

For III.A: We are missing numerous documents still, and we will be revising this section as it circulates. Evidence numeration has not yet been completed. We will be updating this section.

Standard III: Resources

The institution effectively uses its human, physical, technology, and financial resources to achieve its mission and to improve academic quality and institutional effectiveness.

Accredited colleges in multi-college systems may be organized so that responsibility for resources, allocation of resources, and planning rests with the district/system. In such cases, the district/system is responsible for meeting the Standards, and an evaluation of its performance is reflected in the accredited status of the institution(s).

A. Human Resources

1. The institution assures the integrity and quality of its programs and services by employing administrators, faculty and staff who are qualified by appropriate education, training, and experience to provide and support these programs and services. Criteria, qualifications, and procedures for selection of personnel are clearly and publicly stated and address the needs of the institution in serving its student population. Job descriptions are directly related to institutional mission and goals and accurately reflect position duties, responsibilities, and authority.

Evidence of Meeting the Standard

- [III.A.1-1](#) CCCCC Minimum Qualifications Handbook
- [III.A.1-2](#) Foreign degree statement from job description
- [III.A.1-3](#) Human resources organizational chart [III.A.1-01](#)
- [III.A.1-4](#) Job application example
- [III.A.1-5](#) Job posting websites sample [III.A.1-12](#)
- [III.A.1-6](#) Position review process/schedule
- [III.A.1-7](#) Reference checking guide [III.A.1-30](#)
- [III.A.1-8](#) Salary Schedules
- [III.A.1-9](#) Sample application ranking form [III.A.1-28](#)
- [III.A.1-10](#) Sample application ranking form [III.A.1-35](#)
- [III.A.1-11](#) Sample board report – approval of personnel items [III.A.1-41](#)
- [III.A.1-12](#) Sample interview questions with key response elements [III.A.1-29](#)
- [III.A.1-13](#) Sample Job Description: Counselor
- [III.A.1-14](#) Sample Position Description: Office Assistant II (Classified)
- [III.A.1-15](#) Sample Position Description: Vice Chancellor of Educational Services and Planning
- [III.A.1-16](#) Screening Committee Confidentiality Agreement
- [III.A.1-17](#) SMCCCD Board of Trustees, Board Policy 3.15 Employment Requirements
- [III.A.1-18](#) SMCCCD Board of Trustees, Administrative Procedure 3.15.3, Faculty Hiring
- [III.A.1-19](#) SMCCCD Board of Trustees, Board Policy 2.10, Selection Procedures
- [III.A.1-20](#) SMCCCD Board of Trustees, Board Policy 4.15, Employment Requirements (Classified Service members)
- [III.A.1-21](#) SMCCCD Board of Trustees, Board Policy 4.25, Employees Not Members of the Classified Service
- [III.A.1-22](#) SMCCCD Board of Trustees, Board Policy 5.10, Managers: Employment and Reassignment
- [III.A.1-23](#) SMCCCD Board of Trustees, Board Policy 5.15, Non-represented Employees: Employment Requirements

[III.A.1-24](#) SMCCCD Board of Trustees, Board Policy 5.20, Academic Supervisors: Employment and Reassignment
[III.A.1-25](#) SMCCCD Board of Trustees, Board Policy 5.50, Classified Professional/Supervisory Employees: Employment and Transfer
[III.A.1-26](#) SMCCCD Board of Trustees, Board Policy 5.60, Confidential Employees: Employment and Transfer
[III.A.1-27](#) SMCCCD Chancellor Selection Procedures
[III.A.1-28](#) SMCCCD Classified and Administrative Selection Procedures
[III.A.1-29](#) SMCCCD College President Selection Procedures
[III.A.1-30](#) SMCCCD EEO Committee Website
[III.A.1-31](#) SMCCCD EEO Plan, 2018-2021
[III.A.1-32](#) SMCCCD Employee Selection Procedures
[III.A.1-33](#) SMCCCD Employment Website
[III.A.1-34](#) SMCCCD Faculty Selection Procedures
[III.A.1-35](#) SMCCCD Selection Committee and Hiring Manager User's Guide
[III.A.1-36](#) SMCCCD Unconscious Bias Training [III.A.1-38](#)

Analysis and Evaluation

The SMCCCD Office of Human Resources is organized and staffed at the District level to support the needs of all three colleges in the District (III.A.1-01). The Office assures the integrity and quality of its programs and services by employing qualified administrators, faculty, and staff to support College programs and services. The Office provides employment and benefit services across the District including coordination of recruitment and hiring processes. The District uses an online applicant tracking system that requires applicants to answer specific questions demonstrating they meet the requirements of the position. Vacant positions are promoted using focused outreach and are publicized through Job Elephant, a full-service advertising agency that specializes in advertising. Standard publications include: the California Community College Registry (CCC Registry), Phase2Careers, DiverseAcademia.com, communitycollegejobs.com, Inside Higher Ed, HigherEdJobs.com, Association of California Community College Administrators (ACCCA), and the SMCCCD Employment websiteⁱ (III.A.1-12)

The District provides guidelines related to hiring criteria to ensure consistency in hiring practices and procedures. The SMCCCD process was developed in accordance with Board policy, California Education Code, and Title 5. The District affirms its commitment to diversity, equity, and inclusion in policy and in the District Equal Employment Opportunity (EEO) Planⁱⁱ. The District EEO Committeeⁱⁱⁱ meets quarterly and is charged with promoting an understanding of and support for diversity, equal opportunity and nondiscrimination policies and procedures. The EEO committee includes representation of faculty, classified professionals, managers, and students from all three campuses.

The College follows a thorough, systematic and inclusive hiring process^{iv} in accordance with all board policies on hiring^{v, vi, vii, viii, ix, x, xi, xii, xiii}. Screening committee membership guidelines align with hiring processes outlined in District collective bargaining agreements and HR procedures. Faculty have a delineated role in the new faculty selection process, and screening committees include at least three members^{xiv}. Faculty serving on screening committees are appointed through Academic Senate, and classified professionals are appointed/confirmed to serve through CSEA. Faculty, academic supervisor and educational administrator screening

committees recommend candidates for final interviews to the President. All other screening committees recommend candidates for final interviews to the hiring manager which can be a Director, Dean, Vice President, and/or President^{xv}. The District provides screening procedures for full-time faculty and part-time faculty^{xvi}, as well as for classified professionals and administrators^{xvii}. The selection of the college president^{xviii} and the district chancellor^{xix} have their own processes.

The criteria, qualifications, and procedures for personnel selection are clearly and publicly stated. Qualifications for faculty and educational administrator positions are based on the California Community College Chancellor's Office publication *Minimum Qualifications for Faculty and Administrators in California Community Colleges*^{xx}. Screening committee members review and verify applicant qualifications through a process lead by the screening committee chair. Screening committees review and evaluate applications based upon qualifications, knowledge, skills, and abilities as presented in the application materials to determine which candidates to interview (III.A.1-28). The screening committee works with HR to develop a set of interview questions and corresponding key response elements to gauge interviewee responses (III.A.1-29). As part of the interview process, candidates may be asked to demonstrate job-related knowledge and skills. Reference checks for final candidates are conducted by the hiring manager in coordination with HR (III.A.1-30). All new hires are required to complete a background check, fingerprinting, and tuberculosis screening in accordance with California Education Code and Board Policy 3.15^{xxi}.

The College and the District recruit and hire diverse and highly-qualified faculty^{xxii}, staff^{xxiii}, and administrators^{xxiv} that can support quality programs and services that are aligned with the college mission. Generic position descriptions are provided by HR, and are reviewed and edited by the hiring manager prior to posting. If there are any revisions made to an existing position description, HR approves the changes before posting the job. All positions indicate minimum qualifications required and applicants must affirmatively indicate that they meet all the minimum qualifications^{xxv}. The screening committee also verifies applicants meet minimum qualifications during the initial review process (III.A.1-35). Degrees received from a college or university outside the United States, need to be evaluated by a professional organization that is a member of the National Association of Credential Evaluation Services to ensure that applicants with foreign degrees meet minimum qualifications^{xxvi}.

The screening committee chair is responsible for ensuring all hiring processes are followed and consistently applied as indicated in the District selection procedures^{xxvii}. All staff are required to participate in unconscious bias training prior to serving on a screening committee. A confidentiality agreement is signed at the commencement of each committee process^{xxviii} (III.A.1-38). HR validates each step of the recruitment and selection process through offer of employment and recommendation to the Board of Trustees. All new hires are recommended to the Board of Trustees for approval (III.A.1-41). HR conducts employment eligibility verification of all new hires and oversees the background check process prior to the first day of employment.

All job descriptions directly relate to the District and College missions and include clearly delineated duties, responsibilities, and reporting. Job descriptions and salary schedules^{xxix} are posted and publicly available on the District portal. Board policy/CBA requires classified positions be reviewed at least once every 5 years^{xxx}. The review process includes a job analysis

to ensure the duties and position classification are relevant and that professional qualifications are appropriate.

2. Faculty qualifications include knowledge of the subject matter and requisite skills for the service to be performed. Factors of qualification include appropriate degrees, professional experience, discipline expertise, level of assignment, teaching skills, scholarly activities, and potential to contribute to the mission of the institution. Faculty job descriptions include development and review of curriculum as well as assessment of learning. (ER 14)

Evidence of Meeting the Standard

- [III.A.2-1](#) Academic Senate Resolution: Adoption of the Online Education Initiative's Course Design Rubric as a Guide to Developing Hybrid and Online Courses within the SMCCCD
- [III.A.2-2](#) [ASGC Meeting for 13 September 2018 \(p. 12, 7.12 Business FT Faculty Hiring Committee\)](#)
- [III.A.2-10](#)
- [III.A.2-3](#) [ASGC Meeting for 22 March 2018 \(p. 1, 4.3 Biology Faculty Hiring Committee\)](#) [III.A.2-10](#)
- [III.A.2-4](#) CCCCC Minimum Qualifications Handbook
- [III.A.2-5](#) DEAC Distance Education Faculty Handbook
- [III.A.2-6](#) DEAC, How to Begin Teaching Online and Hybrid Courses
- [III.A.2-7](#) OEI Online Course Rubric PowerPoint [III.A.2-14](#) (evidence folder)
- [III.A.2-8](#) Online Education Initiative, Course Design Rubric, Sections A-C
- [III.A.2-9](#) QOLT Work Group (Quality Online Learning & Teaching)
- [III.A.2-10](#) Sample faculty application ranking form [III.A.2-11](#)
- [III.A.2-11](#) Sample faculty interview questions (final round) [III.A.2-08](#)
- [III.A.2-12](#) Sample faculty interview questions (first round) [III.A.2-07](#)
- [III.A.2-13](#) [Sample Faculty Position Description, Chemistry](#) [III.A.2-05](#)
- [III.A.2-14](#) [Sample Faculty Position Description, Computer Information Science/Engineering](#) [III.A.2-06](#)
- [III.A.2-15](#) Sample Faculty Position Description, History
- [III.A.2-16](#) SMCCCD Board of Trustees, Administrative Procedure 3.05.1, Minimum Qualifications, Faculty Service Areas and Equivalency to Minimum Qualifications
- [III.A.2-17](#) SMCCCD Board of Trustees, Administrative Procedure 3.15.3, Faculty Hiring
- [III.A.2-18](#) SMCCCD Faculty Selection Procedures [III.A.2-04](#), [III.A.2-09](#)

Analysis and Evaluation

The faculty at Cañada College are highly qualified subject-matter experts and the college seeks to hire the most qualified faculty for all open positions. Applicants for faculty positions must meet the minimum qualifications or equivalent as delineated in the job description^{xxxix} in accordance with state law and board policy^{xxxix}. Minimum qualifications for faculty are established using the California Community Colleges Minimum Qualifications^{xxxix}. Applicants who do not meet the minimum qualifications for a faculty position may apply for equivalency in accordance with board policy.

The SMCCCD Faculty Selection Process^{xxxiv} details the process to hire a full-time or part-time faculty member. Job announcements for faculty positions clearly indicate job specifications setting forth the knowledge, skills, and abilities necessary for successful job performance. All positions include a requirement of demonstrated cultural competence, sensitivity to and understanding of the diverse academic, socioeconomic, cultural, disability, gender identity, sexual orientation, and ethnic backgrounds of community college students, faculty, and staff

(III.A.2-05). Additionally, all faculty job descriptions include responsibility for curriculum oversight and student learning outcome assessment (III.A.2-06).

First-level faculty interviews include a teaching demonstration that allows candidates to demonstrate pedagogical strategies on how they incorporate new technologies into the classroom, whether on campus or online^{xxxv} (III.A.2-07). In addition, they include questions related to instructional technology, student engagement strategies, and opportunities to share specific instructional strategies^{xxxvi} (III.A.2-08).

The College has a comprehensive and effective selection process to ensure content area expertise when hiring faculty. All faculty screening committees must have at least two faculty approved by the Academic Senate (III.A.2-09, 10), in accordance with Administrative Procedure 3.15.3^{xxxvii}. The materials submitted by each applicant are reviewed by screening committee members and evaluated to determine which applicants are selected for interview^{xxxviii} (III.A.2-11).

For faculty choosing to teach online, the College has a comprehensive internal training program for online instruction, called the QOLT Work Group^{xxxix}. Led by a faculty coordinator, the online teaching program prepares faculty for effective online teaching^{xl}. The DE Coordinator for the college, along with the Instructional Technologist and the DEAC, offer workshops and professional development opportunities for new faculty and for those who wish to teach distance education courses^{xli}. Faculty members may also choose to become certified using the @One training program. To further ensure high-quality instruction for all students, online courses are reviewed using a rubric prior to being scheduled. This DE rubric is based off of the OEI Rubric^{xlii}, which the Academic Senate has approved as the basis for approvals for DE^{xliii}. This is discussed further in Standards II.A.2 on page 1 and II.A.7 on page 1.

3. Administrators and other employees responsible for educational programs and services possess qualifications necessary to perform duties required to sustain institutional effectiveness and academic quality.

Evidence of Meeting the Standard

- III.A.3-1 Open forum process/announcement (In evidence folder) III.A.3-09
- III.A.3-2 Sample administrator application ranking form III.A.3-05
- III.A.3-3 Sample classified application ranking form III.A.3-08
- III.A.3-4 [Sample Position Description, Dean of Academic Support and Learning Technologies](#) III.A.3-04
- III.A.3-5 [Sample Position Description, Director of Disabled Students Programs and Services](#) III.A.3-03
- III.A.3-6 [Sample Position Description, Instructional Support Assistant](#) III.A.3-07
- III.A.3-7 [Sample Position Description, Program Services Coordinator](#) III.A.3-06
- III.A.3-8 [Sample Position Description, Vice President of Instruction](#) III.A.3-02
- [III.A.3-9](#) SMCCCD Board of Trustees, Administrative Procedure 3.05.1 Minimum Qualifications, Faculty Service Areas, and Equivalency to Minimum Qualifications III.A.3-01

Analysis and Evaluation

Academic supervisor and educational administrator job descriptions include the minimum qualifications or equivalent as required by Title V and Board Policy (III.A.3-01). Position-specific experience and desired qualifications above minimum qualifications are included in the job description (III.A.3-02, 03). All job announcements clearly state job specifications setting forth

the knowledge, skills, and abilities necessary to job performance. For all positions, job requirements include demonstrated cultural competence, sensitivity to and understanding of the diverse academic, socioeconomic, cultural, disability, gender identity, sexual orientation, and ethnic backgrounds of community college students, faculty, and staff. All administrator positions also require knowledge of the history and culture of underrepresented groups and a commitment to participate in District designated professional development on bias and educational equity (III.A.4-04). Screening committees evaluate each applicant's qualifications to perform duties stated in the job description and announcement during the paper screening process and further assess during the initial interview process (III.A.3-05).

Job descriptions for each classified staff position reflect the position requirements and responsibilities. HR establishes qualifications by matching the position requirements and responsibilities to industry standards. Job descriptions and announcements include education and experience requirements as well as knowledge, skills, and abilities requirement by the position (III.A.3-06). Required documents for the application package are clearly defined in the job announcement (III.A.3-07).

The College uses a competitive selection process in order to select the best possible candidate for the position. For each position, the selection committee reviews applications and evaluates them according to specific criteria (III.A.3-08). Applicants with the highest ranking are invited for interviews. Selection committees develop a set of interview questions to assess each applicant's experience, knowledge, and skills. Top candidates from the interview process are forwarded to a second interview with executive leaders. Finalists for some executive leadership positions such as President or Vice President may be required to participate in a public forum where they interact with the campus community and participate in a Q&A session (III.A.3-09).

4. Required degrees held by faculty, administrators and other employees are from institutions accredited by recognized U.S. accrediting agencies. Degrees from non-U.S. institutions are recognized only if equivalence has been established.

Evidence of Meeting the Standard

III.A.4-1 [Sample Faculty Position Description, English as a Second Language Instructor](#) III.A.4-06

III.A.4-2 [Sample Position Description, Curriculum and Instructional Systems Specialist](#) III.A.4-01

III.A.4-3 [SMCCCD Board of Trustees, Board Procedure 3.05.1, Minimum Qualifications, Faculty Service Areas, and Equivalency to Minimum Qualifications](#) III.A.4-02, 03

III.A.4-4 [SMCCCD Faculty Screening Procedures](#) III.A.4-05

III.A.4-5 [SMCCCD Office of Human Resources, Establishing Faculty Minimum Qualifications](#) III.A.4-04

Analysis and Evaluation

All college administrators, faculty, and other employees possess the minimum qualifications related to the identified duties required to maintain institutional effectiveness and academic quality. Each position has detailed minimum qualifications describing both the required and preferred education credentials (III.A.4-01). Applicants for positions requiring degrees are required to provide official transcripts indicating degree conferral. Deans and VPs work with HR and in collaboration with the Academic Senate Equivalency Committee to ensure equivalency in accordance with Board Policy (III.A.4-02; III.A.4-03; III.A.4-04). The Academic Senate President of the college to which the applicant has applied will lead the equivalence process. Under the

President's direction, an equivalency committee is formed and meets to determine equivalency on an ad-hoc basis, including consultation with discipline experts. The decision is then communicated to HR. Unofficial transcripts are submitted during the application process and reviewed by the screening committee (III.A.4-05). Individuals from institutions outside of the United States must obtain a foreign transcript evaluation through an approved U.S. foreign transcript evaluation agency to validate equivalency (III.A.4-06). Final candidates are required to submit official transcripts for verification by HR.

5. 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.

Evidence of Meeting the Standard

- III.A.5-1 [AFT 1493 Contract, Faculty Evaluations, Appendix G: Evaluation Procedures](#) III.A.5-03
- III.A.5-2 [CSEA Chapter 33/SMCCCD Contract 2016-2019 \(p. 49-51, Article 14: Performance Evaluation Procedures\)](#) III.A.5-04
- III.A.5-3 [Performance Evaluation Procedures for Administrator and Academic Supervisory Employees](#) iii.a.5-07
- III.A.5-4 [Performance Evaluation, Faculty](#) III.A.5-08
- III.A.5-5 [Procedure for Classified / Professional / Confidential / Supervisory / Classified Manager, Performance Evaluations](#) III.A.5-01, 06, 07
- III.A.5-6 [Request for Classification Review](#)
- III.A.5-7 [SMCCCD Board of Trustees, Board Procedure 2.09.1, Categories of Employment: Evaluation](#) III.A.5-05
- III.A.5-8 [SMCCCD Performance Evaluations \(all forms\)](#) III.A.5-02

Analysis and Evaluation

The College systematically evaluates employees in all employment classification groups, including faculty, classified professionals, and administrators at regular intervals (III.A.5-01). The employee evaluation process is a formal method of documenting job performance and is maintained by HR. The performance evaluation process includes conversation between a supervisor and employee regarding strengths, expectations, and opportunities for improvement and growth. HR provides standardized evaluation forms for all employee groups which are available on the HR SharePoint site (III.A.5-02).

The faculty evaluation process includes observations by peers and Deans. The processes and procedures for faculty – including tenured faculty, tenure-track faculty, adjunct and grant-funded faculty, nurses, and coordinators – are detailed in Appendix G of the AFT/SMCCCD contract (III.A.5-03). Classified professionals are evaluated by their direct supervisor following processes detailed in Article 14 of the CSEA Chapter 33/SMCCCD contract (III.A.5-04). The processes for evaluation of non-represented and exempt employees are outlined in board policy (III.A.5-05).

The District monitors the status of employee evaluations, and provides email alerts to managers in advance of performance evaluation due dates. The District provides written evaluation procedures for all employment classifications. Managers are responsible for completing

evaluations in a timely manner and providing a signed copy to HR (III.A.5-06, 07, 08). The process is governed by Board policies and procedures and in accordance with agreements negotiated with the collective bargaining units.

[Standard III.A.6 is being skipped, per ACCJC Guidelines.]

7. The institution maintains a sufficient number of qualified faculty, which includes full time faculty and may include part time and adjunct faculty, to assure the fulfillment of faculty responsibilities essential to the quality of educational programs and services to achieve institutional mission and purposes. (ER 14)

Evidence of Meeting the Standard

III.A.7-1 [ASGC Bylaws](#) III.A.7-05

III.A.7-2 [CCCCO Minimum Qualifications Handbook](#) III.A.7-02

III.A.7-3 [Participatory Governance Manual](#) III.A.7-04

III.A.7-4 [PBC Requests for Personnel](#) III.A.7-06

III.A.7-5 Sample faculty job description III.A.7-03

III.A.7-6 SMCCCD Faculty Obligation Number (FON) report, 2017/2018 – Available in Fall 2018

III.A.7-01

III.A.7-7 [Student Characteristics 2012/13 through 2017/18 College-wide](#)

Analysis and Evaluation

The District uses the required Faculty Obligation Number (FON) as one indicator that it fulfills the requirements of this standard. The SMCCCD meets and exceeds the FON, reporting 365.28 actual full-time faculty on the 2017 Full-Time Faculty Obligation Report to the State Chancellor's Office – 85.58 FTEF over the obligation of 279.70 FTE (III.A.7-01).

The College maintains a sufficient number of qualified faculty members to support the educational and student support programs of the institution. At the beginning of fall 2017, the College employed 1,033 total faculty, including 332 full-time faculty and 701 part-time faculty. In the 2017/2018 academic year, the college served 10,745 students, providing a X:XX faculty-to-student ratio. The District requires all faculty members to meet the discipline standards as outlined in the California Community Colleges Chancellor's Office Minimum Qualifications for Faculty and Administrators Handbook (III.A.7-02). The faculty constituency is comprised of both full and part-time employees who meet the minimum qualifications of education outlined in the various job descriptions (III.A.7-03).

The College has an established process to annually review faculty hiring needs. This process is outlined in the Participatory Governance Manual (III.A.7-04) and Academic Senate Governing Council Bylaws (III.A.7-05). Faculty hiring needs are demonstrated through the program review and annual planning process, and formal requests are made annually using the new position justification form (III.A.7-06). Faculty vacancies due to retirement or resignation are presented to the Academic Senate, College Cabinet, and Planning and Budgeting Council for review and approval (III.A.7-07).

Commented [SH24]: Getting updated numbers.

8. An institution with part time and adjunct faculty has employment policies and practices which provide for their orientation, oversight, evaluation, and professional development. The institution provides opportunities for integration of part time and adjunct faculty into the life of the institution.

Evidence of Meeting the Standard

- III.A.8-1 AFT/SMCCCD [Collective Bargaining Agreement](#) III.A.8-05:
- III.A.8-2 [AFT/SMCCCD Contract, Faculty Evaluation Process](#) III.A.8-07:
- III.A.8-3 [ASGC Bylaws](#) III.A.8-01
- III.A.8-4 College faculty PD process [III.A.8-06](#):
- III.A.8-5 Flex day sign in sheets (highlight adjunct faculty participants) (in evidence folder) III.A.8-02
- III.A.8-6 New employee orientation agenda III.A.8-04
- III.A.8-7 New employee orientation invite/sign in sheet – adjuncts (in evidence folder) III.A.8-03
- III.A.8-8 [Professional Learning, Faculty Professional Development](#)

Analysis and Evaluation

SMCCCD and the College value the contributions of part-time faculty and integrate adjunct instructors into institution (III.A.8-01, 02, 03). They are full members of the Academic Senate, and are allowed to serve on the Governance Council at any position, in accordance with the Cañada College Academic Senate Governance Council Bylaws. Each semester, a new employee orientation is held for part-time faculty (III.A.8-04). The orientation includes an overview of the College and District, resources for new faculty, and presentations by various constituencies including AFT. The event is coordinated through the Professional Learning Program in coordination with the Faculty Professional Development Coordinator and AFT 1493.

Professional development is valued and supported at the College. The District provides dedicated funding for part-time and full-time faculty professional development in accordance with the AFT collective bargaining agreement (III.A.8-05). The College Professional Development Committee, consisting of faculty and administrators, developed a process for faculty to request these funds for individual professional development opportunities (III.A.8-06). Part-time faculty are equally invited and encouraged to participate in Flex Day activities, and are compensated for their time and participation in accordance with the AFT 1493 Contract. Part-time faculty are encouraged to participate in monthly department and division meetings and other campus professional learning opportunities throughout the year.

The District has established evaluation processes for part-time faculty through the collective bargaining process (III.A.8-07). The evaluation process provides a formal method to evaluate and document job performance and creates a venue for discussion of strengths and areas for growth leading to improved teaching. Part-time faculty work with their respective Dean to select a full-time faculty member to conduct the evaluation. The Dean also evaluates the part-time faculty's non-teaching responsibilities. All part-time faculty are evaluated in the first term of service and at least once every four semesters for the following eight semesters of employment. After the eighth semester, the faculty member is evaluated every six semesters provided the evaluation meets or exceeds expectations. The evaluation process also includes observations, student evaluations, a faculty portfolio, and self-assessment.

9. The institution has a sufficient number of staff with appropriate qualifications to support the effective educational, technological, physical, and administrative operations of the institution. (ER 8)

Evidence of Meeting the Standard

- III.A.9-1 [Administrative and Classified Staff Selection Processes](#)
- III.A.9-2 [Classified Short-Term / SUB Temporary Personnel Requisition Form](#)
- III.A.9-3 Communication regarding new position decisions [III.A.9-14](#):
- III.A.9-4 [CSEA Chapter 33/SMCCCD Contract 2016-2019](#) III.A.9-07
- III.A.9-5 [Participatory Governance Manual](#) III.A.9-11
- III.A.9-6 [PBC New Position Request Process 2016-17, President's Hiring Decision](#)
- III.A.9-7 [PBC Requests for Personnel](#) III.A.9-12
- III.A.9-8 [Personnel Requisition Form](#) III.A.9-04
- III.A.9-9 [Program Review, Transfer Center](#) (p. 21 Planning Module: Objective: Personnel Request) III.A.9-13
- III.A.9-10 Sample job description – Division Assistant III.A.9-15:
- III.A.9-11 [Selection procedures](#) III.A.9-16:
- III.A.9-12 [Short-Term Employment](#) III.A.9-05
- III.A.9-13 [Short-term employment training](#) III.A.9-06:
- III.A.9-14 SMCCCD DPS org chart III.A.9-03
- III.A.9-15 SMCCCD EEO plan – Recruitment processes [III.A.9-08](#):
- III.A.9-16 SMCCCD FMO org chart III.A.9-02
- III.A.9-17 SMCCCD ITS org chart III.A.9-01
- III.A.9-18 SMCCCD New Employee Orientation agenda [III.A.9-10](#):
- III.A.9-19 SMCCCD New Employee Orientation invitation [III.A.9-09](#):

Analysis and Evaluation

As of the fall 2018 semester, the District had 51 classified supervisors, 514 full-time classified employees and part-time classified employees. These employees provide the educational, technological, physical, and administrative support to achieve the College's mission and vision. College information technology and facilities, maintenance, and operations services are supported by the District. The District ITS department has 40 classified staff (III.A.9-01); the facilities, maintenance, and operations department has 105 staff (III.A.9-02); and the department of public safety has 33 staff (III.A.9-03).

The District has established processes to fill temporary and permanent full-time and part-time positions to ensure the College employs a sufficient number of classified staff with appropriate qualifications in support of effective college operations (III.A.9-04, 05, 06). Transfer opportunities are advertised to classified employees for a period of 5-working days prior to public advertisement and in accordance with the SMCCCD/CSEA classified bargaining agreement (III.A.9-07). Permanent job openings are announced to all District employees and advertised externally in accordance with SMCCCD recruitment practices (III.A.9-08). All new classified employees are invited to participate in a District new employee orientation (III.A.9-09) to prepare them for the operations and processes of the District, as well as a College new employee orientation to prepare them for the nuances of the campus and provide an understanding of the students we serve (III.A.9-10).

The College uses a well-defined process for recommending new positions outlined in the Participatory Governance Manual (III.A.9-11). The need for additional classified employee

positions is established through the program review process and through an annual institutional planning process for new positions (III.A.9-12). Program review includes a section where staffing needs are presented in narrative format, and the annual new position request process is the formal process to request new positions (III.A.9-13). New position requests are vetted and prioritized through the participatory governance process and recommendations are provided to the College President for decision. The College President's decision is explained and communicated to the campus community (III.A.9-14).

The qualifications and duties of each position are clearly stated in the job description (III.A.9-15). The HR office establishes hiring criteria by matching position duties and responsibilities to industry standards. SMCCCD has established practices which ensure the minimum qualifications as well as required knowledge, skills, and abilities are closely matched to specific job requirements and meet the need of the program area to support student success. Screening committees review all applications and evaluate the position qualifications related to education and experience to ensure new personnel possess the necessary skills and knowledge required to support the educational, technological, and administrative operations of the institution (III.A.9-16).

10. The institution maintains a sufficient number of administrators with appropriate preparation and expertise to provide continuity and effective administrative leadership and services that support the institution's mission and purposes. (ER 8)

Evidence of Meeting the Standard

- III.A.10-1 [Administrator Position Description, Dean of Planning, Research, and Institutional Effectiveness](#) III.A.10-04
- III.A.10-2 [Administrative and Classified Staff Selection Procedures](#) III.A.10-05
- III.A.10-3 [Cañada College 2018 Organizational Chart](#) III.A.10-01
- III.A.10-4 [Participatory Governance Manual](#) III.A.10-02
- III.A.10-5 [PGM Decisions Regarding Vacancy/Replacement Positions](#) III.A.10-03

Analysis and Evaluation

As of the spring 2019 semester, the College has 11 administrators and 3 confidential employees including the President, 3 Vice Presidents, 1 Classified Administrator and 6 Deans. The College has 12 managers and academic supervisors. The reporting relationships of the College's departments, programs, and services are documented in the College organizational chart on page **Error! Bookmark not defined.** (III.A.10-01). The College engages in a variety of assessment and planning processes to ensure all human resources needs of the institution are met including unit planning, program review, and budget development (III.A.10-02).

Administrative positions are regularly reviewed in relation to the needs of the College. When vacancies occur, the President and Vice Presidents confer to assess the needs of the department effected prior to moving forward with the replacement position process (III.A.10-03). Job descriptions and desired qualifications are reviewed and updated as needed by benchmarking with the other colleges in the District and similar positions at other community college districts.

The qualifications and duties of each administrator position are clearly stated in the job description (III.A.10-04). The HR office establishes hiring criteria by matching position duties

and responsibilities to industry standards. SMCCCD has established practices which ensure the minimum qualifications as well as required knowledge, skills, and abilities are closely matched to specific job requirements and meet the need of the program area to support student success. Screening committees review all applications and score the position qualifications related to education and experience to ensure new personnel possess the necessary skills and knowledge required to support the educational, technological, and administrative operations of the institution (III.A.10-05).

11. The institution establishes, publishes, and adheres to written personnel policies and procedures that are available for information and review. Such policies and procedures are fair and equitably and consistently administered.

Evidence of Meeting the Standard

- III.A.11-1 [AFT 1493 / SMCCCD Contract, 2016-2019](#) III.A.11-25
- III.A.11-2 [Classified Short-term and Substitute Employment Policy and Procedures](#) III.A.11-13
- III.A.11-3 [CSEA Chapter 33/SMCCCD Contract 2016-2019](#) III.A.11-26
- III.A.11-4 DPGC Minutes – March 2018 III.A.11-02
- III.A.11-5 [Employee Handbook](#) III.A.11-03, 27
- III.A.11-6 Evaluation Procedures – [Classified](#) III.A.11-16
- III.A.11-7 Evaluation Procedures – [Faculty](#) III.A.11-17:
- III.A.11-8 Evaluation Procedures – [Management](#) III.A.11-15
- III.A.11-9 [Evaluation Procedures and Forms](#)
- III.A.11-10 [Faculty Minimum Qualifications Process](#) III.A.11-14:
- III.A.11-11 Selection Procedures – [Chancellor](#) III.A.11-23:
- III.A.11-12 Selection Procedures – [Classified and Administrators](#) III.A.11-21:
- III.A.11-13 Selection Procedures – [College President](#) III.A.11-22:
- III.A.11-14 Selection Procedures – [Faculty](#) III.A.11-20:
- III.A.11-15 [Selection Procedures](#) III.A.11-24
- III.A.11-16 [SMCCCD Board of Trustees, Board Policies and Procedures](#) III.A.11-01
- III.A.11-17 [SMCCCD Board of Trustees, Board Policy 2.19, Nondiscrimination Policy](#) III.A.11-04
- III.A.11-18 [SMCCCD Board of Trustees, Board Policy 2.20, Equal Employment Opportunity](#) III.A.11-05
- III.A.11-19 [SMCCCD Board of Trustees, Board Policy 2.21, Professional Ethics](#) III.A.11-06
- III.A.11-20 [SMCCCD Board of Trustees, Board Policy 2.22, Employment of Relatives](#) III.A.11-07
- III.A.11-21 [SMCCCD Board of Trustees, Board Policy 2.25, Prohibition of Harassment](#) III.A.11-08
- III.A.11-22 [SMCCCD Board of Trustees, Board Policy 2.29, Sexual Assault and Education, Prevention, and Reporting](#) III.A.11-12
- III.A.11-23 [SMCCCD Board of Trustees, Board Procedure 2.26.1, Drug-free Environment and Drug Prevention Program](#) III.A.11-09
- III.A.11-24 [SMCCCD Board of Trustees, Board Procedure 2.28.1, Safety, Injury, and Illness Prevention Program](#) III.A.11-10
- III.A.11-25 [SMCCCD Board of Trustees, Board Procedure 2.28.2, Workplace Violence Plan](#) III.A.11-11
- III.A.11-26 SMCCCD EEO Plan III.A.11-19
- III.A.11-27 SMCCCD [Faculty Minimum Qualifications Process](#)
- III.A.11-28 [SMCCCD Office of Human Resources Downloads Portal](#) III.A.11-28
- III.A.11-29 [Worker's Compensation Claims, Procedure Manual for Managers](#) III.A.11-18

Analysis and Evaluation

HR serves as the subject-matter expert for all personnel related policies. The District has adopted Board Policies and Procedures that ensure equity and compliance in employment practices and HR matters. All written personnel policies and procedures are published on the Board web page (III.A.11-01). Personnel policies are reviewed on the six-year comprehensive review cycle and changes are vetted through the participatory governance process prior to Board approval (III.A.11-02). Personnel policies are included in the employee handbook (III.A.11-03) and include the following policies:

- Nondiscrimination Policy (III.A.11-04)
- Equal Employment Opportunity (III.A.11-05)
- Professional Ethics (III.A.11-06)
- Employment of Relatives (III.A.11-07)
- Prohibition of Harassment (III.A.11-08)
- Drug-Free Environment and Drug Prevention Program (III.A.11-09)
- Safety, Injury, and Illness Prevention Program (III.A.11-10)
- Workplace Violence Plan (III.A.11-11)
- Sexual Assault and Education, Prevention, and Reporting (III.A.11-12)

The District also provides policies and procedures related to other personnel matters including

- Short-term and Substitute Employment Policy (III.A.11-13)
- Faculty minimum qualifications process (III.A.11-14)
- Evaluation procedures (III.A.11-15, 16, 17)
- Workers Compensation Procedures (III.A.11-16)

The SMCCCD Equal Employment Opportunity Plan was adopted in May 2018 to describe the District's commitment to equal employment opportunities (III.A.11-19). Principles of the EEO plan, including training requirements for all screening committee participants, are built into the hiring procedures (III.A.11-20, 21, 22, 23). The hiring process website includes written guidelines and forms to ensure fairness, consistency, and equity in the new employee selection process (III.A.11-24).

Fairness, equity, and consistency of policies and practices are further supported within the collective bargaining agreements (III.A.11-25, 26), employee handbook (evidence), and the SMCCCD Board Resolution on Equity (III.A.11-27). Each of these documents is made available to the general public on the website (III.A.11-28).

12. Through its policies and practices, the institution creates and maintains appropriate programs, practices, and services that support its diverse personnel. The institution regularly assesses its record in employment equity and diversity consistent with its mission.

Evidence of Meeting the Standard

- III.A.12-1 Diversity and Understanding Unconscious Bias Training information III.A.12-05:
- III.A.12-2 People Admin Screenshot [III.A.12-06](#):
- III.A.12-3 Sample diversity-related interview questions [III.A.12-02](#):
- III.A.12-4 Sample job postings on various posting websites [III.A.12-08](#):

III.A.12-5 SMCCCD Board of Trustees Meeting for 16 May 2018 ([Minutes p. 2, Approval of Consent Agenda; Agenda p. 2, 18-5-6CA Approval of 2018-2021 District Equal Employment Opportunity Plan](#)) III.A.12-01

III.A.12-6 [SMCCCD Board of Trustees, Board Policy 2.19, Nondiscrimination Policy](#) III.A.12-03

III.A.12-7 [SMCCCD Board of Trustees, Board Policy 2.20, Equal Employment Opportunity](#) III.A.12-04

III.A.12-8 SMCCCD employee demographic data (by college) [III.A.12-07](#):

III.A.12-9 [SMCCCD Faculty Diversity Internship Program information](#) III.A.12-09

Analysis and Evaluation

The SMCCCD 2018-2021 Equal Employment Opportunity (EEO) Plan was adopted by the Board of Trustees on May 16, 2018 (III.A.12-01). The EEO plan reflects the District's commitment to equal employment opportunity and creating a work and academic environment that is welcoming and fosters equity, diversity, and excellence. The District follows the EEO Plan in all its hiring procedures and strives to hire and retain equity-minded faculty and staff who are sensitive to and knowledgeable of the needs of the continually changing student body it serves (III.A.12-02).

The District demonstrates an understanding and concern for equity and diversity through its policies and practices (III.A.12-03, 04). Every member of a screening committee is required to participate in training on unconscious bias prior to serving on a committee (III.A.12-05). Any individual, whether or not an employee of the District, acting on behalf of the District with regard to recruitment and screening of employees, is subject to the EEO requirements of Title 5 and the District's EEO plan. The EEO training for all committee members fosters an understanding of equity and diversity across the institution.

The District values equity and diversity, and regularly evaluates the diversity and equity of its personnel. The SMCCCD Office of Human Resources tracks applicant ethnicity, gender, and disability for all positions using a confidential tracking system (III.A.12-06). Periodically, the Board reviews the demographic composition of the employee workforce and the applicant pool. HR works with the PRIE office to provide data which evaluator's the District's employment equity and diversity to ensure representation from a diverse population that is representative of the students served (III.A.12-07). The College leadership team reviews this data to assess this information at the institutional level.

Positions at the College are advertised broadly through a variety of avenues such as the California Community College Registry (CCC Registry), Inside Higher Ed, Association of California Community College Administrators (ACCCA), and the SMCCCD Employment website (III.A.12-08). The College analyzes its employment equity record. In 2018, the District noted that the diversity of its faculty did not match the student population. To increase diversity in faculty hiring, the District EEO committee worked with faculty to develop and implement the Faculty Diversity Internship Program (III.A.12-09).

13. The institution upholds a written code of professional ethics for all of its personnel, including consequences for violation.

Evidence of Meeting the Standard

III.A.13-1 [AFT 1493/SMCCCD Contract, 2016-2019](#) III.A.13-03

III.A.13-2 [Cañada College Mission Statement](#) III.A.13-06

III.A.13-3 [CSEA Chapter 33/SMCCCD Contract 2016-2019](#) III.A.13-04

III.A.13-4 [CSEA Constitution and Bylaws and Standing Rules \(p. 3 Code of Ethics\)](#) III.A.13-05
III.A.13-5 [SMCCCD Board of Trustees, Board Policy 2.21, Policy on Professional Ethics](#) III.A.13-01
III.A.13-6 [SMCCCD Board of Trustees, Board Procedure 2.21.1, Institutional Code of Ethics](#) III.A.13-02

Analysis and Evaluation

Adherence to a professional code of ethics is a value embedded in the College and serves as a guiding principle throughout the organization. The SMCCCD Board Policy and Procedures provides a written code of ethics to guide all employees (III.A.13-01, 02). The District follows discipline processes as defined in the collective bargaining agreements as appropriate. The bargaining units provide ethics statements to further uphold professionalism and civility (III.A.13-03, 04). Classified professionals are further guided by the statewide California School Employees Association Code of Ethics, which applies to each CSEA Chapter and all members (III.A.13-05). The College's mission, vision, and values statements all reflect a strong commitment to professional and ethical behavior with emphasis on character, cultural awareness, engagement, integrity, equity, and social justice (III.A.13-06).

14. The institution plans for and provides all personnel with appropriate opportunities for continued professional development, consistent with the institutional mission and based on evolving pedagogy, technology, and learning needs. The institution systematically evaluates professional development programs and uses the results of these evaluations as the basis for improvement.

Evidence of Meeting the Standard

III.A.14-1 [Administrators/Academic Supervisory](#)
III.A.14-2 [AFT 1493 / SMCCCD Contract, 2016-2019](#) III.A.14-01
III.A.14-3 [Approved faculty PD projects](#) [III.A.14-07](#):
III.A.14-4 [ASGC Professional Development Committee, Report on the 2017-2018 PD Allocation Process and Decisions](#)
III.A.14-5 [ASGC Senate-Sponsored Professional Development](#)
III.A.14-6 [Campus PL committee](#) [III.A.14-12](#):
III.A.14-7 [Classified PD application process](#) [III.A.14-10](#):
III.A.14-8 [Classified PD workgroup membership](#) [III.A.14-09](#):
III.A.14-9 [Classified Professionals](#)
III.A.14-10 [College PL Plan](#) [III.A.14-13](#):
III.A.14-11 [College Professional Development Funding Allocation](#) [III.A.14-05](#):
III.A.14-12 [Educational Master Plan, College Goals](#) III.A.14-16
III.A.14-13 [Faculty PD application process](#) [III.A.14-08](#):
III.A.14-14 [NoviSurvey Results, January 2018 Flex Day Feedback](#) III.A.14-20
III.A.14-15 [PBC Meeting for 17 May 2017 \(p. 4, Item II.G\)](#) III.A.14-14
III.A.14-16 [Professional Learning Plan 2018-2020](#)
III.A.14-17 [Professional Learning, 2017 Professional Learning Needs Assessment Results](#) III.A.14-18
III.A.14-18 [Professional Learning, Campus-wide Professional Learning Committee](#)
III.A.14-19 [Professional Learning, Faculty](#)
III.A.14-20 [Professional Learning, Flex Day](#) III.A.14-15
III.A.14-21 [Professional Learning, Professional Development Funds](#) III.A.14-06
III.A.14-22 [Sample agenda – Manager's forum](#) [III.A.14-11](#):
III.A.14-23 [SMCCCD Academic Senate, Faculty Flex Obligation](#) III.A.14-02
III.A.14-24 [SMCCCD Office of Human Resources, Training/Professional Development](#)

III.A.14-25 SMCCCD Opening Day Announcement/Agenda [III.A.14-04](#):
III.A.14-26 SMCCCD Professional Development Academy Schedule [III.A.14-03](#):
III.A.14-27 [SMCCCD Strategic Planning, Strategic Plan Brochure](#) III.A.14-17
III.A.14-28 Student Equity professional development offerings [III.A.14-19](#):

Analysis and Evaluation

The College provides professional development for faculty, staff, and administrators through a variety of opportunities coordinated by the College and through the District.

Full-time faculty members must fulfill at least 30 hours of flex activities per academic year in accordance with Article 7.11.1 of the collective bargaining agreement (III.A.14-01). Faculty members account for these professional development hours by submitting documentation to their respective Deans (III.A.14-02). Deans hold faculty members accountable to complete their flex obligation each year.

The District has established a professional development academy that provides a series of on-campus professional development opportunities for all employees. The classes are offered throughout the academic year and classified employees are permitted to attend as part of their regular work day (III.A.14-03). The District also coordinates Opening Day sessions prior to the start of each Fall semester (III.A.14-04). The District provides dedicated funding to the College for faculty, staff, and management professional development (III.A.14-05).

In 2017, the District launched a pilot program to support classified employees' and managers' educational attainment. The pilot program provides tuition reimbursement for completion of an Associate, Bachelors, or Master's degree at an accredited institution.

In accordance with Article 13 of the SMCCCD/AFT collective bargaining agreement, the College has a Faculty Professional Development committee to administer funding provided by the District. The Faculty PD program provides long-term and short-term funding for full-time and part-time faculty members (III.A.14-06). The funds provide faculty members an opportunity to participate in workshops and/or conferences, as well as long-term projects such as retraining or conducting research aligned with college priorities (III.A.14-07). Faculty can request PD funds by submitting a funding application to the Faculty PD committee. The committee reviews and evaluates proposals in accordance with established procedures (III.A.14-08)

The Classified Professional Development Program provides funding for classified employees to further their education and attend workshops, seminars, and/or conferences. The Classified Senate established a process to administer the funds using an ad-hoc workgroup (III.A.14-09). This process has received recognition statewide as a transparent, fair practice to provide professional learning opportunities to classified professionals (III.A.14-10).

Administrator professional development funding is allocated through College Cabinet, with each administrator allowed up to \$750 annually. Management training often occurs in the area of expertise of the individual in relationship to the institution. The District also holds monthly meetings with all managers. These meetings cover a variety of management professional development topics including sexual harassment training, understanding collective bargaining agreements, and equity (III.A.14-11).

In 2017, the College established a college-wide Professional Learning Committee (III.A.14-12) adopted its first college-wide professional learning plan (III.A.14-13, 14). The PL committee

plans Flex Day activities to provide all employees with opportunities for continual professional development (III.A.14-15). The college's Educational Master Plan includes a specific goal related to professional development that leads to improved student outcomes (III.A.14-16). Additionally, the District strategic plan emphasizes professional development to foster student success (III.A.14-17).

The College provides proactive and responsive professional development opportunities to all constituencies through its professional learning program. Professional development needs of faculty, staff, and administrators are identified formally through surveys (III.A.14-18) and through informal suggestions. Additionally, the Student Equity program provides responsive professional development to the campus throughout the academic year (III.A.14-19). The college solicits feedback on professional development offerings and uses those results to improve and expand future offerings (III.A.14-20).

15. 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.

Evidence of Meeting the Standard

III.A.15-1 [AFT 1493 / SMCCCD Contract, 2016-2019](#) III.A.15-04

III.A.15-2 [CSEA Chapter 33/SMCCCD Contract 2016-2019](#) III.A.15-05

III.A.15-3 [SMCCCD Board of Trustees, Board Policy 2.13, Dissemination of Employee Information](#)

III.A.15-01, 03

Do we have a policy about personnel record access? **III.A.15-02:**

Analysis and Evaluation

The SMCCCD Office of Human Resources maintains the security and confidentiality of personnel files and employee information (III.A.15-01). Employee personnel files containing paper copies of employment records are kept in secured cabinets inside an access-controlled building. More recent personnel files are stored electronically. HR personnel are responsible for the security and maintenance of these files. Processes are in place to allow employees access to their personnel files in a secure and confidential environment as required by California Labor Code and California Education Code (III.A.15-02).

SMCCCD has adopted policy that governs the treatment and release of confidential information providing additional protection of personnel records (III.A.15-03). The treatment of personnel records is also addressed in the collective bargaining agreements with AFT and CSEA (III.A.15-04, 05). The District uses the People Admin applicant tracking system for the storage and maintenance of electronic applicant records and information. Access to these electronic records are only granted to key personnel based on their scope of work. All systems are protected by digital firewalls and appropriate safeguards which are regularly audited for currency and effectiveness.

Conclusions on Standard III.A. Human Resources

[insert response]

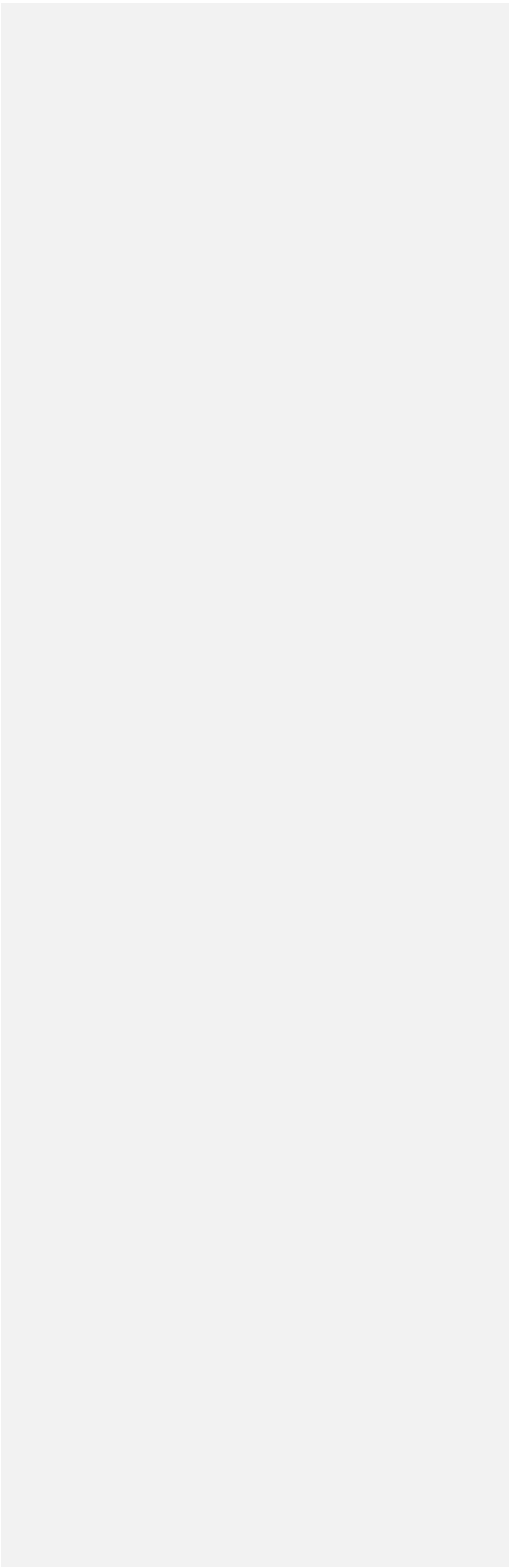
Improvement Plan(s)

[insert response if applicable]

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- ⁱ [III.A.1-34](#)
ⁱⁱ [III.A.1-31](#)
ⁱⁱⁱ [III.A.1-30](#)
^{iv} [III.A.1-32](#)
^v [III.A.1-17](#)
^{vi} [III.A.1-19](#)
^{vii} [III.A.1-20](#)
^{viii} [III.A.1-21](#)
^{ix} [III.A.1-22](#)
^x [III.A.1-23](#)
^{xi} [III.A.1-24](#)
^{xii} [III.A.1-25](#)
^{xiii} [III.A.1-26](#)
^{xiv} [III.A.1-34](#)
^{xv} [III.A.1-35](#)
^{xvi} [III.A.1-34](#)
^{xvii} [III.A.1-28](#)
^{xviii} [III.A.1-29](#)
^{xix} [III.A.1-28](#)
^{xx} [III.A.1-1](#)
^{xxi} [III.A.1-17](#)
^{xxii} [III.A.1-13](#)
^{xxiii} [III.A.1-14](#)
^{xxiv} [III.A.1-15](#)
^{xxv} [III.A.1-4](#)
^{xxvi} [III.A.1-2](#)
^{xxvii} [III.A.1-32](#)
^{xxviii} [III.A.1-16](#)
^{xxix} [III.A.1-8](#)
^{xxx} [III.A.1-6](#)
^{xxxi} [III.A.2-15](#)
^{xxxii} [III.A.2-16](#)
^{xxxiii} [III.A.2-4](#)
^{xxxiv} [III.A.2-18](#)
^{xxxv} [III.A.2-12](#)
^{xxxvi} [III.A.2-11](#)
^{xxxvii} [III.A.2-17](#)
^{xxxviii} [III.A.2-10](#)
^{xxxix} [III.A.2-9](#)
^{xl} [III.A.2-5](#)
^{xli} [III.A.2-6](#)

xlii III.A.2-8

xliii III.A.2-1



For III.B: Evidence with no link is in the Evidence Folder on SharePoint; we will be revising this with live links soon.

B. Physical Resources

1. The institution assures safe and sufficient physical resources at all locations where it offers courses, programs, and learning support services. They are constructed and maintained to assure access, safety, security, and a healthful learning and working environment.

Evidence of Meeting the Standard

- [III.B.1-1](#) AFSCME Local 829, Council 57/SMCCCD Contract 2016-2019
- [III.B.1-2](#) AFT 1493/SMCCCD Contract, 2016-2019
- III.B.1-3 Bi-Weekly CIP cabinet meeting agenda
- III.B.1-4 Campus safety survey results
- III.B.1-5 CAN Door lock upgrade project
- III.B.1-6 CAN Emergency phone locations
- [III.B.1-7](#) Cañada College B1N Kinesiology and Wellness Center
- [III.B.1-8](#) Cañada College B23 New Science and Technology Building
- ~~III.B.1-9 Cañada College current building inventory~~ [III.B.1-01:](#)
- III.B.1-10 Cañada College Hazardous Materials Business Plan
- III.B.1-11 Cañada College maintenance certifications
- [III.B.1-12](#) Cañada College Safety Committee
- III.B.1-13 Cañada College Safety Committee meeting agenda (sample)
- III.B.1-14 Cañada College work order (sample)
- [III.B.1-15](#) CSEA Chapter 33/SMCCCD Contract 2016-2019
- III.B.1-16 Department of Public Safety organizational chart
- III.B.1-17 Emergency prep drill information
- III.B.1-18 Emergency Zone poster
- ~~III.B.1-19 Facilities Organizational Chart~~ [III.B.1-02:](#)
- III.B.1-20 Facilities Safety Task Force meeting agenda
- III.B.1-21 List of scheduled maintenance projects
- III.B.1-22 Menlo Park Agreement
- III.B.1-23 Project Request Form
- III.B.1-24 Public Safety Study Board Presentation
- III.B.1-25 Public Safety Study communications
- III.B.1-26 Radiologic Technology Clinical Agreement
- [III.B.1-27](#) SMCCCD 2015 Amendment to the 2011 Facilities Master Plan
- [III.B.1-28](#) SMCCCD AlertU
- [III.B.1-29](#) SMCCCD Board of Trustees meeting discussing the needs of the Department of Public Safety (March 14, 2018; Item 18-3-2C Update on Public Safety, p. 2-6)
- [III.B.1-30](#) SMCCCD Board of Trustees, Board Policy 6.80, Policy Governing the Use of Off-campus Facilities
- [III.B.1-31](#) SMCCCD Board of Trustees, Board Policy 8.13, Public Safety on District Property
- [III.B.1-32](#) SMCCCD Board of Trustees, Administrative Procedure 8.13.1, Public Safety on District Property, Campus Safety, Campus Security and Access
- [III.B.1-33](#) SMCCCD Board of Trustees, Board Policy 8.48, Traffic Regulations
- [III.B.1-34](#) SMCCCD Board of Trustees, Administrative Procedure 8.48.1, Parking
- III.B.1-35 SMCCCD Board Report, Approval of 2020-2024 Five-Year Capital Construction Plan, 25 July 2018
- ~~III.B.1-36 SMCCCD Bond Oversight Committee~~ [III.B.1-05:](#)
- ~~III.B.1-37 SMCCCD Bond Oversight, Measure H Bond Projects List~~ [III.B.1-03:](#)

III.B.1-38 SMCCCD District Safety Committee meeting agenda and minutes (sample)
III.B.1-39 SMCCCD Emergency Preparedness Task Force meeting agenda (sample)
[III.B.1-40](#) SMCCCD Employee Handbook
[III.B.1-41](#) SMCCCD Facilities, Cañada College and College of San Mateo Roadway and Parking Lot
Fixture LED Retrofit Project
III.B.1-42SMCCCD Five Year Capital Construction Plan, 2020-2024
III.B.1-43 SMCCCD Human Resources training/workshop (sample)
III.B.1-44 Tabletop exercise agenda
III.B.1-45 Weekly safety training schedule

Analysis and Evaluation

The District provides regular assessment of facilities and equipment to ensure safety. Employees can report unsafe conditions or general safety concerns through multiple channels including the College Safety Committee, work order system, and District Safety Committee. A process by which all personnel and students can report unsafe physical facilities is in place and communicated to the campus community. Campus personnel can request additional physical resources through the annual resource request process. The District provides leadership on facility and safety planning and allocates resources for continual improvement of the safety and maintenance of College facilities and equipment.

The College Safety Committee meets every other month to ensure all facilities, grounds, and equipment is in safe and working orderⁱ. The committee focuses on campus safety functions including reviewing campus construction activities and employee safety improvement recommendationsⁱⁱ. The committee aims to take a comprehensive and proactive approach to safety that is communicated to the campus. The District Safety Committee meets every quarter to discuss all District safety-related matters including facilities and securityⁱⁱⁱ. Additionally, a District Emergency Preparedness Task Force meets bi-monthly to ensure a coordinated effort to emergency preparedness across all three colleges^{iv}. The campus Facility Manager, VP-AS and Public Safety Captain regularly meet to discuss safety and security of campus facilities.

Any off-campus locations where regular instruction or business is conducted are also assessed and maintained to ensure facilities and equipment is in good working order^{v, vi}. District Board Policies^{vii, viii, ix} provide the directive and structure that ensures all College activities both on and off-campus are safety and secure.

The Office of Human Resources provides workshops and information to all employees on topics such as injury and illness prevention and employee self-care^x. Additionally, HR staff is trained to conduct employee ergonomic assessments. Employee health and safety is addressed in the District Employee Handbook^{xi} and collective bargaining agreements^{xii, xiii, xiv}.

The Facilities Department is responsible for the maintenance and operations of campus facilities and grounds. Employees can report facility issues and request facility repairs through the Onuma electronic work order system. Work orders are prioritized and addressed in a timely manner by the Facilities Team^{xv}. Campus Project Requests can be submitted by emailing a Project Request form to division deans. Once the dean approves, the VPAS will discuss with the campus Facility Manager during their weekly meetings^{xvi}. Emergency needs such as broken glass can be reported via telephone or UHF radio for an immediate response. Facilities are systematically checked throughout the day for cleanliness and safety.

The District's Facility Master Plan^{xxvii} and Five-Year Capital Outlay Plan^{xxviii}, which was approved by the Board of Trustees^{xxix}, drive the development of physical resources at Cañada. With the support of our local community through the Measure H bond, the College is currently constructing two brand-new instructional buildings: a state-of-the-art Kinesiology and Wellness Center^{xxx} and a technologically advanced Science and Technology building^{xxxi}. The District also participates in state scheduled maintenance, energy, and capital outlay programs^{xxxii}. The college's Executive Team attends bi-weekly meetings with district construction staff to discuss all capital projects, identify potential safety and/or logistical concerns, and mitigate concerns^{xxxiii}.

In 2016/2017, the campus completed an upgrade of all exterior lighting to improve safety around building exteriors and parking lots using Prop 39 funding^{xxxiv}. Public safety provides safety escorts to students and employees upon request. Emergency phones are located throughout the campus in all major buildings^{xxxv}. Over the past 2 years, the District has provided resources to upgrade door locks throughout the campus to ensure all classrooms and offices have push button or thumb turn locking capability on the interior door in the event of an armed intruder situation^{xxxvi}. Public safety also provides emergency alerts through the AlertU system^{xxxvii} and every classroom and common area on campus has an Emergency Zone poster with pertinent information in the event of an emergency or evacuation^{xxxviii}. In response to a 2018 survey, Cañada College collected responses from 215 students, showing that 135 feel safe on the campus^{xxxix}.

The facilities department conducts weekly safety training to ensure all employees receive necessary training to mitigate industrial injuries and illness^{xxx}. A District-level Facilities Safety Task Force meets quarterly to review routine safety inspection reports, departmental accident reports, and discuss best practices for safety^{xxxi}. All maintenance certifications such as fire extinguishers, backflow prevention devices, elevators, and exhaust hoods are up-to-date and in working order^{xxxii}. The College has an approved Hazardous Materials Business Plan in accordance with local and state requirements^{xxxiii}.

The District provides a Department of Public Safety at each campus^{xxxiv}, led by a Captain. Each semester, there is a minimum of one emergency preparedness drill for all students and employees^{xxxv} and regular emergency operations center trainings and simulations for College leadership^{xxxvi}. In August 2018, the District hired our first Emergency Preparedness Manager to coordinate emergency preparedness and safety across the district.

In September 2017, the District conducted a comprehensive review of the safety and security of the college campuses. This included on-site review of physical safety, interviews with employees and review of existing policies, procedures, and documentation. All employees and students were engaged in the process^{xxxvii}. The review culminated with a thorough report with recommendations to further strengthen the safety and security of physical resources at all District locations^{xxxviii}. Additional funding was allocated to the Department of Public safety to increase the number of personnel, update existing equipment, and secure new vehicles^{xxxix}.

The facilities of Cañada College are designed, built and properly maintained to ensure that safe and sufficient physical resources exist that facilitate teaching and learning in support of student success. The Board has policies^{xl} and procedures^{xli} in place that provide a foundation for the provision of safe and sufficient physical resources at the College. College administration and the

SMCCCD Vice Chancellor of Facilities, Planning, Maintenance and Operations give safety issues the highest priority.

2. The institution plans, acquires or builds, maintains, and upgrades or replaces its physical resources, including facilities, equipment, land, and other assets, in a manner that assures effective utilization and the continuing quality necessary to support its programs and services and achieve its mission.

Evidence of Meeting the Standard

- III.B.2-1 Ad Astra RFP
- [III.B.2-2](#) Administrative Services, Space Allocation
- III.B.2-3 Adopted space allocation guiding principles
- III.B.2-4 Annual Planning Resource Request, Biological and Health Sciences, 2017-2018 (sample)
- III.B.2-5 Annual scheduled maintenance report
- III.B.2-6 APPA service levels
- III.B.2-7 Building 13 roof replacement/HVAC project
- III.B.2-8 Building 3 Lobby glass replacement project
- III.B.2-9 College Technology Plan
- III.B.2-10 Custodial work schedule
- III.B.2-11 District Purchasing Guidelines
- [III.B.2-12](#) Educational Master Plan (EMP)
- III.B.2-13 Facility assessment/inspection
- III.B.2-14 FPP application, Building 13
- III.B.2-15 IPP application, Building 3
- [III.B.2-16](#) PBC minutes discussing space allocation (May 18, 2016; p. 3-4, Item II.D Space Allocation Update)
- [III.B.2-17](#) Program Review, Business, Accounting and Paralegal, 2017-2017
- III.B.2-18 Sample project request
- III.B.2-19 Sample technology resource request
- III.B.2-20 Sample work order
- [III.B.2-21](#) SMCCCD 2015 Amendment to the 2011 Facilities Master Plan
- III.B.2-22 SMCCCD Facility Space Inventory
- [III.B.2-23](#) SMCCCD Strategic Plan
- III.B.2-24 SMCCCD Technology Plan
- III.B.2-25 Space inventory report
- III.B.2-26 Technology committee description
- III.B.2-27 Technology replacement schedule

Analysis and Evaluation

Instructional and student support program needs are the primary consideration when planning facility use. The college regularly assesses facility use through enrollment and capacity/load ratios and space inventory reports^{xlii}. Comprehensive program reviews are conducted every two years provide an opportunity for programs to identify facility and equipment needs^{xliii}. The College annual planning process provides all programs the opportunity to request facility and equipment needs as well^{xliv}. Long-term needs are incorporated into the EMP^{xlv}, which in turn is used to inform comprehensive District Facilities Master Plan^{xlvi} and both District^{xlvii} and College^{xlviii} Technology Plans. These plans provide the framework for facility and equipment resource allocation decisions at the college.

Through the collaborative planning process, the College identified facility needs not fully addressed through the Measure H bond. Two capital construction projects—modernization of Building 13^{lxix} and Building 3^l—were submitted to the State capital outlay program. As the college awaits approval for state funding on these projects, some of the facility needs have been addressed using scheduled maintenance and other funds^{li, lii}.

During the 2016/2017 academic year, the District coordinated efforts between the three colleges to identify gaps within existing facility use and scheduling. During this process a need emerged for a comprehensive overhaul of the college scheduling process. The three colleges worked together to develop a Request for Proposal^{liii} and following district guidelines^{liv} selected a scheduling software vendor, Ad Astra. In 2017, the PBC formed a Space Allocation Workgroup to assess existing governance processes. Over the course of 18 months, the group assessed existing governance processes, reviewed best practices, and developed space allocation guiding principles^{lv}. The Council formally adopted a set of space allocation guiding principles in May 2016^{lvi}. The resulting principles can be viewed on the Space Allocation website^{lvii}.

The College uses multiple processes to ensure program and service needs drive equipment purchases and replacements, facility modifications, and maintenance needs. The SMCCCD Facilities Planning Department submits a Facilities Space Inventory Report as required to the State every three years as part of the overall assessment and evaluation of all District facility use^{lviii}. The District also submits an annual Scheduled Maintenance Report to the State, identifying the College's needs for scheduled maintenance and requesting state funds for prioritized projects^{lix}.

The Facilities, Maintenance, and Operations team maintains and monitors all college facilities. For ongoing facility maintenance, the College uses Dabblefox software to produce custodial schedules^{lx}, Onuma for work order systems^{lxi} and project requests^{lxii}. All college facilities are maintained using APPA levels as a benchmark^{lxiii}. Monthly quality assurance inspections for cleanliness are conducted and any issues identified are addressed^{lxiv}.

Technology is constantly evaluated and replaced or upgraded by ITS staff. The ITS technicians work closely with faculty, staff, and administrators to maintain awareness of technology replacements. Replacements of classroom technology are done using a schedule to ensure regular, systematic replacement to keep all classroom technology updated and in good working order^{lxv}. The College further evaluates technology needs through its technology committee^{lxvi} and annual program planning process^{lxvii}.

Facility planning is aligned with the College mission and ultimately driven by the District^{lxviii} and College^{lxix} strategic plans. The College ensures that program and service needs determine equipment replacement and maintenance through a comprehensive program review and annual resource request process.

3. 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.

Evidence of Meeting the Standard

III.B.3-1 Business hub project overview

- [III.B.3-2](#) Cañada College Facilities Rental, Overview
- [III.B.3-3](#) Cañada College Program Review, Process
- III.B.3-4 Capital Improvement Program (CIP) cabinet meeting agenda
- III.B.3-5 CEQA documentation
- III.B.3-6 Course scheduling screenshot
- III.B.3-7 Course scheduling system snapshot
- III.B.3-8 Facilities resource request (sample)
- III.B.3-9 Facility use permit
- III.B.3-10 Resource request prioritization decisions
- III.B.3-11 Sample Ad Astra report, events usage/event schedule
- III.B.3-12 Sample Ad Astra report, instructional usage
- III.B.3-13 Sample report
- [III.B.3-14](#) SMCCCD Board of Trustees, Board Policy 8.80 Community Use of District Facilities
- III.B.3-15 SMCCCD Final Environmental Impact Report (EIR)
- III.B.3-16 Standing meeting: College President, VPA, and Facility Manager

Analysis and Evaluation

The College regularly assesses facility use using a multi-pronged approach. The Facility Manager meets regularly with the President and VPAS to discuss the status and needs of campus facilities^{box}. College administrative staff review room usage reports using Ad Astra to plan for class scheduling^{boxi}. The staff coordinating facility use for events monitors room use and reports trends and needs to the VPAS and Campus Facility Manager^{boxii}. Each semester, division deans work with staff to plan and optimize course scheduling^{boxiii}. The College uses Ad Astra to provide enrollment analytics in order to continually maximize facility use and increase institutional capacity that meets students' instructional and support needs^{boxiv}.

The College uses Ad Astra to manage facility use requests for all activities, both internal and external^{boxv}. The class schedule from Banner is downloaded into Ad Astra in real-time and is an integral part of the overall room scheduling process. Non-instructional facility reservations are managed in Ad Astra to ensure non-instructional or external facility requests do not displace or disrupt student instruction or support services^{boxvi}. College instructional programs have priority access to facilities. Facility use by external entities requires a facility use permit^{boxvii} and insurance in accordance with board policy^{boxviii}.

Capital construction projects are planned in accordance with all local and state regulatory requirements. The District conducted an Environmental Impact Report^{boxix} and went through the California Environmental Quality Act (CEQA) process^{boxx} for all Measure H projects. As projects are planned and implemented, logistics and campus impacts are discussed with the college during bi-weekly Capital Improvement Program (CIP) cabinet meetings^{boxxi}.

The College continually improves facilities and equipment through ongoing assessment of classroom needs. Faculty and staff identify needs through program review and the annual planning process^{boxxii}. Resource requests are discussed and prioritized through the participatory governance process^{boxxiii} and decisions are communicated to the campus^{boxxiv}. The College also uses evaluation of needs to leverage external grant and categorical funding to address identified areas of improvement. The College recently renovated space within Building 13 to create a Business hub with state-of-the-art technology, student collaboration space, and individual student study space^{boxxv}.

4. Long-range capital plans support institutional improvement goals and reflect projections of the total cost of ownership of new facilities and equipment.

Evidence of Meeting the Standard

- III.B.4-1 Five-year instructional equipment plan
- III.B.4-2 APPA standards
- III.B.4-3 CAN B23 RFP requirements
- III.B.4-4 Construction forum invitation
- III.B.4-5 Construction planning agenda and minutes
- [III.B.4-6](#) Educational Master Plan (EMP)
- III.B.4-7 LEED scorecard
- [III.B.4-8](#) Participatory Governance Manual (PGM)
- [III.B.4-9](#) Program Review, Process
- III.B.4-10 Resource allocation model, facilities assumptions
- [III.B.4-11](#) SMCCCD 2015 Amendment to the 2011 Facilities Master Plan
- III.B.4-12 SMCCCD Board Report, Approval of 2020-2024 Five-Year Capital Construction Plan, 25 July 2018
- III.B.4-13 SMCCCD Five-Year Capital Construction Plan, 2020-2024
- [III.B.4-14](#) SMCCCD Strategic Plan
- [III.B.4-15](#) SMCCCD Strategic Plan, Scorecard and Metrics

Analysis and Evaluation

The college uses participatory governance processes to provide input and feedback on institutional planning and long-range capital planning^{lxxxvi}. Physical resource needs are identified and addressed through the annual resource allocation process^{lxxxvii}. As new facilities are planned and designed, the College uses a collaborative process to gather input and information from college stakeholders^{lxxxviii}.

Long-range capital plans guide decision-making through planning documents such as the SMCCC Facilities Master Plan^{lxxxix}, the Five-Year Construction Plan^{xc}, the EMP^{xcj} and District Strategic Plan^{xcii}. The District conducts a total cost of ownership (TCO) assessment of personnel needs to maintain new technology or facilities, ongoing maintenance costs, depreciation, and replacement plans for equipment. Resources related to TCO assessments are included in long-term planning to ensure facilities are sustainable and equipment is functional and modern^{xciii, xciv}.

In anticipation of increased building related to Measure H projects, District facilities prepared a staffing plan using APPA standards for allocating staff based on assignable square footage and level of service^{xcv}. The plan is used to guide planning and assessment of staffing needs and is taken into consideration in resource allocation multi-year budget projections^{xcvi}.

SMCCCD is committed to sustainable facilities, equipment, and technology. As such, consideration of life-cycle costs is carefully reviewed in capital planning. All proposals for new construction projects are required to include a TCO component^{xcvii}. To minimize future custodial and maintenance costs, the College Facilities department has been involved in the planning, design, and selection of material for new facilities^{xcviii}. To maximize future energy savings, the college's new facilities have been designed to the Green Building Council's Leadership in Energy and Environmental Design (LEED) certification standards^{xcix}.

Long-range capital plans are linked to institutional planning and planning processes ensure that capital projects support College goals. The District has identified the elements which comprise the total cost of ownership to use when making decisions about facilities and equipment. The District systematically assesses the effectiveness of long-range capital planning in advancing institutional goals through metrics and outcomes⁶.

Conclusions on Standard III.B. Physical Resources

[insert response]

Improvement Plan(s)

[insert response if applicable]

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- ⁱ [III.B.1-12](#)
ⁱⁱ [III.B.1-13](#)
ⁱⁱⁱ [III.B.1-38](#)
^{iv} [III.B.1-39](#)
^v [III.B.1-22](#)
^{vi} [III.B.1-26](#)
^{vii} [III.B.1-30](#)
^{viii} [III.B.1-31](#)
^{ix} [III.B.1-32](#)
^x [III.B.1-43](#)
^{xi} [III.B.1-40](#)
^{xii} [III.B.1-1](#)
^{xiii} [III.B.1-2](#)
^{xiv} [III.B.1-15](#)
^{xv} [III.B.1-14](#)
^{xvi} [III.B.1-23](#)
^{xvii} [III.B.1-27](#)
^{xviii} [III.B.1-42](#)
^{xix} [III.B.1-35](#)
^{xx} [III.B.1-7](#)
^{xxi} [III.B.1-8](#)
^{xxii} [III.B.1-21](#)
^{xxiii} [III.B.1-3](#)
^{xxiv} [III.B.1-41](#)
^{xxv} [III.B.1-6](#)
^{xxvi} [III.B.1-5](#)
^{xxvii} [III.B.1-28](#)
^{xxviii} [III.B.1-8](#)
^{xxix} [III.B.1-4](#)
^{xxx} [III.B.1-45](#)
^{xxxi} [III.B.1-20](#)
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^{xxxviii} [III.B.1-24](#)
^{xxxix} [III.B.1-29](#)
^{xl} [III.B.1-33](#)
^{xli} [III.B.1-34](#)
^{xlii} [III.B.2-25](#)

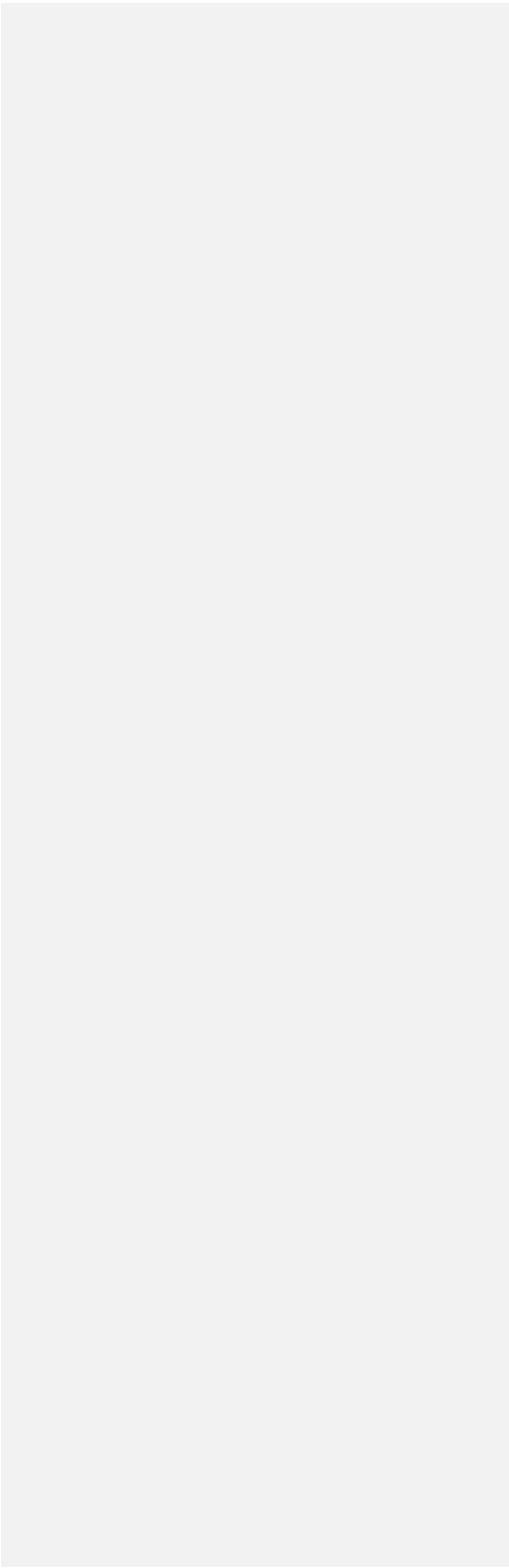
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xcvi [III.B.4-10](#)

xcvii III.B.4-3

xcviii III.B.4-5

xcix III.B.4-7

c III.B.4-15



For III.C: we are still work a final draft at this time. We will update this soon.

C. Technology Resources

1. Technology services, professional support, facilities, hardware, and software are appropriate and adequate to support the institution's management and operational functions, academic programs, teaching and learning, and support services.

Evidence of Meeting the Standard

[insert response]

Analysis and Evaluation

[insert response]

2. The institution continuously plans for, updates and replaces technology to ensure its technological infrastructure, quality and capacity are adequate to support its mission, operations, programs, and services.

Evidence of Meeting the Standard

[insert response]

Analysis and Evaluation

[insert response]

3. The institution assures that technology resources at all locations where it offers courses, programs, and services are implemented and maintained to assure reliable access, safety, and security.

Evidence of Meeting the Standard

[insert response]

Analysis and Evaluation

[insert response]

4. The institution provides appropriate instruction and support for faculty, staff, students, and administrators, in the effective use of technology and technology systems related to its programs, services, and institutional operations.

Evidence of Meeting the Standard

[insert response]

Analysis and Evaluation

[insert response]

5. The institution has policies and procedures that guide the appropriate use of technology in the teaching and learning processes.

Evidence of Meeting the Standard

[insert response]

Analysis and Evaluation

[insert response]

Conclusions on Standard III.C. Technology Resources

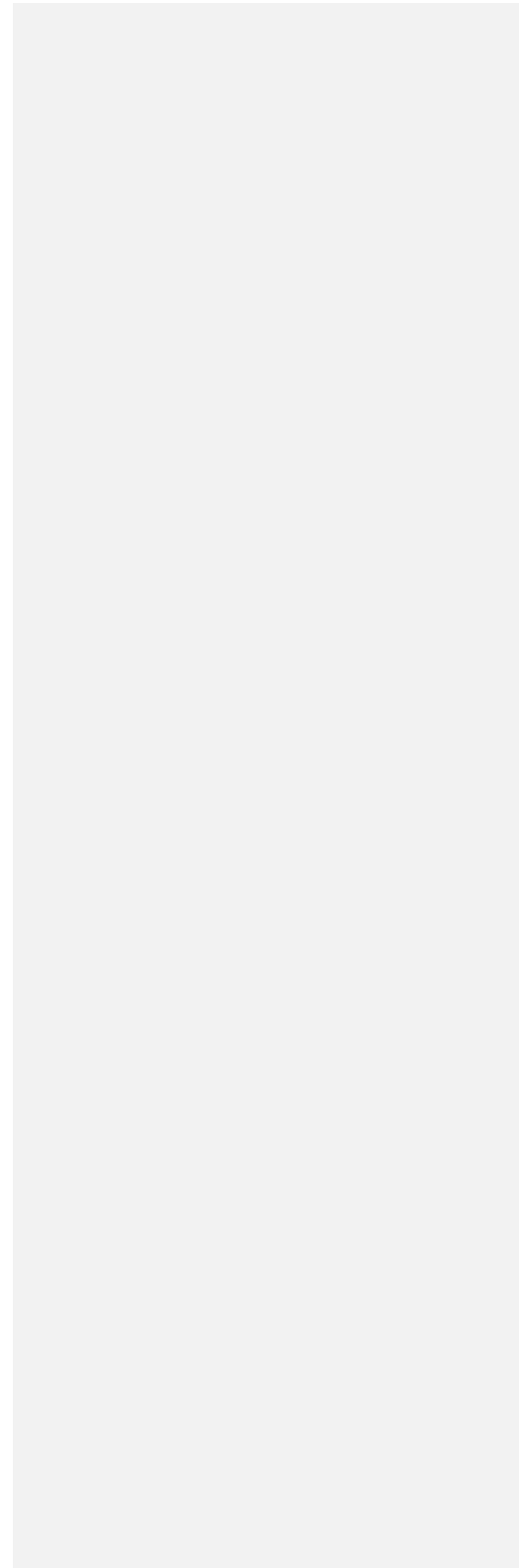
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Improvement Plan(s)

[insert response if applicable]

Evidence List

[insert list]



For III.D: Evidence with no link is in the Evidence Folder on SharePoint; we will be revising this with live links soon.

D. Financial Resources

Planning

1. Financial resources are sufficient to support and sustain student learning programs and services and improve institutional effectiveness. The distribution of resources supports the development, maintenance, allocation and reallocation, and enhancement of programs and services. The institution plans and manages its financial affairs with integrity and in a manner that ensures financial stability. (ER 18)

Evidence of Meeting the Standard

- III.D.1-1 CCCCC Exhibit A
- III.D.1-2 CCCCC Exhibit R
- [III.D.1-3 Educational Master Plan](#)
- III.D.1-4 FY 16.17 Financial Audit Report
- III.D.1-5 FY 17.18 Unrestricted Allocation
- III.D.1-6 FY 18.19 College Budget
- III.D.1-7 Grant Proposal Development Flow Chart
- III.D.1-8 List of External Grants
- III.D.1-9 Measure H Bond Funded Projects
- III.D.1-10 Resource Allocation Model
- [III.D.1-11 SMCCCD Board of Trustees, Board Policy 8.11 District Budget](#)
- [III.D.1-12 SMCCCD Board of Trustees, Administrative Procedure 8.11.1 District Budget](#)
- [III.D.1-13 SMCCCD Board of Trustees, Board Policy 8.00 Fiscal Management](#)
- [III.D.1-14 SMCCCD Board of Trustees, Administrative Procedure 8.00.1 Fiscal Management](#)
- III.D.1-15 SMCCCD Budget Development Process
- [III.D.1-16 SMCCCD Facilities, Cañada College B1N Kinesiology and Wellness](#)
- [III.D.1-17 SMCCCD Facilities, Cañada College B23 New Science and Technology Building](#)
- III.D.1-18 SMCCCD Innovation Fund Report, FY 16.17
- [III.D.1-19 SMCCCD Strategic Plan](#)
- III.D.1-20 Three-Year Revenue Projections

Analysis and Evaluation

Cañada College is part of the San Mateo County Community College District (SMCCCD), a three-college district. It has sufficient revenues to support educational improvement and innovation. As a community-supported district, SMCCCD is fortunate to have property taxes in excess of the state determined revenue limit. This means that the College has resources available that would not be possible as a state-funded institution. Finances are managed with integrity in a manner that ensures short and long-term financial stability. Resources are allocated using a process that provides a means to fund institutional improvements and maintain student success.

Fiscal policies^{i, ii} are codified as Board Policies to guide the effective management of fiscal affairs in a manner which ensures fiscal stability and integrity in resource allocations. The District's annual audits have had no fiscal findings or audit adjustments over the last 3 yearsⁱⁱⁱ. The College's site allocation of unrestricted general funds is a proportional share of the SMCCCD local revenue and annual expenditure budget based on the District's resource allocation model^{iv}. The College has an EMP^v that is integrated with the District Strategic Plan^{vi},

and the District provides funding to the College specifically for the implementation of this plan over the last 3 years^{vii}.

For the 2017-2018 fiscal year, the College's total unrestricted fund budget was \$25.2 million^{viii}. This budget funds the general operating expenses of the institution. For the 2018-2019 fiscal year, the College total unrestricted budget is \$27.9 million (III.D.1-04). Personnel costs comprise 95% of the college's unrestricted general fund budget. The remaining 5% of the College's budget is allocated for supplies, materials, operating costs, and capital outlay^{ix}. The District funds some of the direct college operating costs such as utilities. The District is community supported, meaning that the District does not receive state apportionment and is directly funded by local property tax revenue^x. The increase in unrestricted funds from prior year levels is the result of increases in local property tax revenue. The College receives restricted funds for state-funded categorical programs, local revenue such as parking and health fees, and externally funded grants^{xi, xii}. The unrestricted and restricted budgets combine to provide the college the resources necessary to support and sustain student learning programs and services and to improve institutional effectiveness.

Voters approved Measure H in November 2014, a general obligation bond to improve and construct educational facilities at all three campuses in the District. The College's share of Measure H is approximately \$102 million^{xiii}. With this revenue, the College has been able to fund important new projects from the SMCCCD Facilities Master Plan including a new Kinesiology and Wellness Center^{xiv} as well as a new Science and Technology Building^{xv}.

The District prepares and provides the College with 3-year revenue projections annually to ensure sufficient resources are available for short and long-term planning. The projections indicate the District can balance its budget for each of the 3 years included in the projections. The District also has reserves in the unrestricted general fund that routinely exceed the State's recommended reserve of 5% and the college maintains a healthy contingency fund^{xvi}. In addition to the unrestricted general fund budget, the College also relies on restricted funds such as grants to support its mission. All grants are developed to directly support the mission and priorities of the College. Grant planning includes faculty and staff who ultimately implement the projects^{xvii}. Examples of recently funded grants that support the college mission include:

- HSI Stem Ganas
- HSI ESO Adelante
- Promise Innovation

The District follows established policies^{xviii, xix} and procedures^{xx, xxi}, regulations, and accepted accounting practices^{xxii} in managing resources. The District annual audit reports reflect the integrity of the institution's financial management and stability^{xxiii} (III.D.1-03).

2. The institution's mission and goals are the foundation for financial planning, and financial planning is integrated with and supports all institutional planning. The institution has policies and procedures to ensure sound financial practices and financial stability. Appropriate financial information is disseminated throughout the institution in a timely manner.

Evidence of Meeting the Standard

- III.D.2-1 Budget Projection Discussion
- [III.D.2-2 Educational Master Plan \(EMP\)](#)
- III.D.2-3 Enrollment and Productivity Report
- [III.D.2-4 FY 2017.2018 External Audit Report](#)
- III.D.2-5 Integrated Planning Calendar
- [III.D.2-6](#) PBC meeting discussing the college's mission review process (September 20, 2017; p. 3-4, Item II.F)
- [III.D.2-7](#) PBC meeting discussing the 3-year budget projections, new position approvals, and a budget development timeline (February 21, 2018; p. 2-3, Items II.4 Three-year Budget Projections, II.5 New Position(s) Approval, II.6 Budget Development Timeline)
- [III.D.2-8](#) PBC meeting discussing College Budget Principles (March 21, 2018; p. 3, Item II.5)
- [III.D.2-9](#) PBC meeting discussing the FCMAT Report Update and the Enrollment Management Task Force (September 5, 2018; p. 1, Item 2 FCMAT Report Update; p. 2-3, Item 6 Enrollment Management Task Force)
- [III.D.2-10](#) PBC meeting discussing integrated planning and budgeting for the college (September 6, 2017; p. 2, II.A Integrated Planning and Budgeting)
- [III.D.2-11](#) Program Review, Process
- III.D.2-12 Sample Budget Availability Report, Enrollment Services
- III.D.2-13 Sample Program Review
- [III.D.2-14](#) SMCCCD Board minutes approving the FY 2018-19 Budget (September 12, 2018; Item 18-9-101B, p. 7-9)
- [III.D.2-15](#) SMCCCD Board of Trustees Agenda Packet for June 21, 2018 (p. 49-78, Item 18-6-102B Adoption of the 2018-19 Tentative Budget)
- [III.D.2-16](#) SMCCCD Board Website
- [III.D.2-17](#) SMCCCD Financial Services, FY 18-19 Budget Report

Analysis and Evaluation

Financial planning and associated resource allocation is integrated into the college planning processes and aligned with the institution's mission and goals. PBC has developed guiding principles to effectively support budget development and resource allocation decisions^{xxiv}. The College's resource allocation process is designed to support the achievement of its plans and goals through funding of needs identified through the program review process. The District and College have a variety of financial controls in place to ensure fiscal stability including board policies and administrative procedures that guide the budget development process. The workflow for requisitions and expenditures requires approval at the budget manager level, college VP level, and ultimately by the District Budget Officer before any expenditure can be made. The effectiveness of these financial controls is evidenced in the District Annual Budget Report^{xxv}.

The District's prudent approach to fiscal management and strong reserves mitigates cash flow deficiencies stemming from delayed revenue streams. The District has sufficient insurance to

cover its needs. Areas covered by self-funded insurance are supported by sufficient reserves to handle financial emergencies.

The college mission is at the forefront of annual fiscal planning through annual review and discussion of the mission statement during participatory governance meetings^{xxvi}. The EMP provides strategic direction that serve as college goals which inform financial planning and decision-making for the College^{xxvii}. Resources are allocated to programs and services that align with the college mission through an integrated planning process using program review as the primary mechanism for identification of program and area needs^{xxviii}.

All instructional departments, student services areas, and administrative units conduct program reviews to evaluate effectiveness leading to improvement every 2 years. These reviews demonstrate alignment with the college mission and strategic goals, highlight areas of strength, describe assessment results, and request resources needed to make improvements^{xxix}. Personnel requests, funding allocations, facilities improvement, and technology purchases are initiated through the program review process. Items requested in program review are prioritized at the department and division levels. Compiled resource requests are then prioritized by the appropriate planning council and ultimately reviewed by the PBC to provide a funding recommendation to the President^{xxx}.

The College's general fund budget is developed using the District Resource Allocation Model and includes FTES goals. The College uses data and reports to carefully manage student enrollment and monitor budget expenditures in order to monitor enrollment goals while staying within its financial means^{xxxi, xxxii}. The College maintains a sufficient ending balance each year to maintain a reserve needed for emergencies^{xxxiii}. The District has reserves in the Unrestricted General Fund that routinely exceed the State's recommended reserve of 5%^{xxxiv}. The District plans its cash flows carefully as the bulk of its funds come twice a year, in December and in April. While the District used to issue Tax Revenue Anticipation Notes, the cash balances are sufficient such that TRANs are no longer needed.

The SMCCCD Executive Vice Chancellor provides regular budget information to the Board of Trustees. Information provided includes tentative budget, adopted budget, district innovation fund projects, and quarterly budget reports^{xxxv}. The Board approves the annual budget^{xxxvi} and external audit reports^{xxxvii} in an open public session. Representatives from each college are in attendance at board meetings, and all information presented to the Board is publicly available^{xxxviii}. The Board receives updates about progress on the District's strategic plan as part of the tentative budget approval in June and adopted budget approval in September. These updates include budget and actual spending as well as progress on the goals set in the plan^{xxxix}.

The President provides information regarding enrollment and related matters to the campus community through the governance process and general communications in order to link financial decisions to institutional planning^{xl}. Budget information is regularly presented to the PBC; members report information back to their stakeholders, gather input from their constituencies, and return to PBC for further discussion^{xli, xlii}.

Detailed financial information is available to the College through the college's Banner enterprise resource system and WebSmart information system. Managers and staff have access to

financial information reports at the department, division, and college levels. The Business Office provides regular financial reports for the campus community to view^{xliii}.

The District has a \$350,000 deductible for its workers compensation insurance, and the estimated liability for incurred but not reported costs is fully funded. The District completes and actuarial study each year for workers compensation to determine the rate we charge ourselves. The District has property, inland marine, and boiler and machinery insurances with a deductible of \$150,000. The District has liability insurance in two layers with a \$150,000 deductible. The District budgets for insurance claims within the deductibles and maintains a reserve for claims.

3. 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.

Evidence of Meeting the Standard

- III.D.3-1 Annual Integrated Planning Calendar
- III.D.3-2 Budget Office
- III.D.3-3 DCBF Agenda 05.15.2018
- III.D.3-4 DCBF Minutes 04.17.2018
- III.D.3-5 Educational Master Plan (EMP)
- III.D.3-6 FY 18-19 College Tentative Budget Presentation
- III.D.3-7 FY 18-19 District Tentative Budget Presentation
- III.D.3-8 FY 18-19 College Budget Principles
- III.D.3-9 FY 18-19 Resource Allocation Model
- III.D.3-10 FY 18-19 Resource Requests, Detailed
- III.D.3-11 FY 18-19 Resource Requests, Summary
- III.D.3-12 PBC Agenda 05.16.2018
- III.D.3-13 PBC meeting discussing the 3-year budget projections, new position approvals, and a budget development timeline (February 21, 2018; p. 2-3, Items II.4 Three-year Budget Projections, II.5 New Position(s) Approval, II.6 Budget Development Timeline)
- III.D.3-14 PBC meeting discussing the FCMAT Report Update and the Enrollment Management Task Force (September 5, 2018; p. 1, Item 2 FCMAT Report Update; p. 2-3, Item 6 Enrollment Management Task Force)
- III.D.3-15 SMCCCD Board of Trustees Agenda Packet for 21 June 2018 (p. 49-78, Item 18-6-102B Adoption of the 2018-19 Tentative Budget)
- III.D.3-16 SMCCCD Financial Services, Budget
- III.D.3-17 SMCCCD Financial Services, FY 18-19 Budget Report
- III.D.3-18 SMCCCD Integrated Budget Planning Calendar

Analysis and Evaluation

The College's financial planning and resource allocation are integrated in the planning process, and college processes are clearly defined. Established processes for financial planning and budget development are communicated to the college and made publicly available. The College's processes are used to ensure consistent participation in financial planning and budget development using the participatory governance structure and through open, transparent communication with the College.

The District^{xliv} and College^{xlv} have established clearly defined policies and procedures for financial planning in budget development. The District provides a resource allocation model^{xlvi}

approved by the DCBF to guide the budget and allocation processes. Resource allocation to the colleges follows a budget timeline^{xlvii} that is approved by the Board of Trustees and is publicly available. The budget timeline^{xlviii} is shared with the PBC, the college participatory governance council responsible for recommending the tentative budget to the President^{xliv}. Budget development at the College is completed within the timeline and submitted to the District.

The College receives notice of the initial annual budget allocation following review at the district level. At the college level, allocation of financial resources is managed in manner to effectively fulfill the college mission and work toward achieving the strategic directions outlined in the EMPⁱ. In order to ensure that college resources are aligned with the mission, guiding principles adopted by PBC are used and budget development is completed through the college governance structure^{li}. The College uses the initial allocation to develop the budget using three major cost centers: permanent personnel, hourly personnel, and operating costs. The VP-AS is responsible for creating the tentative college budget in May^{lii} and presents the budget to PBC for review and approval^{liii}. The budget is then sent to the President for final review before submission to the District.

The Executive Vice Chancellor uses the tentative college budget approved through the governance structure to complete the district tentative budget^{liv}. In accordance with California Education Code, the Board of Trustees adopts the district tentative budget^{lv}. Upon adoption of the statewide budget and final San Mateo County property tax revenue, the District provides a revised Resource Allocation Model with adjusted revenue^{lvi} so the College can prepare a final budget accordingly. The College adopted budget is presented to PBC in September before final adoption by the Board of Trustees^{lvii}.

College resource allocations support the strategic goals through the provision of resources identified in program review. In addition to program review, departments have opportunity to submit resource requests for consideration^{lviii}. This process ensures that institutional needs, such as replacement of equipment in classrooms, are included in the development of the budget and allocation of resources. Resource requests must provide evidence of supporting the college mission and EMP goals^{lix}. When making allocations, PBC uses the Guiding Principles to establish priorities in alignment with the mission and strategic directions in order to evaluate requests.

The DCBF is a district-wide participatory governance group that reviews the annual Resource Allocation Model^{lx, lxi}. The Resource Allocation Model determines the distribution of unrestricted general fund resources and serves to ensure allocation of resources through alignment with State guidelines.

Fiscal Responsibility and Stability

4. Institutional planning reflects a realistic assessment of financial resource availability, development of financial resources, partnerships, and expenditure requirements.

Evidence of Meeting the Standard

- III.D.4-1 Budget Availability Report, English Department
- III.D.4-2 College Integrated Planning Calendar
- III.D.4-3 FY 18-19 College Adopted Budget

- [III.D.4-4](#) FY 18-19 College Tentative Budget Presentation
- [III.D.4-5](#) FY 18-19 Prioritized Resource Requests
- [III.D.4-6](#) FY 2018-19 College Budget Principles Presentation
- [III.D.4-7](#) PBC Agenda 05.16.2018
- [III.D.4-8](#) PBC meeting discussing integrated planning and budgeting for the college (September 6, 2017; p. 2, II.A Integrated Planning and Budgeting)
- [III.D.4-9](#) PBC meeting discussing a budget update and the resource request process (February 7, 2018; p. 2, Items II.3 Budget Update, II.4 Resource Request Process)
- [III.D.4-10](#) SMCCCD Board Agenda Packet for September 12, 2018 (p. 29, Item 18-9-101B Adoption of the 2018-19 Final Budget)

Analysis and Evaluation

Financial information is readily available to college faculty and staff, allowing planning to realistically reflect the college's available resources. College leadership regularly communicates projected and actual revenue and expense information to support informed fiscal decision-making. The processes for resource allocation are clearly outlined in the College Integrated Planning Model^{lxii}. Individuals involved in institutional planning receive accurate information regarding available funds, including the annual budget showing ongoing and anticipated financial commitments. The College establishes funding priorities in a manner that supports achievement of the institution's mission and goals.

The College budget is developed through an iterative process that begins with review of position control—permanent employees' salaries and benefits—to ensure accuracy of payroll accounts and staffing information. Of the college's 2018/2019 general fund budget, 95% was committed to salaries and benefits with the remaining 5% budgeted for supplies, travel, maintenance, and other operating costs^{lxiii}.

PBC establishes recommendations for the allocation of resources^{lxiv, lxv}. PBC uses a set of guiding principles^{lxvi} to ensure resource decisions are based on alignment with the college mission and goals. PBC receives a list of needs identified through the annual program review process once the requests have been prioritized by the division and corresponding planning council. Upon receipt of the prioritized lists, the PBC reviews all the requests and forwards a master prioritized list as a funding recommendation to the President^{lxvii}.

The District Executive Vice Chancellor provides regular reports to the Board of Trustees and college leadership about the status of state funding and annual budget assumptions^{lxviii}. This information is shared at the college level and readily available throughout the planning process^{lxix}. Budget managers and administrative staff have access to financial information through the Banner financial management system.

Budget and expenditure information is available to all college employees through the SMCCCD portal and management has access to real-time budget reports through Banner^{lxx}. The VP-AS provides regular reports to the President's Executive Team, College Cabinet, College Council, and PBC throughout the year^{lxxi, lxxii}.

5. To assure the financial integrity of the institution and responsible use of its financial resources, the internal control structure has appropriate control mechanisms and widely disseminates dependable and timely information for sound financial decision making. The institution regularly evaluates its financial management practices and uses the results to improve internal control systems.

Evidence of Meeting the Standard

III.D.5-1 Accounts Payable Process Overview III.D.5-05:

III.D.5-2 College Budget Projections FY 18-21

III.D.5-3 PBC meeting discussing the 2016-2017 Mid-Year Report (February 1, 2017; p. 2-3, Item II.C 2016-2017 Mid-Year Report)

III.D.5-4 PBC meeting discussing the 3-year budget projections, new position approvals, and a budget development timeline (February 21, 2018; p. 2-3, Items II.4 Three-year Budget Projections, II.5 New Position(s) Approval, II.6 Budget Development Timeline)

III.D.5-5 Sample Banner Requisition

III.D.5-6 SMCCCD General Services, General Purchasing Procedures

Analysis and Evaluation

The College's budget managers and appropriate staff have real-time access to Banner's reliable and timely financial information in order to guide their decision-making. The College budget accurately reflects institutional spending and has credibility with the end-users. Funds are allocated in a manner that supports achieving institutional goals and effectiveness. System security clearances are controlled and assigned based on individual job requirements. The number of staff with a high level of system access is carefully limited. Controls within the Banner system and a strong set of internal controls work together to ensure the financial integrity of the College and the District. PBC reviews and discusses the budget multiple times during the academic year as part of planning for current and future fiscal needs.

The annual budget development process begins with a review of the prior year's budget, including revenue, expenses, and assumptions. This provides the opportunity for the College to prepare multi-year projections and conduct an analysis of expenditures in order to determine what adjustments are needed to reflect projected institutional spending. Each year, multi-year projections are presented to the college for thorough review and discussion during the preliminary stages of the budget development process^{lxxxiii}. The College relies on a budget development process grounded in program review and learning outcome assessment to support financial decision making including funding instructional equipment^{lxxxiv}. PBC reviews the college budget regularly to evaluate the effectiveness of the institution's fiscal planning. This review informs plans for current and future budget needs^{lxxxv}.

Responsible and appropriate use of financial resources is ensured through a variety of internal control mechanisms. The District uses Banner as the enterprise resource system to record financial data and to process financial transactions. The system has multiple control mechanisms built in to assure the responsible and appropriate use of the college's fiscal resources. For example, purchase requisitions generated electronically in Banner require a valid account number, available budget, and multiple layers of approvals^{lxxxvi}. Budget transfers require review and approval of the appropriate department administrator and the College Business Officer before going through approval at the District level^{lxxxvii}.

6. Financial documents, including the budget, have a high degree of credibility and accuracy, and reflect appropriate allocation and use of financial resources to support student learning programs and services.

Evidence of Meeting the Standard

- [III.D.6-1](#) Administrative Services, Budget Office
- III.D.6-2 Budget Development Guidelines
- III.D.6-3 Budget Development Tasks
- III.D.6-4 CCC Contracted District Audit Manual
- III.D.6-5 FY 14-15 Audit
- III.D.6-6 FY 15-16 Audit
- III.D.6-7 FY 16-17 Audit
- [III.D.6-8](#) FY 17-18 Audit Report
- [III.D.6-9](#) FY 2018-19 College Budget Principles Presentation
- [III.D.6-10](#) PBC meeting discussing the college budget priorities for FY 2018-19 (March 7, 2018; p. 2, Item II.7 College Budget Priorities)
- III.D.6-11 PBC Meeting Minutes 05.16.2018 (not yet available)
- [III.D.6-12](#) SMCCCD Board of Trustees Agenda Packet for June 21, 2018 (p. 49-78, Item 18-6-102B Adoption of the 2018-19 Tentative Budget)
- III.D.6-13 SMCCCD Budget Development Process
- [III.D.6-14](#) SMCCCD Financial Services, FY 18-19 Budget Report

Analysis and Evaluation

The College's financial documents reflect an inclusive budget development process that includes programs, departments, divisions, governance groups and the Board of Trustees. The inclusive process ensures a final budget that appropriately allocates financial resources to support student learning programs and services.

Annual audit reports reflect a high degree of credibility and accuracy, and the PBC is informed of the District audit report results.

The District's financial statements are audited annually in accordance with the California State Chancellor's Office California Community College Contracted District Audit Manual^{lxxxviii}. The District received an unmodified audit for the past four years^{lxxxix, lxxx, lxxxj}. The unmodified audit reports are reflective of the high degree of credibility and accuracy of the District's financial documents.

All District financial information is presented to the Board of Trustees in the Tentative Budget Report^{lxxxii} (III.D.6-05), Final Budget Report^{lxxxiii}, and the Annual Audit^{lxxxiv}. Information presented to the Board is also communicated at the college level to the various participatory governance groups^{lxxxv, lxxxvi} and made available on the website^{lxxxvii}.

The college budget is an accurate reflection of institutional spending. Financial documents, including the budget, have a high degree of credibility and accuracy, and reflect appropriate allocation of resources to support student learning programs and services. PBC is informed of budget changes and implications^{lxxxviii}. PBC members report summaries of discussions to their constituency groups and report back any further discussion items at a subsequent PBC meeting under the standing item 'Planning Council Reports'^{lxxxix}. The budget development process includes program managers, deans, vice presidents, and their support staff^{xc, xci, xcii}.

7. Institutional responses to external audit findings are comprehensive, timely, and communicated appropriately.

Evidence of Meeting the Standard

[III.D.7-1](#) FY 14-15 Audit

[III.D.7-2](#) FY 15-16 Audit

[III.D.7-3](#) FY 16-17 Audit

[III.D.7-4](#) FY 17-18 Audit

[III.D.7-5](#) SMCCCD Board of Trustees, Board Packet for 28 January 2018 (p. 94, Item 18-1-100B Receipt and Acceptance of the 2016-17 District Audit Report)

Analysis and Evaluation

The District conducts an annual external financial audit. Information regarding the annual audit, including information about budget, fiscal conditions, financial planning, and audit results are communicated at the college level. The continued unmodified annual audit report reflects that budget information, including the fiscal condition, financial planning, and audit results is sufficient in content and timing to support institutional and financial planning and financial management.

The District regularly evaluates its financial and internal control systems for validity and effectiveness, and the results of this assessment are used for improvement. There have been no findings in the last four years of audits^{[xciii](#), [xciv](#), [xcv](#), [xcvi](#). Audit reports are made publicly available and presented to the Board of Trustees annually^{[xcvii](#)} (III.D.7-05). The results of audits are shared and discussed at the campus level through the governance structure.}

8. The institution's financial and internal control systems are evaluated and assessed for validity and effectiveness, and the results of this assessment are used for improvement.

Evidence of Meeting the Standard

[III.D.8-1](#) FY 17-18 Audit Report

[III.D.8-2](#) Grants Development and Management, Overview

III.D.8-3 Grants Roles and Responsibilities

III.D.8-4 Measure H Bond Expenditures 09.30.2016

[III.D.8-5](#) SMCCCD Bond Oversight Committee, Overview

[III.D.8-6](#) SMCCCD Financial Services, Internal Audit College Internal Audit Group (CIAG)

Analysis and Evaluation

District and College financial and internal control systems are regularly evaluated and assessed for validity and effectiveness, and the results of this assessment are used for improvement. Special funds are audited or reviewed by funding agencies on a regular basis, with no recent findings. SMCCCD annual audits demonstrate the integrity of appropriate and effective financial management practices. Expenditures from grants and special funds are made in a manner consistent with the intent and requirements of the funding source, and bond expenditures are consistent with regulatory and legal restrictions. Internal control systems are regularly reviewed at the District and College level.

Financial management processes are reviewed after each audit to identify any areas where improvement can be made. The audit reports examine the District's and College's financial management processes and provide, when necessary, recommendations to strengthen and

improve the institution's financial processes, internal controls, and accountability^{xcviii}. Bond expenditures^{xcix} are regularly reviewed and are consistent with regulatory and legal restrictions^c.

Special fund expenditures, such as grant and categorical funds, are made according to the strict guidelines of the project as authorized by the funding agency. The College provides processes, guidelines, and support to ensure project managers expend funds in a manner consistent with the intent and requirements of the funding source^{ci, cii}.

In addition to the annual external audit, CIAG reviews college financial management practices and provides feedback and recommendations for improvement^{ciii}. For example, the CIAG may review or make recommendations to improve cash handling procedures or operations at the Cashiers' Office. The College Business Office also conducts operational audits to further reduce risk associated with internal controls, processes, and procedures.

No internal control deficiencies were noted in annual audit reports for the past four years, and no recommendations have been cited regarding the financial management of grants or special funds.

9. The institution has sufficient cash flow and reserves to maintain stability, support strategies for appropriate risk management, and, when necessary, implement contingency plans to meet financial emergencies and unforeseen occurrences.

Evidence of Meeting the Standard

III.D.9-1 Liability Insurance Summary III.D.9-02:

III.D.9-2 SMCCCD Board Agenda Packet for 12 September 2018 (p. 29, Item 18-9-101B Adoption of the 2018-19 Final Budget)

Analysis and Evaluation

The College and District's conservative approach to fiscal management ensures sufficient cash flow and reserves to maintain stability, support strategies for appropriate risk management, and when necessary, implement contingency plans to meet financial emergencies and unforeseen occurrences. As a result of strong cash flows, the District does not need to issue Tax and Revenue Anticipation Notes (TRANs). With the current strong cash position of the District, it is not likely the District will require debt financing in the foreseeable future. The District's level of unrestricted fiscal reserves (13%) is above the state recommended level of 5% and is more than adequate to meet financial emergencies and unforeseen occurrences.

Every year, College and District ending balances are tracked and analyzed. As a community supported district, SMCCCD has a strong financial position with a healthy ending balance. The District's financial position and integrated planning activities to maintain fiscal stability are indicated in the annual budget adopted by the Board^{civ}. To further ensure financial stability, the Board directed staff to increase reserves to 13%, well above the state recommendation of 5%. The District's reserve includes reserves for budget contingency, emergency response, and cash flow^{cv}. The contingency reserve is not a budgeted line item as there is no intention to expend these funds except in an emergency.

The District monitors risk regularly to assure appropriate levels of insurance coverage. The District maintains insurance coverage that includes employee, property, casualty, and liability

insurance in accordance with the responsibility to protect college assets from losses that would place the College at fiscal risk^{cv}.

10. 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.

Evidence of Meeting the Standard

- III.D.10-1 Bond Oversight Committee 2016 Annual Report to the Community
- [III.D.10-2](#) FY 14-15 Audit
- [III.D.10-3](#) FY 15-16 Audit
- [III.D.10-4](#) FY 16-17 Audit
- III.D.10-5 FY 18-19 Reserve Information
- III.D.10-6 FY 18-19 Resource Allocation Model
- [III.D.10-7](#) San Mateo County Community Colleges Foundation, About the Foundation
- III.D.10-8 SMCCCD and BankMobile Master Agreement
- III.D.10-9 SMCCCD BankMobile Compliance Handbook
- [III.D.10-10](#) SMCCCD Board of Trustees Agenda Packet for 20 March 2018 (p. 101, Item 18-3-100B Acceptance of the 2017-18 Mid-year Budget Report and Approval of Budgetary Transfers and Income Adjustments for the Period Ending December 31, 2017)
- [III.D.10-11](#) SMCCCD Board of Trustees, Board Policy 8.05 District Financial Audits
- [III.D.10-12](#) SMCCCD Board of Trustees, Administrative Procedure 8.05.1 Audit
- [III.D.10-13](#) SMCCCD Board of Trustees, Board Policy 8.14 Bond Oversight Committee and Accountability Measures
- [III.D.10-14](#) SMCCCD Bond Oversight Committee, Overview

Analysis and Evaluation

The College and District practices effective oversight of all finances, including management of financial aid, grants, externally funded programs, contractual relationships, auxiliary organizations or foundations, and institutional investments and assets. Funds are separated in accordance with state and federal guidelines, and reliable budget information is available to all program managers and administrators. The College has established processes to regularly assess the use of financial resources and ensures all financial resources are used appropriately and effectively. It maintains compliant with Federal Title 4 and other external funding agencies and has no recent audit findings. Internal controls and processes are regularly evaluated and the results of the evaluation are used to improve practices.

The College provides appropriate and effective oversight of finances through monitoring and provision of regular financial reports to managers who manage their respective programs and funding sources. The District ensures it assesses its use of financial resources systematically and effectively through the separation of funding sources and bank accounts. The Board receives regular budget reports and updates on all funds^{cvi}. All college funds, including those specific to financial aid, grants, externally funded programs, contractual relationships, and auxiliary operations are subject to an annual independent external audit, per board policy^{cvi} and administrative procedure^{cix}.

The College and District have worked collaboratively to review expenditures and align budgets with enrollment projections to ensure adequate funding for student outcomes and institutional effectiveness. The district resource allocation model uses enrollment projections as an integral

component of how funding is allocated to the College^{cx}. In the event of unforeseen emergencies, the District maintains a reserve well above the state recommendation of 5%^{cxl}. The District also maintains a healthy ending balance to ensure multi-year special projects and activities are funded. Ending balances for the last 3 years are as follows:

- FY 17/18 ending balance: \$38,177,408
- FY 16/17 ending balance: \$33,882,786
- FY 15/16 ending balance: \$32,185,620

The District maintains compliance with federal Title IV rules and regulations through systematic review and updating of related policies, procedures and business practices. Recent external audit findings related to Title 4 indicate no findings^{cxii, cxiii, cxiv}. The District holds a contract with BankMobile to service financial aid disbursement that is in compliance with federal regulations and accreditation requirements^{cxv}. Reconciliation of all financial aid funds is completed after each transmittal to students and finalized at the end of the fiscal year^{cxvi}.

The San Mateo Community College Foundation is a separate 501 (c)(3) with the purpose of supporting the College and our students through the provision of scholarships and other program funding^{cxvii}. The District maintains a contractual agreement with the Foundation and provides financial oversight of the Foundation. Accounting services are provided to the Foundation to ensure appropriate separation of duties regarding processing of cash. The Foundation's annual audit and 990 tax returns are posted on the Foundation website and reported to the Board of Trustees^{cxviii}.

The SMCCCD Bond Oversight Committee is responsible for ensuring appropriate expenditure of Measure H bond funds and for providing information to the public regarding bond expenditures^{cxix}. Bond Oversight Committee members are appointed by the SMCCCD Board of Trustees and its meetings are governed by the Brown Act^{cxix}. The Committee issues an annual report detailing activities related to bond expenditures and all meetings are open to the public^{cxxi}.

Liabilities

11. The level of financial resources provides a reasonable expectation of both short- term and long-term financial solvency. When making short-range financial plans, the institution considers its long-range financial priorities to assure financial stability. The institution clearly identifies, plans, and allocates resources for payment of liabilities and future obligations.

Evidence of Meeting the Standard

III.D.11-1 College Budget Projections FY 18-21

[III.D.11-2 Educational Master Plan \(EMP\)](#)

III.D.11-3 FY 18.19 Resource Allocation with Assumptions

III.D.11-4 Integrated Planning Calendar

[III.D.11-5 SMCCCD 2015 Amendment to the 2011 Facilities Master Plan](#)

[III.D.11-6 SMCCCD Strategic Plan](#)

[III.D.11-7 Technology Plan](#)

Analysis and Evaluation

The College considers short- and long-term plans and priorities when making financial decisions to assure fiscal stability. The District plans for payments of long-term liabilities and obligations including health benefits, insurance costs, and building maintenance costs. Long-range financial priorities including expected benefit increases, compensation increases, STRS/PERS increases and debt payments are included in multi-year projections and evaluated annually. The College uses processes to conduct short- and long-term fiscal planning and develop priorities for resource allocation. Resources are allocated annually for payment of liabilities and increase reserves to address long-term obligations. Resources are directed to actuarially developed plans for Other Post-Employment Benefit (OPEB) obligations.

The College reviews multi-year projections provided by the budget office each year as part of the annual planning process to provide the information necessary for financial planning^{cxvii}. The College's integrated planning process provides the opportunity to incorporate planning, budgeting, personnel, resource allocation, and evaluation throughout the year with consideration of short- and long-term financial planning^{cxviii}. All planning is grounded by the College mission and is focused on student success. College plans such as the EMP^{cxix}, Technology Plan^{cxv}, District Strategic Plan^{cxvi}, and Facilities Master Plan^{cxvii} provide direction for allocation of resources and both short- and long-term financial solvency. The adopted Guiding Principles for resource allocation and program review provide processes which allow the College to identify one-time and on-going needs to address in the budgeting process.

The District provides leadership in planning to meet major long-term needs and priorities such as retiree health benefit liability, capital improvements, and pension rate increases. The District considers these needs annually during budget development and is reflected in the planning assumptions and allocation in the resource allocation model^{cxviii}. The College considers other short- and long-term liabilities such as faculty unity banking, compensated absences, and instructional equipment replacement during its budgeting process.

With its current community-supported status, the District is no longer solely dependent on State apportionment, allowing for more predictable revenue projections for short- and long-term planning. The majority of revenue is received twice a year in December and April, when the County distributes tax revenue. Between the months of July and December, without significant cash receipts, cash management is vital. In order to simplify the process and obtain the best pricing for issuance costs, the District participates in the California School Boards Association (CSBA) California Reserve Program for issuance of tax-exempt tax revenue anticipation notes (TRANs). In past years, it had been standard practice to issue TRANs to provide the necessary cash flow to fund District operations to meet payroll and other District obligations during the months before property taxes are available. However, due to its favorable financial position the District has not issued TRANs for cash flow purposes in several years.

12. 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. The actuarial plan to determine Other Post-Employment Benefits (OPEB) is current and prepared as required by appropriate accounting standards.

Evidence of Meeting the Standard

[III.D.12-1](#) SMCCCD Financial Services, FY 18-19 Budget Report

Analysis and Evaluation

SMCCCD uses prudent fiscal management practices to identify and plan for long-term liabilities and obligations in order to maintain the fiscal stability of the College and District. The District fully funds its annual OPEB obligation based on current actuarial studies. Recent audit reports note that the District is in compliance with GASB 45.

The District maintains implementation and oversight responsibility in meeting major long-term liabilities and obligations such as Other Post-Employment Benefits (OPEB), compensated absences, and other employee-related obligations. The reserve fund for Post-retirement benefits budget for 2018-2019 totals \$5.9 million. The fund consists of interest income and transfers from other funds. In compliance with GASB 45 requirements, the District uses an actuarial study to determine overall liability of post-retirement medical benefits and future medical costs. In 2009, the District established an irrevocable trust, the Futuris Other Post-Employment Benefits (OPEB) Trust. The Trust allows the District cash management flexibility and long-term investments that will receive a better return, ultimately reducing the long-term liability. In 2017-18, the District deposited \$12.2 million into this irrevocable trust and the current budget allows for an additional \$2.6 million by the end of June 2019^{cxix}.

The District's Investment Trust portfolio had an ending asset allocation in mutual funds of 50% in fixed income funds, 45% in equity funds (equity funds comprised 36% in domestic equity and 9% in international equity) and 5% in real estate. The value of the portfolio as of June 30, 2018 was \$114.9 million and includes contributions during the year of \$12.2 million. The District contracted with Geoff Kischuk of Total Compensation Systems, Inc. to prepare an Actuarial Study of Retiree Health Liabilities in compliance with Governmental Accounting Standards Board (GASB) Statements 74 and 75. The last actuarial report (September 2017) indicates that the District's liability is almost fully funded at 98%. The District anticipates this liability will be fully funded after additional contributions of \$2.6 million in fiscal year 2018-19. The District's Retirement Board of Authority (RBOA) maintains oversight of retirement fund investments^{cxix}.

13. On an annual basis, the institution assesses and allocates resources for the repayment of any locally incurred debt instruments that can affect the financial condition of the institution.

Evidence of Meeting the Standard

[III.D.13-1](#) SMCCCD Board of Trustees, Board Policy 8.06 Investment of District Funds

[III.D.13-2](#) SMCCCD Financial Services, FY 18-19 Budget Report

[III.D.13-3](#) SMCCCD Investment Procedures

Analysis and Evaluation

The District issued a general obligation bond for capital improvement projects and the use of these funds are tracked and monitored by fund number. The planning, allocation, and tracking of funds demonstrate the proper use and management of the funds. In addition, the annual audit report of the District's long-term liabilities and financial statements demonstrates a high level of integrity and the use and repayment of these funds. There are no audit findings on financial integrity or misuse of funds. The District ensures that locally incurred debt repayment schedule does not have an adverse impact on meeting all current fiscal obligations.

The District issued a general obligation bond for capital improvement projects in 2015 and these funds are tracked by fund number. The planning, allocation, and tracking of these funds demonstrate proper use and management of these funds. The \$388 million bond measure allows the District to complete modernization/construction/reconstruction projects as indicated in the 2015 Facilities Master Plan Amendment. As of June 30, 2017, the District has expended \$26,185,152 and committed \$218,185,152 of Measure H funds.

The District uses a debt service fund to account for the accumulation of resources for, and the payment of, general long-term debt. Revenue to this fund comes from the assessed property taxes to pay off the General Obligation Bond (Measure H). The District budget for debt service in 2017-18 was \$54,369,200, which includes debt reduction principal and interest payments. Estimated income is projected at \$54,421,900. The District evaluates the debt service fund annually to ensure appropriate resources are allocated for the repayment of any locally incurred debt instruments and the information is reported in the annual financial report to the Board of Trustees^{xxxxi}. District investments are guided by Board policy using a conservative yet flexible approach to deploy cash funds in various types of investment portfolios^{xxxvii, xxxviii}.

14. 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.

Evidence of Meeting the Standard

[III.D.14-1](#) FY 17/18 Audit Report

[III.D.14-2](#) SMCCCD Board Agenda Packet for September 12, 2018 (p. 29, Item 18-9-101B Adoption of the 2018-19 Final Budget) III.D14-03:

III.D.14-3 SMCCC Foundation Audit Report

Analysis and Evaluation

Ongoing management review, monitoring, and external audits provide the assurance that all expenditures are used with integrity in a manner consistent with the intended purpose of the funding source. The District performs an annual assessment of debt repayment obligations, and resources are allocated in a manner that ensures on-going fiscal stability. The District and the College ensure that financial operations of all activities are appropriately monitored.

All District funds undergo an annual external compliance audit, with no findings in the past 5 years. This includes general funds, financial aid, auxiliary funds, grant funds, and Measure H bond funds^{xxxiv}. The SMCCC Foundation also undergoes an annual external audit^{xxxv}. The District conducts an annual assessment of debt repayment obligations and allocates resources in a manner which ensures stable finances. During the annual budgeting process, debt service

payments are budgeted and reviewed by the Board of Trustees^{cxxxvi}. Because of its strong cash flow, the District has not issued certificates of participation (COP) or tax revenue anticipation notes (TRANS) in recent years.

Financial resources are managed and tracked in the Banner ERP system by their respective budget codes (fund, organization, account, program) to ensure funds are used in a manner consistent with the intended purpose of the funding source. For restricted funding sources such as state categorical or federal grant funds, revenue and expenses are carefully tracked and reviewed to ensure funds are appropriately monitored and used with the intended purpose of the funding source.

15. The institution monitors and manages student loan default rates, revenue streams, and assets to ensure compliance with federal requirements, including Title IV of the Higher Education Act, and comes into compliance when the federal government identifies deficiencies.

Evidence of Meeting the Standard

III.D.15-1 SMCCCD/BankMobile Contract

III.D.15-2 Student Loan Default Rates

Analysis and Evaluation

The District and College work diligently to monitor and manage student loan default rates, revenue streams, and assets to ensure compliance with federal requirements, including Title IV of the Higher Education Act. The District's three-year default rate is within federal guidelines, and in the event the default rate exceeds federal guidelines a plan to reduce the rates would be created and implemented. Student loan default rates, revenue, and related matters are monitored and assessed to ensure compliance with federal regulations.

Federal student financial aid revenue and disbursements, as well as student loan default rates, are constantly monitored to ensure compliance with federal requirements. The College financial aid department and SMCCCD budget department ensure appropriate segregation of duties during the financial aid disbursement cycle to maintain Title IV compliance. Student eligibility is determined by the College financial aid department and fund management is maintained by the District. The District disburses financial aid funds through BankMobile, a third party administrator^{cxxxvii}.

Student loan default rates were X% in fiscal year 16/17, X% in 15/16, and X% in 14/15^{cxxxviii}. These are the most current default rates available. SMCCCD is in compliance with the federal regulation of less than a 30% default rate over three years. Should the District fall out of compliance, a default management plan would be created and implemented.

Contractual Agreements

16. 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 and the quality of its programs, services, and operations.

Evidence of Meeting the Standard

III.D.16-1 iContracts Screenshot

III.D.16-2 SMCCCD Board of Trustees, Board Policy 8.03 Authorized Signatures

III.D.16-3 SMCCCD Board of Trustees, Administrative Procedure 8.03.1 Designation of Authorized Signatures

III.D.16-4 SMCCCD Board of Trustees, Board Policy 8.15 Purchasing

III.D.16-5 SMCCCD General Services Website

III.D.16-6 User Guidelines for Contracts

Analysis and Evaluation

The College and District have systematic processes in place that ensure contractual agreements with external entities are consistent with the mission and goals of the College, governed by institutional policies, and contain appropriate provisions to maintain the integrity of the institution and the quality of its programs, services, and operations. The College and District maintain control over all contracts and each contract contains provisions whereby the District can terminate contracts that do not meet required standards of quality.

All contractual agreements with external entities undergo extensive review and approval at the College and District level. Contractual agreements with external entities are usually initiated at the department or division level to achieve program or college-wide goals. Proposed agreements are reviewed and require approval by the appropriate dean, vice president, and president. Once reviewed and approved by the appropriate college personnel, agreements are sent to the District Executive Vice Chancellor's Office for processing and execution^{cxviii}. The College uses iContracts to ensure proper workflow tracking and management of all agreements with external entities^{cxl}.

According to Board Policy 8.03^{cxli} and its associated administrative procedure^{cxlii}, the Board delegates authority to the Chancellor and his designees to sign all district documents in accordance with Board policy and California Education Code. Board Policy 8.03 also delegates authority to the Executive Vice Chancellor, Chief Financial Officer, and Director of General Services to sign agreements and warrants on behalf of the District. The College process includes all agreements to be processed through the College Business Office prior to submission to the District Executive Vice Chancellor's Office for signature. To ensure college approvals of all agreements, a cover sheet with appropriate signature approvals is forwarded with the contract to the Executive Vice Chancellor's Office.

The District's Purchasing Procedures and Contract Requirements ensure compliance with Education Code, Public Contract Code, and Civil Code^{cxliii}, ^{cxliv}. Board approval is required for contracts in excess of the legal bid limit of \$90,200, any lease agreement, annual membership dues over \$25,000, and public works projects over \$175,000. Contracts are reviewed at the

District to assess risk exposure and ensure proper insurance requirements are met^{cxlv, cxlvi}. Legal counsel reviews contracts on an as-needed basis.

Conclusions on Standard III.D. Financial Resources

[insert response]

Improvement Plan(s)

[insert response if applicable]

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ⁱⁱ [III.D.1-11](#)
ⁱⁱⁱ [III.D.1-4](#)
^{iv} [III.D.1-10](#)
^v [III.D.1-3](#)
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