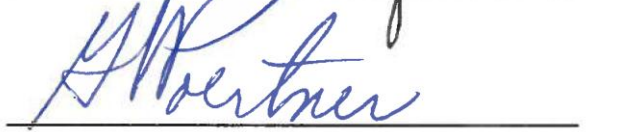

October 7, 2012

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TO: Accrediting Commission for Community Colleges and Junior Colleges, Western Association of Schools and Colleges
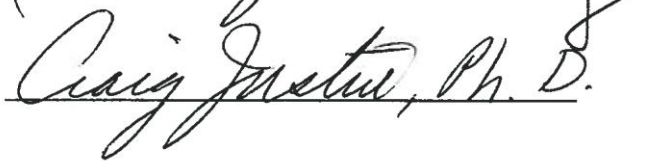
FROM: Irvine Valley College
               5500 Irvine Center Drive
               Irvine, CA, 92618

This *Follow Up Report* is submitted to fulfill the requirements of the January 31, 2011 ACCJC letter to the College President. We certify that there was broad participation by the college community and we believe that the *Follow Up Report* accurately reflects our response to date to the recommendations noted in the Accrediting Commission for Community and Junior Colleges of the Western Association of Schools and Colleges commission action letter.

Glenn R. Roquemore, Ph.D.,
President, Irvine Valley College

Gary L. Poertner, Chancellor,
South Orange County Community
College District

Nancy M. Padberg, President,
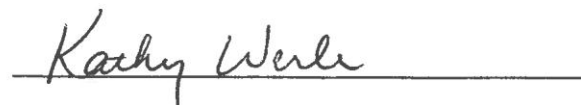Board of Trustees

Craig Justice, Ph.D.,
Vice President, Instruction,
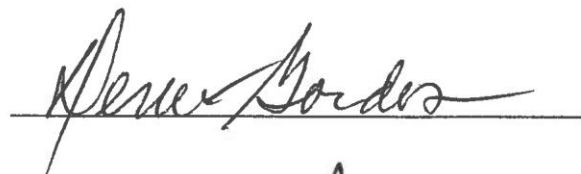Accreditation Liaison Officer

Katherine Schmeidler, Ph.D.,
President, Academic Senate

Kathy Werle, Ph.D.,
Dean, Academic Programs,
Accreditation Response Co-Chair

Lisa Davis Allen, Ph.D.,
Accreditation Response Co-Chair

Dennis Gordon, President,
Classified Senate

Thomas Thein, President,
Associated Students of IVC

Irvine Valley College submitted a self study report in support of reaffirmation of accreditation to the Accrediting Commission for Community and Junior Colleges (ACCJC) in September 2010. A site evaluation visit occurred the week of October 18, 2010 at Irvine Valley College and Saddleback College, the two institutions that make up the South Orange County Community College District. ACCJC commission action letters dated January 31, 2011 informed the Chancellor and college presidents that both colleges had been placed on warning status. Irvine Valley College submitted a follow up report on October 7, 2011 demonstrating resolution of district recommendations 1, 2, 3, 4, 5, and 6, and college recommendation 6. A follow up site evaluation report confirmed that the college had indeed corrected the deficiencies for which the sanction was levied, although not all of the recommendations were fully met. The subsequent ACCJC commission action letter dated February 2, 2012 informed the President of Irvine Valley College that the Commission had taken action to remove the warning and directed the college to submit a second follow up report demonstrating how the college meets the accreditation standards in regard to district recommendations 1, 2 and 6 by October 15, 2012.

The IVC Follow Up Report submitted in 2011 demonstrated significant district-wide collaboration in resolving the deficiencies identified in the commission action letter dated January 31, 2011. The colleges have worked with district leadership to create and implement plans to address these concerns, evaluate the plans and work products, and then update and clarify the plans and documents where appropriate.

This follow up report provides information, evidence, and analysis regarding the resolution of the recommendations and subsequent progress, on which Irvine Valley College was directed to report in the February 2, 2012 commission action letter.

STATEMENT OF REPORT PREPARATION

In collaboration with Irvine Valley College's constituency groups and participatory governance committees, the accreditation response co-chairs, the accreditation liaison officer (ALO), and the College President led the development and preparation of the 2012 *Follow Up Report*. The accreditation response co-chairs were identified and formally approved by the college in February 2012.

Irvine Valley College representatives on the District-Wide Planning Council and other district-wide committees and task forces provided regular updates to institutional leadership at College Council meetings. Governance committee meeting agendas and minutes are regularly posted in the SOCCCD District Services SharePoint site, an intranet site available to all district employees which is password protected.

A draft *Follow Up Report* was presented for comment at a forum for all district employees held during the college's Faculty Professional Development Week on August 13, 2012. The draft was posted to the SharePoint Accreditation site for additional input through September 4, 2012. A final unformatted draft was circulated through each college constituency group for review and approval. The report was discussed with the Associated Students of Irvine Valley College on September 4. The Academic Senate tentatively approved the report draft on September 6, and approved the final draft on September 20. The Classified Senate approved the report on September 12. The report was presented and approved at the September 12 College Council meeting, pending approval by the Academic Senate. The College Council is the college's primary participatory governance council.[Intro-1]

Final revisions to the drafted report were completed on September 24, 2012. The *Follow Up Report* was submitted to the South Orange County Community College District Board of Trustees for review at the September 24, 2012 board meeting.

The individuals listed in the table below participated directly in addressing the recommendations and contributing to the report. Numerous others participated in dialog, read drafts, or substantively contributed to this report.

TABLE 1: DISTRICT-WIDE PLANNING COUNCIL RETREAT PARTICIPANTS MAY 30, 2012

District Services	Irvine Valley College	Saddleback College
Gary Poertner, Chancellor (Chair)	Lisa Davis Allen, Faculty	Juan Avalos, Administrator
Randy Peebles, Administrator (Co-Chair)	Dennis Gordon, Classified	Tod Burnett, Administrator
Robert Bramucci, Administrator	Craig Hayward, Manager	Don Busche, Administrator
David Bugay, Administrator	Craig Justice, Administrator	Claire Cesareo-Silva, Faculty
Brandye D'Lena, Manager	Davit Khachatryan, Manager	Bob Cosgrove, Faculty
Debra Fitzsimons, Administrator	Angela Mahaney, Classified	Patricia Flanigan, Administrator
Tere Fluegeman, Manager	Glenn Roquemore, President	Russell Hamilton, Classified
Denice Inciong, Manager	Kathy Schmeidler, Faculty	Carol Hilton, Manager
Delores Irwin, Classified	Keith Shackleford, Administrator	Donald Mineo, Classified
Kim McCord, Manager	Christopher Tarman, Classified	Nicole Ortega, Classified
	Kathy Werle, Administrator	Jim Wright, Administrator

EVIDENCE: INTRODUCTION

Intro-1   IVC Planning and Decision Making Manual, p. 39

District Recommendation 1: The teams recommend that the chancellor develop and implement both a strategic short-term and long-term plan that is inclusive of the planning at the colleges and that this planning structure drive the allocation of district resources for the colleges, Advanced Technology & Education Park (ATEP), and the district (I.B.4).

COLLEGE RESPONSE AND UPDATE

In February 2011, after receiving the ACCJC Commission Action Letter in response to our 2010 self-study report and site evaluation visit, the Chancellor led efforts to establish the District-wide Accreditation Committee. The committee was created to oversee all recommendations and work specifically on District Recommendation 1 addressing short-range strategic planning. The committee developed and implemented a strategic short-term plan that was inclusive of the planning at the colleges; this plan was structured to drive the allocation of district resources for the colleges, Advanced Technology Education Park (ATEP), and the district.

The SOCCCD District-wide Strategic Plan 2011-2014[DR1-1] was designed to be a living, often-used document that invites the recording of progress based on identified actions. At the completion of the 2011-2012 academic year, resulting data on said progress was consolidated into a first annual report for district-wide review and consideration.

The SOCCCD District-wide Strategic Plan 2011-2014 identifies six district-wide strategic goals[DR1-2], each with measurable objectives followed by action steps. All action steps identify responsible parties and target dates for completing the corresponding actions. Each goal was initially evaluated, with a plan for annual evaluation and development of a progress report and necessary improvements (where appropriate). The six district-wide strategic goals encourage district services and college cooperation and collegiality, guide resource allocation, and promote student success at the colleges.

The SOCCCD District-wide Strategic Plan 2011-2014 has been entered into TracDat, a plan tracking software, along with progress for 2011-2012. The committee reviewed the district-wide strategic plan goals and action steps progress at the May 30, 2012 retreat. There was agreement that significant progress had been made on all six district-wide goals during this first year of plan implementation. In particular, the resource allocation process had been much improved through the implementation of new procedures. The report of progress was presented to the Board of Trustees at their meeting on September 24, 2012.[DR1-3]

The Education and Facilities Master Plan (EFMP) documents were drafted in Fall 2011. The Board of Trustees approved both the Environmental Impact Report and the final EFMP at the June 25, 2012 Board of Trustee's meeting. The EFMP provides a blueprint for the colleges and the district through 2031.[DR1-4]

- Project updates for active construction projects are available at *http://www.socccd.edu/businessservices/projectupdates.html*.

- The Five Year Construction Plan was approved at the June 25, 2012, board of trustees meeting. *https://sharepoint.socccd.edu/bs/fp/default.aspx*

- The Five Year Construction Plan is submitted to the State Chancellor's Office annually as the follow up to the Education and Facilities Master Planning process. The Plan merges the priorities identified by each campus into one cohesive list of prioritized projects. The approval process begins when the District Executive Director of Facilities Planning develops a draft plan prioritizing EFMP projects identified for completion in the upcoming five years. The college presidents present the draft plan to their shared governance committees who provide input on the list of priorities or request modifications. This process continues until consensus is reached. Every five years, the EFMP is revisited to ensure the list of projects reflects the current campus needs.

The most recent Five-Year Construction Plan for 2014-2018, an annualized report that prioritizes projects identified in the EFMP for completion in the

upcoming five years, was also approved at the June 25, 2012, Board of Trustees meeting, and submitted to the California Community Colleges (CCC) Chancellor's Office as required.[DR1-5] This plan is collaboratively developed and resubmitted each year. Initially drafted by the district Executive Director of Facilities, it is reviewed by the college presidents with campus input, and revised if necessary until a consensus is reached. Updates on all major construction projects are posted on the SOCCCD SharePoint site.[DR1-6]

Another long-term plan currently being developed is the district-wide 20-Year Facilities and Scheduled Maintenance Management Plan. It was noted in the 2011 report that although each of the colleges already had a 20-Year Facilities and Scheduled Maintenance Plan in place, it was important to have an integrated plan that assessed the facilities needs of the entire district for the purposes of prioritization.

- The kick-off meeting for the 20-Year Facilities and Scheduled Maintenance Plan was held July 25, 2012, with consultants and representatives from both colleges and the district in attendance. The Condition Assessment consultant immediately began collecting all available electronic building information. The assembly of this electronic building information will provide the foundation for documenting existing facilities conditions.

The Capital Improvement Committee (CIC), composed of representatives from both colleges and district services, is charged with coordinating the development of a prioritized district-wide 20 year facilities plan that utilizes uniform, data driven criteria. The committee began meeting January 2011 and after considerable discussion, decided that it was essential to have an independent and objective assessment of the state of the facilities at both colleges before such a plan could be created.[DR1-7] CIC agendas and minutes are posted on the committee SharePoint site.[DR1-8]

- CIC recommended contracting with outside vendors for maintenance management and facility planning software and implementation. Contracts with SchoolDude, Alpha Facilities, Inc., Facilities Planning and Program Service Inc., and the Foundation for California Community Colleges were approved by the Board of Trustees at their meeting on
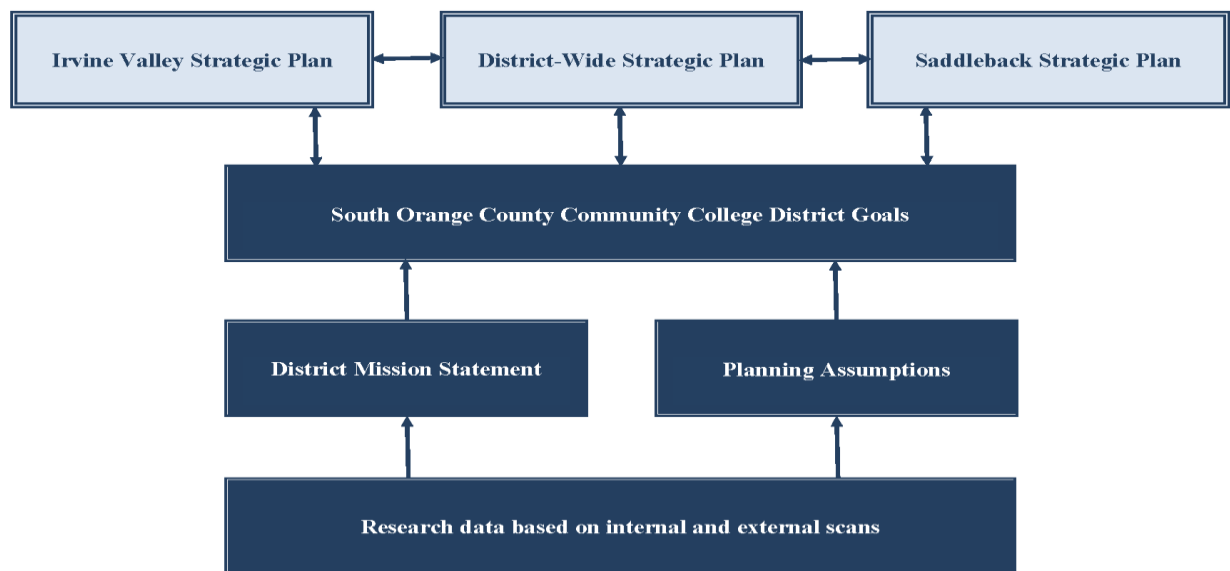
June 25, 2012.[DR1-9] These tools will assist CIC with data management and clarification of the recommendations for capital projects in order to provide more comprehensive information to BAARC.

- Following this approval, work began on the development of the district-wide plan, which will include a work order module, a preventative maintenance module, and a scheduled maintenance module.

- Parallel with this effort, District staff and consultants are working with the Foundation for California Community Colleges to ensure that the plan is compatible with FUSION, the state's project planning and management software.

- SchoolDude software will be piloted during October 2012 in the student services buildings at both colleges in order to ensure that the software is functioning as expected before moving on to the assessment of other facilities. If the pilot is successful, the assessment of the remaining facilities will be completed by the end of the 2012-2013 fiscal year. In the interim, CIC has used the existing college plans to create short-term prioritized lists for capital improvement and scheduled maintenance.[DR1-10]

Figure 1 depicts the planning model developed by the SOCCCD as a result of the district recommendations received in 2011.

Figure 1 - District Wide Planning Model

In order to strengthen and institutionalize the planning process at the district level, the following additional planning agendas were formulated and presented in the IVC Accreditation Follow Up report submitted in October 2011 (DR1.1-DR1.3b).

Throughout 2012, the following actions have been taken to implement these college plans:

DR1.1 Institutional Oversight: District leadership and the Chancellor have established a standing District-Wide Planning Council. Current participants on the District-Wide Accreditation Committee will continue as charter members (membership based on leadership position). Additions and revisions to the committee membership will result through annual review.

- The District-wide Planning Council met four times during the past year. The actions taken at these meetings are summarized below.

    o November 4, 2011 the group met to review and affirm the council's purpose, mission and membership; district-wide

planning documents; and proposed District and ATEP Vision and Mission Statements. The annual timeline for strategic planning was updated to align more closely to the district budget development cycle, and a demonstration was given of how the District-Wide Strategic Plan will be tracked and updated in TracDat, the district's planning and assessment tool.[DR1-11]

o February 10, 2012 agendized an accreditation update from each college president; TracDat assignment training; discussion of the district surveys for the Board Self-Evaluation and District Services Satisfaction; ATEP and District Vision and Mission Statements. Five Top Barriers to Collaboration and Cooperation reports had been submitted by both college presidents to the Chancellor as outlined in Action Step 1.1.2 for District-wide Objective 1.1. The tasks of updating the Decision Making Manual, Function Map and Strategic Plan were assigned to a task force to be chaired by the Vice Chancellor of Human Resources. It was reported that District Services was using TracDat for implementing their Administrative Unit Reviews (AUR) with a deadline of March 1, 2012, and the Board of Trustees self-evaluation was scheduled for April 28, 2012. It was decided that the committee needed to meet more frequently, and a meeting calendar for 2012-2013 was established.[DR1-12]

o May 30, 2012 the District-wide Planning Council met for a full day retreat. The committee charge and membership were reviewed. The Associate Vice Chancellor of Economic Development and the District Director of Research, Planning and Data Management led discussions on the revised SOCCCD and ATEP vision and mission statements, which were then revised and approved by the council. The approved documents were subsequently approved by the Board of Trustees on July 30, 2012. The SOCCCD Strategic Plan was reviewed [DR1-13] and a 2012 progress report on implementation was drafted.

o September 7, 2012 the council members were directed to forward edits to the District-wide Strategic Plan 2011-2014 and Annual Report 2012, the Function Map, and the District-wide Planning and Decision Making Manual, to the District Director of Research,

Planning and Data Management to be included in the updated documents to be reviewed for approval by this group on November 2. Task forces were created to work on a board policy regarding barriers to communication and college completion/student success. Two new document drafts were presented for discussion and review: an integrated district-wide budget planning handbook and a function map for ATEP.[DR1-14]

DR1.2a Regularized Assessment: All district services will continue to be reviewed and modified as necessary through annual administrative unit reviews. These assessments will be communicated district-wide annually. In addition to administrative unit reviews, the district will establish a budget for regularized[DR1-15] external environmental scans in order to successfully respond to the needs of the SOCCCD communities; and

DR1.2b Assess, evaluate, and revise the strategic planning process as it is implemented and then annually thereafter.

- The District Services Planning Committee (DSPC) meets monthly to address district-wide services planning and improvement. As a step in conducting administrative unit reviews (AURs) each unit was charged to develop unit action plans based on the feedback from the 2011 district services survey results (year two of the survey). The *SOCCCD District Services Survey Results 2011 Evaluation & 2011-2012 Action Plans* document is a compilation of each office's action plan supported by the survey results.[DR1-16]

- A third annual district-services satisfaction survey was sent out late March – early April 2012. Based on the fall 2011 survey template, the new version included modifications requested by the District-wide Planning Council. The 2012 report, which showed improved satisfaction over the 2011 report, was published and made available to the district July, 2012 and posted on SharePoint. The results are being incorporated into the objectives of the administrative unit reviews as they were last year.

- A district-wide climate survey is planned for distribution fall 2012.[DR1-17]

- All district services departments completed their corresponding unit reviews March 2012. The resulting comprehensive AUR TracDat report was distributed district-wide May 2012 and posted on the SOCCCD SharePoint site to encourage an open, transparent and inclusive environment. These AURs are used as a basis for continuous improvement and future strategic planning, and have been linked to resource allocations within district services.[DR1-18]

- The SOCCCD District-wide Strategic Plan 2012-2014 calls for an external environmental scan to be conducted prior to the next strategic planning cycle in order to successfully respond to the needs of the SOCCCD communities. This need is being addressed by the District Research and Planning department (Research and Planning Administrative Unit Review page 10 of 16). IVC intentionally changed its strategic planning cycle to coincide with the district cycle so that it can take advantage of the district scan in its next full strategic planning cycle, saving time and money.

DR1.3a Advanced Technology & Education Park: Operating within the newly-articulated district-wide goals, the Chancellor and college presidents will continue to define the character and future role of ATEP, and clarify its relationship to the two colleges within the SOCCCD; and

DR1.3b   Implement the action steps outlined in the SOCCCD District-wide Strategic Plan 2012-2014, including the development of a concrete 3- to 5-year site development plan for ATEP.

- The environmental impact study for the SOCCCD Education and Facilities Master Plan was completed in April 2012 and subsequently approved by the Board of Trustees June 25, 2012. The board-approved plan was then forwarded to the California Community Colleges (CCC)

Chancellor's Office. The five year construction plan was also approved at this meeting. This construction plan included initial recommendations for ATEP site development based on a number of strategic factors.

- The Chancellor and Presidents have made significant progress in clarifying the relationship of ATEP to the colleges. The Chancellor requested that both colleges provide a presentation to share their vision for instructional programs at ATEP. The proposals were first shared with faculty and staff from both colleges, and then presented to the Board of Trustees on December 5, 2011.[DR1-19]

  Irvine Valley College's presentation focused on its vision for a career technology center based on anchor programs in multimedia technology, green technology, and applied technologies. The courses would incorporate a Science, Technology, Engineering and Mathematics (STEM) core that would be infused into these programs, and make use of external partners to ensure that the curriculum meets industry needs as well as providing students with access to jobs upon completion of a degree or certificate program.

- January 23, 2012 the Board of Trustees approved resolution #12-04 reaffirming the two college campus service areas within SOCCCD, and establishing a separate service area for both colleges to share in approximately equal proportions with complementary, non-competitive Career Technology Education programs and related services for the district at large. *Board Policy BP-176-College Service Areas Boundaries and ATEP Campus Use* has been written and is pending approval (preliminary approvals anticipated from the council and academic senates). An administrative regulation will then be developed to codify the process of identifying "complementary, non-competitive Career Technology Education programs" to be scheduled at ATEP.[DR1-20]

- January 23, 2102 Resolution #12-05 was also approved by the Board of Trustees, which served to provide approximately equal land to each college to support future ATEP site development, and contingent on available funding, to move forward with the planning and design of a single building for each college.[DR1-21]

- February 27, 2012 the Board of Trustees approved the initial program areas to be offered by Irvine Valley College and Saddleback College on the permanent ATEP campus. They also approved the 5-year ATEP site development plan and timeline, in accordance with the District-Wide Strategic Plan Goal 6.[DR1-22]

- ATEP site development is well documented in the *2011-2012 District Services Administrative Unit Review,* section titled *ATEP Site Development.*[DR1-23] The report for the *ATEP Site Development* unit comprises fifteen pages of detailed unit objectives and action steps, as well as progress on each of the action steps. ATEP also is addressed in the *Chancellor's Office and Trustee Services* section, third objective addressing the need to increase board knowledge of district and educational responsibility. Included in the objective's corresponding action steps are the following:

  Action Steps and Outcomes:
  Faculty and administrators from both colleges to give presentations at board meetings on the following topics:
  - ATEP planning and development
  - Educational and facilities master plan
  - 5 year construction plan
  Progress of Action Steps:
  01/12/2012: Presentations were given at October, November, and December 2011 board meetings.
  Update Type:
  Action Step Completed

The Dean of Academic Programs is responsible for coordinating the scheduling of classes for the ATEP facility and, since a reorganization which was approved at the July 30, 2012 Board of Trustees meeting, has been assigned to the ATEP site. IVC currently offers general education classes at ATEP as well as courses in Business/Accounting/ Management, Design and Model Making, Rapid Prototyping, and Digital Media Arts; Saddleback College has recently offered only one career/technical education course per semester.

EVALUATION

Irvine Valley College meets Standard I.B.4 and has resolved the issues leading to this recommendation to develop and implement both a strategic short-term and long-term plan that is inclusive of the planning at the colleges. This planning structure drives the allocation of district resources for the colleges, Advanced Technology & Education Park (ATEP), and the district. The plan has been evaluated and a progress report for 2011-2012 developed and shared district-wide. Actions taken in the process of resolving this recommendation effected an infrastructure that requires that planning be based on data and information, and clearly ties planning to resource allocation in the future.

DR1-1   The SOCCCD Board of Trustees reviewed the district strategic plan August 2011, and approved the charter *SOCCCD District-wide Strategic Plan 2011- 2014* at their September 2011 board meeting. While future college strategic planning will be driven by its own mission, vision, and regularized program reviews, it also will be informed by the district strategic plan.

DR1-2   The 2011-2014 District-wide Goals are as follows:
District-wide Goal 1: SOCCCD will create a district-wide culture which is characterized by mutual respect and collaboration and which celebrates the uniqueness of each institution.
District-wide Goal 2: SOCCCD will support innovations that result in quantifiable improvement in student preparedness and success and will facilitate institutionalization of those innovations across the district.
District-wide Goal 3: SOCCCD will maintain its technological leadership and will make future advancements which enhance student access and success.
District-wide Goal 4: SOCCCD will increase the effective use of all resources by developing and implementing a cycle of integrated district-wide planning.
District-wide Goal 5: SOCCCD will develop, document and implement data-driven district-wide decision-making processes that are collaborative, transparent, efficient and effective.
District-wide Goal 6: SOCCCD will assess the educational needs of the communities within the district boundaries and will pursue joint venture partnerships with educational institutions and business/industry.

DR1-3   District-wide Planning Council Retreat documents:
https://sharepoint.socccd.edu/chancellor/dp/dwpc/shared%20documents/forms/allitems.aspx?rootfolder=%2fchancellor%2fdp%2fdwpc%2fshared%20documents%2fdwpc%20retreat&folderctid=&view=%7b333f1368%2d9581%2d4216%2db007%2d1ceed72ed920%7d

DR1-4   District-wide Planning Site: *http://www.socccd.edu/about/about_planning.html*

DR1-5   Board of Trustees Agenda Item 5.18 – Five Year Construction Plan Revision (6-25-12)

DR1-6   SOCCCD Facilities Planning Project Updates:
https://www.socccd.edu/businessservices/projectupdates.html

DR1-7   Capital Improvement Committee Meeting Minutes (1-23-12)
https://sharepoint.socccd.edu/chancellor/dwc/cic/minutes/2012%20minutes%20-%20capital%20improvement%20committee%20meetings/2012-01-13%20-%20minutes.pdf

DR1-8   Capital Improvement Committee website:
https://sharepoint.socccd.edu/chancellor/dwc/cic/default.aspx

DR1-9   Board of Trustees Agenda Item 6.6 – Maintenance Management and Facility Planning Software and Implementation (6-25-12)

DR1-10 Capital Improvement and Scheduled Maintenance Related Recommendations

DR1-11 District-wide Planning Council Meeting Minutes (11-4-11)

DR1-12 District-wide Planning Council Meeting Minutes (2-10-12)

DR1-13 The only recommended change was in regard to Strategic Plan *Goal 2: SOCCCD will support innovations that result in quantifiable improvement in student preparedness and success and will facilitate the institutionalization of those innovations across the District.* It was decided that a district-wide student success task force be created to focus on this goal and its activities.

DR1-14 District-wide Planning Council Meeting Handouts (9-7-12)
https://sharepoint.socccd.edu/chancellor/dp/dwpc/handouts/forms/allitems.aspx?rootfolder=%2fchancellor%2fdp%2fdwpc%2fhandouts%2f09-07-12%20handouts&folderctid=&view=%7b4b6e310b-4650-4a4f-b7fb-7627da72a83d%7d

DR1-15 Regularized is intended here to mean conducted prior to each planning cycle.

DR1-16 SOCCCD District Services Survey Results 2011 Evaluation & 2011-2012 Action Plans:
https://sharepoint.socccd.edu/chancellor/dp/dspc/Shared%20Documents/District%20Services%20Satisfaction%20Survey/District%20Services%20Survey%20Results%20Evaluation%20Action%20Plan%202011-2012_Final_08%2029%2011.pdf

DR1-17 District-wide Planning Council Meeting Minutes (draft) (9-7-12)

DR1-18 SOCCCD District Services Administrative Unit Reviews 2011-2012

DR1-19 Board of Trustees Meeting Minutes (12-5-11)

DR1-20 Board of Trustees Agenda Item 6.1 – College Service Areas (1-23-12)

DR1-21 Board of Trustees Agenda Item 6.2 – ATEP Site Assignments for Saddleback College and Irvine Valley College (1-23-12)

DR1-22 Board of Trustees Agenda Item 6.1 – Saddleback College and Irvine Valley College Courses, Programs and Services Offered at ATEP (2-27-12)

DR1-23 SOCCCD District Services Administrative Unit Reviews 2011-2012

District Recommendation 2: The teams recommend that the district and the colleges develop and implement a resource allocation model driven by planning that includes all district funds and is open, transparent, inclusive, and that is widely disseminated and reviewed/evaluated periodically for effectiveness (I.A.1., I.B., III.D.1.a., III.D.1.b., III.D.1.c., III.D.1.d., III.D.2.b., III.D.3., IV.B.3.c).

COLLEGE RESPONSE AND UPDATE

After the most recent comprehensive self study visit in 2010, it was acknowledged by the evaluation team that Irvine Valley College had improved upon its planning and resource allocation processes, but that the district still lacked an open, transparent and effective resource allocation model that integrated college and district strategic planning.

The district, however, had implemented an effective process for allocating unrestricted general funds. Primarily generated from local property taxes and enrollment fees, these funds are distributed through the District Resources Allocation Council (DRAC).[DR2-1] Following the allocation of these unrestricted funds, remaining property taxes are designated as "basic aid" funds. Prior to recent revisions to the DRAC model, basic aid monies were distributed by the SOCCCD Board of Trustees based on a process adopted in 2005 that was often out of compliance with established standards and practices.

Routinely, district budgets have ended with a positive balance that rolled over for college use in the next fiscal year(s). While the final budgets from 2006 to 2010 have all balanced, the district continued to operate without a resource allocation model driven by open, transparent and regularly-evaluated strategic planning. As well, a continued source of concern was that the allocation of basic aid funds did not meet the strategic needs of the colleges.

Since 2010, several remedies have been developed based on the most recent ACCJC recommendations. In early 2011, the Chancellor created the District Recommendation 2 Task Force. Chaired by the Vice Chancellor of Business Services, the Task Force was charged with defining the District Resources Allocation Council (DRAC) and its responsibilities; ensuring that the resource

allocation model was driven by planning, and included all district funds; and to make certain that the process was open, transparent, inclusive, and regularly evaluated for effectiveness. Evaluation is performed annually by the council and the council can request a change to the charge, composition, or other features that influence effectiveness.

After the initial review of the existing district resource allocation model and processes (Figure 2), the task force asserted that the institutional personnel participating in resource allocation[DR2-2] had a clear understanding of DRAC and that, when implemented correctly, the process worked well. It was determined that once the unrestricted funds are allocated to the colleges, each college then develops its own local budget according to a defined process. The task force also reviewed the existing process for basic aid allocation (not part of the DRAC model) and its link to college planning. They determined that the Board of Trustee allocation process for basic aid funds was obscure and not well communicated to the college communities.

The task force worked directly with the Board Policy and Administrative Regulation Council (BPARC) and the Chancellor to develop a board policy that would clearly outline the allocation model and DRAC's role in resource allocation. The resulting *Board Policy 3110 – Basic Aid Funds Allocation Process* was approved by all governance groups at both colleges and approved by the SOCCCD Board of Trustees in August 2011. BP 3110 clearly specifies the types of projects for which basic aid funds can be used.[DR2-3]
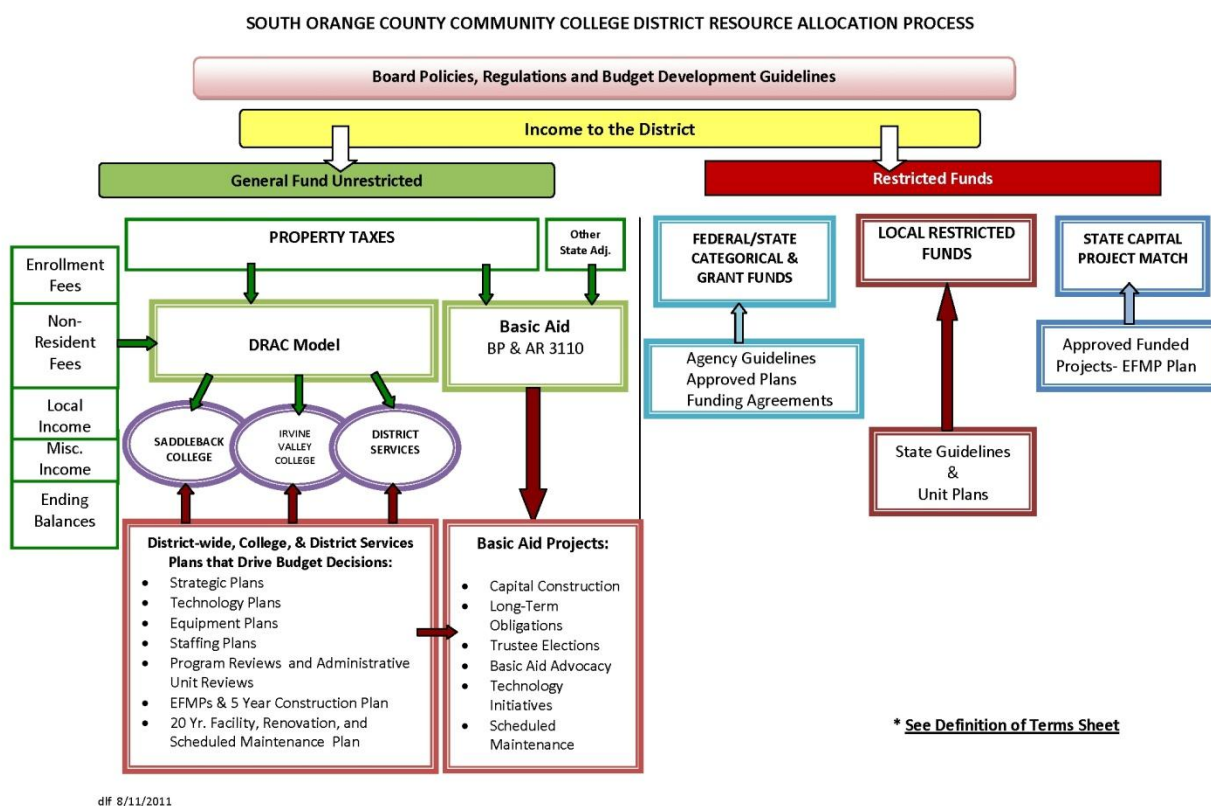
In spring 2011, a Board Policies and Administrative Regulations Council (BPARC) workgroup began to develop the corresponding Administrative Regulation 3110. In addition to the construction of a budget timeline and flowchart for basic aid allocation, the workgroup established a committee to ensure oversight of the process. This new committee, Basic Aid Allocation Recommendation Committee (BAARC), makes recommendations to the Chancellor based on institutional planning and data-driven strategic initiatives.

In January 2011, the Capital Improvement Committee (CIC), a participatory governance committee, was created and charged with creating a 20-year capital improvements schedule and a plan for short-term facility renovation

and scheduled maintenance. The CIC made recommendations to BAARC for basic aid resource allocations for capital improvement, renovation, and scheduled maintenance projects based on the colleges' priorities.

Responding to ACCJC recommendations received in early spring 2011, the colleges and district took a number of actions in an effort to address the identified issues related to resource allocation and planning. These actions included regularized distribution of committee minutes, launch of an all-employee intranet for storing committee documents, a resource allocation flowchart, accreditation status reports, district strategic plans, a district-wide planning and decision-making manual, regularized process evaluations, annual administrative unit reviews, and expanded communication strategies.

FIGURE 2 – DISTRICT RESOURCE ALLOCATION PROCESS

SOUTH ORANGE COUNTY COMMUNITY COLLEGE DISTRICT RESOURCE ALLOCATION PROCESS
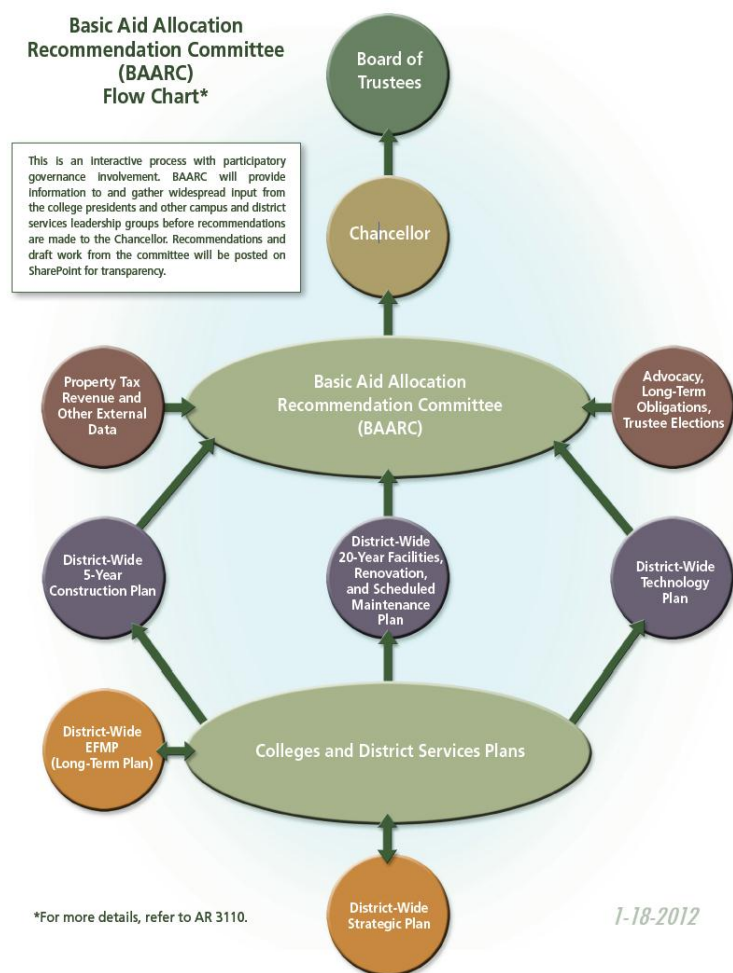
In order to continue the development and implementation of a resource allocation model driven by planning that includes all district funds and is open, transparent, inclusive, and widely disseminated and reviewed for

effectiveness, the following additional plans were formulated and presented in the Irvine Valley College Accreditation Follow Up report submitted in October 2011 (DR2.1 – DR2.4).

Throughout 2012 the following actions have been taken to implement these plans:

DR2.1   Widely disseminate and communicate the district resource allocation process.

- A BAARC Flowchart was published and disseminated to both colleges in an effort to further establish an open, transparent, and inclusive environment. This flowchart will function in sync with the district budget development cycle, and reflect an interactive process with participatory governance involvement.

- A *Capital Improvement* Committee *(CIC) Facility Related Definitions* glossary was created in an effort to clarify terminology district-wide and establish a single 'allocation language,' thus facilitating open, transparent and inclusive dialog.[DR2-4]

- January 2012, DRAC sponsored a presentation "*Understanding the Budget and Basic Aid*" at both colleges. The presentation was followed by a question and answer forum to clarify the process and increase an open, transparent and inclusive dialog. The budget workshops were widely publicized

throughout the district. The sessions also were taped and are hosted on the employee intranet site along with copies of the presentations for employee reference. Employees reported that the presentation was very informative and helpful to their understanding and participation in the allocation process.

- The Chancellor, the Vice Chancellor of Business Services, and chair of BAARC scheduled multiple open meetings at both colleges to communicate the specifics of BP 3110, AR 3119, and BAARC and solicit questions and comments concerning resource allocation and the established process.

- July 2012, the inaugural issue of the District Fiscal Services Newsletter was distributed through the district-wide employee email system. This first newsletter included detailed information on an updated process, important dates and fiscal reminders, and an employee profile. The development of this newsletter allows for district-wide dissemination of information and helps to increase open, transparent, and inclusive budget activities.

DR2.2   Evaluate effectiveness of allocation process annually and revise as necessary.

- June 27, 2012, the BAARC membership finalized and distributed a self-evaluation form for the members to complete and return by August 31, 2012 return. The answers will be evaluated during fall 2012 to determine if any changes need to be made to the committee. The self-evaluation included questions in the following areas: committee workload, processes, effectiveness and membership.

    Additional information on structural development as a means of evaluating effectiveness is detailed under district recommendation plan DR2.4.

DR2.3   Implement TracDat at the college and district offices.

- TracDat software has been fully launched at both colleges and is actively being used for the development and housing of all program reviews, administrative unit reviews, student learning outcomes, and administrative unit outcomes. Data-driven budget requests linked to programs and units are now developed in TracDat.

- Spring 2012, professional training sessions on TracDat software were hosted at the district and both colleges. These sessions were led by Nuventive specialists and college coordinators for both instructional and non-instructional TracDat users and school liaisons.

- The development of a contract to purchase software, training and implementation of the TracDat-SharePoint Option (TSO) was approved. The TSO software integration will directly link program strategies, data and specific funding requests to the institutional budget process and allows for expanded opportunities to connect strategic and budget planning district wide.

- The expanded use of TracDat will help to ensure that the district and college resource allocation processes will continue to develop as open, transparent and inclusive activities.

DR2.4   Create and implement district-wide plan related to capital improvement, scheduled maintenance, and technology.

The district and both colleges have made broad efforts to not only increase the amount of information disseminated throughout the district, but also to expand the means of sharing that information through existing and newly-developed communication tools.

- After the completion of *Board Policy 3110 Basic Aid Funds Allocation Process* (adopted August 29, 2011), the newly-formed Basic Aid Allocation Regulation Workgroup drafted the corresponding *Administrative Regulation 3110 Basic Aid Allocation* that details the allocation timeline and cycle, responsible parties, applicable planning documents, process for determining allocation amounts, and the Basic

Aid Allocation Recommendation Committee (BAARC) composition and responsibilities:

- o Purpose of BAARC: This participatory governance committee is charged with implementing BP 3110 and AR 3110 and utilizes plans developed by other district-wide committees and councils.
- o BAARC will be a participatory governance group composed of district vice chancellors, college vice presidents of instruction, directors of facilities and fiscal services, classified and academic senate presidents and additional representatives.[DR2-5]
- o BAARC will gather widespread input from and provide information to college presidents and all leadership groups. Any and all resulting recommendations and draft work will be broadly communicated for transparency prior to any recommendations being made to the Chancellor.

- February 16, 2012, the *Administrative Regulation 3110 Basic Aid Allocation* was adopted by the SOCCCD Board of Trustees.

- May 11, 2012, BAARC reviewed final district basic aid funding priorities for fiscal year 2012-2013, discussed drafted scenarios for distribution, and finalized recommendations through collegial consensus.

- May 14, 2012, Vice Chancellor of Business Services met with both college presidents and fiscal directors to share the BAARC funding recommendations in an effort to increase collegial and inclusive communications. The BAARC basic aid funding recommendations for fiscal year 2012-2013 were forwarded and approved by the SOCCCD Board of Trustees June 2012.

- June 2012, BAARC responded to the District-wide Strategic Plan Goal 4.2.1.[DR2-6] The resulting drafted *District-wide Integrated Budget and Planning Handbook* was posted on the SOCCCD SharePoint site, making it available to all employees. This extensive, user-friendly compilation of all documents pertaining to district-wide funds allocation and budget development provides another avenue of communication and promotes an open, transparent and inclusive environment.

The Irvine Valley College allocation model linking planning and budget addresses standards I.A.1., I.B., III.D.1.a., III.D.1.b., III.D.1.c., III.D.1.d., III.D.2.b., III.D.3., and IV.B.3.c. The formalization of a district-wide process for the allocation of funds addresses the recommendation. The resulting clear and transparent budget allocation process allows the colleges to meet their short- and long-term needs. In spring 2012 the district used the newly-developed strategic plan in the budgeting process. The completion and adoption of both Board Policy 3110 Basic Aid Funds Allocation Process and Administrative Regulation 3110 Basic Aid Allocation have provided guidelines for the allocation process and distribution. The district strategic plan in combination with the basic aid allocation documents has assisted the district and colleges in efforts to increase an open and transparent environment in which information is widely disseminated and reviewed for effectiveness. As well, TracDat implementation and training and the college-wide population of information along with the fall purchase and implementation of TracDat-SharePoint Option will provide the functionality to tie budget directly to planning and create an accessible and inclusive platform for review. Therefore, the full process of tying planning to budget allocation will be in place and active during the 2012-2013 budget development in spring 2013.

DR2-1   Established In 1996, the District Resources Allocation Council (DRAC) is a district wide participatory governance council that is charged with overseeing the process and making recommendations for fund distributions based on the established principles of DRAC and the SB361 funding formula. Annual reports on the resulting budget allocations reflect strategic planning and detail allotments to the colleges and district services (including reserves). The DRAC model provides accountability and equity in revenue distributions.

DR2-2   The council is chaired by the Vice Chancellor of Business Services, and is comprised of the vice presidents of instruction from each college, a Chancellor appointee, two faculty representatives, the academic senate presidents from each college, and the director of fiscal services from each college.

DR2-3   Basic Aid Allocation Project Types:

Capital construction, major renovation, large infrastructure projects, and site development. Funding of these projects will follow district and college strategic plans, education and facilities master plans, the *20-year Facility, Renovation and Scheduled Maintenance Plan* and *Five Year Construction Plan;*

Retiree benefit trust fund and other long term obligations;

Trustee elections, legislative advocacy, major legal fees and judgments;

Major technology initiatives as identified in the district and college technology plans; and

Fifty percent matching funds for scheduled maintenance and smaller renovation projects, including maintenance equipment, as identified in the *20-year Facility, Renovation and Scheduled Maintenance Plan,* which is being developed at the district level. The other fifty percent of funds for scheduled maintenance and small renovation projects will be funded by the site requesting the funds, whether district office or college, in receipt of the allocation. Allocations must be used within five years on the specific project for which funding was allocated. The allocation will be based on the distribution ratios used in the DRAC process.

DR2-4   Capital Improvement Committee Facility Related Definitions

DR2-5   Basic Aid Allocation Recommendation Committee website: *https://sharepoint.socccd.edu/chancellor/dwc/baarc/default.aspx*

DR2-6   **District-wide Goal 4**. SOCCCD will increase the effective use of all resources by developing and implementing a cycle of integrated District-wide planning.
District-wide Objective 4.2. SOCCCD will review and revise the resource allocation processes to ensure that expenditures are linked to planning priorities.
Action Step 4.2.1. Create a user-friendly and accessible document that explains how the District's Resource Allocation process works, guides staff through the process(s) and demonstrates how the new district-wide planning processes and documentation will better connect planning to resource allocation

District Recommendation 6: The teams recommend that the district provide a clear delineation of its functional responsibilities, the district level process for decision making and the role of the district in college planning and decision making. The district should perform a regular review of district committees, conduct an assessment of the overall effectiveness of services to the colleges and communicate the results of those reviews (IV. B.3.a, IV.B.3.b., IV.B.3.e., and IV.B.3.f.).

COLLEGE RESPONSE AND UPDATE

The delineation of functional responsibilities between district services and the colleges was articulated in a comprehensive function map created by the District Recommendation 1 Task Force with representatives from both colleges and district services. This document identifies each responsibility as primary, secondary or shared. IVC representatives on the task force presented the drafted function map to their respective campus leadership groups for review and input. Working independently, each college edited its respective narrative sections, and then reconvened with the task force to find consensus and develop a final draft. The final draft was forwarded to the District-wide Accreditation Committee, approved on July 8, 2011, and posted on the district SharePoint site.

Although the 2011 Follow Up Report does not include any additional plans as they relate to district recommendation 6, there were several actions taken to strengthen and institutionalize the planning process. These are discussed in the following narrative.

In response to the Chancellor's solicitation for input, requested updates to the function map are currently being addressed by a workgroup formed of members of the District-wide Planning Council. The updated documents will then go through review and approval at both colleges and the District Services Planning Committee before being submitted for final approval, which is expected to be done by the District-wide Planning Council at their November 2, 2012 meeting.

The ACCJC recommendation to develop a district-level process outlining the role of the district in college planning and decision making was addressed by the creation of the *District-Wide Planning and Decision Making Manual* prior to submission of IVC's 2011 Accreditation Follow Up Report. Requested updates to the *District-Wide Planning and Decision Making Manual* were also discussed at the District-wide Planning Council meeting on September 7, 2012; changes or edits are to be sent to the District Director of Research, Planning and Data Management. The updated documents will then go through review and approval at both colleges and the District Services Planning Committee before final approval by the District-wide Planning Council at their November meeting. Each of the district-wide planning groups has a site on the SOCCCD SharePoint site where they each post agendas, minutes, shared documents, and handouts so that they are accessible to the entire district community.

The assessment of all district-wide planning committees is planned for early fall 2012. On April 3, 2012, the Chancellor sent an email to each of the committee chairs reminding them to conduct their annual self-evaluation on the effectiveness of their council/committee as outlined in the *District-wide Planning and Decision Making Manual 2011-2014*. Irvine Valley College and Saddleback College shared their college committee review processes, and each committee developed its own review process and questions.

District-wide governance committee self-assessment was initiated in spring 2012. Committees will use self-assessment data to improve the effectiveness of their work. Any resulting modifications will be documented in committee minutes for the following planning and budget groups in fall 2012:

- Chancellor's Council
- Chancellor's Executive Council
- District-wide Planning Council
- Basic Aid Allocation Recommendation Committee (reference DR2.2)
- Board Policy and Administrative Regulation Council
- Capital Improvement Committee
- District Resources Allocation Committee
- District-wide Technology Committee

Council and committee evaluations are planned to be included on the agenda for the November District-wide Planning Council meeting.[DR6-1]

Over the last two years, the overall effectiveness of district services has been assessed using a district-wide survey; the survey results are then communicated district-wide. District service units began their self-evaluation process by looking at the data obtained from the spring 2011 *District Services Satisfaction Survey* and developing action plans to address identified key issues. The action plans were distributed via e-mail to all district employees on August 31, 2011, and placed on the district SharePoint site to keep the process transparent and widely accessible to all district employees. In September and October of 2011, district services conducted workshops referred to as the *District Services Road Show* at both colleges in September and October of 2011. During these presentations the district services units clearly explained various procedures and processes. The audiences at each meeting were encouraged to give feedback so that district administrators might gain a better understanding of the needs of 'end users' at the colleges.[DR6-2]

The road show presentations were widely publicized throughout the district. The sessions were also taped and are hosted on the employee intranet site along with copies of the presentations for employee reference.

Administrative Unit Reviews (AURs) were completed and posted on SharePoint. The Chancellor sent a district-wide notification with the access link to the AURs on May 7, 2012. The reviews will continue to be updated annually through TracDat.[DR6-3] The assessment of district services data resulted in several significant district unit improvements. Examples include:

- Business Services:
    - January 2012, DRAC sponsored a presentation "*Understanding the Budget and Basic Aid*" at both colleges. The presentation was followed by a question and answer forum to clarify the process and increase an open, transparent and inclusive dialog. Employees reported that the presentation was very informative

and helpful to their understanding and participation in the allocation process.

- o Business Process Analysis (BPA) sessions were held at both colleges (May-August 2012) to update practices to a) make them more efficient; b) make them more user-friendly; c) eliminate unnecessary steps to a process; d) eliminate duplication of effort and shadow systems; e) move to electronic processing from manual processing; f) use our staff resources better; g) model best practices, and h) improve services to the colleges and to faculty, staff, and students. The sessions were well attended by both colleges and included a wide range of faculty and staff.

- Human Resources:
  - o Continuous Quality Improvement (CQI) of the classified hiring process included technological changes to the classified hiring process through the upgrading of our software.
  - o Improvements in support of the faculty hiring process.
  - o The HR SharePoint Site was updated to provide additional support in hiring, risk management, benefits, and training.[DR6-4]
  - o A newly developed Administrator/Manager performance evaluation form.

- Information Technology:
  - o Beginning fall 2011, district IT management and specialists began meeting with governance group representatives on both campuses to gain insight for improving technology services. These meetings began in late August 2011 at Irvine Valley College. Also, the District-wide Technology Committee, composed of district, Saddleback College, and Irvine Valley College IT leaders meets regularly to talk about IT issues such as budgeting, project priorities, improved communication and coordination.[DR6-5]
  - o The *SOCCCD Technology Plan* was developed by the District-wide Technology Plan Task Force and forwarded to the District-wide Technology Committee (DTC) for review and approval on April 5, 2012. This five year plan had been vetted at both colleges.

Planned annual review and update will allow for modification as priorities shift.

- o Development of the "*it connection*" blog, designed to provide updates on software and new software releases, system changes and issues that may impact the colleges, training opportunities, and the status of IT projects.
- o The District Services SharePoint site, accessible to the entire district since spring 2011, has undergone enhancements that make it more 'user-friendly'. The District Services SharePoint Governance Task Force continues to make recommendations for improvement of the site.
- o Improved coordination and planning between district IT services and IT divisions at both colleges.
- o A series of meetings between IVC and District IT stakeholders is being facilitated by President Glenn Roquemore to effect more positive and productive interactions.

EVALUATION

Irvine Valley College meets Standard IV and has resolved the issues leading to this recommendation. The district has created a clear delineation of its functional responsibilities, the district-level process for decision making, and the role of district services in college planning and decision making. It also has reviewed and revised the documents that articulate these processes. The district has performed a systematic annual review of district planning committees, conducted an assessment of the overall effectiveness of services to the colleges, and communicated the results of those reviews. The district has fully addressed planning agenda item 4 of 2010 Comprehensive Institutional Planning Agendas.[DR6-6]

EVIDENCE: DISTRICT RECOMMENDATION 6

DR6-1   Email from Chancellor Poertner (4-3-12)

Chancellor's Council Meeting Minutes (7-19-12)

BAARC Self-Evaluation Example worksheet

DR6-2   District Services Road Show Flyer (September 2011)

DR6-3   Email from Chancellor Poertner (5-7-12)

        District Services Administrative Unit Reviews 2011-12

DR6-4   Human Resources SharePoint site: *https://sharepoint.socccd.edu/hr/default.aspx*

DR6-5   District-wide Technology Committee SharePoint site:
        https://sharepoint.socccd.edu/chancellor/dwc/dwtc/default.aspx

DR6-6   Planning Agenda item 4 of 2010 Comprehensive Institutional Planning Agendas identified in the *IVC Accreditation Self Study* has been met in the process of working through this ACCJC recommendation. It reads, "In order to promote educational excellence, integrity, and ensure effective support of the College in the South Orange County Community College District, the College will participate in the development of the following:

- A policy and procedure manual clearly delineating the role and scope of authority of the District in relation to the College, including the delineation of the responsibilities and functions of the District;

- A policy and procedure manual clearly delineating the role and scope of authority of the Advanced Technology Education Park in relation to the College.

- Regular evaluation by the College (and modifications, if necessary) of the District-wide delineation of responsibilities and functions;

- Regular feedback mechanisms at the College which assess the effectiveness of District services, including the Office of the Chancellor, in meeting the needs and priorities of the institution; and

- Regular evaluation by the College of the district's role, delineation, governance and decision-making structures and processes."

The South Orange County Community College District, including Irvine Valley College, Saddleback College, and district services, have undertaken significant efforts to address the ACCJC recommendations to the district and college required for reaffirmation of accreditation. Irvine Valley College has also made significant progress in addressing the college recommendations that must be addressed in our midterm report and the planning agendas from the IVC 2010 Self Study Report. We anticipate that this follow up report clearly will demonstrate that Irvine Valley College has fully implemented and assessed processes designed to address all of the 2011 evaluation report recommendations and the 2012 action letter requests. Irvine Valley College continues to meet Accreditation standards.

ACCREDITATION FOLLOW-UP REPORT 2012-2013

IVC

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