

LASSEN COMMUNITY COLLEGE
Standard III
Resources

Self Evaluation Report of Educational Quality and Institutional Effectiveness

Standard III Resources

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

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III. A. Human Resources

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

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

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

Descriptive Summary:

Lassen Community College (LCC) assures the integrity and quality of its programs and services by employing personnel who are qualified by appropriate education, training, and experience to provide and support these programs and services. To support key programs and services, the College relies on its integrated planning and budget development process to determine staffing needs. The College requires general minimum qualification for staff and discipline-specific minimum qualifications requirements for faculty as established by the Board of Governors.

Criteria, qualifications, and procedures for the selection of personnel are clearly and publicly stated. [3.1 *Selection and Hiring Manual*; 3.2 *LCC Website*] The procedures for the selection of classified, management, administrative staff and faculty are found in Administrative Procedure and the current *Selection and Hiring Manual*. [3.1 *Selection and Hiring Manual*; 3.3 BoardDocs-Administrative Procedure 7120-Recruitment and Hiring] The process to revise the selection procedures at LCC involved lengthy discussions occurring during President’s Cabinet, Academic Senate and Consultation Council. The Governing Board, in selection of the Superintendent/President, utilizes a



separate procedure. [3.3 BoardDocs-Board Policy 2431-Superintendent/President Selection]

Job announcements include information on areas of responsibility, specific duties, minimum and desired qualifications, required skills, abilities, knowledge, timelines, policies related to Equal Employment Opportunity, American's with Disabilities, and other institutional state, and federal regulations. [3.4 Sample Job Announcements] Job announcements are published on the employment page of the College website. [3.2 *LCC Website*] Human Resources, when funding permits, disseminate job announcements in electronic and/or printed forms through newspaper advertisements, California Community College Registry (online), Chronicle of Higher Education, other educational journals, and direct mailings.

The selection process involves both initial screening and oral interviews. Representatives from constituent groups participate in screening committees to recommend finalists to the President or his designee. Each constituent group recommends representative(s) as needed to serve on these committees. The committee establishes paper-screening criteria based on the job announcement. [3.1 *Selection and Hiring Manual*] In 2010, the College implemented NeoGov, a hosted online application process. All employment applications are submitted online. The complete applications are reviewed online for minimum qualifications. The application materials of all applicants meeting minimum qualifications are then released to screening committee members for online review. [3.5 NeoGov] All applicants are screened using the same criteria. During the initial screening process, the hiring committee reviews the application and other materials submitted and rates applicants against stated job announcement criteria. The initial screening rankings are used to identify applicants for the interview process. This process may include written assignments and oral presentations.

In addition, the committee develops interview questions and written assignments when appropriate. A typical interview question may ask candidates to describe how they might contribute to the College mission, or describe significant accomplishments in their recent positions to promote student success. All candidates for a position are asked the same questions and given the same written assignments.

As stated in each job announcement, faculty applications are evaluated taking into account the breadth and depth of relevant education, experience, skills, knowledge and abilities.

The Board of Governors adopted minimum qualifications for hiring of faculty are found in board policy. [3.3 BoardDocs-Administrative Procedure 7211-Faculty Service Areas, Minimum Qualifications and Equivalencies] The process for assessing the minimum qualifications of faculty is identified in the *Lassen Community College Verification on Faculty To Meet Minimum Qualifications in Discipline of Instruction Resource Handbook*, which is updated annually. [3.6 *Lassen Community College Verification on Faculty To Meet Minimum Qualifications in Discipline of Instruction Resource Handbook–August 2013*] The process developed by the Academic Senate and adopted

by the Governing Board provides for the primary role of subject area faculty in determining and recommending equivalency. The Academic Senate functions as the Minimum Qualifications/Equivalency Committee ensuring consistent and fair application of the equivalency guidelines to all applicants requesting equivalency review. As part of the minimum qualifications process, the Office of Academic Services verifies the degrees of applicants if the institution offering the degree is in question. Applicants with degrees from non-US institutions are required to submit transcripts that have been translated and certified for comparability to degrees offered by U.S. institutions.

More than one half of the individuals serving on faculty selection committees are faculty. Teaching demonstrations are used, wherein samples of lecture/activities are presented during the interview process, for all teaching faculty. The teaching demonstration assists the screening committee to better evaluate the candidate's potential classroom effectiveness.

Interview committees recommend up to three qualified applicants for final interview. Before a job offer is made to successful candidates, reference checking is completed to verify the accuracy of information submitted in the application and the interview process.

Self-Evaluation:

Hiring processes are in compliance with Title 5, the Education Code, and California Labor Law. The Office of Human Resources, in consultation with area deans, reviews and revises the application package to be submitted by job applicants.

All full-time and adjunct faculty meet or exceed the minimum qualifications established by the Board of Governors. The Office of Academic Services maintains a faculty minimum qualifications database to ensure that no faculty member is assigned to instruct in a class for which their minimum qualifications had not been reviewed.

The District has struggled with obtaining representatives from all constituent groups to serve on many selection committees. It has been particularly challenging to obtain faculty appointees from the Academic Senate during the summer months. In the future, the District plans to ask the Academic Senate for a list of potential faculty to serve on summer selection committees prior to the end of the spring semester.

As expressed in the staff survey conducted during May of the last three years, an increasing number of respondents indicated confidence in job description accuracy by their response to the statement: "Job descriptions accurately reflect position, duties, responsibilities and authority." The perception of inaccurate job descriptions has been an ongoing problem. Although progress has been made, additional work needs to be done to assure the accuracy of all job descriptions and to communicate effectively the expected duties and responsibilities of each position.

Table 38: Job Description Accuracy Self-Evaluation Staff Survey

Question 28	2011	2012	2013
Job descriptions accurately reflect position, duties, responsibilities and authority.	43.6%	54.2%	58.8%

[3.7 Data retrieved from Accreditation Self-Evaluation Staff Survey]

Actionable Improvement Plans:

Systematically review and update job descriptions to assure that they accurately reflect position duties, responsibilities and authority.

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

Descriptive Summary:

LCC has evaluation processes in place for all employee classifications, including full-time and adjunct faculty, classified employees, managers, confidential employees, and administrators.

For faculty, the evaluation process, including the composition of the evaluation teams, is described in the collective bargaining agreement. A self-evaluation is included in the process, primarily to improve instruction through the conscientious and thoughtful examination of accomplishments, plans, goals, strengths, and weaknesses. Regular tenured faculty members are evaluated once every three years, and contract faculty at least once each school year. [3.8 Lassen Community College Faculty Association (LCFA)/Lassen Community College District (LCCD) Contract] Adjunct faculty members are evaluated during the first semester of employment and every third semester following the initial evaluation. The evaluation forms for instructional and non-instructional faculty were revised in February 2013. [3.8 LCFA/LCCD Contract]

It is the responsibility of the appropriate administrator to ensure that the faculty evaluation activities and follow-up are formal, timely, and documented. All faculty evaluations may include formal recognition of areas of exemplary performance or suggestions for improvements. In the case of non-tenured faculty members, the evaluation serves as the basis for contract renewal recommendations to the Academic Senate and subsequently to the Governing Board. [3.9 Academic Senate minutes; 3.10 BoardDocs-Governing Board minutes]

Educational and classified administrators with the exception of the Superintendent/President are evaluated initially within six months and annually no later

than March 1st of each academic year thereafter. [3.3 BoardDocs-Administrative Procedure 7150-Evaluation] Administrator evaluations based on the duties set forth in the job description are prepared by the immediate supervisor and include a self-evaluation. The evaluation may include input from peers, service users, or other employees.

The College President is evaluated annually no later than December 15 of each academic year based upon performance objectives agreed upon by the President and Governing Board by October 15 of each academic year. [3.3 BoardDocs-Administrative Procedure 2435–Evaluation of Superintendent/President]

Confidential employees are evaluated within six months of initial employment and annually no later than March 1 thereafter. [3.3 BoardDocs-Administrative Procedure 7150-Evaluation] The evaluation uses a form designated by the District.

Regular classified employees are evaluated annually no later than the May 31 by their immediate supervisor as described in the collective bargaining agreement between CSEA and the District. [3.11 *California School Employees Association (CSEA) Contract*] All classified employees are evaluated using the performance evaluation form in the collective bargaining agreement. The mutually agreed criteria include quality and quantity of work, initiative, dependability and relationships with others. All criteria are directly related to the effectiveness of employees in completing assigned duties. The opportunity for establishing mutually agreed upon goals and follow-up on progress on previously agreed upon goals is provided.

Actions taken following evaluations are documented in the individual’s personnel file.

Self-Evaluation:

Evaluations of faculty are completed in accordance with the collective bargaining agreement. The Office of Academic Services assures the currency of all faculty evaluations. During the 2012-2013 academic year, twenty-one full-time and seventy-nine adjunct faculty were evaluated. Faculty members are evaluated for all modalities in which they were instructing: traditional, online and/or correspondence instruction. The process used in the evaluation of adjunct faculty is similar to the process used to evaluate full-time faculty.

The evaluation of administrators, managers, confidential and classified employees has been completed regularly as scheduled.

Signed completed evaluation forms, along with performance improvement plans when warranted, can be found in each employee’s personnel file.

The Governing Board at the Board Retreat on October 23, 2012, developed the initial annual performance objectives with the current president. The initial performance evaluation of the Superintendent/President was completed March 12, 2013. The first

annual evaluation of the current Superintendent/President was completed August 13, 2013. [3.10 BoardDocs-Governing Board minutes]

Actionable Improvement Plans:

None

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

Descriptive Summary:

The *Lassen Community College Faculty Association (LCFA) Contract* approved by the Governing Board on July 10, 2012 and reaffirmed on November 12, 2013 identifies in Article 7.2.16, faculty are required to participate in student learning outcome (SLO) assessment to include the:

- Preparation and submission of an SLO Assessment Plan for each class within one week of the first meeting of class
- Implementation
- Submittal of SLO Assessment Results (hard copy or electronic) no later than the eighth day following the last day of finals.

[3.8 – *LCFA/LCCD Contract*; 3.10 BoardDocs-Governing Board minutes]

Self-Evaluation:

The College meets this standard.

Actionable Improvement Plans:

None

III. A. 1. d. *“The institution upholds a written code of professional ethics for all of its personnel.”*

Descriptive Summary:

The Governing Board adopted board policy on an Institutional Code of Ethics on December 6, 2011. [3.3 BoardDocs-Board Policy 3050-Institutional Code of Ethics] Consultation Council adopted the companion administrative procedure on March 22, 2012. [3.3 BoardDocs-Administrative Procedure 3050-Institutional Code of Ethics; 3.12 Consultation Council minutes] The procedure defines ethics and articulates expectations for ethical behavior. The Governing Board established a Statement of Ethical Conduct in spring 1995, which is annually reaffirmed. [3.3 BoardDocs-Board Policy 2715-Code of

Ethics/Standards of Practice] In addition, the *Strategic Plan*, reviewed, revised and readopted each year includes a value statement. [3.13 *Strategic Plan*]

Codes of Ethics for each of the campus constituent groups (administration, board, faculty, management and classified employees) were developed in 1996. The *Codes of Ethics* include a commitment by all employees to abide by expected professional behavior.

Self-Evaluation:

The *Codes of Ethics* were last reviewed and reaffirmed for the 2013-2014 academic year by each of the constituent groups with exception of the classified employees during fall 2013. [3.14-Constituent Group *Code of Ethics* Statements; 3.2 LCC Website]

Actionable Improvement Plans:

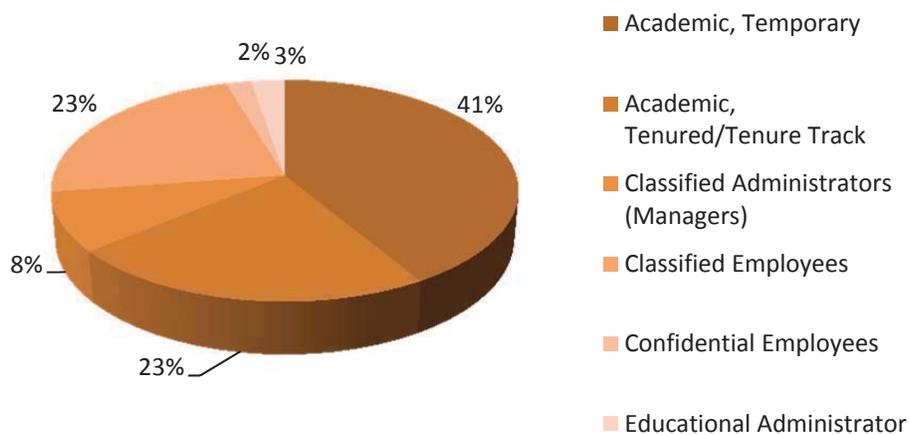
None

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

Descriptive Summary:

In fall 2013, LCC employed four educational administrators, thirteen classified administrators (managers), three confidential employees, thirty-four full-time and sixty-two adjunct faculty, and forty-five classified employees. Of the thirty-four full-time faculty, thirty-one served in the instructional area.

Figure 9 LCC Employees



Data Retrieved from the LCC Datatel

Self-Evaluation:

Since the last self-evaluation significant progress has been made hiring additional faculty and reassigning existing faculty to areas of greatest need. The previously overstaffed physical education department has been reduced down to two full-time faculty, one assigned to coaching with reassigned time as the assistant athletic director and the other having the majority of his load in health classes. Previous full-time physical education instructors are now assigned full-time in English and History. Additional faculty have been hired in counseling bringing the full-time counseling faculty to three. For the first time in recent years during the 2013-2014 academic year, all administrative positions identified on the organizational charts are filled. Permanent personnel hired using the established procedures fill all positions with the exception of the Dean of Student Services position currently filled by an interim. The Dean of Student Services position was advertised fall 2013.

Actionable Improvement Plans:

None

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

III. A. 3. a. *“The institution establishes and adheres to written policies ensuring fairness in all employment procedures.”*

Descriptive Summary:

During the last four years, the College has reviewed and updated all of its board policies. During the review process, the previously combined policies and procedures were separated. Board policies concerning personnel are found in Chapter 7. [3.3 BoardDocs-Board Policy] Much of the language in the personnel policies and procedures is also part of the collective bargaining agreements between the District and the bargaining units. If the agreements are inconsistent with existing policies, the agreement becomes the controlling document. [3.8 LCFA/LCCD Contract; 3.11 California School Employees Association (CSEA) Contract]

Specifically, the College developed AP 7120–Recruitment and Hiring adopted by Consultation Council on May 20, 2013 and AP 3420–Equal Employment Opportunity adopted by Consultation Council on August 5, 2013. [3.3 BoardDocs–Board Policy 7120–Recruitment and Hiring; 3.3 BoardDocs–Administrative Procedure 3420–Equal Employment Opportunity] The Academic Senate on May 22, 2012 and the Governing Board on July 10, 2012 accepted the revised *Selection and Hiring Manual* constructed from relevant administrative procedures. [3.1 *Selection and Hiring Manual*]



The appropriate policies, administrative procedures and hiring manual are used when selecting and hiring all permanent college employees. The documents include provisions for fair and equitable treatment of position applicants. Copies of the selection procedures are found on the website and available from the Office of Human Resources. All board policies and administrative procedures can be accessed on BoardDocs linked to the College website.

An Equal Employment Opportunity Officer serves on the selection committee for each position and upon completion of the process certifies that the selection process has followed the procedures of the Equal Employment Opportunity Act and the District selection procedures.

Self-Evaluation:

The adopted selection procedures are consistently followed in the hiring of permanent college employees. As a small rural community college a major challenge has been the time required to achieve an adequate applicant pool. Positions are advertised, “until filled” with initial review dates indicated in the announcements. Another challenge has been to staff the selection committees with representatives from all of the appropriate constituent groups. The solicitation of appointees is occurring earlier in the process in order to address this problem.

Actionable Improvement Plans:

None

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

Descriptive Summary:

All personnel files are considered confidential and are only available to the employee and persons authorized by the employee or the Superintendent/President. All materials in the personnel files are available to the employee for inspection at an off-duty time in the presence of an administrator or record custodian. [3.3 BoardDocs-Administrative Procedures 7145-Personnel Files] The personnel files are maintained in locked cabinets within the Office of Human Resources. The cabinets are locked whenever the Human Resource staff members are away.

Self-Evaluation:

Sufficient safeguards are in place to protect the personnel files and ensure privacy. Access is restricted in accordance with law. Security of the files is maintained at all times, and the records are stored in fireproof filing cabinets.

Actionable Improvement Plans:

None

III. A. 4. *“The institution demonstrates through policies and practices an appropriate understanding of and concern for issues of equity and diversity.”*

III. A. 4. a. *“The institution creates and maintains appropriate programs, practices, and services that support its diverse personnel.”*

Descriptive Summary:

The Governing Board adopted Board Policy 3410-Nondiscrimination on December 6, 2011 and Board Policy 7100–Commitment to Diversity on September 13, 2011. [3.3 BoardDocs-Board Policy 3410-Nondiscrimination; Board Policy 7100-Commitment to Diversity; Board Policy 3430–Prohibition of Harassment] The College has integrated all of the plans relating to staffing into the *Human Resource Master Plan*. Professional Development including training on diversity is found in the Professional Development Plan, one component of the *Human Resource Master Plan*. [3.15 *Human Resource Master Plan*] The Human Resource Director in consultation with the Human Resource Planning Committee updated the *Equal Employment Opportunity (EEO) Plan* in spring 2013. The Governing Board adopted the revised *EEO Plan* on August 13, 2013. [3.16 *2013 EEO Plan*; 3.10 BoardDocs-Governing Board minutes]

Diversity was added to the College Values Statement in a summer 2012 revision of the *LCC District Strategic Plan*. [3.13 *Strategic Plan*] A renewed commitment to celebrating diversity was initiated with the addition of the objective in the *Comprehensive Institutional Master Plan* to provide a minimum of four cultural awareness celebrations focusing on Cultural Heritage Months (Hispanic Heritage–September, Native American Heritage–November, Black Heritage–February, and Asian American/Pacific Island Heritage–May) during the current academic year. [3.17 *2013-2018 Comprehensive Institutional Master Plan*]

The Human Resources Director is currently responsible for oversight of institutional commitment to equity and diversity.

Self-Evaluation:

The College has reaffirmed its commitment to supporting diversity over the last two years.

Actionable Improvement Plans:

None

III. A. 4. b. “The institution regularly assesses its record in employment equity and diversity consistent with its mission.”

Descriptive Summary:

The Governing Board has adopted policies providing protection against harassment and discrimination. [3.3 BoardDocs–Board Policy 3430–Prohibition of Harassment; Board Policy 3410–Nondiscrimination] Policy and procedures are in place supporting equal employment opportunity in accordance with Title 5 and Education Code regulations. [3.3 BoardDocs–Board Policy 3420–Equal Employment Opportunity] All employment procedures are written to promote equal opportunity for all persons. The Governing Board adopted the revised Equal Opportunity Plan, which includes an analysis of the diversity of college employees, August 13, 2013. [3.16 2013 EEO Plan; 3.10 BoardDocs–Governing Board minutes]

The Office of Human Resources is aware of the importance of having a diverse staff and faculty. A more widespread approach to recruiting is part of ongoing efforts to improve the diversity of applicant pools. The approach includes advertising in publications, which target underrepresented groups. Each interview committee assures the inclusion of at least one question focusing on applicant sensitivity to diversity during the process for filling every position at the College. [3.18 Sample Interview Questions] The assessment of employment equity and diversity occurs while the *EEO Plan* is being reviewed and updated. The last analysis of employment equity occurred summer 2013.

Self-Evaluation:

The College adheres to equal opportunity for all applicants by its consistent application of established policies and procedures for all vacancies. In addition, the College continues to seek diversity in its workforce while identifying the best-qualified individuals based on required qualifications given in the job descriptions.

The EEO Plan adopted August 2013 indicates that the gender breakdown of the current workforce of regular employees is 41 percent male and 59 percent female. Twelve percent of the regular employee population identified that they belong to a monitored ethnic group. Nineteen percent of the adjunct faculty indicated that they are members of a monitored ethnic group. Zero percent of the current regular employees have identified that they have a disability.

Actionable Improvement Plans:

None

III. A. 4. c. “The institution subscribes to, advocates, and demonstrates integrity in the treatment of its administration, faculty, staff and students.”



Descriptive Summary:

Policies and procedures have been developed to ensure that administrators, faculty, classified staff, management/confidential staff and students are treated with fairness and respect. Among these are polices against discrimination, harassment, and nepotism. [3.3 BoardDocs–Board Policy 3410-Nondiscrimination; Board Policy 3430–Prohibition of Harassment; Board Policy 7310-Nepotism]

Codes of Ethics have been established for board members and all employee groups, and standards of conduct also exist for students. In addition, due process procedures are in place to ensure fairness to both employees and students if disciplinary actions are taken. [3.3 BoardDocs–Board Policy 2715-Code of Ethics/Standards of Practice; 3.14 Constituent Group Code of Ethics Statements]

Collective bargaining agreements contain grievance procedures in the event that the terms of the agreement have been misapplied. [3.8 *LCFA/LCCD Contract*; 3.11 *CSEA Contract*]

Self-Evaluation:

The established policies help create a professional working and learning environment. The *Code of Ethics* for board members and employees and the standards of conduct for students outline expected behavior. All constituent groups actively participated in the development of their own *Code of Ethics*, helping to ensure its acceptance by the employees.

Actionable Improvement Plans:

None

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

III. A. 5. a. *“The institution plans professional development activities to meet the needs of its personnel.”*

Descriptive Summary:

During the 2012-2013 academic year, the College recommitted to providing regular meaningful opportunities for professional development for all employees. Using funds made available from the *Strengthening Institutions (Title III) Grant* the College established and staffed the Training, Education, and Collaboration Center (TECC) in spring 2012. [3.19 *Strengthening Institutions (Title III) Grant*] The TECC has created an atmosphere of comfort and ease; all employees are welcome to attend training or to use the computer bank as a resource for district related projects. Beginning fall 2012, TECC



staff began developing and publishing a monthly training calendar. The TECC staff along with the Flex Coordinator revitalized the flex opportunities for faculty in coordination with other training events. Funding from the Title III Grant was utilized to provide additional training faculty opportunities. Twenty-two full- and part-time faculty and three instructional support staff participated in an “On Course one-day Training” Lassen College on April 30, 2013, and seven full-time faculty members were sent to the On Course National Conference April 25-27, 2013 in Southern California.

As further evidence of the renewed commitment to professional development, faculty and staff were provided opportunities to attend a variety of conferences off campus. English faculty participated in training for the “Accelerated English” program through the California Acceleration Project sponsored by California Community College Success Network, faculty from Automotive and Welding Technology attended a vocational leadership workshops facilitated by Academic Senate for California Community Colleges. EOPS staff attended both fall and spring conferences. Two individuals were sent to a grant-writing workshop and one administrator attended Admin 101.

Self-Evaluation:

College employees are regularly surveyed regarding training needs and training times. [3.20 TECC Survey-Training Needs Assessment June 2012; 3.21 TECC Survey- Training Times for spring 2013-Nov 2012; 3.22 TECC Survey-Classified Professional Development May 2013]

During TECC’s first year of operation, 119 workshops were offered; 823 participants signed into the workshops representing 166 unduplicated employees; training hours totaled 1079.25; twenty-eight college employees presented trainings. The TECC has become a favored spot for departmental, division, and other committee meetings. [3.23 2012-2013 Professional Development Trainings]

As expressed in the staff survey conducted during May of the last three years, an increasing number of respondents indicated improved opportunities for professional development in their response to the statement: “The institution provides all personnel with appropriate opportunities for continued professional development.”

Table 39: Opportunity for Professional Development Self-Evaluation Staff Survey

Question 33	May 2011	May 2012	May 2013
The institution provides all personnel with appropriate opportunities for continued professional development.	35.1%	51.2%	66.7%

[3.7 Data retrieved from Accreditation Self-Evaluation Staff Survey]

Actionable Improvement Plans:

None

III. A. 5. b. *“With the assistance of the participants, the institution systematically evaluates professional development programs and uses the results of these evaluations as the basis for improvement.”*

Descriptive Summary:

The Human Resource Planning Committee with representatives of all constituent groups is responsible for the development of the Professional Development Plan. The implementation of the plan is the responsibility of the Human Resources Manager in collaboration with the faculty Flex Coordinator and the Information Technology Specialist II in TECC. [3.24 2013-2014 Professional Development Plan] With the revitalization of the Professional Development Calendar implemented during 2012-2013, the Information Technology Specialist II in the TECC assumed responsibility for tracking participation and tabulating evaluation instruments for all professional activities.

Self-Evaluation:

The institution is committed to sustained quality improvement in the area of professional development. Capitalizing on the opportunities provided by the *Strengthening Institutions (Title III) Grant*, the participants are evaluating all professional activities and improvements are being implemented based upon the evaluations. Evaluations completed after every workshop reveal great satisfaction with the content and presentation of the targeted information.

Actionable Improvement Plans:

None

III. A. 6. *“Human resource planning is integrated with institutional planning. The institution systematically assess the effective use of human resources and uses the results of the evaluation as basis for improvement.”*

Descriptive Summary:

The *Human Resource Master Plan* is partially compiled from other institutional planning documents. Institutional staffing needs based on student demand and growth of instructional and student services programs are identified in the *Educational Master Plan* and *Student Services Master Plan*. [3.15 2013-2018 Human Resource Master Plan, 3.25 2013-2018 Educational Master Plan, 3.26 2013-2018 Student Services Master Plan] Planned facility or technology improvements requiring additional support staff are identified in the *Facility Master Plan* and *Institutional Technology Master Plan*. [3.27 2013-2018 Facility Master Plan, 3.28 2013-2018 Institutional Technology Master Plan] The five master plans are incorporated into the *Comprehensive Institutional Master Plan* in May of each year. [3.17 2013-2018 Comprehensive Institutional Master Plan]



Self-Evaluation:

Despite financial challenges within the state over the last few years, the institutional planning process has continued to evolve and improve. During the 2012-2013 academic year, each of the master plans included staffing requests, which were prioritized by Consultation Council spring 2013 and the final prioritized list is included in the *2013-2018 Human Resource Master Plan*. [3.15 *2013-2018 Human Resource Master Plan*] Several of the positions were filled for the 2013-2014 academic year. [3.29 2013-2014 Organizational Charts] The Academic Senate and Director of Institutional Effectiveness are currently engaged in dialogue surrounding mechanisms to modify the annual IPR update template in order to better capture the impact of funded decisions on institutional effectiveness. [3.9 Academic Senate minutes–August 27, 2013; 3.65 Annual Update Template]

Actionable Improvement Plans:

None

III. B. Physical Resources

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

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

III. B. 1. a. *“The institution plans, builds, maintains, and upgrades or replaces its physical resources in a manner that assures effective utilization and the continuing quality necessary to support its programs and services.”*

Descriptive Summary:

The main campus consists of 248,195 square feet of useable space divided among seventeen buildings, four re-locatable buildings and seventeen outbuildings located on 184 acres. All programs and services are housed in buildings designed for, or appropriate for their use. In addition to classrooms, laboratories and offices, it has a dormitory with a capacity for 130 students, a library, cafeteria, computer rooms, and a large gymnasium. The main campus maintains a softball facility, thirty animal horse stables, an agricultural production facility and a complete rodeo arena. The College has a lease to operate the Coppervale Ski Hill, fifteen miles west of town. That facility is used for both community service ski instruction and public recreation. The College leases a baseball field from the Susanville City Parks and Recreation District. The College also leases a building from the local high school used to house the Public Safety Training Center. The Public Safety Training Center provides classrooms and office space for the Fire Technology, Vocational Nursing, Certified Nursing Assistant, Emergency Medical Technician and



proposed programs in Police Officers Standards and Training (POST) and Emergency Medical Services (EMS).

The integrated planning model combined with the participatory governance structure at LCC facilitates communication, discussion, and decision-making with all constituents able to provide input into the campus-wide facility needs. The Facilities Planning Committee plans for site renovations as well as scheduled maintenance projects and considers best practices in incorporating recommendations from programs reviews. [3.27 2013-2018 Facility Master Plan; 3.30 Facilities Planning Committee minutes]

During the last two academic years, the College took advantage of the opportunity afforded by the awarding a *Strengthening Institutions (Title III) Grant* in fall 2011 to renovate many rooms across the campus. [3.19 *Strengthening Institutions (Title III) Grant*] Prior to the installation of Eno Board technology in each of twenty-three classrooms, the rooms were cleaned and painted using District funds. With the relocation of the bookstore to the student union, the student union was remodeled, painted and new furniture purchased. The previous bookstore building was converted to a newly remodeled District Board Room. The Learning Center was painted and new furniture purchased. The *Title III Grant* provided for the development of the TECC, an instructional support and technology-training center, with furniture plus new technology including Eno Board and computers.

Self-Evaluation:

The College plans, builds, and maintains its aging physical resources in a manner that assures effective utilization and the continuing quality necessary to support college programs, activities, and services. Maintenance and site improvement plans are found in the *Facility Master Plan*, specifying and maintaining the highest quality standards, using quality materials and skilled personnel, to accomplish facility work. [3.27 2013-2018 *Facilities Master Plan*] The College has made improvements in the selection of new program equipment and materials by involving stakeholders and experts in the design and budget allocation process. The College promotes the purchase of high quality equipment and materials and encourages the use of the proper grade of items to assure low future costs and longer life. A funding request to remodel the Humanities building including a Library Expansion Project has been submitted to the State each year since 2007. However, to date, no funding has been received to initiate this project. In fact, State and local funding has been decreased, so no new projects have been completed. Time lined projects in the *Facilities Master Plan* have been routinely forwarded to the next year's plan due to lack of funding.

Input from Consultation Council (the shared governance body) discussions has resulted in several practical and concrete results. Discussions initiated by the Associate Student Body representatives resulted in improved signage indicating no smoking areas. Discussions surrounding the need to annually set aside financial resources to systematically upgrade various components of the aging facilities resulted in the excess

revenues of approximately \$200,000 generated in 2011-2012 and added to the ending fund balance used to initiate an upgrading process in spring 2013.

Actionable Improvement Plans:

Strengthen the budget allocation process regarding cycles within the integrated planning process to annually support the repair, replacement and purchase of new campus facilities and equipment.

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

Descriptive Summary:

The majority of LCC courses are offered on-site at the main Susanville campus. The College also offers offsite CTE instruction at Public Safety Training Center (formerly Credence High School) and offers classes at the Senior Center in Susanville. Campus security and safety are outlined in the *Facilities Master Plan, Injury, Illness Prevention Plan*, and Administrative Procedures. [3.27 2013-2018 *Facilities Master Plan*; 3.31 *Injury, Illness Prevention Plan*; 3.3 BoardDocs–Administrative Procedure 3500-Campus Safety; Administrative Procedure 3510-Workplace Violence Plan; Administrative Procedure 3515-Reporting Crimes] The Susanville campus has an ingress/egress safety issue. There is only one entrance/exit. This problem has been identified and discussions are moving forward for a secondary access road. Currently under an emergency situation, a temporary secondary access road would be available within sixty (60) minutes.

The maintenance of the healthful learning and working environment is primarily the responsibility of the Maintenance and Operations department. The Director of Facilities is responsible for the physical plant. The Maintenance and Operations staff consists of four maintenance specialists, two part-time (twenty hours a week) agricultural instructional assistants, one five-month grounds maintenance person, one full-time classified custodial lead person, and three full-time custodians.

An adhoc Safety Committee was formed in spring 2013 to address safety concerns on campus. The committee’s charge is to investigate incident reports and other data, evaluate current safety problems, and make recommendations to minimize future safety issues. Any facility safety issues needing repair are communicated to Maintenance and Operations, who then takes steps to repair or replace equipment based on available funds.

In addition, the District has established an *Emergency Response Plan*. Initial Emergency Response training occurred during Convocation fall 2012. Subsequently, campus training occurred spring 2013 with a series of fire and shooter on campus (lockdown) drills. Fall 2013 Convocation provided an opportunity for a follow-up presentation on

Lockdown Procedures by the Susanville Police Department. [3.32 *Emergency Response Plan*; 3.33 *fall 2012 & fall 2013 Convocation agendas*]

For security, the College has begun installation of key card entry to specific buildings and classrooms. Eventually, all buildings and classrooms will be converted.

Self-Evaluation:

At the main Susanville campus, the physical resources are constructed and maintained intending to promote a healthful and safe learning environment. The administration is pursuing various options for the development of a permanent secondary access road to the main campus.

According to the Accreditation Self-Evaluation Surveys the majority of students and staff feel that the campus is a safe environment.

Table 40: Safety Self-Evaluation Student Survey

Question 12	2011
The campus is a safe environment.	89%

[3.34 Data retrieved from Accreditation Self-Evaluation Student Survey]

Table 41: Safety Self-Evaluation Staff Survey

Question 21	2011	2012	2013
The campus is a safe environment.	67.5%	83.4%	82.9%

[3.35 Data retrieved from Accreditation Self-Evaluation Staff Survey]

At the offsite areas, the College utilizes spaces appropriate for offering instruction. The Public Safety Training Center and the Senior Center are constructed and maintained to assure access, safety, security, and a healthful learning and working environment. The buildings are required to meet the Occupational Health and Safety Administration code, the environmental health and safety code, and building codes.

Actionable Improvement Plans:

Pursue the construction of a secondary access road for the main campus.

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

III. B. 2. a. *“Long-range capital plans support institutional improvement goals and reflect projections of the total cost of ownership of new facilities and equipment.”*

Descriptive Summary:

The College's mission, vision and strategic goals are imbedded in the *Strategic Plan*, which guides institutional planning including facilities planning. [3.13 *Strategic Plan*] Faculty and other staff in each instructional and non-instructional area are asked to assess their existing equipment and project program development needs as part of program review. Student learning/administrative unit outcomes are generated by the end-users whether in the classroom or from a service function. The end-users identify equipment and facility needs for desired outcomes as part of the assessment during program review.

The budget allocation process is used to identify priorities for equipment purchases; however, in the event of equipment breaking before scheduled replacement, the list of priorities may change.

To address total cost of ownership, a detailed condition assessment was completed documenting the current useful life, estimated repair cost, and replacement cost of all major District facilities and related equipment. [3.36 *Space Inventory Report*]

The Facilities Planning Committee responsible for the development of the *Facility Master Plan* also annually reviews the campus space inventory report. The institution incorporates space utilization data and equipment condition as criteria in scheduling classes and laboratories. [3.36 *Space Inventory Report*]

The District's long-range capital plans to support institutional improvement goals are contained within the *Facility Master Plan*. The *Facility Master Plan* includes the current five-year Capital Construction Plan, the five-year Scheduled Maintenance Plan, program review recommendations, and the long-range facilities plan. [3.27 *2013-2018 Facility Master Plan*]

Self-Evaluation:

The institution assures the feasibility and effectiveness of its physical resources in supporting institutional programs and services through daily, monthly, quarterly, and yearly evaluations. Facility and equipment needs are communicated through program review recommendations, direct contact, and written work requests.

Actionable Improvement Plans:

None

III. B. 2. b. “Physical resource planning is integrated with institutional planning. The institution systematically assesses the effective use of physical resources and uses the results of the evaluation as the basis for improvement.”

Descriptive Summary:

The *Facility Master Plan* is guided by the *Educational Master Plan* and recommendations derived from program review. [3.25 2013-2018 *Educational Master Plan*] The *Facility Master Plan* along with the other master plans is incorporated into the *Comprehensive Institutional Master Plan* during May. [3.27 2013-2018 *Facilities Master Plan*; 3.17 2013-2018 *Comprehensive Institutional Master Plan*]

Individual disciplines and departments routinely assess the effective use of the facilities and equipment in their areas. The findings and needs are then documented in their respective program reviews. Frequently, the requests exceed the financial resources within the maintenance and operations budget.

The state of physical resources is further analyzed as one component of the Maintenance and Operations NIPR completed every four years. [3.37 Sample Complete Program Reviews, Executive Summaries and Annual Updates on LCC website-2013 Maintenance and Operations NIPR]

Self-Evaluation:

Physical resource planning is well integrated with other areas of institutional planning.

Actionable Improvement Plans:

None

III. C. Technology Resources

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

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

III. C. 1. a. “Technology services, professional support, facilities, hardware, and software are designed to enhance the operation and effectiveness of the institution.”

Descriptive Summary:

LCC uses technology to achieve institutional goals for student success and provide a modern telecommunication infrastructure for college employees. The College has a technology committee charged with responsibility of addressing institutional technology needs. The Institutional Technology Planning Committee (ITPC),



comprised of members from each constituent group, develops the *Institutional Technology Master Plan* and meets to discuss and make recommendations regarding present and future technology needs. [3.28 *2013-2018 Institutional Technology Master Plan*; 3.35 Institutional Technology Planning Committee minutes] Many technology decisions are based on Information Technology (IT) department personnel's advice and departmental or staff discussions.

The Information Technology NIPR was completed in 2011. [3.37 Sample Complete Program Reviews, Executive Summaries and Annual Updates on LCC website-2011 Information Technology NIPR]

The College maintains a full spectrum of technology infrastructure and services, including domain servers, fiber network, VOIP phone system with Auto Attendant, fax over IP, fully equipped desktops for all employees as well as student labs, configurable anti-virus services, and public Web pages. A wireless network is available in approximately 75 percent of the campus. Five additional access points are ready to be installed in the Trades Building, Sports Complex, Creative Arts and Math/Science buildings. Strategically placed workgroup printers handle most of the printing, scan to e-mail, and faxing needs. Many of the district and departmental forms are now available on the College website and can be completed, signed, and submitted electronically. Lassen County Office of Education (LCOE) currently hosts the College's Microsoft Exchange e-mail and provides spam filtering. The Datatel Colleague administrative suite (Finance, HR, Student) is in use at LCC.

The technology infrastructure also includes the backup of critical institutional data. LCC utilizes a backup solution by EVault to backup critical institutional data, such as the Colleague student information system. All backed up data is encrypted with an AES 256 standard before it is uploaded to EVault's cloud storage hosted by EVault.com. The backup allows LCC to be able to recover data in the event of a disaster.

A *Strengthening Institutions (Title III) Grant* provided the funding to create the TECC, which officially opened in June 2012, but was in limited use as early as March 2012. The Center is used for professional development workshops, mandatory trainings, evaluation of new technology and software, employee orientations, departmental and institutional committee meetings. [3.19 *Strengthening Institutions (Title III) Grant*; 3.23 2012-2013 Record of TECC Trainings]

WEAVE, an online application integrating assessment, program review and institutional planning, (also purchased through the *Title III Grant*) is used by all instructional and administrative units to input findings to quantifiable outcome measures, link each to the College's strategic goals, link each to Institutional Student Learning Outcomes (SLOs) and generate annual reports. Acquisition, development and training for the software took place during spring and summer 2012. [3.39 WEAVE; 3.23 TECC Training Schedule] Faculty entered their course-level SLOs measures, targets, findings, and action plans into WEAVE for the first time during fall 2012. Entry of administrative unit data for non-instructional areas began spring 2013.

Accudemia attendance tracking software was purchased in spring 2012, piloted in the Learning Center over the summer and fall 2012, and was used during spring 2013 semester for tracking student computer lab usage in the Learning Center. The goal is to use *Accudemia* to track all positive attendance classes. [3.40 *Accudemia* Attendance Records]

OpenCCCApply was implemented in fall 2013. The College is in the process of implementing Degree-Audit a software package purchased several years ago.

BoardDocs Pro, an eGovernance solution was purchased in summer 2011. [3.3 BoardDocs] It has proven to be a cost-effective means of providing agendas to the public and has eliminated the need to drive board packets to Board members in remote areas of the District. It is the repository for board policies, administrative procedures, board agendas and minutes archives. Training for the Trustees was held at a September 2011 workshop. BoardDocs was first used to conduct a board meeting in November 2011

Self-Evaluation:

The College has provided an effective set of technologies for campus operations during a time of decreasing resources. Much credit is due to experienced and committed staff in IT, who found ways to make existing systems work as the current campus technology was developed. The service orientation in IT is strong. Continued formal planning and budget commitment to support the current infrastructure and necessary upgrades will be essential for the operation and effectiveness of the organization. All technology projects should estimate the total cost of ownership to include items such as new/additional data ports, power outlets, heating/cooling, and security.

Actionable Improvement Plans:

Provide estimated total cost of ownership including such items as new/additional data ports, power outlets, heating/cooling, and security for technology projects as part of the decision-making process.

III. C. 1. b. *“The institution provides quality training in the effective application of its information technology to students and personnel.”*

Descriptive Summary:

The Information Technology department has historically provided technology training in the form of written documentation via e-mail and on the website, occasional workshops and informal hands-on training; however, the TECC has now taken over the bulk of the District technology training. During its first year of operation, 119 workshops were offered; 823 participants signed into the TECC workshops representing 166 unduplicated



employees; training hours totaled 1079.25; twenty-eight college employees presented trainings. A monthly calendar of trainings scheduled in the TECC is provided via e-mail and is also posted on the College website and outside the TECC in HU-102. [3.23 TECC Trainings 2012-2013]

Usage of the TECC is carefully documented. Participants are required to sign in for each training session and to complete a post-workshop evaluation. The data is compiled and used to determine the effectiveness of each workshop and each presenter. Suggested training topics are considered in the workshop development process. Evaluation information is shared with the presenters. [3.39 WEAVE-TECC AUOs; 3.41 TECC Workshop Evaluation Form 2012-2013; 3.42 TECC Workshop Evaluation Form 2013-2014; 3.43 TECC Evaluation Summary Template 2012-2013; 3.44 TECC Presenter Satisfaction Survey Form 2013-2014]

Every effort is made to incorporate the information received into the professional development planning process. Input also comes from the Human Resources/Professional Development Planning Committee (of which the IT Specialist II is a member), particularly from the Flex subcommittee.

Datatel training resources are available to and used by staff; including Datatel manuals, learning guides, and consultant workflow documentation. In addition, College staff have compiled their own training documents for the transfer of knowledge within and among departments.

For Microsoft desktop software, end-users can self-serve Microsoft-sponsored online training via an e-Learning function offered through the campus software agreement. This resource has been publicized to staff via email and in trainings held in the TECC. In addition, the small campus, informal culture, and strong service orientation allow IT staff to make visits to users' offices, providing informal hands-on training and support on request.

Online documentation for WebAdvisor is available at the WebAdvisor portal on the College homepage. Additional assistance can be obtained by contacting the Help Desk. Students needing help while on campus are directed to the bank of computers located outside the Financial Aid office where staff are willing to provide individual assistance. Students also receive training in the Learning Center. [3.45 August 31, 2013 WebAdvisor Training Announcement]

Training for IT personnel is generally accomplished through online courses. Training time is purchased in bulk once a year and then used by the IT specialists for the topics of most importance. In the absence of sponsored learning opportunities, the Internet proves to be an excellent source for information, whether via online journals, webinars and conferences, or simple searching for information and discussion on selected topics. Also, many of the contracting vendors (e.g., network, server, and phone support) have done a relatively good job of providing training to college IT personnel.

Self-Evaluation:

The Human Resources Planning/Professional Development Committee and the ITPC provide valuable input for the development of a training schedule that meets the needs of all areas of the campus as well as satisfies legally mandated training obligations.

The 2012-2013 TECC workshop evaluation form included the question: “Were your personal learning goals for the course met?” The responses to the question were almost uniformly “yes”.

In the Accreditation Self-Evaluation Staff Survey, a question on the assessment of training needs was included, but not a question on meeting training needs. Over the three years during which the survey was conducted a notable increase in positive responses occurred. In response to the statement: “The institution assesses the need for information technology training for students, faculty, and staff.”

Table 42: Assessment for IT Self-Evaluation Staff Survey

Question 23	2011	2012	2013
The institution assesses the need for information technology training for students, faculty, and staff.	47.0%	84.7%	88.7%

[3.7 Data retrieved from Accreditation Self-Evaluation Staff Survey]

Actionable Improvement Plans:

None

III. C. 1. c. *“The institution systematically plans, acquires, maintains, and upgrades or replaces technology infrastructure and equipment to meet institutional needs.”*

Descriptive Summary:

Colleague servers were replaced with new hardware, operating systems, applications and services through the Datacenter Refresh and Datatel Migration Project between 2010 and 2012. The servers in LCC’s Datacenter are scheduled for annual review for capability, compatibility, and stability. All physical servers are under review to determine eligibility for virtualization in order to provide redundancy and protection to the system and its resources, also to reduce power and cooling needs in the Datacenter, which will increase energy efficiency.

In fall 2011, the District replaced the aging analog phone system with a digital Voice Over IP (VOIP) system by Cisco. The new system allows the Information Technology Department to resolve issues and manage the system without reliance on outside support, reducing downtime and expenses.

During summer/fall 2011, all employee computers were either upgraded or replaced. The result is that all computers now use the same operating system and the same version of all standard software. The hardware is standardized to a few select models making support more streamlined. This was a monumental accomplishment and a first according to the collective campus memory. Laptops were provided for the full-time faculty and are available for check out by adjunct faculty. Upgraded laptops were repurposed for use in Governing Board meetings.

Refresh planning for campus desktops is addressed in the ITMP. A refresh plan was developed during the 2013-2014 year. Phase I, replacing 33 percent of the technology, is scheduled for implementation 2014-2015 with an additional 33 percent being replaced in each of the two succeeding years. The IT Department establishes standards and specifications for all computer equipment. The Director of Information Technology approves all technology purchases. IT staff evaluate technology equipment as needed for the purpose of upgrading, reallocating, storing, or the surplus of technology equipment. Operating systems and software are kept current to industry standards via the Microsoft & Adobe campus agreements. The new computers and accessories were acquired through a three-year lease with Dell Financial Services. The new VOIP phone system was acquired through a five-year lease with Key Government Finance. Leasing has allowed us to spread out the cost of the upgrade over several years and also gives us the option of purchasing the equipment or replacing it at the end of the lease. This may well be the vehicle for keeping the technology current.

Self-Evaluation:

The refresh plan for all hardware and software on campus is addressed in *Institutional Technology Master Plan* and incorporated into the *Comprehensive Institutional Master Plan* is scheduled to begin 2014-2015 academic year.

Actionable Improvement Plans:

None

III. C. 1. d. “*The distribution and utilization of technology resources support the development, maintenance, and enhancement of its programs and services.*”

Descriptive Summary:

LCC maintains computer labs for student use including a Learning Center/Basic Skills lab, Learning Disabilities lab, Library lab, Math lab, Business lab and CalWORKs lab. The *Strengthening Institutions (Title III) Grant* provided the funding to upgrade twenty-three classrooms with the latest technology: short-throw projector, interactive whiteboard with speakers, document camera, and lectern with laptop docking station; a few classrooms also have VHS/DVD combo players. The TECC utilizes this standard classroom technology for workshops and meetings and offers a twelve-station lab for



hands-on trainings as well as wireless network access for mobile devices. [3.19 *Strengthening Institutions (Title III) Grant*]

The open-sources Moodle course management system (CMS) supports online courses. On-campus instructors are beginning to use this CMS for web-enhancement of their courses and for communications with their students. [3.46 Moodle]

College-wide communications are supported through the telephone system, campus network, email, system, and college website. Telephone and network access are provided to all employees housed on-campus. E-mail is hosted by Lassen County Office of Education (LCOE) and provides on and off-campus password-protected access. LCOE also provides spam filtering. New employees are added to a number of campus-wide e-mail distribution lists according to their affiliation (Everyone, Administration, Governing Board, President's Cabinet, Classified, Faculty, Management/Confidential), and these and other custom lists are widely used to communicate across campus. Anti-virus software is provided via a central server, with updates acquired and pushed out centrally.

The campus backbone is fiber. Wireless access points are available for student use while an employee wireless network with full access to campus services is in development.

A full suite of licensed desktop office software is installed on each computer through the Microsoft Campus Agreement & Adobe Campus Agreement. The Microsoft Campus Agreement includes the latest version of Microsoft Office Pro products and Microsoft Windows for desktops/laptops. The Adobe Campus Agreement includes the Adobe Creative Suites, Design Premium & Web Premium. Macintosh operating systems are also supported for the Microsoft Office and Adobe Creative Suites.

Campus web pages are hosted locally, and a new version of the website was introduced in spring 2012. The College is in the process of identifying organizational structures to steer the ongoing maintenance and development of the site. Recently purchased content management software will simplify this process.

The Datatel system provides a Web interface for customer self-service, including student registration and account management, faculty roster viewing, and staff benefit viewing. This interface is supported by a Help Desk function realized through email and phone service. Additional self-service functionality is available for WebAdvisor. The College implemented OpenCCCApply, an online student application, in fall 2013. The Datatel system makes possible integrated data management—a single unified repository for person demographics and records—and offers the basis for sophisticated reporting. Full reporting capabilities are not inherent in the system, and continue to be developed. A Data Standards task force oversees data cleanup and data entry practices. The ultimate goal is to assure a consistent body of data accessible through certified, but flexible, reporting tools, supporting effective operations,

mandated reporting, and business intelligence (e.g., enrollment management, program evaluation, effective management of receivables).

Current students can take care of many of their needs online. Examples include registration, new student orientation, loan counseling, electronic signing and submission of promissory notes. Several computers are available for this purpose in the Student Services building. Admissions & Records is now able to electronically send and receive student transcripts with the use of e-Transcript.

Resources and operations are supported by an information technology staff currently numbering four, including a Director of Information Technology (programmer), two IT specialists administering servers and network as well as assuming webmaster duties, and an IT specialist administering desktops who also supports classroom technology.

The use of specialized software such as Bomgar and Spiceworks enables the small IT staff to efficiently manage hardware and software across the campus. The deployment of group policies and the use of an imaging server also help to streamline the process.

Self-Evaluation:

Recent improvements in the technology infrastructure have enabled the College to more effectively support its programs and services. The challenge will be to keep the technology current given the state budget situation.

As expressed in the staff survey conducted during May of the last three years, a significant number of respondents indicated confidence that technology resources support the development, maintenance, and enhancement of its programs and services by their positive response to the statement: “The institution determines that technology needs in program and service areas are met.” The significant jump between 2011 and 2012 is likely tied to the progress made as a result of the *Title III Grant*.

Table 43: Technology Needs Met Self-Evaluation Staff Survey

Question 25	2011	2012	2013
The institution determines that technology needs in program and service areas are met.	43.3%	77%	69.3%

[3.7 Data retrieved from Accreditation Self-Evaluation Staff Survey]

Actionable Improvement Plans:

1. Expand the self-service capability of WebAdvisor so that students and employees are able to make better use of WebAdvisor.
2. Evaluate and address the perception as to whether program and services technology needs are being met.

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

Descriptive Summary:

The participatory governance process at LCC, as embodied in the Consultation Council/Strategic Planning Committee, has adopted a planning model that integrates the *Institutional Technology Master Plan* among other master planning documents, into the *Comprehensive Institutional Master Plan*. [3.28 2013-2018 *Institutional Technology Master Plan*; 3.17 2013-2018 *Comprehensive Institutional Master Plan*] One member of the IT staff sits on the Institutional Technology Planning Committee and acts as a liaison between the technology planning committee and the IT department.

Self-Evaluation:

The planning process provides an opportunity to highlight the need to formalize many information technology policies and procedures for consistency and accountability. Data backup procedures are in place for critical data and Backup and Disaster Recovery/Business Continuity plans are being reviewed, modified, and documented.

As expressed in the staff survey conducted during May of the last three years, a significant number of respondents indicated confidence that technology decisions are tied to institutional planning by their response to the statement: “The institution ensures that technology decisions are developed from institutional needs and plans for improvement.”

Table 44: Technology Decision Self-Evaluation Staff Survey

Question 24	2011	2012	2013
The institution ensures that technology decisions are developed from institutional needs and plans for improvement.	68.8%	90.8%	84.9%

[3.7 Data retrieved from Accreditation Self-Evaluation Staff Survey]

Actionable Improvement Plans:

None

III. D. Financial Resources

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

III. D. 1. *“The institution’s mission and goals are the foundation for financial planning.”*

III. D. 1. a. *“Financial planning is integrated with and supports all institutional planning.”*

Descriptive Summary:

LCC has implemented an integrated planning and budget development process initiated by the *Strategic Plan* containing the strategic goals and mission statement. [3.13 *Strategic Plan*; 3.47 *Integrated Planning Process Flowchart*; 3.48 *2014-2015 Institutional Planning and Budget Development Process Handbook*] In this integrated process, the College mission and strategic goals drive the development of the budget.

The College reviews the overall planning and budget development process for effectiveness on a yearly basis each May. [3.48 *2014-2015 Institutional Planning and Budget Development Process Handbook*; 3.50 *2007 Annual Evaluation Results*; 2008 *Annual Evaluation Results*; 2009 *Annual Evaluation Results*; 2010 *Annual Evaluation Results*; 2011 *Annual Evaluation Results*; 2012 *Annual Evaluation Results*; 2013 *Annual Evaluation Results*] Review and revision of the processes, although the responsibility of the Academic Senate, has been jointly conducted by the Academic Senate and the Consultation Council for each of the last several years. [3.12 *Consultation Council minutes*; 3.9 *Academic Senate minutes*]

The College’s identified institutional planning process begins with student learning and administrative unit outcome assessment analysis as part of the IPR and NIPR process. [3.47 *Integrated Planning Process Flowchart*; 3.50 *2012 Instructional Program Review Policy and Procedure Handbook 10th edition*; 3.51 *2012 Non-instructional Program Review Policy and Procedure Handbook 7th edition*] The program reviews set program goals and identify needed financial resources at the unit level of operation. Program recommendations, including recommendations requiring resource allocation, are forwarded on the adopted forms to the appropriate planning committee. The planning committees (Academic Planning, Student Services Planning, Institutional Technology, Facilities Planning, Human Resource Planning) use the information along with other data and campus input, to develop master plans with strategies to meet measurable objectives connected to the adopted strategic goals. The Strategic Planning Committee uses the

master plans along with external scan analysis of data to prioritize institutional strategies; which in turn influence the resource allocation. [3.12 Consultation Council minutes]

Individual unit level budgetary requests are discussed and prioritized at area department meetings. The prioritized budgetary requests are forwarded to the area dean. The collaboration that takes place between the unit levels and the area administrative dean level helps define the resource allocation direction given the objectives of area strategic planning and the finite resources at hand.

The prioritized recommendations of the area administrative dean will then be forwarded to the Consultation Council for institution-wide prioritization. The institutional prioritization level seeks to ensure the congruence of resource allocation to the overall mission and strategic direction of the institution. The Consultation Council's prioritization will then be open for review and discussion among all constituent groups in an Open Forum where appeals can be made for resource allocation reconsideration. The institutional resources allocation list is redistributed to the campus community. The prioritized list with expected expenditure level for the next academic year is forwarded to the Vice-President of Administrative Services for inclusion in the tentative budget. [3.52 2013-2014 Budget Prioritizations Spreadsheets] The tentative budget is forwarded to the President who makes a final recommendation to the Governing Board for adoption.

Self-Evaluation:

The adopted budget development process linked to program review and integrated planning has been used successfully since its adoption in fall 2007 and implementation during the 2008-2009 academic year. The process has been refined each year since. The budget development process has been evaluated and modified annually by the Academic Senate and Consultation Council.

Actionable Improvement Plans:

None

III. D. 1. b. *“Institutional planning reflects realistic assessment of financial resource availability, development of financial resources, partnerships, and expenditure requirements.”*

Descriptive Summary:

The College is fiscally prudent with its resources and is managing its funds aggressively. LCC develops its annual operating budget through a budgeting process to determine the expenditure requirements under the established strategic direction and integrative planning processes. Yearly budget parameters and assumptions are evaluated and communicated to ensure that all constituent groups understand realistic resource availability. [3.12 Consultation Council minutes; 3.48 *2014-2015 Institutional Planning and Budget Development Process Handbook*] The majority of LCC's financial resources come from

state apportionment which is enrollment driven. Each spring apportionment allocation is estimated and expenditures are developed based on collective bargaining negotiations, step and column increases, benefit costs, utility rate increases, staff retirements and vacancies, and other operational needs. The budgeting and planning process ensures broad and effective participation by constituent groups and the planning at the unit level of programs and services. Priorities and recommendations developed in this process serve to guide the College in its decisions and yearly resource allocations.

Self-Evaluation:

The adopted planning and budgeting processes have allowed the College to be proactive rather than reactive. Due to the increased pressure of budget cuts because of the State's fiscal crisis, the District has used the process to effectively project revenues, while using the process to not only look at enhancements, but also plan for budget cuts.

Since 2009-2010, the District has presented a balanced budget to the Governing Board each year for adoption. Through regular meetings of the Governing Board Finance Committee, a commitment has been made to work with the Board in maintaining financial stability. This goal has been successful partially due to the consistency of administration. The current Chief Business Officer has been in his position for the last four years. The administrative continuity has established consistent application of financial policy and budgeting with the Board, Auditors and employees.

The College has actively sought external funding through grants. In 2010-2011 the District received a \$2,000,000 *Strengthening Institutions (Title III) Grant* directed towards improvement of institutional/instructional technology. [3.19 *Strengthening Institutions (Title III) Grant*] In order to further the District's grant seeking potential, a new grant writing team was formed early in fall 2013. The Director of Institutional Effectiveness and the Dean of Student Services, both members of the grant writing team, were sent to grant writing workshops. The grant writing team is a strategy to pursue enhanced fiscal resources to support the instructional agenda as well as upgrade the aging facility infrastructure. The District has applied for and annually received the CTE Perkins IC and CTE Transitions grants, which have greatly benefitted several CTE programs. [3.53 CTE Perkins and CTE Transitions Grants]

Actionable Improvement Plans:

None.

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

Descriptive Summary:

The Governing Board has adopted budget principles, priorities, and guidelines to help ensure the District is operating transparently, guide short-range and long-term budget planning and effectively communicate the financial position of the District to all constituent groups. In the development of the adopted District budget, all current and long-term obligations are identified and resources allocated according to district-wide priorities. The District continues to budget \$162,047.00 annually to fulfill the obligation for repayment identified in the Resolution Agreement between the District and the Chancellor's Office. The obligation ends in the 2017-2018 academic year. [3.54 2007 Resolution Agreement] The District has established a minimum reserve of 15 percent in the unrestricted General Fund to ensure adequate funds to meet any unexpected liabilities and future obligations that may occur. [3.3 BoardDocs-Board Policy 6200-Budget Preparation; 3.10 BoardDocs-Governing Board minutes]

The Business Office regularly provides updates and reviews cash flow projection at Consultation Council and President's Cabinet. [3.12 Consultation Council minutes; 3.10 President's Cabinet minutes] The cash deferrals imposed on the College by the State have forced the College to borrow funds in order to cover operational costs. Participating in the mid-year Tax Revenue Anticipation Notes (TRANS) was required in 2012-2013 year to sustain adequate cash flow when the state used cash deferrals and other sources of funding to reduce actual disbursements of apportionment at a much greater rate. By closely monitoring the actions of the State and spending patterns, the College was able to maintain its commitment to providing services to students as well as meeting its financial obligations.

Long-range planning for items such as scheduled maintenance, computer upgrades and construction projects are reviewed on an annual basis through the program review and integrated planning processes.

Self-Evaluation:

The annual budget planning and development process addresses the on-going obligations of the College and seeks to capture short-range financial plans in addition to ensuring long-term financial priorities are not lost. The District has been able to use one-time funds to support the instructional mission as well as upgrade the aging infrastructure. With enrollments reaching the District Cap, the negative impact of operational budgets has stabilized. Enrollments are the primary funding source of the District and are currently experiencing a downward pressure. The District has identified this trend and is proactively addressing the issues to continue the stabilized enrollment of the last several years. With data analysis, the District was able to recognize where the areas of decline occurred and to put in place plans to adjust and work toward stabilization.

The College has a few long-term liabilities that include debt payments on its residence hall and repayments to the State of California through a *2007 Resolution Agreement* between the District and the State Chancellor's Office. [3.54 *2007 Resolution Agreement*]

Retiree health obligations are expected to have a minimal impact on future debt service requirements and are being met through the annual budget with the stabilized enrollment growth. The LCC Governing Board took action to stop offering retiree health benefits to employees hired after June 30, 1988. Unfunded liabilities to the District have been substantially reduced because of this action. [3.55 2013 Actuarial Study]

Actionable Improvement Plans:

Focus efforts on an enrollment stabilization plan.

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

Descriptive Summary:

The process for institutional planning and budget development is clearly articulated in the *Institutional Planning and Budget Development Process Handbook* published early each fall. [3.48 2014-2015 Institutional Planning and Budget Development Process Handbook] The handbook is distributed each fall with Consultation Council Minutes and published on the website. [3.12 Consultation Council minutes] Decisions regarding financial resource allocation are derived from the collaboration of all constituent groups under the adopted budget planning process. The ability for all constituencies to participate in the budgeting process begins with student learning and administrative unit outcome assessment analysis as part of the program review process and continues to be integrated into each prioritization level throughout the budgeting process.

The budget development process occurs each year when requests from the program reviews and annual updates from the previous May are prioritized first at the unit and then dean level. The Consultation Council/Strategic Planning Committee integrates the prioritized lists from each administrative area into one prioritized list in early spring. As the revenue stream allows the top priorities are included in the tentative budget adopted by the Governing Board in June. Subsequently, adjustments occur prior to the adoption of the final budget by the Governing Board in September. [3.12 Consultation Council minutes-March 18, 2013; 3.52 2013-2014 Budget Prioritizations Spreadsheets; 3.56 2013-2014 Adopted Budget; 3.10 BoardDocs Governing Board minutes-September 10, 2013]

Self-Evaluation:

The College during each of the last seven years has utilized the adopted integrated planning and budget development processes to develop the *Comprehensive Institutional Master Plan* and the proposed budget. The annual evaluation of the planning procedures conducted each May resulted in minor modifications, which were implemented for the subsequent year. Significant numbers of campus staff agree that the process works, produces appropriate plans and is tied to budget development. Only

about half of the respondents to the survey were familiar with the handbook describing the planning process. Although the established budget development process provides for participation by all constituent groups, the perception by a significant number is that they are not included.

Table 45: Planning and Budget Development Self-Evaluation Staff Survey

Questions 8, 11, 12 & 13	2011	2012	2013
The planning process being used works and produces appropriate plans.	61.9%	81.3%	66.2%
I am familiar with the handbook for institutional planning and budget development.	54.7%	59.1%	52.2%
I had an opportunity to participate in the budget development process.	42.8%	43.7%	41.4%
The institutional planning process is tied to the budget development process.	61.9%	67.3%	56.3%

[3.7 Data retrieved from Accreditation Self-Evaluation Staff Survey]

Actionable Improvement Plans:

Revise the survey providing for comments immediately after each question asking respondents to provide suggestions for improvement particularly if they responded in the negative to a question.

III. D. 2. “To assure the financial integrity of the institution and responsible use of financial resources, the internal control structure has appropriate control mechanisms and widely disseminates dependable and timely information for sound financial decision making.”

III. D. 2. a. “Financial documents, including the budget and independent audit, have a high degree of credibility and accuracy, and reflect appropriate allocation and use of financial resources to support student learning programs and services.

Descriptive Summary:

Datatel has been fully implemented since 2007. Datatel provides improved timely financial information, allowing department managers to monitor their budgets online. Fiscal controls are in place requiring appropriate account numbers and sufficient funds before invoices can be processed. Proposed requisitions are electronically checked against actual balances to prevent overspending. The Comptroller approves all budget transfers and expenditure corrections. All expenditures, including purchasing of supplies, hiring of personnel, capital outlay and contract services, must be approved through a sequence of authorized administrative signatures. Review of appropriateness is achieved at each level.

An external independent auditor conducts an annual audit of the financial statements. [3.57 Annual Financial Audits] The audit is conducted in accordance with generally accepted accounting principles, which require that the auditors obtain reasonable assurance that the financial statements are free of material misstatement and present fairly, in all material respects, the financial position of the District. The audit includes examining evidence supporting the accuracy of the College's financial statements and accounting practices. The College sent out a Request for Proposal (RFP) in March 2012 to a list of qualified Certified Public Accountant (CPA) firms. A three-year contract was awarded for the 2011-2012 Audit year with a two-year option extension. [3.10 BoardDocs-Governing Board minutes]

Self-Evaluation:

The financial reports of the College accurately reflect fiscal activities. The 2012-2013 external auditors gave the College's audit an unqualified opinion noting no significant instances of material noncompliance.

Actionable Improvement Plans:

None

III. D. 2. b. Institutional responses to external audit findings are comprehensive, timely, and communicated appropriately.”

Descriptive Summary:

The budget and fiscal conditions are communicated to the Governing Board on a regular basis. [3.10 BoardDocs–Governing Board minutes] Audit results are presented to the Governing Board by the auditors each year at the end of the audit [3.57 Annual Financial Audits] The independent auditors give a presentation to the Governing Board where they review their recommendations and suggest any actions that may need to be taken. Recommendations are addressed upon receipt of the Audit Report in collaboration with appropriate departmental managers and staff. The *Comprehensive Annual Financial Report* is made available to all institutional stakeholders for review annually. [3.58 2012-2013 *Comprehensive Annual Financial Report*] The previous two Audit Reports revealed no major non-compliance issues to state or federal laws.

Self-Evaluation:

Information to support financial planning and management is provided at Consultation Council, President's Cabinet, and Governing Board meetings. Ongoing fiscal training for all constituent groups, managers, administrators and Governing Board members is needed to increase fiscal awareness and keep individuals informed on fiscal issues.

Actionable Improvement Plans:

Provide additional fiscal training to constituent groups, managers, administrators and Governing Board members to increase the District's fiscal awareness.

III. D. 2. c. *“Appropriate financial information is provided throughout the institution in a timely manner.”*

Descriptive Summary:

Datatel was implemented in 2007. Since that time, District employees and financial staff have worked to improve the data input into the system, so that better financial information can be provided in a timely manner.

Monthly financial reports are compiled from the Datatel system and submitted to the Governing Board on a current monthly basis for acceptance. The Governing Board also receives a detailed Warrant Register for their approval. The information presented is made public for all institutional stakeholders to review. [3.10 BoardDocs-Governing Board minutes; 3.12 Consultation Council minutes]

Additional information is provided throughout the fiscal year from various other groups that help frame the fiscal status of the District. This information comes from the Chancellor's Office, Legislative Analyst's Office and the Community College League. This data is extremely important to the fiscal cycle of the District.

Self-Evaluation:

Ongoing financial information is made available on a monthly basis as well as updates to the constituent groups when the Chancellor's Office or other outside agencies provide items of interest that might affect the fiscal operations of the District.

Actionable Improvement Plans:

None

III. D. 2. d. *“All financial resources, including short and long term debt instruments (such as bonds and Certificates of Participation), auxiliary activities, fund-raising efforts, and grants are used with integrity in a manner consistent with the intended purpose of the funding source.”*

Descriptive Summary:

The Lassen Community College (LCC) Foundation has been active for the last nine years to directly support the institution by providing scholarships to local area students to attend LCC. Full-time equivalent student (FTES) generation has been a major problem with LCC due mostly to the isolation of the area. The Foundation issuance of these local

scholarships helps mitigate the problem of area isolation. [3.59 LCC Foundation minutes; 3.60 2013 Foundation Scholarship Recipients]

All financial resources received by the College are intended to help students achieve measurable SLOs, including those that are institutional and those that are specific to individual academic programs.

The responsibility for coordination, administration, and compliance for grants, auxiliary activities, and categorically funded programs is overseen by program managers with the assistance of the Vice-Presidents of Academic and Administrative Services.

As a function of the annual audit, the auditors disclose any reportable conditions, material weaknesses, and instances of non-compliance with program requirements. [3.57 Annual Financial Audits]

Self-Evaluation:

The College utilizes various mechanisms to provide oversight of the use of financial resources helping to ensure that those financial resources are used with integrity. Checks and balances are in place to ensure that funds are both raised and allocated appropriately. There have been no negative findings recently by the external auditors. The College only applies for grants consistent with its core mission and goals. Any grants received are utilized to enhance the success of the institution and align with long- and short-term priorities. The Vice-President of Administrative Services assures that acceptance of grants does not negatively impact the institution financially.

Actionable Improvement Plans:

None

III. D. 2. e. “The institution’s internal control systems are evaluated and assessed for validity and effectiveness and the results of this assessment are used for improvement.”

Descriptive Summary:

External auditors evaluate the internal control systems of the College every year. Audit findings contained in the management comment section provide the College with an external view of possible additional controls to put in place. [3.57 Annual Financial Audits] The College evaluates the audit findings and makes every effort to implement recommendations. NIPRs for each area provide an additional opportunity to further analyze internal controls and seek areas for improvement. [3.37 Sample Complete Program Reviews and Executive Summaries on LCC website]

Self-Evaluation:

The clean audits received by the College demonstrate the integrity of its financial management practices.

Actionable Improvement Plans:

None

III. D. 3. The institution has policies and procedures to ensure sound financial practices and financial stability.

III. D. 3. a. “The institution has sufficient cash flow and reserves to maintain stability, strategies for appropriate risk management, and develops contingency plans to meet financial emergencies and unforeseen occurrences.”

Descriptive Summary:

Strong fiscal management and planning have been necessary to weather the State’s fiscal crisis. The District currently maintains an unrestricted reserve of 15 percent. Short-term borrowing has been a necessity due to cash flow issues created at the State level. Districts are being asked to operate on reserves and short-term borrowing due to large deferrals and State budget shortfalls.

The College participates in several joint powers agreements for insurance coverage and risk management. The Northern California Community Colleges School Innovations Association (SIA) provides property and liability insurance as well as workers compensation coverage. The cash deferrals imposed on the College by the State have forced the College to borrow funds in order to cover operational costs. The College has borrowed through Tax Revenue Anticipation Notes (TRANs).

Self-Evaluation:

The College has maintained sufficient reserves and borrowing resources to mitigate the adverse impact of a significant decline in timing of payments and cash flow from the State. Due to the interest paid on short-term borrowing, the State’s cash flow issues have cost individual districts. With the passage of Prop 30 deferrals have been reduced but not yet eliminated. Constant review and short-term borrowing will continue to be warranted.

Actionable Improvement Plans:

None

III. D. 3. b. “The institution practices effective oversight of finances, including management of financial aid, grants, externally funded programs, contractual relationships, auxiliary organizations or foundations, and institutional investments and assets.”

Descriptive Summary:

Internal policies and procedures are in place to maintain comprehensive financial records of all transactions. The Vice-President of Administrative Services has primary responsibility to manage and control the financial resources of the College. Each department manager is responsible for the integrity of the financial transactions for their areas of responsibility.

Department managers have computer access to financial information on the Datatel system and can run reports for their areas of responsibility. They also have online approval capability to accept or deny all purchase requisitions for their areas. All accounts are monitored through monthly financial reports and managers are held responsible for their areas of responsibility. [3.61 Datatel]

As required by law, the College deposits all of its revenues with the County Treasurer who invests the funds conservatively in accordance with the County’s investment policy.

Financial aid enables economically deprived students to achieve their educational goals. The responsibility of financial aid is under the supervision of the Vice-President of Administrative Services and day-to-day supervision is delegated to the Director of Financial Aid. External auditors perform an annual audit of the financial aid programs. In addition, the California Student Aid Commission for Fiscal Management of State Grants and Loan Programs performs an audit every four years. These audits indicate no instances of material non-compliance. [3.57 Annual Financial Audits]

All grants and categorically funded programs are managed by program directors in accordance with specific guidelines. External audits confirm that the College complies with all funding requirements.

The LCC Foundation is a non-profit organization that is a separate entity from the College. The College President and Foundation Board members are responsible for approving all of the foundation’s activities to ensure that they are operating in compliance with the pertinent laws and regulations. Auxiliary programs follow the same process for approval of expenditures requiring the Vice-President of Administrative Services to be the final approver.

Self-Evaluation:

The College has multiple levels of oversight over expenditures. The mechanisms presently in place in the Datatel system are working effectively.

Actionable Improvement Plans:

None

III. D. 3. c. “The institution plans for and allocates appropriate resources for the payment of liabilities and future obligations, including Other Post-Employment Benefits (OPEB), compensated absences, and other employee related obligations.”

Descriptive Summary:

The College has limited long-term health benefit liabilities. Retiree health benefits are manageable and are funded annually as part of the budget. The College sets aside funds in the annual budget to cover attorney fees associated with current litigation matters. In order to ensure both short- and long-term solvency, the College issues Tax Revenue Anticipation Notes (TRANS). The College cash flow is tracked regularly and resources are set aside to repay the obligations appropriately.

Self-Evaluation:

In planning for the year’s upcoming budget projections, the College takes into account and plans accordingly for obligations such as retiree benefits, vacation liabilities and step increases.

Actionable Improvement Plans:

None

III. D. 3. d. “The actuarial plan to determine Other Post-Employment Benefits (OPEB) is prepared, as required by appropriate accounting standards.”

Descriptive Summary:

The District is required to obtain actuarial valuation of its retiree health insurance program under Government Accounting Standards Board (GASB) 43 and 45 not less frequently than once every three years. To accomplish these objectives the District performed the actuarial valuation as of September 1, 2012. The amount of the actuarial liability for District paid retiree benefits is \$798,744. This represents the present value of all benefits to be paid by the District for its current and future retirees. [3.55 2013 Actuarial Study]

Self-Evaluation:

Currently, retiree health benefits are manageable and are funded annually as part of the budget.

Actionable Improvement Plans:

None

III. D. 3. e. “On an annual basis, the institution assesses and allocates funds for repayment of any locally incurred debt instruments that can affect the financial condition of the institution.”

Descriptive Summary:

Due to the state-imposed cash deferrals, the College was forced to purchase two Tax Revenue Anticipation Notes (TRANs) in 2012-1013. A similar situation is anticipated for the 2013-2014 academic year. The College cash flow is tracked regularly and resources are set aside to repay the obligations appropriately. The District has a Dormitory Bond that is paid annually. The amount of debt remaining is \$179,000. The annual payment of \$31,800 is covered through Residential Hall revenue income. [3.57 Annual Financial Audits]

Self-Evaluation:

The College has effectively monitored its cash flow and repaid its financial obligations in a timely manner.

Actionable Improvement Plans:

None

III. D. 3. f. “Institutions monitor and manage student loan default rates, revenue streams, and assets to ensure compliance with federal requirements.”

Descriptive Summary:

The latest official three-year Cohort Default Rate determined by the U.S. Department of Education for borrowers at LCC was 37.7 percent for the 2009 fiscal year. This would be the second year since the implementation of the three-year Cohort Default Rate measure that the College has exceeded the threshold of 30 percent. As a small rural community college serving a unique population the College has historically had low participation in the Federal Stafford Loan Programs. The College anticipates filing a Low Participation Rate Index Appeal in order to maintain eligibility. The loan participation rate for the first year available to appeal was calculated at 8.7 percent, which would result in an acceptable Low Participation Rate Index Appeal. The Financial Aid Office reviews and revises aspects of the Federal Stafford Loan Entrance Interview annually to help the student population be informed and borrow wisely and has expanded its use of professional judgment to identify applicants at risk of defaulting.



The Financial Aid Office is audited annually for A-133 and periodically audited by external entities. [3.57 Annual Financial Audits]

Self-Evaluation:

There have been no significant audit findings during the review based on the OMB Circular A-133 Single Audit Act." A review conducted by Educational Credit Management Corporation (ECMC) on behalf of Edfund resulted in minor findings that have since been corrected through process revision and training. The Director of Financial Aid works to ensure that the College is compliant in processing federal and state student assistance.

Actionable Improvement Plans:

None

III. D. 3. g. "Contractual agreements with external entities are consistent with the goals of the institution, governed by institutional policies, and contain appropriate provisions to maintain the integrity of the institution."

Descriptive Summary:

The Superintendent/President, Executive Vice-President of Academic Services and the Vice-President of Administrative Services have authority to represent the College and execute contracts arising from the purchasing function. Policies and procedures define bidding and expenditure limits of purchasing and contractual activities. The College has developed standard contracts that incorporate clauses insuring control over the term and outcome of executed contracts.

All contracts are in place to assist the College with meeting its mission and strategic goals. The College has several types of contractual agreements:

1. Affiliated agreements, which are used to establish educational experiences between the College and other entities [i.e. CalFire, Forest Service, Federal Correctional Institution- Herlong, Farm Worker Institute Of Education And Leadership Development (FIELD)] [3.62 Instructional Contracts]
2. Maintenance agreements, including computer software, computer hardware and copy machines.
3. Construction services, which are contracts related to providing the College with technology installation and remodeling on the property.
4. Leasing agreements, such as those for photocopiers.
5. Consulting services, such as those for legal and auditing services.



College employees work with the vendors in advance to assure that all terms of the contract are fulfilled. Contracts are forwarded to the Business Office to be reviewed for acceptable standards and quality, as well as consistency with the College's mission and strategic goals. The contracts are presented to the Governing Board for approval. Once approved the contracts are signed by the Superintendent/President or the Vice-President of Administrative Services and fully executed.

Self-Evaluation:

All contracts are reviewed by the administration for appropriateness and to ensure that the integrity of the institution is maintained. The Governing Board must approve all contracts. All contracts that fall over the materiality limit are also reviewed during the annual audit. No significant audit issues have been observed.

Actionable Improvement Plans:

None

III. D. 3. h. "The institution regularly evaluates its financial management practices and the results of the evaluation are used to improve internal control structures."

Descriptive Summary:

Annual audits help to point out areas of financial management that need to be addressed. [3.57 Annual Financial Audits] The District looks at each recommendation and implements processes and procedures to insure integrity. NIPRs are also used to help identify goals and objectives to further evaluate processes and procedures.

In terms of operational procedures related to the financial management of the College, the Vice-President of Administrative Services and the Business Services Office regularly evaluate the effectiveness of these processes and seeks to improve financial procedures to ensure that the College is optimizing the allocation and utilization of College resources.

LCC must undergo an annual financial and compliance audit in accordance with Education Code 84040. All funds of the College are included in the audit engagement. The external auditors review the fairness of the financial statement presentation, internal controls, financial practices, and compliance with laws, regulations, and College policies. The Governing Board reviews the audit report at a public meeting and copies of the audit are made available to the public and various local, state, and federal agencies. [3.10 Governing Board minutes]

Self-Evaluation:

Changes continue to be made to improve processes related to financial operations of the College. Procurement/accounts payable/accounts receivable practices and human resources/payroll practices have been significantly changed and improved.

Actionable Improvement Plans:

None

III. D. 4. “Financial resource planning is integrated with institutional planning. The institution systematically assesses the effective use of financial resources and uses the results of the evaluation as the basis for improvement of the institution.”

Descriptive Summary:

The institution’s primary evaluation of programs and services occurs during program reviews. These program reviews systematically assess their unit level financial resource needs and evaluate the appropriateness of budget enhancements under the strategic goals and objectives set in institutional plans. The program reviews are integrated into the budget planning process for further evaluation and used as a basis for program and service improvement.

The procedures for IPRs and NIPRs, as found in the respective handbooks, were last evaluated and revised during fall 2012. [3.50 2012 Instructional Program Review Policy and Procedure Handbook 10th edition; 3.51 2012 Non-Instructional Program Review Policy and Procedure Handbook 7th edition] The comprehensive NIPR cycle is once every four years and the comprehensive IPR cycle for academic programs is four years while the cycle for CTE program reviews is every two years. In addition to the comprehensive review every two or four years, all programs submit program review annual updates. The Annual Updates provide the mechanism for making budget allocation requests during the years between the comprehensive program reviews. The clear alignment between program review and resource allocation is documented in the adopted “*Institutional Planning and Budget Development Process Handbook.*” [3.48 2014-2015 Institutional Planning and Budget Development Process Handbook]

The *Action Plan Evaluation Matrix* is utilized to document the institutional progress on implementation of adopted strategies including those requiring financial resources. The link between strategies and institutional effectiveness was strengthened in the 2013-2014 academic year through the addition to the matrix of a column documenting outcomes derived from each strategy. [3.63 2013-2014 Action Plan Evaluation Matrix–October Status Update]

In order to improve the systematic assessment of the effective use of financial resources, the College modified the Program Review Annual Update Template to include analysis



of the program outcomes resulting from the budget allocation(s) during the previous cycle. The Program Review Annual Update will be entered into WEAVE effective the 2013-2014 academic year. [3.64 Program Review Annual Update Template; 3.39 WEAVE]

Self-Evaluation:

Financial resource planning is integrated with institutional planning. Decisions relating to budget enhancements are based on recommendations derived from program reviews. Documentation of assessment of the financial decisions effectiveness is not as consistently collected and published as the implementation of the budget development process. Modifications to the *Action Plan Evaluation Matrix* and Program review Annual Update are expected to close the cycle between budget allocation and institutional effectiveness.

Actionable Improvement Plans:

Strengthen the mechanisms for analyzing and documenting the impact of financial decisions on institutional effectiveness.