

The CTC conducted the following activities: created and distributed a computing needs form to be completed by all disciplines, programs, and services at the college; developed and conducted a technology and training web-based survey to be administered to college employees; reviewed and analyzed a survey which is administered each semester to the college's telecourse student population; designed and administered a random population student survey and conducted student focus groups. Each activity was designed to gather data related to one of the four action items. The overarching reason for the design of each method was to determine the difference between the current state and the desired state. The following strategic priorities were developed and submitted to the Strategic Planning Committee by the CTC.

#### **Strategic Priority One**

Upgrade technology and training based on program & support needs. The CTC recommended that the technology plan be updated annually using data from a technology needs form similar to the one used to collect discipline computer needs information. Rapid needs (requirements) assessment techniques should be used to assess technology-training needs for the campus and training should be offered on a regular basis.

#### **Strategic Priority Two**

Develop innovative (weekend/evening, distance, online, telecourse, etc.) education programs. The CTC recommended that the campus expand its distance education course offerings to fit the needs of working adults and offer appropriate degrees and certificates.

#### **Strategic Priority Three**

Improve student access to technology. The CTC recommended that the campus upgrade old slow computers. Provide removable media drives with larger storage capacity such as a zip drive. Provide a file server for student files that can be accessed remotely from all student computers on campus and from home. Increase lab hours. Produce a written and web based guide to computer labs. Create compatibility procedure for software versions. Add scanners and color printers to labs.

#### **Strategic Priority Four**

Provide web based online admissions, registration, and access to student information, academic programs and services. The CTC recommended that the campus provide admissions, registration, and transcripts via the Internet; adopt a course management tool that would facilitate student and faculty use of the Internet; and provide presentation stations with Internet access to all EVC classrooms

In fall 2002, the college, through the CTC, began technology plan development. Two consultants were hired to facilitate the process. In spring, 2003, faculty, student and staff completed technology surveys and the campus infrastructure assessment was conducted. The scheduled completion of the technology plan was October 2003.

#### **Planning Agenda**

Implement Technology Plan

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

#### **Descriptive Summary**

The San Jose / Evergreen Community College District has long been solvent and fiscally well-managed. It maintains this condition by centralizing all offices and functions possible in the District Office to avoid duplication. Colleges have little say in how District resources are distributed, nor is there much dialogue in terms of ability to fulfill the mission of the college or realize meaningful student learning outcomes. Each budget category at each College is funded

each year by the District Office. The managers of each budget category are given the freedom to manage the funds in that category. The District bills are paid on time, salaries are paid on time, and large reserves are maintained in case of hard times or emergencies. Everyone in the district, including the Board of Trustees, feels secure, but the security comes at the expense of no direct connection of resources to educational master planning by the people who do the work of education. Some interesting figures and concepts are as follows:

- For fiscal year 2002-2003, out of a District budget of \$65 million, EVC received \$23, 510, 360 – which was completely allocated, having no designated reserve fund.
- Of the money allocated to the colleges (EVC and SJCC), share is determined by FTES earned by each college.
- In normal years, the College President is allowed to shift 2% of the College budget in order to meet unexpected changes/needs.
- In the past five years, EVC has received growth money once, so typically no money is available for educational improvements (or adjustments for inflation) with EVC's budget based on past amounts.
- Due to conservative spending, the District has adequate reserves, but the College has none.

### **Self Evaluation**

Everyone likes to have reserves. Money in the bank creates a good feeling of security, especially when we are in a period of shortfall and insecurity like we are today. College employees liken working in our District to receiving an allowance from a parent. But like children, most employees are seldom privy to “the big picture” or participate in any of the big decisions. Few people have any buy-in in the district process of resource distribution. There is also a strong sense of them and us as a result of the lack of inclusiveness in the process. The College would like to be involved in a meaningful way in the entire District resource allocation process, not just permitted to spend its allowance.

### **Planning Agenda**

Develop and require a new, inclusive District resource distribution process.

#### **(III, D) 1. The institution relies upon its mission and goals as the foundation for financial planning.**

##### **(III, D, 1) a. Financial planning is integrated with and supports all institutional planning.**

### **Descriptive Summary**

The Evergreen Valley College budget is developed each year based primarily upon priorities established by the Board of Trustees (Exhibit III.D-1). During each fall semester, the Board develops priorities for the next fiscal year, and the following fall, a report, based upon the implementation of those priorities, is presented to the Board by the Vice Chancellor of Administrative Services.

Specific college goals, including those for student services, are reviewed annually by the President's Council, the College Council and the Strategic Planning Committee; in theory, these goals would then direct the distribution of resources instead of the more generalized mission statement.

The College establishes priorities among competing needs, but non-allocated funding is unpredictable and seldom available, making it difficult to plan future expenditures.

### **Self Evaluation**

Because non-allocated funding is too unpredictable and generally unavailable at the College level, no medium or long-term financial planning is feasible. The College budget seems to be based more upon historical practice than on the Strategic Plan. Institutional plans exist, but are not clearly linked to financial plans; college resource allocation decisions are made annually after the amount of non-allocated funding has been determined by the District Office. Other than following Board priorities, the college is essentially unable to participate in the process of distributing resources other than using

allocated funds. Neither the college mission nor the strategic planning initiatives are currently considerations in how District resources are allocated.

### **Planning Agenda**

Seek to gain a college voice in how total district resources are allocated

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

### **Descriptive Summary**

Funding priorities are tied to strategic planning goals, as well as to Board priorities; one of the primary goals of strategic planning is academic excellence, which focuses on student learning outcomes. There are essentially no new resources available to develop either strategic planning goals or Board priorities. Since the implementation of the Datatel system, budget/expense information has become more readily available. All Deans and campus business office staff have access to budget/expense information via Datatel, but personnel/payroll expense information is only available to a few staff members via Excel

### **Self Evaluation**

Concerns exist relating to access to personnel/payroll expense information for current expenses and budget planning. There has been no real, operational campus budget committee because there have been essentially no non-allocated funds available to the campus. That has changed during spring semester 2004 when a new Campus Budget Committee was reformed (Exhibit III.D.1.b-2).

Budget categories are assigned amounts by the District Office and managers of the budget categories on the campus are allowed to spend the money. Any funds other than those assigned to categories remain under control by the District Office. With the current state budget crisis, there is even less room for re-allocation of funds for new projects. The Office of

Development has not brought in as much grant money/donations as originally hoped; some faculty have gotten some sizable grants on their own.

### **Planning Agenda**

Research additional funding: federal and state grants, service reimbursement partnerships, etc. Advocate for increased access to personnel/payroll expense information for budget planning.

**(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 College President participates in the docket meetings of the Board.

The Evergreen Valley College portion of the District budget is currently based on a three-year rolling average of its part of the FTES generation, and is adjusted each year. From the 2002-03 allocation of 48.4% for EVC (100 equals the portion of district funds allocated to the two colleges, SJCC and EVC), it will be adjusted to 49% for 2003-04.

At the District level, each year as the budget is discussed and prepared by senior administrators; it is framed in the reference of longer-term impact. The Vice Chancellor reminds the Board and staff that no year stands alone, and that strategies are evaluated to maintain the Full Time Equivalent Student (FTES) base and to achieve growth. New permanent positions and programs are brought into consideration only after long-term considerations as to their viability have been determined.

### **Self Evaluation**

At the College level, very little funding is non-allocated, and long-term fiscal planning is very difficult due to fluctuations in these non-allocated resources. There is long-term strategic planning, however, involving the allowable-but-minimal resource allocation. Most budget

decisions, including long-term planning, are made by the Board and the Chancellor / Vice Chancellor rather than by the College and its staff. The system is hierarchical, with the District making most budget decisions; it needs to include the colleges as a part of the whole. It is hoped that the newly created District Budget Committee will serve this need (Exhibit III.D.1.c-3).

### **Planning Agenda**

Encourage the Board of Trustees to involve College participation in Resource Allocation decisions.

**(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**

At the District level, the Vice Chancellor presents the big-picture view of the budget to the College each spring; the budget is then reviewed and approved at open Board meetings and copies are placed in each library, as well as distributed to key administrators, faculty and staff leadership (Exhibit III.D.1.d-4).

At the College level, prior to the present system, when some non-allocated funds were available, the Campus Budget Committee heard requests and recommended to the President how the money should be allocated

### **Self Evaluation**

More in-depth budget analysis, including productivity of College programs, is needed.

### **Planning Agenda**

- Hire a permanent College Director of Finance
- District help the college make sound financial decisions by more widely disseminating dependable and timely financial information

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

### **Descriptive Summary**

The College's funds, as shown in the budget, are allocated by the District Office in a manner that attempts to achieve the College's stated goals for student learning. Audit statements continue to give the institution an "unqualified" opinion, the most desirable rating (Exhibit III.D.2.a-5). The District distributes any auditor's recommendations to the affected departments for review and appropriate action, and then follows up with memos to the auditors and Board outlining each recommendation and the steps that were taken regarding the recommendation.

### **Self Evaluation**

Financial documents appear to reflect appropriate allocation and use of limited financial resources.

### **Planning Agenda**

No recommendations

**(III, D, 2) b. Appropriate financial information is provided throughout the institution.**

### **Descriptive Summary**

Each Dean and manager receives a copy of his or her budget. The entire College budget is available at several locations on campus (Exhibit III.D.2.b-6). Information regarding fiscal conditions, financial planning and audit results are available from Board minutes, District and College e-mails, etc. The College President has consistently informed the College of developments in recent State budget crisis and how it affects our current College budget.

**Self Evaluation**

This information is sufficient in content and timing to support the financial management of resources as they are allocated to the college from the District Office.

**Planning Agenda**

No recommendations

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

**Descriptive Summary**

State and local funds to the District are allocated to the College through the district budgeting process. Due to the District's reserves, the College has no current cash flow problems. The ending balances of unrestricted funds (the District's reserves) for the immediate past three years are 1999-2000 = \$6,596,625; 2000-2001 = \$6,783,513; and 2002-2003 = \$5,973,034 which have been more than sufficient for emergencies. The reserves are sufficient to handle financial emergencies: each year an actuarial review is done to evaluate resources, and the District typically funds any exposure to at least the 80% confidence level.

**Self Evaluation**

Our District/College has sufficient reserves and planning strategies to meet financial emergencies and unforeseen circumstances. The institution has sufficient insurance to cover its needs in a Joint Powers Authority (JPA) with other community college districts for workers compensation insurance and another such JPA for property and liability insurance. For 2003-2004, it is anticipated that the reserves will likely be negatively impacted by the state fiscal crisis.

**Planning Agenda**

- Monitor the impact of the current state budget crisis on our College and its student learning outcomes.
- Participate in the District/College budget-making process to minimize adverse effects.

**(III, D, 2) d. 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**

Although most categories of expenditure are controlled by the District Office, the funds allocated to the college budget categories are controlled by the appropriate manager of each category. For example, each Dean is responsible for his or her division's budget. Within the division, the Dean can go through each discipline's budget with faculty & staff members to determine if there is a shortfall or excess, and the Dean can shift the allocated funds as needed within the discipline and/or division. The Datatel system makes it possible to develop budgets based on real-time financial analysis. No significant negative audit findings have been reported.

**Self Evaluation**

Allocations are now more formally localized within defined categories with each manager able to control the funds assigned to his or her position. On the local level, the system works well. Again, the system allows little participation by the college in how district resources are to be allocated, but once allocated, each manager has control over his or her budget area.

**Planning Agenda**

- Even when not funded, annual resource priorities should be developed by the Strategic Planning Committee with amounts required to fund each priority listed
- Managers to include budget information and planning as part of their meetings so employees are well-informed and can participate in the budget process as appropriate

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

**Descriptive Summary**

The District utilizes the Federal Single Audit Act, using contracted auditors, to satisfy Federal and State requirements. Special programs, Federal, State, and other grant-funded programs that are not part of the college's State allocations, are periodically audited by the granting agency.

**Self Evaluation**

The organization of the Office of Development needs to be re-evaluated for its effectiveness, and to have assurance that future grants meet the strategic plans of the College.

**Planning Agenda**

Complete a summary evaluation of the Office of Development

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

**Descriptive Summary**

The District Office and Vice Chancellor of Administrative Services provide contractual oversight of external entities. The College enters into independent contracts for services ranging from event catering to learning-related workshops. These College contracts are consistent with the College's mission and goals.

**Self Evaluation**

The College community is concerned that the amount of District resources used for contracts may negatively impact the College's allocation of District resources.

Recently, District-wide budget reductions included some reductions in contracts.

**Planning Agenda**

- District should allow the College to participate in the decision-making process for any external contract for educational programs for which the College offers instructional credit, e.g. programs of the Institute for Business Performance.
- Develop a formula by which the College is compensated for services it supplies for District contracts for use of its facilities, staff and other services.

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

**Descriptive Summary**

The District/College regularly evaluates its financial management processes, and has an external audit that provides feedback to improve any financial processes. In addition, there is an annual fiscal review process as well as the review process conducted by each manager on an on-going basis.

**Self Evaluation**

Three years ago, the college began the development of a strategic plan by which it could be guided in all phases of planning (Exhibit III.D.2.g-7). Some fiscal planning is done on the division level.

**Planning Agenda**

Develop new campus-focus meetings that include a discussion of fiscal planning.

**(III, D) 3. The institution systematically assesses the effective use of financial resources and uses the results of the evaluation as the basis for improvement.**

**Descriptive Summary**

The college's Strategic Plan provides direction for the effective use of any new financial resources. Previous campus evaluations provide input as a basis for planning and improvement.

**Self Evaluation**

Although difficult during the current state budget crisis, our campus makes a constant effort to stay within the guidelines and goals of our strategic plan. However, it is unclear what measurements are used on a systematic, college-wide basis to determine effective use of our financial resources. Therefore, we recommend a formalized, systematic, College-wide process to measure the effective use of financial resources be developed as part of our strategic planning.

**Planning Agenda**

Develop a formalized, systematic College-wide process to measure the effective use of financial resources.

**Summary of Survey Information** (Exhibit III.D.3-8)

**Student Survey:** of 278 students surveyed, 268 answered item #23, "Campus budget decisions address student concerns". Although 14.5% had "No opinion," of those with an opinion, 70% were positive and only 30% negative.

**Staff Survey:** of 133 respondents (50% full-time faculty, 8% adjunct, 29% classified, and 14% administrators) the results were:

Item #21 "Institutional guidelines and processes for financial planning and budget development are clearly defined and followed."  
17% No opinion; remaining respondents, 46% positive, and 54% negative.

Item #22 "Financial planning is linked to college strategic planning and supports institutional goals."  
24% No opinion; remaining respondents, 54% positive and 46% negative

Item #23 "Administrators, faculty and support staff have appropriate opportunities to participate in, and influence the development of, college financial plans and budgets."  
11% No opinion; remaining respondents, 51% positive and 49% negative

Item #24 "The financial management system creates appropriate control mechanisms and provides dependable and timely information for sound financial decision-making."  
21% No opinion; remaining respondents, 37% positive and 63% negative

The first three (#21, 22, 23) are fairly close, indicating to the Team that there is no unity of opinion. The last one (#24) was decidedly negative, but the Team partly blames the item, since it had two parts and could have been confusing. Regardless of that, there does appear to be a sizable number of staff members who feel they don't get enough budget information.

**Exhibits:**

- III.A.1.a-1 Academic Equivalency Policy
- III.A.1.b-2 Performance Evaluation Forms
- III.A.1.b-3 Mentor Program for Adjunct Faculty members
- III.A.1.d-4 The Evergreen President's Newsletter - Code of Ethics
- III.A.3-5 Collaborative Decision Making Handbook
- III.A.3-6 Director of Diversity
- III.A.4.b-7 HR report: New hires, turnover, employee demographics
- III.A.4.c-8 Discrimination and Harassment Policy
- III.A.5-9 PRC - Forms
- III.A.5.a-10 SDC: Forms
- III.A.5.b-11 TLC: evaluation from event attendees
  
- III.B-1 Facilities Master Plan
- III.B-2 Environmental Impact Report
- III.B-3 Educational Master Plan
- III.B-4 Facilities Lighting & Environmental Articles
- III.B-5 Building conditions review & reports
- III.B-6 School building & learning articles
- III.B-7 2000 Report
- III.B.1-8 Student & Faculty-Staff Survey
  
- III.C.1.a-1 Collaborative Decision Making Handbook
- III.C.1.c-2 Technology Request Form
- III.C.2-3 Technology Master Plan
  
- III.D-1 Board Priorities
- III.D.1.b-2 Campus Budget Committee formed
- III.D.1.c-3 District Board Budget Committee
- III.D.1.d-4 District Board Budget Committee Review/Agenda
- III.D.2.a-5 Budget Audit Report
- III.D.2.b-6 Full Budget report
- III.D.2.g-7 All Strategic Planning Reports
- III.D.3-8 Accreditation Self Study - Student/Faculty Survey Spring 2002