I. Introduction

A. Accounts Payable

The ESC Accounting Office comprises the General Accounting, Accounts Payable, Payroll & Retirement and Central Financial Aid Units. The office is responsible for recording monetary and fiscal transactions such as monies paid to vendors, current and former employees as well as students.

B. Outcome and Objectives

      a. PO #1: Accounts Payable will ensure timely and efficient payments of District-wide payables.

C. Executive Summary

Although the Educational Services Center Accounting Office has four sub-divisions, there is one common standard to which each division is tasked to adhere: to deliver quality accounting and financial information that is free from material misstatements. In order to achieve this standard, services provided must have a high degree of accuracy delivered in a timely manner. Accurate and timely accounting and financial information helps to ensure that reported statements are reliable and relevant.

Reliability and relevance of financial statements and reports has been the underlying theme in the development of the SAOs and POs. In order to ensure accurate information, it has become necessary for the ESC Accounting Office not only to develop strong internal control measures, but also to assist college staff through training workshops to understand the ways and means of achieving accurate reporting. The workshops can also be used as a medium to assist users of financial data in the effective application of accounting information in their decision and reporting functions.

The Service Area Outcomes and Performance Objectives outlined in this document are such that the ESC Accounts Payable division is able to make accurate and timely payments on district obligations; to achieve reliability in Bookstore Financial Statements; to ensure the Payroll Department is able to deliver majority of W-2 forms through the new online process; to ensure that the Financial Aid Department provides a timely and efficient student disbursement process; and to reduce year over year audit findings to the minimum level possible.

II. Program Review

A. PO #1: ESC Accounting (Accounts Payables) reporting and payment of payables – Accounts Payable will ensure timely and efficient payments of District-wide payables.

1. Relation to higher-level mission, goals or outcomes
   Ensuring timely payment of all payables supports the District's objective of achieving Institutional Effectiveness (Vision 2017, Goal 3, Objective 1).

2. Evidence
   Accounts payable aging reports retrieved from SAP are used to indicate whether or not payments are being made on time. Feedback on Accounts Payable customer satisfaction with payment timeliness.

3. Assessment Method
   A. Aging reports provided the basis for designing an Average Days Payable Report which was used to track timeliness in payments by item type and college. Report functionalities in SAP and Excel were also used in measuring payment turnarounds.
      Timeliness is determined by the due date on approved invoices at which the District will incur no late charges and/or interest.
   B. Survey of Accounts Payable customers.

4. Criteria
   A. 85% on-time payment for all payables.
   B. 85% of customers (College and District Staff) will report satisfaction that their payables are being paid on-time.

5. Analysis
   A. We are currently cleaning up old balances in SAP in order to come up with a workable aging report that will permit us to calculate the proportion of on-time payments.
   B. The results of a survey conducted by AP on October 6, 2014 indicated a 78% customer satisfaction (perception of AP's timeliness and efficiency) rate with regard to payments.

6. Conclusion
   A. We have not yet been able to measure the proportion of on-time payments directly, so we have reached no conclusion on that criterion.
   B. We did not meet the customer satisfaction criterion. We believe that more training—of accounts payable staff at the ESC and of staff at the colleges who help process payables—is needed to improve customer satisfaction.

7. Changes To Be Implemented
   We will conduct Accounts Payable Training Sessions in March and April of 2015. The training will be tailored to the needs and abilities of both new hires and experienced AP employees, including college staff that work on payable accounts. The training will include topics on District Disbursement Policies and Procedures. We are currently considering the feasibility of holding the training at college sites or webinars.

Educational Services Center – Program Review

<u>Unit Name – Budget and Management Analysis</u>
in the Chief Financial Officer/Treasurer's Office

Fiscal Year: 2014-15

Name of Preparer: *Vinh D. Nguyen, Director*

Supervisor: Jeanette Gordon, CFO

Names of other participants in the program review process:

Sheri Okamoto, Senior Financial Analyst
Liwa Corpuz, Senior Financial Analyst
Jose Mendoza, Financial Analyst
Asha Omar, Financial Analyst

Brief Description of Preparation Process:

As part of the Educational Services Center (ESC), the Office of Budget and Management Analysis is participating in the ESC Program Review. In September 2014, staff attended a workshop on program review and outcome assessment and began to identify services area outcomes and performance objectives to improve the existing District budget operation processes and services.

In addition, staff has participated in monthly meetings from September through December 2014 reviewing the Office's budget operations and its service outcomes as they relate to budget processing and budget preparation. On November 7, 2014, staff reviewed the preliminary SAO of the eBTA (electronic Budget Transfer Authorization) budget processing system and the proposed Performance Objective (PO) for developing and implementing the SAP Budget Preparation, Planning, and Forecast System. On December 3, 2014, the revised SAO and PO were reviewed with staff.

Unit Mission and Primary Responsibilities:

The Office of Budget and Management Analysis is committed to providing high-quality budget operations and resource allocation support to all colleges throughout the District and to the Educational Services Center. The Office is responsible for the development of district-wide revenue projections, the management of District resources, and the preparation, operation, and maintenance of the District's budget. It plans, develops and maintains the District's fiscal plan; manages funding and allocations; assists the colleges in the development of their budget operation plans; monitors college financial plans; supports the Board and the District administration by providing budget analysis; and ensures compliance with local, state, and other reporting requirements.

Unit Staffing:

Currently, the Budget and Management Analysis Office is organized into three separate functional areas:

Budget Planning and Development
Budget Management and Financial Analysis
Budget Operations

Currently, there are 1.0 Director, 1.0 Administrative Intern serving as staff support to the Office, 2.0 Senior Financial Analysts serving as supervisors for their respective functional areas, 2.0 Financial Analysts, 1.0 Assistant Financial Analyst, and 1.0 Accounting Technician. One Senior Financial Analyst oversees the Budget Operations area. The other Senior Financial Analyst oversees the Budget Planning and Development and the Budget Management and Financial Analysis areas. This level of support provides sufficient budget maintenance and operations services at this time. However, with increasing required support services to be provided to colleges, the Office will likely need to fill one Senior Financial Analyst position and one Financial Analyst position when additional funding is available. These positions have been left vacant for many years.

Service Area Outcomes/Performance Objectives:

The Budget and Management Analysis Office has identified one Service Area Outcome (SAO) and one Performance Objective (PO) to improve the support services to the colleges and the District as described below:

1. All Electronic Budget Transfer Authorizations (eBTAs) are completed in a timely manner. (SAO)
Relation to higher-level mission, goals, and/or outcomes: This outcome directly serves the District Strategic Plan - Vision 2017, Goal 3 -Organizational Effectiveness. Improvements to the process will improve budget operations and management throughout the District and colleges.
Measure /Evidence: Turnaround time to process eBTA transactions
Assessment Method(s):   Audit of all posted eBTA transactions in SAP in FY 2013-14 to determine turnaround time
Criterion: 70% of routine eBTA transactions are approved and processed within five (5) working days, and 100% of eBTAs that require Board action are processed and presented to the Board for approval within 30 days.

Results, Analysis, and Interpretation :

The Office is in the process of auditing all posted eBTA transactions in fiscal year 2013-14 to determine turnaround times. The results will determine if any changes and/or improvements need to be implemented in fiscal year 2014-15.

2. Develop and Implement the SAP Budget Preparation, Planning and Forecast System (PO)

Relation to higher-level mission, goals, and/or outcomes, if any:

The new SAP Budget Preparation, Planning, and Forecast System will replace the old Microsoft Access Budget Preparation System and provide colleges with the ability to develop their annual budgets and submit them electronically. The new system will also improve financial projections and assist colleges in managing their budgets throughout the year.

The implementation of the new SAP Budget Preparation, Planning and Forecast System will improve the institutional effectiveness of the colleges and the ESC annual budget development and planning, thereby meeting the District's Vision 2017- Goal 3, Organizational Effectiveness.

Measure/Evidence:

Documentation of RFP (Request for Proposal) completion, the project plan, system configuration, training, and final implementation.

Assessment Method:

Assess progress monthly on all milestones: completing the RFP, developing the project plan, configuring the system, providing training, and implementing the new Budget Preparation, Planning and Forecast System in the SAP System.

Criterion:

The new System will be fully functional and available for FY 2016-17 Budget Preparation by October 2015.

Results
Results of monthly assessments will be documented.

Conclusion
TBD based on assessment results.

Implementation Plan
TBD based on assessment results.

Other Observations and Relevant Information:

Committees Served:

The Budget and Management Analysis Office actively participates in the shared governance process at the College and District levels. These committees help our department to communicate the budget development and operations activities. They also effectively help us through consultation on budget planning and linking budgets to the District's and colleges' missions and strategic plans.

1. Served as staff resource for the Chief Financial Officer/Treasurer to the District Budget Committee (DBC) and the Executive Committee of the DBC
2. Served as staff resource to the District Administrative Council and Council of Student Services Officers

Communications or outreach programs or activities, including community activities:

1. Participated in the California Community Colleges Advisory Allocation/Funding Workgroup

2. Provided expenditure analysis and budget information to all nine colleges to assist in completion of program reports such as matching data, and to assist them in effectively managing expenditures

3. Conducted Budget workshops and system training

4. Maintained website providing budget and audit reports to general public and colleges

Anticipated major changes and other projections not already covered:

The Budget and Management Analysis Office faces many challenges in the next few years as more new categorical programs for student success, student equity, and other initiatives are implemented by the State. These challenges will include the ability to monitor new grants and/or new District initiatives, and to assist colleges in maintaining a balanced budget with existing staffing.

Summary

The Budget and Management Analysis Office, under the Chief Financial Officer/Treasurer's Office, provides district-wide revenue projections, management of District resources, and centralized preparation, operation, and maintenance of the District's budget. We continue to monitor District and college financial health, and provide accurate financial management reports.

The Office of Budget Management and Analysis is the key link in the integration of the District's strategic planning and budgeting. The Office continues to work closely with the District Budget Committee, the Chancellor's Cabinet, and the colleges to provide budget support services.

We expect that the review of the eBTA budget processing system and changes to be implemented for the new SAP budget preparation, planning and forecast system will improve budget maintenance and operations throughout the District, in part by using new technology to enhance budget processing and by providing colleges with better technology tools to conduct their business.

Unit Improvement Objectives and Activities

Improvement Objective 1: Complete implementation of the SAP Budget Preparation, Planning and Forecast System.			
Relation or contribution to higher-level goal(s) or outcome(s), if any: Serves District's Vision 2017- Goal 3, Organizational Effectiveness			
Person Responsible: Vinh D. Nguyen, Director	**Begin Date and Target Date for Completion:** December 19, 2014 – September 30, 2015		**Priority (circle one):** *Critical*
Activities (Steps to Achieve Improvement Objective): A. Issue Request for Proposals (RFP) B. Develop business blueprint and complete baseline configuration and testing C. Consult with users group regarding proposed enhancements, and make further changes as needed to complete final configuration, testing and integration		D. Complete end-user training and implement the system for FY 2016-17 Budget Preparation E. Post implementation – Conduct an evaluation after go-live and implement additional changes as appropriate to ensure proper level of support is provided.	
Specific Measure(s) of Progress/Completion: Documentation of RFP (Request for Proposal) completion, the project plan, system configuration, training, and final implementation			
Resource(s) Required (if any): Professional Services Consulting and IT Support	**Category (circle one for each resource):** One-time	**Type (circle one for each resource)** Dedicated Budget Staff and District IT	**Estimated Total Cost for Each Resource:** 2014-15 and 2015-16 Estimate $750,000 to $1,300,000

I. Introduction

A. Central Financial Aid

The ESC Accounting Office comprises the General Accounting, Accounts Payable, Payroll & Retirement and Central Financial Aid Units. The office is responsible for recording monetary and fiscal transactions such as monies paid to vendors, current and former employees as well as students.

B. Outcome and Objectives

SAO #1: The Financial Aid Office will ensure timely and efficient delivery of student Financial Aid disbursements.

C. Executive Summary

Although the Educational Services Center Accounting Office has four sub-divisions, there is one common standard to which each division is tasked to adhere: to deliver quality accounting and financial information that is free from material misstatements. In order to achieve this standard, services provided must have a high degree of accuracy delivered in a timely manner. Accurate and timely accounting and financial information helps to ensure that reported statements are reliable and relevant.

Reliability and relevance of financial statements and reports has been the underlying theme in the development of the above mentioned SAOs and POs. In order to ensure accurate information, it has become necessary for the ESC Accounting Office not only to develop strong internal control measures, but also to assist college staff through training workshops to understand the ways and means of achieving accurate reporting. The workshops can also be used as a medium to assist users of financial data in the effective application of accounting information in their decision and reporting functions.

The Service Area Outcomes and Performance Objectives outlined in this document are such that the ESC Accounts Payable division is able to make accurate and timely payments on district obligations; to achieve reliability in Bookstore Financial Statements; to ensure the Payroll Department is able to deliver majority of W-2 forms through the new online process; to ensure that the Financial Aid Department provides a timely and efficient student disbursement process; and to reduce year over year audit findings to the minimum level possible.

II. Program Review

A. SAO #1: ESC Accounting (Financial Aid) Disbursement and Reporting of Student Financial Aid – The Financial Aid Office will ensure timely and efficient delivery of student Financial Aid disbursements.

2014-15 Program Review: Central Financial Aid

1. Relation to higher-level mission, goals or outcomes
Ensuring the timely delivery of student disbursements helps students have the necessary resource to succeed academically which supports the District's objective of achieving Institutional Effectiveness (Vision 2017, Goal 3, Objective 1).

2. Evidence
The actual disbursement dates which follow the disbursement schedule given out to students and Financial Aid Offices at the beginning of the semester will serve as the evidence of timeliness. When student accounts are sampled and tested on the DEC system, posting entries should match disbursement data which will serve as the evidence of good reporting. This evidence is available for verification in the Accounting Office.

3. Assessment Method
A. An exception report will be created anytime we are unable to follow the pre-determined disbursement schedule. No exceptional reports will indicate timeliness.
B. DEC data will be compared with data from Accounting (obtained from SAP) to ensure reporting accuracy. (This is done by ESC Accounting).

4. Criteria
A. To ensure quality service to students, a 95% on-time disbursement rate will be deemed a success.
B. 85% of accurate reporting before any necessary adjustments are done will be viewed as successful.

5. Analysis
Achieving timeliness in student disbursement is a complicated process. This is because we have the objective of disbursing to students on time whilst minimizing any financial risks to the District or Federal Funds stemming from students who do not complete their classes. Our efforts and policies are aimed at achieving both in the most efficient way possible.

6. Conclusion
Over the years, we have been able to disburse student financial aid funds on time with minimal disruptions. Our objective is to continue to find efficient ways of disbursing funds while keeping the program's integrity intact.

7. Changes To Be Implemented
With the implementation of a new student information system (SIS) by the District, it may be necessary for the Financial Aid Unit to change some of our processes. We are working closely with the SIS team to ensure the Financial Aid Unit is capable of handling any changes resulting from the SIS implementation.

2014-15 Program Review: General Accounting

I. Introduction

A. General Accounting

The ESC Accounting Office comprises the General Accounting, Accounts Payable, Payroll & Retirement and Central Financial Aid Units. The office is responsible for recording monetary and fiscal transactions such as monies paid to vendors, current and former employees as well as students.

B. Outcome and Objectives

SAO #1: College Administrators and Bookstore Managers will receive accurate bookstore financial statements and analyses in a timely manner.

SAO #2: College Senior Staff will receive accurate financial data to make fiscally informed decisions.

PO #1: The Accounting Office will value and report Bookstore inventory at its true market value.

C. Executive Summary

Although the Educational Services Center Accounting Office has four sub-divisions, there is one common standard to which each division is tasked to adhere: to deliver quality accounting and financial information that is free from material misstatements. In order to achieve this standard, services provided must have a high degree of accuracy delivered in a timely manner. Accurate and timely accounting and financial information helps to ensure that reported statements are reliable and relevant.

Reliability and relevance of financial statements and reports has been the underlying theme in the development of the above mentioned SAOs and POs. In order to ensure accurate information, it has become necessary for the ESC Accounting Office not only to develop strong internal control measures, but also to assist college staff through training workshops to understand the ways and means of achieving accurate reporting. The workshops can also be used as a medium to assist users of financial data in the effective application of accounting information in their decision and reporting functions.

The Service Area Outcomes and Performance Objectives outlined in this document are such that the ESC Accounts Payable division is able to make accurate and timely payments on district obligations; to achieve reliability in Bookstore Financial Statements; to ensure the Payroll Department is able to deliver majority of W-2 forms through the new online process; to ensure that the Financial Aid Department provides a timely and efficient student disbursement process; and to reduce year over year audit findings to the minimum level possible.

II. Program Review

A. SAO #1: ESC Accounting (Bookstore) Financial Reporting - College Administrators and Bookstore Managers will receive accurate Bookstore financial statements and analyses in a timely manner.

1. <u>Relation to higher level mission, goals or outcomes</u>
Delivering accurate and timely financial statements supports the District's objective of achieving Institutional Effectiveness (Vision 2017, Goal 3, Objective 1).

2. <u>Evidence</u>
The number of Journal Voucher (JV) adjustments entered after month-end and year-end close serve as evidence of the level of accuracy in financial reports sent to the colleges. A log has also been created to track month-end and specially requested reports and their related delivery time.

3. <u>Assessment Method</u>
A. A comparison is made after each month-end closing to determine the number of original JVs reported and the number of correcting vouchers prepared as a result of errors in calculation or data entry. Adjustments also factor in whether or not reported numbers have representational faithfulness to the substance of the original transaction.
B. An Excel spreadsheet has been created to track when monthly reports are generated and delivered. The report also tracks when college requests for special reports are received and the delivery of the requested report.

4. <u>Criteria</u>
A. An error rate of 10% of all Journal Voucher entries is the set criterion to analyze the level of accuracy. A zero rate of error is set as the criterion for adjusting vouchers that correct identified errors.
B. With regard to timely delivery of reports, a 95% on-time delivery rate was set within the following time limits: 95% of month-end reports will be delivered within 5 business days, and 95% of requests for special reports will be delivered to the requestor within 2 business days.

5. <u>Analysis</u>
A. Of the 74 Bookstore JVs entered into SAP from July 1 2014 thru September 30 2014, only one required an adjustment due to errors in preparing sales invoices. The ESC accounting office recognizes the impact that incorrect data can have on achieving accurate financial reports. The Bookstore Accountant has been tasked with reviewing sales revenue and other data received from the colleges prior to posting to SAP.
B. The tracking of delivery timelines with regard to reports and college requests began at the start of September. There is not enough data at the moment to

comment on results. The logs will be monitored and a status report will be given at an appropriate time.

6. Conclusion
A. The ESC accounting office has achieved a high degree of accuracy with regards to Bookstore Financial reports. This is evidenced in the low number of errors that need correction at month and year-end.
B. There is not enough data at the moment to reach a conclusion on timely delivery of reports. A status report will be given at the end of September 2015.

7. Changes To Be Implemented
The Accounting Office is working with the PeopleSoft SIS team to connect the Bookstore Point of Sale System to the SIS. This will ensure that Bookstore sales information is automatically recorded to the SAP system as is currently done for tuition and fee payments. This type of reporting will help to improve the accuracy and efficiency with which the Accounting Office reports on Bookstore sales information. This project is expected to go live in 2016, however, pilot testing began in June of 2015.

B. SAO #2: ESC Accounting Office – General Accounting Reporting of Financial Statements – College Senior Staff will receive accurate financial data to make fiscally informed decisions.

1. Relation to higher-level mission, goals or outcomes
The SAO supports the District's Institutional Effectiveness Objective (Vision 2017, Goal 3, Objective 1); Senior College Staff will obtain accurate accounting data to make educated management decisions, which is evidence of a well-run and effective organizational structure.

2. Evidence
External Audit reports are the primary form of evidence as to the accuracy of accounting data. Other evidence also comes from data collected through the registered opinions and complaints of college staff concerning the accuracy of accounting information.

3. Assessment Method
A. External audit reports will be used to assess the level of accuracy of reported accounting information.
B. Also, a log will be kept to register complaints and suggestions from college staff on the accuracy of accounting information, along with Accounting Office responses and satisfaction with those responses.

4. Criteria

A. Decrease in the Year over Year (YOY) audit findings serves as one criterion for measuring success. The trend should show a limited number of findings which are non-recurring with minimum fiscal impact.
B. A 90% mean satisfaction rate with regard to the Accounting Office's response to complaints and suggestions registered over the year will be deemed a success.

5. Analysis
A. Over the last three fiscal years, the YOY audit findings have declined, both in count and fiscal impact. The FY 2014 results are pending and will be recorded by December 2015 when the annual external audit will be complete.
B. Logging complaints, suggestions, responses, and satisfaction with responses has just begun, with no formal complaints as of August 2015. We will analyze any complaints logged within 1 week of the compliant..

6. Conclusion
A. The criterion related to the YOY audit findings was met over the last three years ending on FY 2013 (FY 2014 reports are pending). The ESC accounting office will continue to ensure that the highest standard is achieved over the current and subsequent years.
B. No formal complaints have been logged as of August 2015. We will analyze any complaints logged within 1 week of the compliant.

7. Changes To Be Implemented
Because accuracy is very high, no specific changes are called for now. However, we will engage in continuous improvement to ensure that the number of findings and their fiscal impact are minimal.

C. **PO #1: ESC Accounting (Bookstore) – Inventory Valuation and Reporting - The Accounting Office will value and report Bookstore inventory at its true market value.**

1. Relation to a higher-level mission, goals or outcomes
The reporting of inventory at its true market value as required by generally accepted accounting principles (GAAP) will serve to support the District's objective of achieving Institutional Effectiveness (Vision 2017, Goal 3, Objective 1).

2. Evidence
Results from Bookstore inventory analysis performed by ESC accounting office and subsequent adjustments in SAP will serve as the evidence.

3. Assessment Method
Financial analysis performed on the bookstore inventory account and related cash flow issues will be the method applied. This will include basic analytical procedures and tests of reasonableness. In conjunction with Bookstore managers, comparison

of book values with current market rates will be conducted. The assessment will follow GAAP requirements of valuing inventory at the Lower of Cost or Market (LCM).

4. Criteria
    The nature of retail inventory valuation is such that continuous monitoring has to be conducted to account for any form of obsolescence. For this reason, when inventory is compared to market values at any point in time, success will be indicated by 85% conformity to LCM rules, measured as the ratio of the number of inventory items correctly valued to total inventory count.

5. Analysis
    Since the closing of FY 2014 when inventory was counted by an independent third party (Washington Inventory Inc.), ESC Accounting performed an analysis of inventory purchases, movement, and year-end balances. With inventory balances reported at more than 60% of Bookstore assets over the last several years, the ESC accounting office had the obligation to ascertain whether reported values were accurate and reliable and followed GAAP requirements. The analysis indicated that current values are significantly higher than market rates. Further analyses are to be conducted in conjunction with bookstore managers to determine the amount of write down that is necessary to bring values to par with the market.

6. Conclusion
    The year-end report on inventory by the third party confirmed that the balances reported in SAP were accurate. However, achieving accuracy in financial reporting does not necessarily imply reliability. This is particularly true with respect to Bookstore inventory valuation. The ESC accounting office has determined that inventories are currently valued at historical costs instead of LCM as required by US GAAP. Consequently, we have concluded that bookstore valuations did not meet the criterion. These values need to be adjusted to market levels in order to make the reported financial statements reliable.

7. Changes To Be Implemented
    After inventory has been adjusted to the current market level, the ESC accounting office will initiate quarterly reviews with bookstore managers. The quarterly review meetings will be held to identify any inventory valuation issues that need to be addressed and to provide training on GAAP inventory valuation requirements.

III. Conclusion

The Accounting Office performed a review of its process and identified the four areas identified herein that will greatly improve the unit. The resulting analysis and performance tracking will provide us the knowledge to make further process improvements.

I. Introduction

A. Internal Audit

The Internal Audit Department (IAD) is an independent appraisal function established within the LACCD to provide an independent, objective assurance and consulting services to the LACCD. The objective of IAD is to assist the Board of Trustees and executive management in the effective discharge of their responsibilities. To this end Internal Audit will furnish the Board of Trustees and executive management with analyses, appraisals, recommendations, counsel and information concerning the activities reviewed.

To yield independent, objective internal audit results within the LACCD, it is the responsibility of the Director of IAD to ensure the IAD complies with auditing standards issued by the Comptroller General of the United States and *The International Standards for the Professional Practice of Internal Auditing* published by the Institute of Internal Auditors, Inc. Compliance with those standards requires the IADA be independent in fact and in appearance to the activities under audit. To meet this requirement, Internal Audit will report audit findings to the Board of Trustees' Audit/Budget Committee no less than annually. The IAD will report, functionally, through the Chancellor who is to ensure the IAD is granted access to all information necessary to fulfill its audit obligations. The Director of IAD also the Chief Audit Officer (CAE) is responsible for the internal audit activity at the LACCD as a whole.

The IAD will be maintained to provide assurance to the Board of Trustees through this Audit Charter that:

Objective and Scope

The objective of the IAD is to assist all members of management in the effective discharge of their responsibilities by furnishing them with analysis, recommendations and pertinent comments concerning all activities of the LACCD. This involves going beyond the accounting and financial records to obtain a full understanding of the operations under review. According to Standard 2100 of the Institute of Internal Auditors: "The scope of internal auditing work encompasses a systematic, disciplined approach to evaluating and improving the *adequacy* and *effectiveness* of risk management, control and governance processes and the quality of performance in carrying out assigned responsibilities. The purpose of evaluating the adequacy of the LACCD's existing risk management, control and governance processes is to provide reasonable assurance that these processes are functioning as intended and will enable the LACCD's objectives and goals to be met and to provide recommendations for improving the LACCD's operations, in terms of

both efficient and effective performance. Senior management and the Board of Directors might also provide general direction as to the scope of work and the activities to be audited."

Main clientele
The Internal Audit Department service the entire LACCD operation: Audits are performed to help management develop and implement strong controls that will negate and/or mitigate the impact of risk when occurred.

Organizational structure and staffing
See Attached Organization chart.

B. Outcomes and Objectives

PO #1: Provide training related to internal audit trends and fraud examination that will meet continuous professional educational credit requirements.

PO #2: Improve turnaround time of audits.

SAO #1: Client will receive audit reports that will improve operational processes.

C. Executive Summary
The essence of the program review items highlighted below is to create effectiveness and efficiencies in the operation of the Internal Audit department which in turn will help the LACCD meets it goals and objectives.

II. Program Review

A. PO #1: Provide training related to internal audit trends and fraud examination that will meet continuous professional educational credit requirements.

1. Relation to higher-level mission, goals, or outcomes
This outcome directly serves LACCD Vision 2017 Goal 3: Organizational Effectiveness, Objective 1: Assess and improve district processes and services, and Objective 3: Improve employee development opportunities.

2. Evidence
1. Hours of training
2. Subject of training

3. Assessment Method
1. Calculate the total number of training hours received from the Conference attendance forms for each auditor.

2. Obtain the agenda from the conferences attended to ascertain whether the subject areas covered are related to internal audit trends and fraud examination.

4. Performance Standard
1. 100% of the required continuing professional education hours are met.
2. 90% of the training topics are associated with internal audit trends or fraud examination.

5. Analysis and Interpretation
Auditors attended the required training seminars. This has help in the assessment of the audit steps and the quality of work performed?

6. Conclusion
Was the performance standard met? Yes

7. Changes To Be Implemented
No change was implemented as the outcome was made. The same process will be repeated annually

B. PO #2: Improve turnaround time of audits.

1. Relation to higher-level mission, goals, or outcomes
This outcome directly serves LACCD Vision 2017 Goal 3: Organizational Effectiveness, Objective 1: Assess and improve district processes and services.

2. Evidence
Documented start date and completion date of each of the last eight audits and each of the next eight audits.

3. Assessment Method
Calculate the number of days from start date to completion date for each audit; calculate the mean number of days for the last eight and the next eight.

4. Performance Standard
The mean turnaround time will be reduced by at least two weeks for the next eight audits, compared to the mean turnaround time for the last eight.

5. Analysis and Interpretation
Seven audits were started and in process for the period January 1, 2014 through September 15, 2014. The average start to complete days was 224. Eight (8) audits were started beginning September 20, 2015 through March 7, 2015. The average start to complete days was 156 days.

6. Conclusion

Was the performance standard met? Yes

7. Changes To Be Implemented
We will continue to improve our turn around timeprovide excellent services to the department and reevaluate this process annually.
C. SAO #1: Client will receive audit reports that will improve operational processes.

1. Relation to higher-level mission, goals, or outcomes
This outcome directly serves LACCD Vision 2017 Goal 3: Organizational Effectiveness, Objective 1: Assess and improve district processes and services.

2. Evidence
1. Client satisfaction survey
2. Correction Action Plan implementation

3. Assessment Method
1. Calculate mean satisfaction with improvement to processes from responses to the applicable question on the client satisfaction surveys collected at the end of audit.
2. Validation of the correction action plan

4. Performance Standard
1. 80% of auditees surveyed indicate that their processes have been improved based on the audit report.
2. At least 75% of identified findings have been corrected.

5. Analysis and Interpretation
The survey indicated that improvement were made based on the audit report and more than 75% of the Findings were corrected.

6. Conclusion
Was the performance standard met? Yes

7. Changes To Be Implemented
We will continue to provide excellent services to the department and reevaluate this process annually.

III. Conclusion
Based on the evaluation the objective and goals of the Internal audit department developed in the program review were meet. Internal Audit will continue this evaluation as a method to provide service for continuous improvement in the LACCD processes.

IV. Table of Evidence
A. Exhibit 1: Organization Chart

I. Introduction

The ESC Accounting Office comprises the General Accounting, Accounts Payable, Payroll & Retirement and Central Financial Aid Units. The office is responsible for recording monetary and fiscal transactions such as monies paid to vendors, current and former employees as well as students.

A. Payroll

B. Outcome and Objectives

SAO #1: The Payroll Office will ensure timely and efficient delivery of employee W-2 forms.

C. Executive Summary

Although the Educational Services Center Accounting Office has four sub-divisions, there is one common standard to which each division is tasked to adhere: to deliver quality accounting and financial information that is free from material misstatements. In order to achieve this standard, services provided must have a high degree of accuracy delivered in a timely manner. Accurate and timely accounting and financial information helps to ensure that reported statements are reliable and relevant.

Reliability and relevance of financial statements and reports has been the underlying theme in the development of the above mentioned SAOs and POs. In order to ensure accurate information, it has become necessary for the ESC Accounting Office not only to develop strong internal control measures, but also to assist college staff through training workshops to understand the ways and means of achieving accurate reporting. The workshops can also be used as a medium to assist users of financial data in the effective application of accounting information in their decision and reporting functions.

The Service Area Outcomes and Performance Objectives outlined in this document are such that the ESC Accounts Payable division is able to make accurate and timely payments on district obligations; to achieve reliability in Bookstore Financial Statements; to ensure the Payroll Department is able to deliver majority of W-2 forms through the new online process; to ensure that the Financial Aid Department provides a timely and efficient student disbursement process; and to reduce year over year audit findings to the minimum level possible.

II. Program Review

A. SAO #1: ESC Accounting (Payroll) Reporting and Delivery of W-2 forms – The Payroll Office will ensure timely and efficient delivery of employee W-2 forms.

2014-15 Program Review: Payroll

1. <u>Relation to higher-level mission, goals or outcomes</u>
   Ensuring timely and efficient delivery of employee W-2 forms supports the District's objective of achieving Institutional Effectiveness (Vision 2017, Goal 3, Objective 1).

2. <u>Evidence</u>
   The number of employees signing up for online W-2 forms will serve as evidence on efficiency and timely delivery. For calendar year 2013 delivered in 2014, only 400 employees signed up for online delivery.

3. <u>Assessment Method</u>
   A. A web report will be analyzed to measure the number of employees that sign up for online delivery.
   B. Employees will be surveyed to measure the timely delivery of W-2 forms.

4. <u>Criteria</u>
   A. 75% of active employee enrollment in the online delivery will be deemed a success.
   B. 90% of employee aware of the online option and their assessment of the ease of the system.

5. <u>Analysis</u>
   A. As of the legal deadline for delivering W-2 forms, we had not achieved the 75% online enrollment target.
   B. We are yet to measure employee awareness of the online option. This will enable us to ascertain if employees deliberately choose not to sign up online or are having difficulties with the process.

6. <u>Conclusion</u>
   A. We need to improve on communicating the online delivery process so we can have as many employees as possible involved in opting to receive their W-2 forms online. This will cut down delivery time and costs and will ensure all employees are able to assess previous years' information at any point in time.

7. <u>Changes To Be Implemented</u>
   We will continue to drive our communication effort to generate awareness of the online delivery process.

2014-15 Program Review: ADA Compliance Administration

I. Introduction

A. ADA Compliance Administration

The ADA Compliance Administrator plans, develops, implements and administers a comprehensive ADA, ADAA, Section 504 and California Disability law compliance program for the District.

B. Outcomes and Objectives

SAO #1 Student accommodation requests and appeals will be resolved according to established timelines.

PO #1 Improve communication with and about people with disabilities by providing effective ADA and California Disability Law and Disability Sensitivity training to employees.

C. Executive Summary

The Department of Justice requires that any public entity that has 50 or more employees designate at least one responsible employee to coordinate ADA (Americans with Disabilities Act) compliance. The ADA Coordinator title can vary, but the person is responsible for coordinating the efforts of the government entity to comply with Title II of the ADA and investigating any complaints that the entity has violated Title II.

There are many benefits to having a knowledgeable ADA Coordinator. For students, it makes it easy to identify someone to help them with questions and concerns about disability accommodations and discrimination. This is also true for the public and our most valuable resource, our employees. In addition, the person coordinates compliance measures and can be instrumental in ensuring that compliance plans move forward.

Improving the tracking of student accommodations has helped us identify weaknesses to our processes and identify areas for improvement. Both tracking at the ESC and College level have helped in the improvement of the E-100 Administrative Regulation, *Criteria for Serving Students with Disabilities*.

The development of other administrative regulations related to Federal and State disability laws further our efforts to better serve all students including vulnerable populations. Training modules have been developed and implemented to guide employers in our obligations under these laws.

II. Program Review

A. SAO #1 Student accommodation requests and appeals will be resolved according to established timelines.

1. Relation to higher-level mission, goals, or outcomes
This outcome directly relates to Vision 2017, Goal 1: The District's commitment to maximizing educational opportunity and access to everyone who has the desire to learn. The District will actively engage all students, especially those from communities that have traditionally been underserved by higher education or who require special accommodation or support.

2. Evidence
A data base has been established to memorialize student requests and appeals that escalate to the District Office level. Established procedures under E-100 have been updated and help some of the most disadvantaged students meet their educational goals. The decrease in the number of complaints coming to the district level actually support the success of the improvements to E-100 as evidenced in the statistics shown in the data base. (See attachment C. Exhibit 3)

3. Assessment Method
Comparison of cases with timelines that have been established.

4. Performance Standard
90 percent of accommodation requests and appeals will be acknowledged in accordance to the established timelines – 95 percent will be responded to according to established timelines -100 percent will have a response.

5. Analysis and Interpretation
Original tracking started when the DSPS Coordinators' group, including the ADA Compliance Administrator, was in the process of updating the E-100 Administrative Regulation, *Criteria for Serving Students with Disabilities*. Some student complaints went without timely responses at the College level and some went without any response at the College level. Scrutiny and updating of the procedure brought heightened awareness to the DSPS Coordinators and ownership of the process at the College level. Complaints that came to the District level, or to the ADA Compliance Administrator, have gradually diminished over the past three-year period that requests and appeals have been monitored at the District level. An improvement of student services to our students with disabilities appears to have improved due to the clearer process that have been established in the improved E-100 and its accompanying forms E-100A.

The new appeal process will go to the College ADA Coordinators. They have no system for tracking accommodation appeals or triggering follow-up easily at this time.

6. Conclusion
Was the performance standard met? Yes

7. Changes To Be Implemented
Implementation of a system the College ADA Coordinators can utilize to monitor timeliness for responses to accommodation requests and appeals.

B. PO #1 Improve communication with and about people with disabilities by providing effective ADA and California Disability Law and Disability Sensitivity training to employees.

1. Relation to higher-level mission, goals, or outcomes
Vision 2017 Core Value - The Power of Diversity--As a group of nine urban and suburban colleges situated in the midst of different communities, the inclusion of students with disabilities contributes and enriches our diversity goals.

Vision 2017 Goal 2: Teaching and Learning for Success: This Performance Objective strengthens effective teaching and learning by providing an inclusive learning environment.

2. Evidence
Level of knowledge - Understanding of applicable law, and level of sensitivity before and after training.

3. Assessment Method
Pre and post-tests to measure levels of understanding of law, and comfort levels of working with students with disabilities and of treatment and inclusion of employees and students with disabilities.

4. Performance Standard
Improved understanding and sensitivity among 90 percent of participants.

5. Analysis and Interpretation
Pre and post-test of first group was a measurement of a very experienced group and too small of sample group to give a good sampling. Redesign of the power point to be more specific to facility issue and simplification of testing improved the training experience and results.

6. Conclusion
Was performance standard met? Yes

7. Changes To Be Implemented
Continue training roll-out to larger groups. Include Accessible Document and Employee Accommodation training.

III. Conclusion

The updating of E-100, Criteria for Serving Students with Disabilities and four forms to help improve services to students with disabilities has decreased complaints at the District level. The administrative regulation puts the appeal process at the College ADA Coordinator and College President for appeal.

Three specialized ADA Disability Awareness type trainings have been offered throughout the year to targeted audiences to enhance District services to people with disabilities.

The Disability Sensitivity Training has been designed to train entry-level facility employees about the laws, facility access, and disability etiquette. The training is a short one-hour training segment that typically is offered during a monthly facility meeting. The training has been modified through feedback received from the managers and employees who have completed the training. Four of the nine college locations have completed the training by September 2015.

How to Create Accessible Documents is a class that is open to interested employees who create documents for public distribution or web publication and to instructors. It is a three-hour hands-on workshop in a computer lab where participants can practice as they learn. The workshop includes a video produced by Portland Community College that shows the many challenges that students with disabilities face with inaccessible technology. A brief overview of the ADA and California Disability Law is covered. Class size is limited to 30 due to the need for a terminal work station. Ten workshops have been offered in 2015, all filling to capacity within a day or two of being offered. Another two workshops will be offered before the end of the year due to the high demand of the class. Participants receive several workbooks and a quick reference guide after the class for future use.

The third ADA related training is Accommodating Employees With Disabilities. This is a four-hour workshop with interactive group exercises throughout the training. The training includes a brief video of a successful manager who is blind. It provides an overview of Federal and State disability laws. The training is targeted for managers and has been offered two times in 2015. It will be offered one more time this year. Participants leave with a booklet filled with useful reference materials.

Training feedback has been very positive. Suggestions have included putting the training in a Moodle format, offering them more frequently, and offering advance sessions.

IV. Table of Evidence
A. Exhibit 1. Training Logs and SurveyMonkey Results
B. Exhibit 2. 2014-2015 LACCD ESC Services Survey Analysis
C. Exhibit 3. Student Accommodation Appeal Log

2014-15 Program Review: Business Services

I. Introduction

A. Business Services

Business services provides the following major services: Districtwide Contracts and Purchasing including real property leases and permits over 14 days, Courier Services for Mail, Reprographics support for ESC staff and printing of Board agenda packets, Maintenance of ESC building and parking for centralized meetings, and AQMD coordination for ESC.

The main clientele are Vice Presidents of Administrative Services, College Facilities Directors, College Procurement Specialists, staff from all locations involved in purchasing.

The organizational structure:
Director of Business Services who supervises Contracts Manager, Building Engineer, Parking Attendant, 4 Security Desk staff, 4 Custodial staff, Staff Services Supervisor, and 3 clerical support staff: Administrative Aide, Sr. Office Assistant and Office Assistant.

The Contracts Manager supervises 3 Contracts Analysts, and 1 Purchasing Agent.
The Staff Services Supervisor directs activities of 1 Reprographics Technician, 2 Courier drivers, 1 Receiving Clerk

B. Outcomes and Objectives

PO #1: To reduce the number of contracts and agreements which were not approved within 60 days of commencement

C. Executive Summary

It is the policy of LACCD to procure necessary supplies, materials, equipment and services in a timely and efficient manner for a reasonable price, via transactions that are advantageous to the District in accordance with procedures set forth by the Board of Trustees, the California Public Contract Code, the California Education Code, other applicable laws of the State of California and the LACCD Procurement Policies defined in PP 04-01 thru PP 04-21 http://albacore.laccd.edu/#procpol.

Tracking the date of services provided for Facilities Order Forms, Short Term Agreements (STAs) and Contracts compared to when the documents are brought for Board of Trustees approval insures that all departments and colleges are complying with policies. These policies were developed to:
- Encourage competition in order to obtain best pricing and terms, superior products and customer services

- Provide all suppliers equal opportunity to participate – No favoritism, fraud, abuse, corruption
- Efficiently allocate resources
- Provide timely delivery of products and services

II. Program Review

A. PO #1: To reduce the number of contracts and agreements which were not approved within 60 days of commencement

1. Relation to higher-level mission, goals, or outcomes
This outcome directly relates to Vision 2017, Goal 7 "Public Accountability and Transparency". We are accountable to the public for all aspects of our mission, and we owe the students we serve, the people of Los Angeles, and the State of California regular and timely assessments of all of our efforts through shared governance processes that are open and transparent.

2. Evidence
In order to reduce the numbers ratified after 60 days, the Contracts and Purchasing Unit planned (with the Office of General Counsel) to conduct 3 Regional Procurement Training all-day workshops with the colleges on the State of California procurement laws and LACCD policies and procedures.

The training included a pre-test and post-test on general knowledge about procurement and LACCD policies. A deliberate decision was made not to capture the individual employee results of the pre-test and the post-test because we wanted to remove the barrier of being singled out as failing, while given all the employees the opportunity to benefit from improving their knowledge. But even without written papers to demonstrate a measurable improvement between pre-test and post-test results, it was clear that the employees significantly improved their contract knowledge during these training sessions.

The Contracts and Procurement Unit conducted 4 highly participatory all-day Procurement Training Workshops which included scenarios for small work teams of participants to discuss and analyze:
Pierce College on April 20
Harbor College on April 21
East LA College on April 22
Trade-Technical College on May 27

The Contracts and Purchasing Unit conducted 2 Procurement Training half-day workshops:
Educational Services Center (ESC) on June 25 and August 10

The Contracts and Purchasing Unit conducted a 3/4-day Procurement Training Workshop exclusively for staff at:
 LA Southwest College on August 18

3. Assessment Method
SAP reports on the number of contracts and agreements generated in a month by location will be generated. A random sample tool will be used to select at least 10 contracts or agreements from each location which will be reviewed to see if they were ratified within 60 days or less of commencement of the service.

A random sample of all contracts and agreements placed on the Board agenda in May 2015 was taken (see exhibit)

A random sample of all contracts and agreements placed on the Board agenda in September 2015 will be taken to measure for improvements. (see exhibit)

Business Services overall effectiveness will be demonstrated by greater understanding of California laws and LACCD policies by staff engaged in procurement.   In order to create greater understanding, a series of Procurement Workshops were given over the Spring and Summer of 2015

4. Performance Standard
20% or less of the contracts and agreements will be ratified more than 60 days after commencement of services.

5. Analysis and Interpretation
An analysis of all 181 FOFs, STAs and Contracts for service brought to the October 7, 2015
An analysis of all 181 FOFs (facilities order agreements), STAs (short term agreements) and Contracts brought to the October 7, 2016 Board of Trustees meeting showed that 95 or 52% were ratified more than 60 days after commencement of services.

6. Conclusion
Our goal of 20% or less of contracts and agreement being ratified late was not met. It was noted that compared to some agreements being over 147 days late at 9 out of 10 locations (West College alone had a late time maximum of 75 days) for fiscal year 2014, most of these late submissions were 37 days late for contracts/agreements that began July 1.

7. Changes To Be Implemented
Should the percentage rate of late ratifications remain above 20% for any location, The Contracts Manager will design and give a customized training on **planning as part of procurement** for that location during Winter 2016. The resources needed to do this training are time for Contracts Manager and staff (Contracts Analysts and College

Procurements Specialists) as well as use of a classroom equipped with a projector and the ability for location procurement staff to work in small groups.   After this training another 100% sample of a one month selection of contracts and agreements will be generated.

In addition, analysis will be undertaken with the College VP of Administrative Services at each location to determine why the particular failures happened to see if there are any process improvements that can be suggested. It is known that the increase in the error rate began when the Board of Trustees changed to having only ONE business ratification/approval of contracts and agreements once a month rather than the long years of previously having TWO business meetings a month.

III. Conclusion
Training did not provide the needed results.

IV. Table of Evidence
A. Exhibit 1 Pre-training percentage rates of contracts and agreements ratified more than 60 days after commencement of service by location
B. Exhibit 2 Post-training percentage rates of contracts and agreements ratified more than 60 days after commencement of service by location
C. Exhibit 3 Procurement Workshop ppt for colleges
D. Exhibit 4 Procurement Workshop ppt for ESC
E. Exhibit 5 Procurement Workshop ppt for Southwest College

2014-15 Program Review: Diversity Programs and Services

I. Introduction

The Office for Diversity, Equity and Inclusion is responsible for all functions as required by federal statues, Title 5, sections 53000 and 59000 of the California Code of Regulations and District Policies to facilitated equal employment opportunity and staff and faculty diversity.

A. Office for Diversity, Equity and Inclusion Programs and Services

Services provided include:

- Overseeing Title IX compliance and reporting requirements
- Providing administrative, technical and advisory service in the area of Equal Employment Opportunity
- Receiving, coordinating, reviewing and investigating complaint of unlawful discrimination
- Preparing, presenting, and coordinating training programs related to equal employment opportunity and diversity
- Developing, implementing, updating and disseminating a written EEO Plan
- Assists and monitors Title VI compliance and reporting requirements
- Manages Project MATCH intern program

B. Outcomes and Objectives

PO #1: Complete investigations of complaints of unlawful discrimination within 90 days.

PO #2: Increase the percentage of interns hired in LACCD for Project MATCH program.

PO #3: Ensure effective implementation of Title IX policies and procedures.

SAO #1: All designated EEO Representatives will be fully trained in EEO guidelines and effectively monitor the hiring processes district-wide.

C. Executive Summary

The overall evaluation of accomplishment of established standards for the Outcomes and Objectives listed above for the Office for Diversity, Equity and Inclusion were mixed. Standards were adjusted for the completion of complaint investigations. Achievement of Title IX policies and procedures administration were not met as it was decided to combine two policies rather than revise the old Sexual Assault Board Rule. Additionally, a vendor has been employed to make online training available to all students and employees. Hiring percentages for Project MATCH participants will be assessed for the year ending in December 2015.

II. Program Review

A. PO #1: Complete investigations of complaints of unlawful discrimination within 90 days.

1. Relation to higher-level mission, goals, or outcomes
Timely review and investigation of complaints of unlawful discrimination is essential in order to comply with Title V of California Code of Regulations and the District's Prohibited Discrimination policy. These actions apply to LACCD Vision 2007, Goal 3; Objective 1, to assess and improve district processes and services.

2. Evidence
Maintain a complaint tracking log

3. Assessment Method
Count number of days from the acceptance of a complaint to completion of investigation

4. Performance Standard
85% of all complaints are completed within 90 days of acceptance

5. Analysis and Interpretation
From the period August 1, 2014 to August 1, 2015, 77% of investigations were completed within 90 days of acceptance. Students filed approximately 60% of complaints. Due to the transient nature of students, Compliance Officers investigating complaints experience difficulties contacting or remaining in contact with students. Additionally, unlike employees, students are not compelled to cooperate in investigation.   In several cases involving employees, attorneys were involved. This tended to also prolong investigations.

6. Conclusion
Was the performance standard met? No

7. Changes To Be Implemented
Performance standard will be changed from 85% of complaints completed within 90 days of acceptance to a standard of an average of 60 days from acceptance to completion of the report of investigation.

B. PO #2: Increase the percentage of interns hired in LACCD for Project MATCH program

1. Relation to higher-level mission, goals, or outcomes

Provide equal employment opportunity to all applicants, regardless of gender, race, ethnicity, age, disability and other protected classifications.

Project MATCH serves the LACCD Vision 2017 Goal 3, Objective 3; and, Vision 2017 Core Value Power of Diversity. Project MATCH goals are to improve the diversity pool of faculty in the Los Angeles Community District, for interns to become role models reflecting the diversity in the District, and to better reflect the diversity of the community the District serves.

2. Evidence
Chart the number and percentage of interns who are hired as adjunct and fulltime instructors in LACCD each year.

3. Assessment Method
Compare the percentage of interns hired as adjunct and fulltime instructors in LACCD with previous year's percentage.

4. Performance Standard
The proportion of interns hired as instructors in LACCD will increase by two percentage points each year.

5. Analysis and Interpretation
Our baseline is as follows: In 2014, about 20% of the 2013 Project MATCH interns were hired in LACCD   this is a significant percentage as Project MATCH interns cannot have prior teaching experience. Thus, they are competing with other experienced applicants.

6. Conclusion
Performance standard was met.

7. Changes To Be Implemented
None

C. PO #3: Ensure effective implementation of Title IX policies and procedures.

1. Relation to higher-level mission, goals, or outcomes
Title IX compliance is required in accord with the Education Amendments of 1972, the 2011 Dear Colleague Letter, and subsequent federal administrative publications. Because this objective improves the district's services related to sexual harassment and sexual violence, it supports District Vision 2017, goal 3, Objective 1, to assess and improve district processes and services.

2. Evidence
1) Currency of Board Rules related to Title IX.

2) Extent of employee training regarding Title IX.
3) Level of Deputy Title IX Coordinator involvement.

3. Assessment Method
1) Action on and dissemination of revisions to Board Rule XVI, Sexual Assault.
2) Attendance record of training sessions reviewed.
3) Roster of Deputy Title IX Coordinators reviewed.

4. Performance Standard
1) Revised Board Rule XVI, Sexual Assault, is adopted and published district-wide within six months.
2) Seventy percent (70%) of employees are trained by May 2015
3) All Deputy Title IX Coordinators are designated and added to college and ESC websites by March 2015.

5. Analysis and Interpretation
1) It was decided that Board Rule XVI was to be combined with Board Rule XV and an administrative regulations developed to reflect the process for complaint handling. This process is currently being reviewed by our Risk Management team. It is anticipated that the new policy will be submitted for Board approval no later than December 2015.
2) A vendor was contracted to provide on line training for students and employees. Training is estimated to begin no later than January 2016.
3) All Deputy Title IX Coordinators have been designated

6. Conclusion
Performance standards were not met.

7. Changes To Be Implemented
A full time Title IX Coordinator's position is being requested as the designated Title IX Coordinator is also currently a Compliance Officer and could not devote sufficient time to Title IX Coordinator's duties.

D. SAO #1: All designated EEO Representatives will be fully trained in EEO guidelines and effectively monitor the hiring processes district-wide.

1. Relation to higher-level mission, goals, or outcomes
Equal employment opportunity is a goal of LACCD as a public institution in compliance with EEOC and CDFEH regulations. The training aspect serves the LACCD Vision 2017 Goal 3, Objective 3 (Employee Development and Training), and, the Vision 2017 Core Values, The Power of Diversity

2. Evidence
1) Participation in training sessions
2) Training participants' mean evaluations of training effectiveness

3) Hiring committee members' mean evaluations of hiring process effectiveness with respect to adherence to EEO guidelines

3. Assessment Method
1) Count number of participants based on sign-in sheets for training sessions
2) Evaluation instrument filled out by training participants
3) Evaluation instrument for subsequent hiring processes at the colleges completed by hiring committee members.

4. Performance Standard
1) 90% of designated EEO Representatives attend training sessions at least once every three years.
2) 80% of EEO Representatives satisfied or very satisfied with training provided each year.
3) 70% of hiring committee members satisfied with hiring process effectiveness with respect to adherence to EEO guidelines each year.

5. Analysis and Interpretation
From 8/1/2014 through 8/1/2015, a total of 172 staff, including faculty, classified, and administrators from each of the District's nine colleges, participated in two hour training sessions. At the conclusion of training workshops, participants signed a certification of training verification and filled out an Evaluation Form which was collected by the presenter.

Participation: An analysis of the sign-up sheets shows that of those colleges that included a printed sign-up sheet with the names of those invited to the training, over 90% of those designated received the training.

Satisfaction: Participants filled out and signed an Evaluation Form which contained 14 aspects of the presentation. **Over 90% of participants gave a rating of Excellent to all the aspects.**

Hiring Committee Satisfaction: Hiring committee members will be provided an evaluation sheet to be filled out relating to how satisfied they were with the effectiveness of the hiring process with respect to adherence to EEO guidelines at the end of the 2015 hiring term.

6. Conclusion
The performance standards were met in all but the last standard as the hiring is still ongoing at all colleges.

7. Changes To Be Implemented
None at this time

III. Conclusion

A review of achievement of performance standards indicated mixed results. Service Area Outcome #1 was the only area where most standards were met.

IV. Table of Evidence
A. DP. Exhibit 1 – EEO Training Assessment Form
B. DP. Exhibit 2 – EEO Training Evaluation Forms

2014-15 Program Review: Information Technology

I. Introduction

A. Information Technology

The Division of Information Technology (IT) supports the colleges by implementing and maintaining student/academic, financial, supply chain, human resources, and administrative information technology applications as well as their underlying technical systems and infrastructure. The division works with VP Councils, district-wide technology committees and senior staff to develop IT policies and plans; operates the district data center; acquires, installs, and maintains IT applications and hardware; establishes and monitors the security of district-wide applications, websites, data, communications.

B. Outcomes and Objectives

SAO #1: Applicable data center information technology services will be reliable.

SAO #2: Clients will receive timely and effective resolutions of their service requests.

SAO #3: Applicable data center information technology services will be secure.

C. Executive Summary

A key component of the LACCD Strategic Plan Vision 2017 was the deployment of a new Student Information System to modernize the way we manage student information and measure progress. This technology system resides in single data center which has reduced the cost of operations but has also resulted in a single point of failure. In order to ensure that the current and future systems that support student learning and other critical IT support functions are available the organization has prioritized improvements to increase the reliability of the IT facilities that house these technology systems. The improvements will enable students to continue to log into their digital classrooms and access their information to make educational decisions. These upgrades will also enable employees to provide services to the students to help them meet their educational goals.

II. Program Review

A. SAO #1: Applicable data center information technology services will be reliable.

1. Relation to higher-level mission, goals, or outcomes
Create technology business continuity and emergency management systems to provide data integrity, data backup, and resilience in the event of mishaps from nature, technical failures or those caused by human error.

2. Evidence
- Learning Management (LMS), Student Information (SIS), Finance (FI), and Human Resources (HR) systems uptime.
- Customer satisfaction

3. Assessment Method
- Data Center Logs
- Systems Logs

4. Performance Standard
- 99.9% uptime during business hours each academic year for each of the following systems: LMS, SIS, FI, and HR systems.

5. Analysis and Interpretation
Current measured uptime is 98.9% during business hours. This translates into 4 hrs of unplanned downtime per year. Aging power systems and coolings systems have been the major source of the uplanned outages. We need to work with facilities to identify ways to mitigate issues. Additionally having all technology systems in one place continues to be a problem and we need to start to create a mirrored system at another location to improve reliabliblity. This will require a high speed data link to another location to maintain the mirror.

6. Conclusion
Was the performance standard met? No.

7. Changes To Be Implemented
- Deploy additional servers to enable 99.9% availability for LMS.
- Deploy new power and cooling systems by December 2015 to better protect the data systems.
- Deploy a new high speed network data link to improve backup of systems.

C. SAO #2: Applicable data center information technology services will be secure.

1. Relation to higher-level mission, goals, or outcomes
This outcome directly serves LACCD Vision 2017 Goal 3: Organizational Effectiveness, Objective 1: Assess and improve district processes and services. Achievement of the outcome will also improve the ability of the colleges to use and rely on technology to assist students in pursuit of their educational goals, both in the classroom and in student support departments.

2. Evidence
  - New Enterprise Data Systems will use a single unified account/password for secure access.
  - Customer satisfaction surveys

3. Assessment Method
  - Documentation that new Enterprise Data systems use a single account/password
  - Survey of clients

4. Performance Standard
  - 100% of new Enterprise Systems will utilize new unified account/password
  - Customer surveys will be 75% favorable and configuratoin documentation will show 100% use of the new unified password on new systems.

5. Analysis and Interpretation
Currently all systems use separate passwords.Users are frustrated with multiple password and this is createing a security problem.

6. Conclusion
Was the performance standard met? Yes.

7. Changes To Be Implemented
No changes in the SAO itself at this time.
Deploy a new Identify management data base that will allow the use of a single password for new Enterprise Data Systems. This will include the new Student Information System, New Academic Email System for all Students and new Academic Email System for all Faculty.

III. Conclusion

A recent power outage in the Downtown that resulted in loss of student registration services for all nine colleges and every student serve to illustrate importance of the services that are centrally supported by the District Educational Services IT Staff.   This also further reinforces the need to fund and develop the processes and infrastructure to increase reliability and survivability of these critical services. Funding challenges have continued to be one of the major barriers in these efforts. While progress has been made and the planning has been completed the organization is still vulnerable to many single points of failure.

IV. Table of Evidence

A. Exhibit 1: ESC Services Survey
B. Exhibit 2: Configuration Design of new SIS (PeopleSoft Campus Solution)
C. Exhibit 3: Configuration Design of Office 365 (Academic Cloud Services)

2014-15 Program Review: Attendance Accounting

I. Introduction

A. Attendance Accounting

Attendance Accounting prepares and submits Apportionment Attendance reports, works with colleges to develop Full Time Equivalent Students projections, assists in development of FTES targets, provides district context for FTES goals, and provides uniform districtwide reporting and definitions.

AA supports District Goal 3 - Organizational Effectiveness: Improve organizational effectiveness through data-informed planning and decision-making, process assessment, and professional development.

The main clientele of AA are the colleges and district budget office.

AA has one full-time staff: Administrative Analyst (1).

B. Outcomes and Objectives

SAO #1: Users will report satisfaction with the performance of AA overall

PO #1: AA responds to research requests in a timely manner.

C. Executive Summary

For the 2014-15 program review cycle, Attendance Accounting examined user satisfaction with overall performance and responsiveness to requests. Based on results from the ESC Services Survey, over 85% of users were satisfied with AA's performance and responsiveness to requests.

II. Program Review

A. SAO #1: Users will report satisfaction with the performance of AA overall.

1. Relation to higher-level mission, goals, or outcomes
This outcome supports District Goal 3 - Organizational Effectiveness: Improve organizational effectiveness through data-informed planning and decision-making, process assessment, and professional development.

2. Evidence
Data from survey item, "I am satisfied with the performance of your office overall".

3. Assessment Method
Annual ESC Services Survey

4. Performance Standard
At least 75% of users surveyed will be satisfied with the performance of AA overall.

5. Analysis and Interpretation
Results from the survey showed that 86.7% of users were satisfied with the performance of AA overall. On average, AA users (4.3 out of 5) reported higher satisfaction than ESC users (3.9).

6. Conclusion
Was the performance standard met? Yes.

7. Changes To Be Implemented
Based on the analysis, the performance standard was met. Therefore, no Improvement Objective plan is needed at this time. AA will continue to monitor its overall service performance.

B. PO #1: AA responds to requests in a timely manner.

1. Relation to higher-level mission, goals, or outcomes
This outcome supports District Goal 3 - Organizational Effectiveness: Improve organizational effectiveness through data-informed planning and decision-making, process assessment, and professional development.

2. Evidence
Data from survey item, "Your office responds to my queries or requests in a timely manner".

3. Assessment Method
Annual ESC Services Survey

4. Performance Standard
At least 75% of users surveyed will state AA responds to requests in a timely manner.

5. Analysis and Interpretation
Results from the survey showed that 86.9% of users stated AA responds to requests in a timely manner. On average, AA users (4.4 out of 5) reported higher satisfaction than ESC users (4).

6. Conclusion
Was the performance standard met? Yes.

7. Changes To Be Implemented
Based on the analysis, the performance standard was met. Therefore, no Improvement Objective plan is needed at this time. AA will continue to monitor its research request response times.

III. Conclusion
In conclusion, over 85% of users indicated satisfaction with the performance of Attendance Accounting overall and that AA responds to research requests in a timely manner. Both performance standards were met and therefore no Improvement Objective plan is needed at this time. AA will continue to monitor its service performance.

IV. Table of Evidence
A. Exhibit 1: ESC Services Survey results

I.   Introduction

A. Curriculum Support
    This office maintains the course database, conducts technical review of courses and programs, facilitates and monitors course and program approval at the District and State level, and provides electronic communication on course and program approval.

B. Outcomes and Objectives
    1. Service Area Outcome #1
        Users will be satisfied with the quality of services in curriculum support.

    2. Performance Objective #1
        Provide high quality curriculum support services to colleges and the District to facilitate compliance with state and federal regulations.

C. Executive summary
    The Office of Curriculum Support maintains the course database, conducts technical review of courses and programs, facilitates and monitors course and program approval at the District and State level, and provides electronic communication on course and program approval. For the 2014-2015 program review cycle two outcomes/objectives will be evaluated: 1) How satisfied users are with the quality of services in curriculum support. 2) How this office provides high quality curriculum support services to colleges and the District to facilitate compliance with state and federal regulations. Two sets of changes will be implemented: 1) Develop a user satisfaction survey to establish a baseline and administer annually for ongoing program improvement. 2) Create and maintain a database of curriculum requests to track the status and ensure efficient turnaround time.

II.   Program Review

A. SAO #1: Users will be satisfied with the quality of services in curriculum support.

    1. Relation to higher-level mission, goals, or outcomes
        i.   Directly supports the student success goal in the District Strategic Plan.
        ii.   Providing high-quality curriculum support helps the colleges in offering instructional programs to meet students' educational goals and enabling students to receive degrees and certificates in academically rigorous programs.

iii.   Indirectly supports student financial aid, gainful employment reporting, apportionment and funding, and   adherence to accreditation standards.

2. Evidence
   i.   User satisfaction with advice provided.
   ii.   User accessibility of curriculum support forms.
   iii.   User understanding of the curriculum change process.

3. Assessment method
   i.   User satisfaction survey (the method for all three measures).

4. Criteria
   i.   At least 90% of surveyed users will rate satisfaction with advice provided as good or excellent.
   ii.   At least 90% of surveyed users will rate satisfaction with accessibility of forms as good or excellent.
   iii.   At least 80% of users will correctly answer survey questions about the curriculum change process.

5. Analysis
   i.   Data analysis will be conducted upon completion of data collection.

6. Conclusion
   i.   Findings will be reported upon completion of data analysis.

7. Changes to be implemented
   In order to collect the information necessary for this assessment, we will develop a user satisfaction survey to establish a baseline and identify strengths and areas for improvement. The survey will be administered annually. Analysis will be done to validate baselines. Changes will be implemented based on survey results.

B. PO #1: Provide high quality curriculum support services to colleges and the District to facilitate compliance with state and federal regulations.

   1. Relation to higher-level mission, goals, or outcomes
      i.   Directly supports the student success goal in the District Strategic Plan.
      ii.   Providing high-quality curriculum support helps the colleges in offering instructional programs to meet students' educational goals and enabling students to receive degrees and certificates in academically rigorous programs.

2. Evidence
   i. Turnaround time for processing curriculum updates.
   ii. Accuracy of curriculum items placed on Board Agenda.

3. Assessment method
   i. Maintain database of curriculum requests for tracking status.
   ii. Maintain database of Board Agendas items by date and follow-up.

4. Criteria
   i. One week turnaround time for processing curriculum updates.
   ii. 100% accuracy of curriculum items placed on Board Agenda.

5. Analysis
   i. Data analysis will be reported upon completion of data collection.

6. Conclusion
   i. Findings will be reported upon completion of data analysis.

7. Changes to be implemented
   In order to collect the information necessary for this assessment, we will create a database of curriculum requests and track the status of each through completion. We will then regularly view the data and refine the curriculum update process in order to achieve a turnaround time of one week.

III. Conclusion

Our office conducted an informal needs assessment and identified two target areas for program improvement; as indicated in the service area outcome and the performance objective. The corresponding changes to be implemented will serve as action plans. It is expected that these newly developed systems will be implemented in the current program review cycle.

IV. Table of Evidence

A. Exhibit 1: n/a

I.   Introduction

A. Dolores Huerta Labor Institute (DHLI)

Unit Description:

Program Mission: The Dolores Huerta Labor Institute (DHLI) educates students about workers and unions in America. DHLI assists Los Angeles Community College District faculty in developing labor-themed courses, integrating labor themes across the curriculum, and developing other labor-themed activities. By expanding awareness of labor history and the impact of unions, DHLI promotes critical thinking, enhances career prospects and encourages civic participation among students.

Program Vision: To educate all Los Angeles Community College District students about the labor movement.

Primary Services Provided: DHLI works with faculty to provide them resources to educate students about labor. We provide workshops, speakers, curriculum, and organize/provide other educational resources/activities.

Contribution to District mission, goals, and outcomes: DHLI's services align with the District's mission in that we help faculty provide excellent education to prepare students to transfer and pursue civic engagement. DHLI contributes to District goals #2 and #4. We provides resources that help strengthen effective teaching and learning by providing a learner-centered educational environment. We also develop partnerships with the Labor Movement and community organizations to provide educational resources for LACCD faculty and students.

Main Clientele: LACCD faculty and their students.

Organizational Structure/Staffing: DHLI is operated by two full-time consulting instructors. The program is a unit within the Office of Educational Programs and Institutional Effectiveness. DHLI's District administrator is the (Interim) Vice Chancellor, Educational Programs and Institutional Effectiveness. DHLI reports to a Steering Committee (SC) that meets at least twice per year. The SC advises on program direction and issues. The SC's membership consists of the presidents of the District Academic Senate, the AFT Faculty Guild, the AFT Staff Guild, the District administrator responsible for DHLI, the director and associate director of the Trade-Tech Labor Center, the director

of the UCLA Labor Center, a labor liaison. DHLI also has a Faculty Action Committee (FAC). The FAC's membership consists of at least one faculty member from each of the nine LACCD colleges. Membership is open to any interested faculty member. The FAC meets at least twice per year to plan activities. The DHLI consulting instructors serve as co-chairs of the SC and FAC.

B. Outcomes and Objectives

> SAO: Faculty will be satisfied with the support they receive from DHLI to help them educate their students about labor issues.

> PO: Provide meaningful and relevant educational resources to help integrate labor education into the curricula and activities of the nine colleges of the LACCD.

C. Executive Summary

> DHLI's mission, SAO and PO are aligned to the District mission and goals. It set its performance objectives for its SAO and PO by reviewing historical data since 2011 of the services it provides to its clientele. Using this data, DHLI established objectives through discussions about the data and what are reasonable expectations for performance at a staff meeting on August 11, 2015, and a Steering Committee meeting on August 17, 2015. In 2014-2015, DHLI met its performance standards. Although there are no needed improvement plans for the SAO and PO, DHLI identified that it can improve communications to its clientele and to District constituents based on one question from its 2014-2015 satisfaction survey and the 2014-2015 ESC survey data.

II. **Program Review**
A. SAO #1: Faculty will be satisfied with the support and resources they receive from DHLI to help them educate their students about labor issues.
    1) Relation to higher-level mission, goals, or outcomes

> This SAO links with the District's mission to provide excellent education that prepares students to transfer and pursue civic engagement. When faculty are satisfied with the support and resources we provide, it means DHLI is effective in helping them provide excellent education to students so students can transfer and/or pursue civic engagement. This SAO links to

District goal #2. If faculty are satisfied with the support from DHLI, it means the program is effectively providing resources that help strengthen effective teaching and learning by providing a learner-centered educational environment.

2) Evidence

   1: Client perception of services received. 2: Client satisfaction.

3) Assessment Method

   1. Five survey questions sent to clientele asking how much they agreed with the satisfaction level that 1) DHLI provides them with labor educational resources; 2) DHLI helped educate their students about labor; 3) DHLI helped their students connect labor issues to themes in their class; 4) they are satisfied with the support received from DHLI; and 5) they are satisfied with their communications with DHLI. Two questions were open-ended questions requesting feedback about what DHLL could do better and what additional resources clients want.

   2. Four ESC survey questions sent to ESC users who are not DHLI's targeted clients asking how much they agreed that 1) DHLI timely responds to queries/requests 2) DHLI keeps them informed about the progress of queries/requests 3) DHLI explains issues in terms that are understandable 4) they are satisfied with DHLI's performance overall. Three questions were open-ended questions about what DHLI does well, what it could do better, and what additional services/resources DHLI could provide.

4) Performance Standard

   80% of survey takers report that they Agree or Strongly Agree with the statements regarding the service they received.

5) Analysis and Interpretation

   The DHLI survey was administered from 8/11/2015 to 8/14/2015. A total of 13 out of 77 people completed the survey, for a response rate of 17%. See Exhibit 1. The results were:

- Question 1: DHLI provides labor educational resources – 8 strongly agree; 3 agree; 2 N/A (85%[1]. Meets performance standard (PS))
- Question 2: DHLI helped educate students about labor – 9 strongly agree; 3 agree: 1 N/A (92%. Meets PS)
- Question 3: DHLI helped students connect labor issues to themes in their class – 9 strongly agree; 3 agree; 1 N/A (92%. Meets PS)
- Question 4: Satisfaction with support received – 7 strongly agree; 4 agree; 1 uncertain; 1 N/A (85%. Meets PS)
- Question 5: Satisfaction with communications with DHLI – 7 strongly agree; 5 agree; 1 disagree (92%. Meets PS)
- Questions 6-7: In open-ended comments, clients suggested that DHLI needs more staff; should attend AFT 1521 chapter meetings and Academic Senate meetings once per semester; expand simulations at LAHC; create an online labor library; have a student helpline regarding labor issues; have a campus lecture series; have more resources to provide.

The results of the DHLI survey show that most people who completed the survey are satisfied with the support and resources they receive from DHLI. (Exhibit 1)

Although 80% or more of DHLI's survey takers expressed satisfaction with DHLI's communications (question #5), the results from the 2014-15 ESC survey, which was administered to a different body of 115 ESC users, show that communications to constituents within the District outside of DHLI's target clientele needs improvement. On average DHLI's average for this survey was lower for each question than the ESC average. See Exhibit 2. A total of 12 to 14 of the 115 ESC users who took the survey responded to the survey questions about DHLI. The results were:

- Question 1: DHLI responds to their inquiries in a timely manner – 3 strongly agree; 2 agree; 7 uncertain; 1 disagree; 1 strongly disagree (36%[2] agree)

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[1] Percentage of survey takers who "strongly agreed" or "agreed" out of the total number of those who completed the survey. Here it is 11/13 = 85% (rounded).

- Question 2: DHLI keeps them informed about the progress of their inquiries/requests – 2 strongly agreed; 3 agreed; 4 uncertain; 1 disagreed; 2 strongly disagreed (42% agree)
- Question 3: DHLI explains issues in terms that are understandable – 4 strongly agree; 3 agree; 1 disagree; 1 strongly disagree (58% agree)
- Question 4: Satisfied with DHLI's performance overall – 2 strongly agree; 4 agree; 3 uncertain; 2 disagree; 1 strong disagree (50% agree)
- Questions 5-7: In open-ended comments, survey takers expressed they did not know much about DHLI and that the program should increase communications.

6) Conclusion

The performance standard was met. For each of the questions asked in DHLI's survey, more than 80% of respondents strongly agreed or agreed that DHLI was being effectively supportive

7) Changes To Be Implemented

No changes to be implemented with regards to support and resources provided because the performance standard was met. However, in conjunction with the ESC survey (Exhibit 2), it is apparent that DHLI can improve communications. DHLI will develop and implement a program operations form that outlines communication methods and frequency.

B. PO #1: Provide relevant educational resources to help integrate labor education into the curricula and activities of the nine colleges of the LACCD

1) Relation to higher-level mission, goals, or outcomes

This PO links with the District's mission to provide excellent education that prepares students to transfer and pursue civic engagement. When DHLI provides relevant labor educational resources it means we are effective in helping faculty provide excellent education to students so they can transfer and/or pursue civic engagement. This PO links to District goals #2 and #4. If faculty use the resources DHLI provides, it means that

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[2] 14 of the 115 who completed the ESC survey responded to question 1. Questions 2 to 5 only had 12 out of 115 people respond.

the resources are relevant in helping them strengthen effective teaching and learning by providing a learner-centered educational environment. In regards to District goal #4, one of the ways DHLI provides resources is by building connections and educational partnerships between faculty and labor and community organizations through speakers, events, workshops, etc.

2) Evidence
   1. Data of events/trainings[3] held
   2. Data of simulations (L-Sim)[4] run
   3. Data of faculty served
   4. Data of students reached
   5. Data of different colleges DHLI held activities at
   6. Data of different organizations DHLI partnered with

3) Assessment Method

   1. Record of number of events/trainings held
   2. Record of number of simulations run
   3. Record of number of faculty served
   4. Record of number of students reached
   5. Record of number of different colleges DHLI held activities at
   6. Record of number of different organizations DHLI partnered with

4) Performance Standard[5]

   1. Hold at least 50 events/trainings per year
   2. Run at least 20 simulations per year
   3. Serve at least 27 different faculty each year from each of the nine colleges
   4. Reach at least 4,500 students each year
   5. Hold activities at 8 or more LACCD colleges each year
   6. Partner with at least 20 different organizations each year

5) Analysis and Interpretation

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[3] Events and trainings are categorized as Voices & Images (V&I) or Labor Students Educating Peers (L-StEP) activities in Exhibit 3. V&I events include speaker series, workshops, trainings, film screenings, and the like which are coordinated by DHLI. L-StEP events are coordinated by faculty and their classes with DHLI support. L-StEP was eliminated as an initiative in 2013-2014.
[4] Simulations (L-Sim) are educational role-playing workshops/simulations that DHLI facilitates in classes.
[5] We used historical data from 2011-2015 to determine the performance standards.

1. Data of events/trainings held in 2014-15: 51
2. Data of simulations in 2014-15: 26
3. Data of faculty served in 2014-15: 28
4. Data of students reached in 2014-15: 5,081
5. Data of colleges DHLI held activities at in 2014-15: 8
6. Data of organizations DHLI partnered with in 2014-15: 43

Overall, DHLI has had significant reach and impact in providing labor education resources to faculty across the nine colleges. Its 2014-2015 data shows that it has conducted activities, reached students, and served faculty in at least 8 of the 9 LACCD colleges.

6) Conclusion

The performance standard was met. DHLI met or exceeded the numbers for each activity benchmark that it set.

7) Changes To Be Implemented

No changes to be implemented as performance standard was met.

III. Conclusion

DHLI met its performance standard for its SAO and PO for 2014-2015. No changes need to be implemented for improvement. DHLI will continue to strive to meet its numbers and maintain its quality of service. In continuing to meet events/trainings numbers, DHLI will focus on V&I events. Although L-StEP was a big component of DHLI's 2011-2014 Strategic Plan, we eliminated this initiative due to decline in client interest. DHLI will serve faculty and reach students not only through events and trainings, but also through educational simulations. DHLI will continue to provide faculty with resources for developing or theming courses.

It is anticipated that in 2015-2016, DHLI will have a difficult time meeting the performance standard for its PO due to staffing shortages. DHLI set this performance standard by reviewing historical data from 2011 to 2015[6] and dialoguing with staff and the Steering Committee about the data, annual averages, and actual performance in 2014-2015. This performance standard

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[6] Even though DHLI began operations in 2007, DHLI does not have accurate data for academic years 2007 to 2010. From 2007 to 2010, DHLI was an SFP and not yet established as a permanent program. In June 2010, DHLI's first executive director passed away and records were lost.

is based on capacity of two full-time consulting instructors. However, one of DHLI's consulting instructors left on August 25, 2015 for a different position within the District. The other is currently reassigned .6 FTE to do Accreditation work at LA Trade Technical College until April 2016. DHLI needs at least two full-time staff to meet the numbers of activities and services historically provided to meet the performance standard for the PO.

DHLI identified communications as an area for improvement. Although 80% or more of DHLI's survey takers expressed satisfaction with DHLI's communications, the results from the 2014-15 ESC survey showed that communications to constituents within the District outside of DHLI's target clientele needs improvement. See Exhibit 2.

In order to improve communications, DHLI will develop and implement a program operations form that its Steering Committee will vet and approve in fall 2015. The form outlines communication methods and frequency. These methods include email, newsletter, and webpage. Other forms of communication include reports to the Board of Trustees and targeted constituents. The Steering Committee will hold DHLI accountable for improving its communications.

IV. **Table of Evidence**
   A. Exhibit 1: Summary of DHLI survey data
   B. Exhibit 2: Summary of ESC survey data
   C. Exhibit 3: Data records of numbers of events, faculty, and students served and organizations partnered with each academic year in 2014-2015.

2014-15 Program Review: Institutional Effectiveness

I. Introduction

A. Institutional Effectiveness

The Office of Institutional Effectiveness provides information on and analysis of enrollment trends, student characteristics, student outcomes, instructional staffing, and service area demographics.

OIE supports District Goal 3 - Organizational Effectiveness: Improve organizational effectiveness through data-informed planning and decision-making, process assessment, and professional development.

The main clientele of OIE are the college research units.

OIE has three full-time staff: Associate Vice Chancellor (1), Research Analyst (2), and Administrative Intern (1).

B. Outcomes and Objectives

SAO #1: Users will report satisfaction with the performance of OIE overall.

PO #1: OIE responds to research requests in a timely manner.

C. Executive Summary

For the 2014-15 program review cycle, the Office of Institutional Effectiveness examined user satisfaction with overall performance and responsiveness to research requests. Based on results from the ESC Services Survey, over 75% of users were satisfied with OIE's performance and responsiveness to requests.

II. Program Review

A. SAO #1: Users will report satisfaction with the performance of OIE overall.

1. Relation to higher-level mission, goals, or outcomes
This outcome supports District Goal 3 - Organizational Effectiveness: Improve organizational effectiveness through data-informed planning and decision-making, process assessment, and professional development.

2. Evidence
Data from survey item, "I am satisfied with the performance of your office overall".

3. <u>Assessment Method</u>
Annual ESC Services Survey

4. <u>Performance Standard</u>
At least 75% of users surveyed will be satisfied with the performance of OIE overall.

5. <u>Analysis and Interpretation</u>
Results from the survey showed that 77.8% of users were satisfied with the performance of OIE overall. On average, OIE users (4.0 out of 5) reported higher satisfaction than ESC users (3.9).

6. <u>Conclusion</u>
Was the performance standard met? Yes.

7. <u>Changes To Be Implemented</u>
Based on the analysis, the performance standard was met. Therefore, no Improvement Objective plan is needed at this time. OIE will continue to monitor its overall service performance.

B. PO #1: OIE responds to research requests in a timely manner.

1. <u>Relation to higher-level mission, goals, or outcomes</u>
This outcome supports District Goal 3 - Organizational Effectiveness: Improve organizational effectiveness through data-informed planning and decision-making, process assessment, and professional development.

2. <u>Evidence</u>
Data from survey item, "Your office responds to my queries or requests in a timely manner".

3. <u>Assessment Method</u>
Annual ESC Services Survey

4. <u>Performance Standard</u>
At least 75% of users surveyed will state OIE responds to research requests in a timely manner.

5. <u>Analysis and Interpretation</u>
Results from the survey showed that 81.8% of users stated OIE responds to research requests in a timely manner. On average, OIE users (4.1 out of 5) reported higher satisfaction than ESC users (4).

6. <u>Conclusion</u>
Was the performance standard met? Yes.

7. Changes To Be Implemented

Based on the analysis, the performance standard was met. Therefore, no Improvement Objective plan is needed at this time. OIE will continue to monitor its research request response times.

III. Conclusion

In conclusion, over 75% of users indicated satisfaction with the performance of the Office of Institutional Effectiveness overall and that OIE responds to research requests in a timely manner. Both performance standards were met and therefore no Improvement Objective plan is needed at this time. OIE will continue to monitor its service performance.

IV. Table of Evidence

A. Exhibit 1: ESC Services Survey results

2014-15 Program Review: Student Success

I. Introduction

A. Student Success

The Office of Student Success works closely with college faculty, deans, and other administrative staff to monitor the effectiveness of all academic programs and undertake special projects aimed at improving outcomes related to the District strategic plan, the District Student Success Initiative, the District Achieving the Dream Initiative, and legislative mandates associated with the California Community Colleges' system-wide Student Success Initiative.

B. Outcomes and Objectives

Performance Objective #1: Provide high-quality workshops related to student completion.

Service Area Outcome #1: As a result of participating in FTLA (Faculty Teaching and Learning Academy), program participants will know and apply strategies for increasing students' active learning and engagement.

Service Area Outcome #2: As a result of participating in Reading Apprenticeship (RA) Project training, program participants will learn and implement teaching strategies for increasing students' discipline-specific literacies.

C. Executive Summary

This office works closely with college faculty, deans, and other administrative staff to monitor the effectiveness of all academic programs and undertake special projects, including leading the statewide Basic Skills Initiative (BSI) professional development networks, aimed at improving outcomes related to the District strategic plan and the District Student Success Initiative (SSI). The office also provides technical assistance for LACCD's Achieving the Dream (AtD) project, including ensuring that AtD aligns with key strategic plan and SSI goals. The office's staff maintains the SSI committees, organizes activities devoted to enhancing student success outcomes, facilitates the sharing of effective practices and BSI reporting requirements, and liaisons with the District Student Success and Support Program Coordinators. The office's Dean for Student Success represents the district to local, regional, and statewide constituencies on issues of student success and basic skills.

For the 2014-2015 program review cycle, three outcomes/objectives will be evaluated: 1) Provide high-quality workshops related to student completion; 2) Program participants in FTLA (Faculty Teaching and Learning Academy) will know and apply strategies for increasing students' active learning and engagement; and 3) Program participants in Reading Apprenticeship Project training will learn and implement

teaching strategies for increasing students' discipline-specific literacies. The following improvements will be implemented: 1) We will increase the criterion of PO #1 for the next cycle to "At least 70% of the colleges will attend more than half of all workshops offered"; 2) We will formulate a new SAO and implement a student survey regarding the impact of RA in the classrooms of RAP-trained faculty; 3) and possibly more TBD.

II. Program Review

A. PO #1: Provide high quality workshops related to student completion.

1. Relation to higher-level mission, goals, or outcomes
   i.   This performance objective directly serves LACCD Strategic Plan 2012-2017 (Vision 2017) Goal 3: Organizational Effectiveness/Objective 1: Assess and improve district processes and services and Objective 3: Improve employee development opportunities.

2. Evidence
   i.   Participation rates by college.
   ii.   Participants' perception of workshop quality.
   iii. Participants' perception of workshop utility.

3. Assessment Method
   i.   The analysis of the participation data.
   ii.   Results of the workshop evaluation forms.

4. Performance Standard
   i.   From fall 2013 through fall 2014, at least 60% of the colleges will have participated in at least 2 of the 10 workshops held.
   ii.   At least 70% of the surveyed workshop participants will rate the quality of the workshop as one of the following: "good "or "excellent".
   iii. At least 70% of the surveyed workshop participants will rate the workshop as "useful" or "very useful".

5. Analysis and Interpretation
   i.   226 people participated in LACCD-hosted workshops/events from Fall 2013 through Fall 2014. All of the nine campuses participated at least twice (100%).
   ii.   On average, 71% of those surveyed rated the workshop(s) "good" or "excellent".
   iii. On average, 72% of those surveyed rated the workshops' usefulness as "useful" or "very useful".

6. Conclusion
Was the performance standard met? Yes all three criteria have been met

7. Changes To Be Implemented

The criterion for participation seems too low. We will increase the criterion for the next cycle to "At least 70% of the colleges will attend more than half of all workshops offered".

B. SAO #1: As a result of participating in FTLA (Faculty Teaching and Learning Academy), program participants will know and apply strategies for increasing students' active learning and engagement.

1. Relation to higher-level mission, goals, or outcomes
   i. This service area outcome directly serves LACCD Strategic Plan 2012-2017 (Vision 2017) Goal 2 Teaching and Learning for Success/Objective 1: Provide a learner-centered learning environment that encourages active learning and student engagement.

2. Evidence
   i. Extent to which participants know/understand the strategies of: Using technology for student connectivity and engagement, cultivating student help-seeking and self-regulating behaviors, and creating a student-centered classroom through syllabus redesign and lesson plan development.
   ii. Extent to which participants apply the strategies of: Using technology for student connectivity and engagement, cultivating student help-seeking and self-regulating behaviors, and creating a student-centered classroom through syllabus redesign and lesson plan development.
   iii. Program enrollment and completion.

3. Assessment Method
   i. Portfolio assessment
   ii. Participant survey
   iii. From enrollment records, calculate the percentage of participants who complete the program each year.

4. Performance Standard
   i. At least 70% of the participants will report having acquired a satisfactory understanding of all of the following strategies: using technology for student connectivity and engagement, cultivating student help-seeking and self-regulating behaviors, and creating a student-centered classroom through syllabus redesign and lesson plan development.
   ii. At least 70% will report having applied at least one of the following strategies in their classroom(s): using technology for student connectivity and engagement, cultivating student help-seeking and self-regulating behaviors, or creating a student-centered classroom through syllabus redesign and lesson plan development.
   iii. At least 60% of participants will complete the program.

5. Analysis and Interpretation
The participant survey is in process; once it is completed, the results will be triangulated with the Portfolio Assessment data.

6. Conclusion
Was the performance standard met? Yes

FTLA has provided professional learning to many LACCD faculty both fulltime and part-time. The program is in its 7th year and a participant survey of all former participants will be conducted this year, 2015. FTLA has met the objectives to date.

7. Changes To Be Implemented
The changes in FTLA curriculum were specific to equity. This year there was an emphasis on culturally responsive teaching and learning practices to assist in creating a classroom environment that encourages empathy, reciprocity, and increased collaboration.

C. SAO #2: As a result of participating in Reading Apprenticeship Project (RA) Project training, program participants will learn and implement teaching strategies for increasing students' discipline-specific literacies.

1. Relation to higher-level mission, goals, or outcomes
   i.   This service area outcome directly serves LACCD Strategic Plan 2012-2017 (Vision 2017) Goal 2: Teaching and Learning for Success/Objective 1: Provide a learner-centered learning environment that encourages active learning and student engagement.

2. Evidence
   i.   Extent to which participants know the strategies of: Think alouds, talking to the text, metacognitive log, and think pair write share.
   ii.   Extent to which participants report that they are confident in their understanding of the RA Framework.
   iii. Extent to which participants apply the strategies of: Think alouds, talking to the text, metacognitive log, and think pair write share.
   iv.   Extent to which participants report an improvement in the quality of learning as a result of applying RA in their classrooms.

3. Assessment Method
   i.   Participant survey

4. Performance Standard
i.   At least 70% of the participants will identify themselves as being "familiar" or "very familiar" with the RA practices of: Think alouds, talking to the text, metacognitive log, and think pair write share.
ii.   At least 70% of the participants will identify themselves as being *confident* in their ability to implement the RA practices of: Think alouds, talking to the text, metacognitive log, and think pair write share.
iii. At least 70% of the participants will report applying at least one of the four applicable RA practices at least "occasionally."
iv.   At least 70% of the participants will report "at least some change" or more in the quality of learning as a result of applying RA.

5. Analysis and Interpretation
The RA participant survey was sent to 392 participants, with a response rate of 32.1% (N=126). The results are as follows:

i.   More than 76% of the participants indicated being "familiar" to "very familiar" with each of the RA practices; the results per practice (s) are below:

Practice (s)	Familiar	Very Familiar
Think alouds	14.3%	68.3%
Talking to text	16.7%	66.7%
Metacognitive Log	11.9%	64.3%
Think, pair, share	18.4%	57.9%

ii.   More than 74% of the participants indicated being "confident" to "very confident" in their understanding of each of the RA practices:

Practice	Confident	Very Confident
Think alouds	17.5%	63.5%
Talking to text	19.8%	63.5%
Metacognitive Log	16.8%	60.8%
Think, pair, share	19.1%	55.6%

iii. More than 79% (79.7-87.9%) of the participants indicated applying one or more of the four applicable RA practices at least "occasionally," while a small percentage (4.8-10.6%) indicated never using any of the routines.

iv.   78.2% of the participants indicated "at least some change" in their teaching due to RA practices.

6. Conclusion
Was the performance standard met? Yes
The four criteria have been met

7. Changes To Be Implemented
    i.   The findings on all four measures indicate no need for changes. However, next year we will add an SAO on the effectiveness of RA routines from the students' perspective, and a student survey regarding the impact of RA in the classrooms of RAP-trained faculty will be implemented.

III. Conclusion

The Office of Student Success provided professional learning to the faculty of LACCD through multiple workshops, FTLA Program (Faculty Teaching Learning Academy), and the Reading Apprenticeship Project. These professional learning activities were successful in that they met program review objectives and service area outcomes. Through these activities participants self-reported gaining knowledge in reading apprenticeship practice(s), applying new teaching strategies via FTLA participation, and workshops. These practices and strategies are geared toward improving student success. The Office of Student Success has also maintained the statewide Basic Skills Initiative (BSI), provided technical assistance for LACCD's Achieving the Dream (AtD) project, and maintains the campuses' student success committees through organized monthly meetings, activities, summits and workshops. The next academic year will be focused on collecting more outcome data on past participants' involvement in these specific professional learning activities as it relates to increasing student success

IV. Table of Evidence

Exhibit 1: Workshop Evaluation Instrument
Exhibit 2: FTLA Faculty Survey Instrument
Exhibit 3: RAP Faculty Survey Instrument

I. Introduction

A. CalWORKS

Program Mission:
We are a California Community College program serving CalWORKs students and their families by providing educational and career opportunities combined with an array of high-quality support services that enable students to complete their educational goals, find meaningful employment, and successfully transition into the workforce. Through collaboration and advocacy with our college and community partners, we prepare a segment of California's workforce by promoting the economic self-sufficiency of CalWORKs students through attainment of a higher education.

Primary functions, responsibilities, or services provided:
The primary function of the CalWORKs program located at the district office is to facilitate and coordinate program activities and projects for the nine college LACCD CalWORKs Programs: State CalWORKs and Temporary Assistance for Needy Families (TANF), LA County DPSS CalWORKs Agreements, South Bay WIB Work-Study Agreement, and other as needed. The CalWORKs Office at the District office is funded by LACCD colleges based on the size of each college. The CalWORKs Coordinator is located at the District Office and is the primary contact for the California Community Colleges Chancellor's Office (CCCCO), the Los Angeles County Department of Public Social Services (DPSS) and the South Bay WIB.
Some of responsibilities include:

- Provide guidance to college programs in the interpretations of laws, rules, and policies, guidelines and procedures pertaining to CalWORKs.
- Establish and maintain cooperation with the state Chancellor's Office, County of Los Angeles, community organizations, and other related public agencies to seek support for college CalWORKs program services and college program participants
- Facilitate the preparation and submission of Annual Program & Budget Plans, Reallocation Requests, Year-End Expenses reports, and Monthly Management Reports
- Manage the SBWIB Work-Study Contract and the payment process
- Monitor, evaluate and report CalWORKs program activities and performance to the state and county
- Develop the budget for district CalWORKs office program and reviews and controls expenditures of funds
- Establish financial, staffing, and equipment requirements based on program needs and available resources for the district office CalWORKs program

- Establish operational procedures and goals for all nine LACCD's CalWORKs programs
- Negotiate, secure and manage the County of Los Angeles CalWORKs Program agreement ($1 million dollars per year contract, invoicing, MMRs, reports, etc.)
- Train college program staff as needed according to fiscal and program policies and guidelines
- Direct and prepare comprehensive correspondence and reports containing descriptive, analytical, and evaluative content including the preparation of conclusions based on data summaries and other findings related to all CalWORKs projects (state, county and SB WIB)
- Coordinate and facilitate CalWORKs program response to program audits

Overall contribution to district mission, goals, or outcomes:
The mission of the CalWORKs program aligns perfectly with the LACCD Mission, " The mission of the Los Angeles Community College District is to provide our students with an excellent education that prepares them to transfer to four-year institutions, successfully complete workforce development programs designed to meet local and statewide needs, and pursue opportunities for lifelong learning and civic engagement," The CalWORKs program focuses on helping students succeed and achieve their educational goals as well as gaining meaningful employment and making a successful transition into the workforce. The CalWORKs program shares the same core values as LACCD including, access and preparation, teaching and learning for students, organizational effectiveness, and resources and collaboration.

Description of main clientele:
Los Angeles Community Colleges' CalWORKs Directors and staff, the CCCCO, SBWIB, and DPSS program monitors and support staff.

Organizational structure and staffing:
- Dr. Felicito Cajayon, Vice Chancellor of Economic and Workforce Development
- Sorangel Hernandez, CalWORKs Coordinator
- Jesus Encinas, Accounting Aide/ Office Assistant
- Student Worker (the employee varies per semester)

B. Outcomes and Objectives
SAO #1: The Los Angeles Community College District's CalWORKs Program Directors will be satisfied with the monthly meetings and trainings held by the District Office CalWORKs Program.

C. Executive Summary

For the 2014-15 program review cycle, the CalWORKs Program examined the LACCD CalWORKs Directors' satisfaction with the monthly meetings and trainings held by the District Office CalWORKs Program. Based on results from the Survey created by the District Office CalWORKs Program, over 88% of Directors found the monthly meetings trainings useful.

II. Program Review

A. SAO #1: The Los Angeles Community College District's CalWORKs Program Directors will be satisfied with the monthly meetings and trainings held by the District Office CalWORKs Program.

1. Relation to higher-level mission, goals, or outcomes
The CalWORKs Program and its District Level support mechanism aligns with Goals 1 and 4 from the District Strategic Plan in this Service Area Outcome whereby all college and district based personnel involved in the provision of CalWORKs program services receive improved access to professional development and training, and improved collaboration to create better leadership with the adequate skills.

2. Evidence
In September 2014, a survey was created by the CalWORKs Coordinator to ask the Directors of the CalWORKs Programs at LACCD of the usefulness of monthly meetings and ways to improve them.

3. Assessment Method
The survey was created in September 2014 by the CalWORKs Coordinator at the District office. The survey was sent out to the LACCD CalWORKs Program Directors to examine the usefulness of monthly meetings and trainings. The survey also included questions about potential Professional Development activities sponsored by the CalWORKs Office at the District Office and satisfaction so far. The directors were given three business days to complete the online survey.

4. Performance Standard
The acceptable performance standard is 75% of satisfaction.

5. Analysis and Interpretation
The survey that was created in September 2014 indicated that 8 out of the 9 CalWORKs Directors (88%) were satisfied with the usefulness of the monthly meetings and trainings. Additionally, they requested further Professional Development activities such as budget, accreditation, and leadership development. They were unsatisfied with the previous year lack of professional development activities and requested more.

6. Conclusion
The survey results indicate that the performance standard of 75% was met.

7. Changes To Be Implemented
- Although the performance standard was met, based on the results of the other questions within the survey, more professional development activities need to be implemented by CalWORKs Office at the District to meet the needs of the program directors.
- The CalWORKs Coordinator at the District Office will develop, plan and implement professional development activities to meet of LACCD goals 1 and 4 as stated above.
- Starting November 2014, additional professional development activities will be coordinated.
- Based on the survey results, the CalWORKs Coordinator will discuss with her supervisor, the Vice Chancellor of Economic and Workforce Development, and the CalWORKs Directors, what professional development activities will most likely support the growth and development of the program. Based on those results, the CalWORKs Coordinator will develop and plan the activities.
- The follow up survey may be conducted if needed.
- Current office equipment such as computer and software will be required. $0 cost.

III. Conclusion
A very important function of the CalWORKs office located at the Los Angeles Community College District Office is to manage various projects that support the CalWORKs program at the LACCD Colleges and to facilitate program activities to develop and strengthen each of the 9 LACCD Colleges. The above SAO was selected based on the needs of CalWORKs Directors.

The Service Area Outcome is that the Los Angeles Community College District's CalWORKs Program Directors will be satisfied with the monthly meetings and trainings held by the District Office CalWORKs Program. Since the CalWORKs District office is funded by the LACCD Colleges, a survey was compiled and sent to all directors to examine their satisfaction based on current performance of the CalWORKs office. Although the response of the surveys indicated 88% satisfaction in the usefulness of the current meetings, the survey also indicated a need for additional Professional Development activities. In previous years, little to no professional development activities had been provided to the directors and their staff by the CalWORKs District office. The results of the survey completed by all 9 college directors indicated that the CalWORKs office had not been providing sufficient professional development activities to the colleges. After discussion of the survey during monthly CalWORKs Directors meetings, professional development and trainings were developed including in Accreditation workshop in April 2015, a State Webinar on Budget and Expenses, an End of year training, a professional development event on Leadership in July 2015, a Self-Audit

Training conducted by LACCD Internal Audit in September 2015, and most recently an SAP training on October 2015.

Overall, the mission of the CalWORKs Program aligns well with that of the Los Angeles Community College District as they share similar core values. The SAO that was selected for review this year will increase the program's effectiveness, growth and development.

IV. Table of Evidence
A. Exhibit 1: CalWORKs Survey

2014-15 Program Review: Workforce Development

I. Introduction

A. Workforce Development Office

Program Mission:
The EWD Office operates under the LACCD mission. It gives customers and college stakeholders access to it via the EWD Vice Chancellor website and categorical program meeting agendas. The LACCD mission is approved by the Board of Trustees and is also posted on the District's website.

Primary functions, responsibilities, or services provided:
The WD Office functions under the mission of the Los Angeles Community College District (LACCD) and makes it accessible through the EWD Vice Chancellor website (www.EWDViceChancellor.com). From this online presence, business/industry collaborators, project participants, students, colleges, and the general public can learn about the department's strategies and opportunities for collaboration. Every year, the WD Office develops its annual goals and objectives using the District's mission as a guiding principle. The WD Office couples it with other information such as, but not limited to, the following in order to determine annual strategies:
- Industry trends and labor market information
- Partnerships and collaborative strategies with external agencies
- Economic development initiatives that relate to education and workforce development

The WD Office administers many industry-focused training activities that are designed to develop frontline worker skills and strengthen the economic vitality of the region. Through the creation of better-skilled workers, the WD Office is able to address the workforce development needs of partner companies and organizations. The WD Office works closely with employer representatives from the annually targeted industry sectors in order to determine frontline worker training needs and develop a regimen of workforce development strategies that can help ensure the continued increase of corporate and organizational capacities. The WD Office also administers the Career Technical Education (Carl Perkins) funds for the District and holds regular (college-based) CTE Dean meetings to exchange program information and encourage partnerships amongst the nine community colleges. Through these regularly scheduled meetings, the District colleges are able to gain information on local, state, regional, and national grant opportunities as well as broaden their understanding on local, state, and regional best practices. From these meetings, the WD Office supports each college to develop CTE courses and programs that will not have a destructive competitiveness about them.

2014-15 Program Review: Workforce Development

Overall contribution to district mission, goals, or outcomes:
The WD Office regularly presents information to college-level Deans and other economic and workforce development-related stakeholders on regional trends and upcoming grant opportunities. This information includes annually and project-specific targeted industry sectors and possible service models that align with the funding source's expectations. From these efforts, the WD Office is able to help colleges become better poised for forming partnerships as part of local, state, regional, and national procurement efforts. In alignment with the LACCD Mission, the CTE Program uses labor market data to develop industry-relevant educational services and opens the opportunity for forming partnerships with the region's 4-year university system.

The WD Office sends out surveys to its constituents (Deans, Presidents, external agencies and employers) to gauge the effectiveness of its operations and determine what areas can be considered as priorities in the future. Through these efforts, the WD Office is able to determine if strategies are being met and make changes in the delivery of service, where applicable. The output from such surveys are discussed with staff and decisions are made on corrective actions based on consensus.

Description of main clientele:
The WD Office clientele includes Deans, Presidents, Vice Presidents, Directors, external agencies, and employers.

Organizational structure and staffing:
See the attached organizational chart.

B. Outcomes and Objectives

SAO #1: The CTE Deans will consider the monthly CTE Dean's meetings valuable and effective.

C. Executive Summary
For the 2014-15 program review cycle, the Workforce Development Office examined the CTE Deans' satisfaction with the monthly meetings hosted by the District Office WD Office. Based on results from the survey results created by the WD Office, the performance for this objective was met.

II. Program Review

A. Service Area Outcome 1 (SAO): The CTE Deans will consider the monthly CTE Dean's meetings valuable and effective.

1. Relation to higher-level mission, goals, or outcomes
The WD Office holds regular (college-based) CTE Dean meetings to exchange program information and encourage partnerships amongst the nine community colleges.

Through these regularly scheduled meetings, the District colleges are able to gain information on local, state, regional, and national grant opportunities as well as broaden their understanding on local, state and regional best practices.

2. Evidence
The WD Office will administer surveys to its constituents (Deans, Presidents, external agencies and employers) to gauge the effectiveness of its operations and determine if the meetings are considered valuable and effective.

3. Assessment Method
In August 2014, a survey was created by the WD department to verify the effectiveness of the CTE Dean's meetings. The survey was sent out to the CTE Deans and a deadline was given to complete in a timely manner.

4. Performance Standard
In a scale of 1 through 4 (4- strongly agree, 3-agree, 2-disagree, 1-strongly disagree), the acceptable performance standard will be an overall average of 50% from all respondents.

5. Analysis and Interpretation
The overall performance was determined to be 3.375.

6. Conclusion
Based on the survey results, the performance for this objective was met.

7. Changes To Be Implemented
In the future, the WD Office will continue to inquire from the target clientele and determine if more detail on the survey is needed.

III. Conclusion
The EWD Office determined that the provision of service (via the CTE Deans meetings) is meeting the level of anticipated performance. No changes are needed at this time. However, under the banner of Continuous Quality Improvement (CQI), the WD Office will strive to update and make revisions to the process.

IV. Table of Evidence
Exhibit 1: WD Organizational Chart
Exhibit 2: CTE Deans Meeting Survey

2014-15 Program Review: Bond Programs

I. Introduction

A. Bond Programs

The Division of Facilities Planning and Development is responsible for long-term planning, management, and oversight of capital improvements. The Division works collaboratively with the administrative teams at the colleges as well as the educational service center to identify creative, cost-effective solutions to facilities challenges.

The primary functions, responsibilities, and services relate directly to the space provided for the teaching and learning environment. The Division is engaged in the long-term planning of the educational space needs for the district. The overall contribution to the mission of the district is to assist with the capital development and maintenance of educational spaces that are used to serve the needs of the students and faculty.

The overall contribution to the district ties directly to the Los Angeles Community College District Vision 2017 Goal 2: Teaching and Learning for Success, Objective 1: Provide a learner-centered learning environment that encourages active learning and student engagement. Providing an educational environment that promotes student engagement in the educational process is essential to student success.

The Division of Facilities Planning and Development interacts directly with the facilities leadership and administrative leadership at each college. This Division assists the college leadership with the capital improvements of existing space and development of new learning environments.

The Division of Facilities Planning and Development reports directly to the Chancellor of the Los Angeles Community College District and is considered a resource to the colleges. The division manages both bond and non-bond capital improvements as well as the acquisition, disposal, and long-term leasing of real estate. The Chief Facilities Executive reports to the Chancellor and is responsible for the overall direction of the division. The Director of Facilities Planning and Development reports to the Chief Facilities Executive and assists with the operational implementation of the facilities capital plans. The Division is divided into three units: Facilities, Bond Programs, and Real Estate Programs. The Bond Unit is staffed with contracted or temporary staff. The work that is done by this unit is considered to be temporary in nature and the need for this unit will fluctuate dependent on available funds.

B. Outcomes and Objectives
PO No. 1: Ensure timely and effective asset tagging and relocation project management service from the Program Management Office (PMO).

PO No. 2: Provide timely and ongoing program-related risk updates to all open risks.

PO No. 3: Reduce the total cost of procurement.

C. Executive Summary

The bond program has instituted a number of reforms and improvements to ensure accountability, transparency and financial discipline. The goal of the bond Program Management Office (PMO) at this stage is to provide a strong program finish and deliver projects on time, on budget and with no litigation.

The PMO's tools and procedures include efforts to manage project execution and completion through a rigorous risk management process. The PMO will employ continuous re-assessment of Estimate at Completion (EAC) values to ensure a successful program completion with the help of a risk management program with bi-annual modelling.

The PMO also demands performance accountability, such as timely and efficient asset management procedures. More specifically, asset tagging and relocation project management (RPM) service from the PMO will be timely and within budget.

Finally, continued process improvement and transparency is absolutely necessary to complete the current program. Improvement of the procurement process has been a top priority of the bond program since AECOM took over in 2013 as the program manager. As a brief overview, there has been $339 million in total procurements awarded between June 2014 and June 2015. The average major procurement tender time is 116 days, which represents a 3.3 percent improvement from the 120-day timeframe reported in April 2015 and a 37.3 percent improvement from the 185-day average pre-April 2013. Moreover, there have been no protests filed in 2015. Procurement efficiencies have been gained through bundled procurements and electronic plans requirement, for example.

II. Program Review

A. PO #1: Ensure timely and effective asset tagging and relocation project management service from the Program Management Office (PMO).

1. Relation to higher-level mission, goals, or outcomes

The outcome for PO No. 1 supports LACCD Vision 2017:

- Goal 2: Teaching and Learning for Success
    - Objective 1: Provide a learner-centered learning environment that encourages active learning and student engagement.

- Goal 3: Organizational Effectiveness
    - Objective 1: Assess and improve district processes and services.

2. Evidence
The Relocation Project Management Team handles the programming, procurement coordination, implementation, installation and overall project management of all required furniture, equipment and move coordination for all new, renovated or swing spaces projects at the nine LACCD campuses and multiple satellite locations.

It is the goal of the RPM team and asset management team for all FF&E to be tagged within 30 days of installation. The performance is tracked on each project.

3. Assessment Method
The PMO will track and report for each project the percent of assets tagged within 30 days of occupancy.

4. Performance Standard
The goal is to have 100 percent of assets tagged within 30 days of occupancy for each project.

5. Analysis and Interpretation
New FF&E is required to be asset tagged per asset classification determined in the LACCD Asset Management Policies & Procedures.

6. Conclusion
Was the performance standard met? Yes.

This was achieved for three FF&E projects received before building opening.

- Valley College – The Community Services Center achieved 100 percent asset tagging within 30 days of occupancy.
- Pierce College – The Performing Arts Center achieved 100 percent asset tagging within 30 days of occupancy.
- Mission College – The East Campus Complex achieved 78 percent asset tagging within 30 days of occupancy. However, this was because the vendor had to re-ship items and, therefore, some of the tagging was done after the 30 days.

7. Changes To Be Implemented
Performance review for asset tagging will be ongoing.

B. PO #2: Provide timely and ongoing program-related risk updates to all open risks.

1. Relation to higher-level mission, goals, or outcomes
The outcome for PO No. 2 supports LACCD Vision 2017:

- Goal 2: Teaching and Learning for Success
    - Objective 1: Provide a learner-centered learning environment that encourages active learning and student engagement.

- Goal 3: Organizational Effectiveness
    - Objective 1: Assess and improve district processes and services.

It also supports the Bond Program Standard Operating Procedures:

- Risk Management Program: [T]o implement a comprehensive and inherent process that provides for the identification and measurement of risk, together with ongoing development and management of risk mitigation strategies, in order to minimize the loss of delivered value to the LACCD stakeholders.

2. Evidence
The Risk Management team will track via the PMO's Key Performance Indicators (KPI) report. The data are generated on a quarterly basis through the Risk Management system platform and tracks whether risk mitigation action plans have been taken, and what risks have been closed and why.

3. Assessment Method
The measurement criteria is based on the quality of the reported project-related risks and the effectiveness of the college's respective risk management program and analyzes factors such as updates to current risks, identification of new risks, updates to risk mitigation action plans, completion of risk mitigation action plans and closure of existing risks. Scores are calculated quarterly on a percentage basis.

4. Performance Standard
Risk Register updates and positive trending of cost exposure mitigation.

5. Analysis and Interpretation
The Risk Register update status for the CPTs as of June 2015 indicate two colleges are compliant, four need improvement and three received unsatisfactory compliance scores.

6. Conclusion
Was the performance standard met? No.

7. Changes To Be Implemented
KPIs assessed as less than compliant require the Risk Management PMO team to closely monitor and resolve the issue at the particular CPT or PMO level. This is accomplished by continued monthly meetings with the respective CPT and PMO teams to address the status of their registers and updates required per the Bond Program's Risk Management Standard Operating Procedures and Risk Management Plan.

A. PO #3: Reduce the total cost of procurement.

1. Relation to higher-level mission, goals, or outcomes
The outcome for PO No. 3 supports LACCD Vision 2017:

- Goal 2: Teaching and Learning for Success
  - Objective 1: Provide a learner-centered learning environment that encourages active learning and student engagement.

- Goal 3: Organizational Effectiveness
  - Objective 1: Assess and improve district processes and services.

2. Evidence
The PMO procurement team will track total procurement time for every bond program procurement, including delay due to protests.

3. Assessment Method
Procurement improvements will be evaluated by reduced procurement time as a result of using standardized procurement templates, evaluation teams composed of technical experts and college representatives and standardized tender periods (time proposers have to review and respond) of 21 days for request for qualifications (RFQs) and 30 days for request for proposals (RFPs).

4. Performance Standard
The baseline is based on the average procurement time of 185 days for procurements before April 2013.

The standard will be average construction procurement time and the percentage decrease in in average construction procurement time from the pre-April 2013 baseline.

5. Analysis and Interpretation
Analysis will determine whether the bond program expands its pool of contractors, especially LSEDV and reduces total cost of procurement.

6. Conclusion
Was the performance standard met? Yes.

Average construction procurement time pre-April 2013 was 185 days; from April 2013 to August 2015, average time was 120 days, a 35 percent decrease.

35% decrease in average construction procurement time

Days Tendered
- Pre-April 2013: 185
- April 2013 to present: 120

7. Changes To Be Implemented
Continue to evaluate:

- Bundling projects into one procurement;
- Use of multiple award bench contracts that previously required separate procurements and Board actions; and
- Eliminate re-procurements due to protests.

III. Conclusion
The bond program is in a phase where execution of a strong program finish is essential. Steady success will be defined by:

- Project execution and completion, which includes timely asset tagging;
- Performance accountability, as evidenced by managing project-related risks; and
- Continued process improvement and transparency, which can be seen in the positive change in procurement time and reduction in cost.

IV. Table of Evidence
N/A.

2014-15 Program Review: Facilities

I. Introduction

A. Facilities

The Division of Facilities Planning and Development is responsible for long-term planning, management, and oversight of capital improvements. The Division works collaboratively with the administrative teams at the colleges as well as the educational service center to identify creative, cost-effective solutions to facilities challenges.

The primary functions, responsibilities, and services relate directly to the space provided for the teaching and learning environment. The Division is engaged in the long-term planning of the educational space needs for the district. The overall contribution to the mission of the district is to assist with the capital development and maintenance of educational spaces that are used to serve the needs of the students and faculty.

The overall contribution to the district ties directly to the Los Angeles Community College District Vision 2017 Goal 2: Teaching and Learning for Success, Objective 1: Provide a learner-centered learning environment that encourages active learning and student engagement. Providing an educational environment that promotes student engagement in the educational process is essential to student success.

The Division of Facilities Planning and Development interacts directly with the facilities leadership and administrative leadership at each college. This division assists the college leadership with the capital improvements of existing space and development of new learning environments.

The Division of Facilities Planning and Development reports directly to the Chancellor of the Los Angeles Community College District and is considered a resource to the colleges. The division manages both bond and non-bond capital improvements as well as the acquisition, disposal, and long-term leasing of real estate. The Chief Facilities Executive reports to the Chancellor and is responsible for the overall direction of the division. The Director of Facilities Planning and Development reports to the Chief Facilities Executive and assists with the operational implementation of the facilities capital plans. The Division is divided into three units: Facilities, Bond Programs, and Real Estate Programs. The Facilities Unit is the only one of the three staffed with district personnel. The work that is done by this unit is considered to be perpetual as long as there are physical campuses.

B. Outcomes and Objectives

PO #1: Reduce the energy usage per square foot of condition space within the district while maintaining a comfortable learning environment.

PO #2: Improve work efficiency and customer response times.

PO #3: Allocation of classroom space will be adequate and within the State's standards.

The Facilities Unit has selected three Performance Objectives to begin working on for this review cycle. This year has been a year of implementation and the beginning of data collection. PO #1 and #2 are in the implementation phase and PO #3 will have some data which will be reviewed.

PO #1 is dependent on data which will be collected using the newly installed Metering and Demand Response (M&DR) system. The Performance Objective is to reduce the energy usage per square foot of conditioned space within the district while maintaining a comfortable learning environment.

In the past the district has not had the ability to monitor energy usage at the building level. This year we have installed utility metering devises on all college buildings greater than 10,000 square feet. With the installation of the new M&DR system, the district will be able to establish an energy baseline and compare it with future energy usage. In addition, this year the district survey incorporated a question about building temperatures. The information collected about building temperatures will be used to establish the baseline for building comfort.

During the upcoming year the district will monitor the energy usage and develop the utility baseline for the district. After the baseline has been established, a percentage utility reduction goal will be set with input from the colleges. During the following year, the Facilities Planning and Development Division will work with the College Facilities Departments to adjust building scheduling and building controls while monitoring building comfort levels in order to achieve the performance objective.

PO #2 will rely on information which will be gathered using the District's new Computerized Maintenance Management System (CMMS), which is currently in the process of implementation. The input of the first year's data has begun. This system will be used to capture data about facilities work and work process and allow for mining of the data with the purpose of looking for trending to develop areas where possible service improvements can be obtained.

This objective will be focused on improving work efficiency and customer service response times across the district. The students and faculty will experience a quicker response for requested service and repairs.

During the upcoming year the district will monitor the work-load, response times, and completion rates to develop work process baselines throughout the district. After the baselines have been established, percentage reduction goals will be set with input from the colleges. During the following year the Facilities Planning and Development Division will work with the College Facilities Departments to monitor and review data trending. The focus will be on areas where adjustments can be made and improvements can be achieved.

PO #3 is based on information which is gleaned from the data we input into the state fusion database. The district has been entering information in this system for a number of years. In fact, this database is being used by all community college districts throughout the State of California. Because the State Chancellor's Office controls the database we will be reliant on the information that we have provided to the State. We did investigate the possibility of comparing the information which we collect with other community colleges throughout the state, but the State Chancellor's Office is unable to provide this information.

C. Executive Summary

This year the Facilities Planning and Development Facilities Unit has focused on implementing tools and processes which will allow the district to manage facilities based on data.

A large effort was put into the implementation of a new metering and demand response project. The district installed meters on all buildings of 10,000 square feet or larger. The installation of the meters was completed in spring 2015 and we have begun collecting data. This next year the data collected will be analyzed and adjusted in order to develop a baseline.

A concentrated effort has put into the implementation of a new district-wide computerized maintenance management system. This system has been a huge undertaking and additional training is still in process. This next year we will develop super-users at each of the colleges in order to shorten the learning curve and we will look for ways to make the data entry more intuitive. The goal will be to start developing baseline data which will be used in the evaluation of customer response.

This year we have reviewed the space utilization information and have shared this information with each of the colleges and the State. The information collected looks back at the last several years. Adjustments in space are dependent on increases and decreases in both student enrollment and space inventory. The goal would be to maximize the use of inventoried space throughout the district. We are waiting for the computation of this year's information to see what impact we have had on the district space utilization.

In this program review we will summarize the progress we have made in the Performance Objectives.

II. Program Review

A. PO #1: Reduce the energy usage per square foot of condition space within the district while maintaining a comfortable learning environment.

1. Relation to higher-level mission, goals, or outcomes

The overall contribution to the district ties directly to the Los Angeles Community College District Vision 2017 Goal 2: Teaching and Learning for Success, Objective 1: Provide a learner-centered learning environment that encourages active learning and student engagement. Providing educational environment which promotes student engagement in the educational process is essential to student success.

2. Evidence

This year was implementation.
Next year is gathering data.
The evidence would be the reduced energy usage per square foot while maintaining comfort levels.

3. Assessment Method

The Metering and Demand Monitoring equipment has been installed and the survey has been implemented. Data from surveys and metering records will be compared to previous to ensure comfort level does not decrease while lowering energy usage levels on a per square foot basis.

4. Performance Standard

Complete installation of the meters.

5. Analysis and Interpretation

Meters have been installed. We have begun to collect data.

6. Conclusion

Was the performance standard met? Yes

7. Changes To Be Implemented

This next year we will establish a baseline for energy usage at each of the college campuses.

B. PO #2: Improve work efficiency and customer response times.

1. Relation to higher-level mission, goals, or outcomes
The overall contribution to the district ties directly to the Los Angeles Community College District Vision 2017 Goal 2: Teaching and Learning for Success, Objective 1: Provide a learner-centered learning environment that encourages active learning and student engagement. Providing educational environment which promotes student engagement in the educational process is essential to student success.

2. Evidence
This year was the beginning of implementation of the Computerized Maintenance Management System.
Next year we will continue with the implementation of the Preventative Maintenance information and work on building the baseline information for the work requested.

3. Assessment Method
Data entered into the Computerized Maintenance Management System by the colleges will be reviewed and compared. An effort will be made to decrease duplicate work effort and improve work flow processes. This service area outcome will be focused on improving work efficiency and customer service response times across the district. The students and faculty will experience a quicker response for requested service and repairs. This service area outcome will focus on the mean response time and staffing levels.

4. Performance Standard
Roll out the CMMS at each of the colleges.

5. Analysis and Interpretation
The CMMS has been rolled out at each of the colleges. The district is now in the process adding additional information to the CMMS and tailoring the report information.

6. Conclusion
Was the performance standard met? Yes

7. Changes To Be Implemented
Increase the training efforts at each college.

C. PO #3: Allocation of classroom space will be adequate and within the State's standards.

2014-15 Program Review: Facilities

1. Relation to higher-level mission, goals, or outcomes
The overall contribution to the district ties directly to the Los Angeles Community College District Vision 2017 Goal 2: Teaching and Learning for Success, Objective 1: Provide a learner-centered learning environment that encourages active learning and student engagement. Providing educational environment which promotes student engagement in the educational process is essential to student success.

2. Evidence
The evidence is obtained by gathering the space inventory data from each of the colleges.

3. Assessment Method
Using the space inventory data from the colleges which is warehoused in the State Fusion System, compare the capacity load ratio with State Standards to ensure equitable and appropriate space is available for student learning.

4. Performance Standard
The District's average capacity load ratios for lecture, laboratory, and office space will be reduced by 2 percent for the next year.

5. Analysis and Interpretation
The District's capacity load ratios are over the District's goal of 125% due to the addition of space from our bond program. However, the trend is that capacity loads will be reduced over time. The bond program has allowed Colleges to expand beyond our maximum goal of 125%. As a result, the District has to take measures to reduce the overbuilt status in the areas of Lecture, Laboratory and Office in order to lower loads to our target levels.

Capacity Load Category	Fiscal Year District-wide Capacity Load Ratio						
	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22
Lecture	160%	163%	151%	151%	146%	143%	142%
Laboratory	139%	139%	133%	132%	131%	130%	131%
Office	171%	177%	169%	167%	161%	158%	155%

Fiscal Year District-wide Capacity Load Ratio
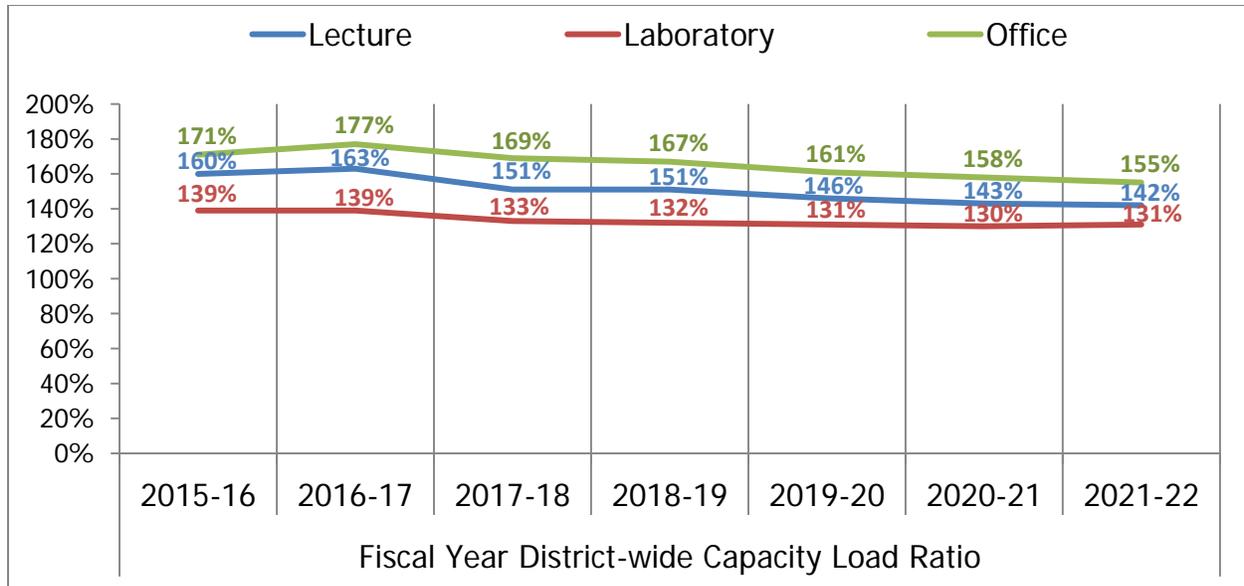
6. Conclusion

We are in the process of collecting this year's space inventory and will factor in the Weekly Student Contact Hours (WSCH) information to determine the Capacity Load Ratios for the past year. After this has been calculated we will be able to determine the outcome.

7. Changes To Be Implemented

Unknown at this time. We will evaluate the information once this year's data are compiled and capacity load ratios are calculated.

III. Conclusion

This year has been one of implementation and gathering information.

1. We have implemented new metering on all of the buildings greater than 10,000 square feet.
2. We have begun rolling out the computerized maintenance management system. This process has taken longer than anticipated, but all of the colleges have now started to enter data into the system. Additional training is necessary and we will develop super-users at each college to speed up the learning curve. We will also look for additional improvements which can be made in the program to make it more user friendly.
3. We have begun working with the colleges to control space needs and we have begun analyzing the space inventory needs of each college campus.

In conclusion, this year a tremendous amount of effort has been put into developing the tools which will allow the district to manage ongoing energy usage, facilities work flow effort, and control space needs. Next year many of the baselines will be developed which will help transform the facilities decisions into a fact based management process.

2014-15 Program Review: Real Estate Program

I. Introduction

A. Real Estate Program

The Division of Facilities Planning and Development is responsible for long-term planning, management, and oversight of capital improvements. The Division works collaboratively with the administrative teams at the colleges as well as the educational service center to identify creative, cost-effective solutions to facilities challenges.

The primary functions, responsibilities, and services relate directly to the space provided for the teaching and learning environment. The Division is engaged in the long-term planning of the educational space needs for the district. The overall contribution to the mission of the district is to assist with the capital development and maintenance of educational spaces that are used to serve the needs of the students and faculty.

The overall contribution to the district ties directly to the Los Angeles Community College District Vision 2017 Goal 2: Teaching and Learning for Success, Objective 1: Provide a learner-centered learning environment that encourages active learning and student engagement. Providing an educational environment that promotes student engagement in the educational process is essential to student success.

The Division of Facilities Planning and Development interacts directly with the facilities leadership and administrative leadership at each college. This Division assists the college leadership with the capital improvements of existing space and development of new learning environments.

The Division of Facilities Planning and Development reports directly to the Chancellor of the Los Angeles Community College District and is considered a resource to the colleges. The division manages both bond and non-bond capital improvements as well as the acquisition, disposal, and long-term leasing of real estate. The Chief Facilities Executive reports to the Chancellor and is responsible for the overall direction of the division. The Director of Facilities Planning and Development reports to the Chief Facilities Executive and assists with the operational implementation of the facilities capital plans. The Division is divided into three units: Facilities, Bond Programs, and Real Estate Programs. The Real Estate Unit is staffed with contracted or temporary staff. The work that is done by this unit is considered to be temporary in nature and the need for this unit will fluctuate dependent on available funds.

B. Outcomes and Objectives

This unit, Real Estate, is very cyclic in nature. The college or district identifies a need and the Real Estate unit works with the college or district to help develop real property solutions. During the early stages of the bond program this unit helped acquire land in support of the development of college educational and facilities master plans.

Currently this unit is helping with the development of real estate which has been determined to be surplus and not part of the current need. This would include the development of public private partnership designed to enhance the districts revenue stream and reduce the financial burden to the students.

Given the cyclic and temporary nature of the Real Estate Unit it does not fit the traditional mold that other units fit within the district.

C. Executive Summary

Based on available need and funding, the Real Estate unit will work with the college/district and the Facilities Unit to help develop potential real estate solutions throughout the district.

Office of General Counsel

Program Review

December 16, 2014

Executive Summary

The Office of General Counsel has five major elements to its operations: legal advice; litigation and litigation management; risk management; Public Records Act requests; and District operations.

In the area of legal advice, the Office of General Counsel ("OGC") found that administrative client satisfaction is high. The cost of an in-house attorney hour, including overhead, is economical for most matters, but does not lend itself to economy for slip-and-fall cases. Median total legal spending has been about .68% of District operational revenues over the last five years.

In the area of litigation and litigation management, the OGC found that there is prompt reporting of cases and regular consultation with clients regarding the direction of litigation.

In the area of risk management, the OGC found that there has been improvement in maintaining an appropriate, shared case list with other units, and the risk management team has changed its meetings to improve its handling of its workload. Regular educational programming has been provided but should be more regularly assessed.

In the area of responding to Public Records Act requests, the OGC found that statutory response was timely, but the OGC needs to improve timeliness in review and production of records to the public.

Finally, with regard to District operations, the OGC found that it had timely published agendas as well as new and revised rules and regulations. In addition, the District has made progress regarding Form 700 filings and conflict-of-interest issues.

Table of Contents

I. Introduction

A. Title of unit: Office of General Counsel
There are five major elements to the work of the Office of General Counsel ("OGC").

1) Legal advice, including contract review; day-to-day advice by telephone, meetings and emails; educational presentations; and advising the Personnel Commission as mandated by the Education Code, except when there is a conflict of interest with the District.

2) Litigation and litigation management, including handling cases for the District; establishing panel counsel for core institutional matters; assigning outside counsel when necessary; serving as the agent for service of process; referring of cases and subpoenas to other units as appropriate; handling Small Claims Cases; and handling bankruptcy claims.

3) Risk Management, including providing education; projection of legal expenses; advising on emerging trends and legislation; advising regarding legal issues overlapping between business units and/or colleges; and identifying and addressing legal exposures with applicable managers.

4) Public Records Act responses that require legal review, including referral to other operations when appropriate.

5) District Operations, including managing Form 700 filings; preparing support materials for Board meeting closed sessions; following up on rule review by the applicable business units; and publishing of District rules and regulations.

B. Outcomes and Objectives[1]

1) Service Area Outcome #1: The District's legal issues will be addressed capably, timely, and cost-effectively to identify potential risks and benefits for the decision-makers.

2) Service Area Outcome #2: Clients will receive applicable case notifications, reports, and summaries in timely fashion, so that they can give direction that addresses their needs and concerns.

3) Service Area Outcome #3: Clients will be prepared to make better risk assessments and decisions as a result of OGC services, including education, outreach on new trends and coordination of cases and issues.

4) Performance Objective #1: The OGC will ensure timely response to or referral of Public Records Requests.

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[1] Some of the supporting evidence is privileged and confidential as attorney-client communications and/or attorney work-product. The OGC has identified non-privileged material where possible, and provided redacted samples of privileged material.

5) Performance Objective #2: The OGC will contribute to the overall administrative effectiveness of the District by providing support for regulatory activities, following up on compliance with conflict-of-interest and Form 700 requirements, and preparing Board meeting materials.

II. Program Review

A. Service Area Outcome #1: <u>Advice.</u> The District's legal issues will be addressed capably, timely, and cost-effectively to identify potential risks and benefits for the decision-makers.

1) <u>Relation to higher-level mission, goals or outcomes</u>: The OGC's legal counsel and guidance support college administrators to proceed on legal issues in an appropriate manner, so that they can focus on the colleges' core mission and avoid crises that impede the achievement of student success.

2) <u>Evidence</u>: The evidence of performance in providing advice will be administrative client satisfaction with the timeliness and quality of services, the effectiveness of legal spending in light of internal and external benchmarks, and participant satisfaction with educational programs provided.

3) <u>Assessment Method</u>: The assessment method was (a) a survey of applicable administrators conducted in 2013 ("Client Satisfaction Survey"); (b) a multi-year analysis of legal spending as compared to available benchmark indicators; and (c) educational session materials, educational session evaluations and annual Legal Visit memos.

4) <u>Criteria</u>: (a) 90% of managers surveyed should agree that the OGC provides timely and useful advice; (b) in-house counsel costs should be competitive with outside counsel, and total legal spending should be evaluated regularly as a percentage of operational expenditures over a five-year period; and (c) 80% of the people participating in educational efforts should find them helpful.

5) <u>Analysis</u>:

(a) Client Satisfaction
In the Client Satisfaction Survey, all of the respondents marked "agree" or "agree strongly" that the OGC was easy to access and provided timely responses. (Exhibit 1) All who responded to the questions on whether substantively useful advice, effective collaboration, assistance with accountability measures and support for client excellence were provided also marked "agree" or "strongly agree." However, there were

only 13 respondents from the 52 people solicited (a return rate of only 23%), and nearly half were from the Senior Staff at the Educational Services Center. Therefore, the OGC should explore additional avenues for assessing its client satisfaction rate.

(b) Multi-year Analysis of Legal Spending
(i) In-House Counsel Rates

The median, marginal cost per billable hour equivalent for the OGC was $137 per hour for 2009-2014. The median cost per billable hour equivalent in the same time period, including staff and an assumed overhead rate, was $173. The average of the maximum contract rates for the outside counsel firms supervised by the OGC is $271 per hour. The OGC has not historically maintained a record of average-per-hour incurred, and will gather data and conduct that analysis beginning in the 2014-2015 year.

The lowest rates are paid for slip-and-fall, personal injury cases, and the OGC lacks operational capacity and resources to undertake the handling of those matters. Therefore, it appears most cost-effective to utilize outside counsel for the slip-and-fall matters.

(ii) Total Legal Spending

In various benchmark studies available, "total legal spending" ("TLS") means the amount spent for in-house and outside attorney's fees and costs. Litigation costs fluctuate depending on a variety of factors, including the client policy considerations and risk associated with particular cases, the typically inverse correlation of claims to economic conditions, the effect of settlements between cases, and the inherent lag in incurred costs from the dates of occurrence. Another source of fluctuation is the impact of budget constraints on the court system: delays in trial mean that the legal costs of an occurrence are more removed from the date of the occurrence. Finally, the need for outside counsel for labor and employment matters varies widely from year to year.

In addition, at the beginning of Fiscal Year 2009-2010, the OGC had two full-time staff positions that became vacant over the next two years, and have not been filled.

Table 1: OGC Costs[2]

Fiscal Year	2009-2010	2010-2011	2011-2012	2012-2013	2013-2014	Median
OGC costs	1,311,053	1,247,620	1,225,480	1,171,159	1,235,307	1,235,307
Marginal cost per billable hour*	146	139	136	130	137	137
Total estimated internal legal spending**	1,644,133	1,571,185	1,545,724	1,483,255	1,557,025	1,557,025
OGC billable hour cost	183	175	172	165	173	173

*9,000 billable hours for four attorneys and one paralegal, or 1,800 billable hours each

**Direct costs plus 15% overhead and $2.75 per square foot assumed rent, comparable to other rent in Downtown Los Angeles

Table 2: Total Legal Spending

Fiscal Year	2009-2010	2010-2011	2011-2012	2012-2013	2013-2014
Internal Legal Spending	1,644,133	1,571,185	1,545,724	1,483,255	1,557,025
External Legal Spending	2,424,304	3,141,460	1,506,934	1,966,957	1,751,911
Total Legal Spending	4,068,437	4,712,645	3,052,658	3,450,212	3,308,936
District Total Revenues	508,850,613	526,029,064	515,254,653	507,749,941	588,497,581
Total Legal Spending/Revenues (%)	0.80%	0.90%	0.59%	0.68%	0.56%
Internal Spending/TLS (%)	40.41%	33.34%	50.64%	42.99%	47.06%
External Spending/Revenues (%)	0.48%	0.60%	0.29%	0.39%	0.30%

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[2] This table and the following table exclude costs for sub-and-relief paralegals employed to assist with responding to voluminous Public Records Act requests arising from the building program, attorney's fees and costs related to the building program, and fees and costs associated with Worker's Compensation claims. All direct costs for 2006-2014 are shown in Exhibit 6, as well as the building program expenditures for the time period supervised by the OGC.

(iii)   Benchmark Data

Although a great deal has been written about law department metrics, the size, type and location of the institution can have a significant impact. For example, in a 2013 study by the National Association of College and University Attorneys ("NACUA Study"), the budget for the legal department was more than $1,000,000 for 65% of the institutions with student enrollment of 35,000 or more.[3] However, only 10% of the institutions participating were associate degree-granting, and those associate-degree institutions had a median number of 1,000 employees.[4] By comparison, the District has approximately 100,000 full-time equivalent students, and approximately 8,000 ongoing employees (full-time and returning adjunct faculty). A 2014 study by the same organization reported $1,000,000 or more in outside counsel costs for 46.4% of institutions with 35,000 students or more, consistent with the up-and-down swing experienced by the District in the same time period. A benchmarking study from General Counsel Metrics in 2013 identified a median rate of .5% of revenue for educational institutions, but included only eight institutions, which ranged in size from a single law school to the Los Angeles Unified School District and the University of California.[5] The study identified a rate of 1.16% as the median for nonprofits and government, but the source pool contained no public educational institutions. Los Angeles County reported approximately $51 million in outside counsel and in-house counsel for Fiscal Year 2010-2011, without analyzing against the County's total budget[6]; the *Los Angeles Times* reported that local cities from 2005-2010 spent from .3% to 4.3% of the respective city's budget for attorney's fees and costs.[7]

The benchmarking information from the NACUA Study asks about insurance coverage generally, but does not take into account variations in self-insured retention ("SIR" or deductible) and the impact. For example, the District's SIR for employment-related matters is currently $1.5 million, but in other years was only $.5 million. On the other hand, the impact of an SIR only shows over time, since the litigation expense typically lags two to five years behind any occurrence.

The OGC began assessing TLS in 2013, and so the 2013-2014 year has provided the opportunity to develop a District baseline. The TLS is generally trending downward, but reflects a median rate of .68% over the last five years. The TLS for 2006 through 2009, just prior to this analysis

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[3] Students are stated in full-time equivalent.

[4] Employees are stated in full-time equivalent.

[5] LAUSD and the UC system have approximately 50 and 70 in-house counsel, respectively. The UC system report from 2011 identified approximately $80 million in legal expenses, but included Worker's Compensation cases and reimbursed expenses.

[6] Report by Steven H. Estabrook, Litigation Cost Manager, December 14, 2011

[7] *Los Angeles Times*, "L.A. County city attorney costs," published April 17, 2012.

period, was .41% to .54%. During 2009-2011, the District had multiple cases with multi-week trials, and multiple matters that went to the Court of Appeal, although the successful appellate outcomes occurred in 2012 and 2013. The OGC also identified a certain class of cases in 2008-2012 as a major source of litigation costs, and measures were taken to address the issue by the Chancellor and Deputy Chancellor.

(c) Education
The OGC provided preventive education presentations on seven different educational topics in 16 different large-group presentations during Fiscal Year 2013-2014, and continued its practice of annual Legal Visits to meet with each college's senior management regarding its legal matters. (Exhibits 2, 3 and 7) However, only a few group sessions had post-presentation evaluations by participants, and the annual visits do not provide a systematic or quantitative mechanism for "lessons learned" between colleges.

6) <u>Conclusion</u>:

(a) Client Satisfaction
Client satisfaction is high amongst those responding, but the OGC should look for a more robust pool of responses.

(b) Total Legal Spending
The OGC's effective hourly rate per attorney is competitive with outside counsel, and the average cost of outside counsel should be assessed, as well as a continuing assessment against the District's own baseline for total legal spending.

(c) Educational Presentations
Educational presentations are regular, but should be more systematically assessed, and there should be more of a mechanism for sharing "lessons learned."

7) <u>Changes to Be Implemented</u>:
- The OGC will identify a means of collecting more robust client satisfaction data.
- The OGC will evaluate the average hourly rate paid for outside counsel based on data collection for 2014-2015.
- The OGC will examine a means of providing legal updates to share lessons learned with managers, without compromising rights of privacy or issues of privilege.

B. Service Area Outcome #2: <u>Litigation and litigation management</u>. Clients will receive applicable case notifications, reports, and summaries in timely fashion, so that they can give direction that addresses their needs and concerns.

    1)   <u>Relation to higher-level mission, goals or outcomes</u>: Litigation management allows faculty and staff to focus on student access and teaching and learning for success. By receiving reports of current legal actions, administrators are better informed about the viability of certain District policies and procedures. Moreover, effective litigation management preserves the District's revenue, which can be directed towards the District's primary goals.

    2)   <u>Evidence</u>: The evidence of litigation management is from regular reporting to and consultation with both the Board of Trustees and applicable administrative clients regarding pending matters.

    3)   <u>Assessment Method</u>: The assessment method was based on (a) reporting to clients through correspondence with the Board (substantively privileged, but evidenced in the non-confidential section of the Board Letter and in the posted Closed Session agenda); Legal Visit memoranda (privileged, but the scheduled meeting date is not privileged); correspondence and/or meetings with the College President or designee in anticipation of Board meetings or settlement conferences (substantively privileged, but the scheduled meeting date is not privileged); and (b) the Client Satisfaction Survey.

    4)   <u>Criteria</u>: The criteria applied were that (a) all cases are reported to the Board of Trustees within one month of being served; all cases are reported to the applicable administrator(s) within one week of being served; case summaries are provided to the applicable administrator or the Board of Trustees at least one week ahead of a Board meeting or settlement conference, 90% of the time; and (b) the Client Satisfaction Survey will show that 80% of respondents feel they are provided timely information, appropriate supervision of counsel, appropriate recommendations and identification of systemic issues.

    5)   <u>Analysis</u>:

    (a)   Client Reporting
The District only has 30 days to respond to a lawsuit in state court, or 20 days to respond to a lawsuit in federal court. When a legal complaint is served on the District, the OGC records it in the log of service of process (Exhibit 9), and provides copies of the complaint to the Board of Trustees, the office to which the matter was referred, the respective

College President, and the District's Business Services Division. The OGC includes a distribution slip indicating the date the copies were provided (Exhibit 14), though these dates were not systematically recorded in the log of service of process. The OGC also prepares case information in the next available litigation report for the Board Letter (Exhibit 10), and the cases are placed on the Board's closed session agenda. (Exhibit 11) There is no consolidated report indicating the dates on which case summaries were provided or meetings were scheduled with administrators in anticipation of Board meetings or settlement conferences. However, the OGC typically arranges meetings or forwards case summaries several weeks in advance of settlement conferences. (Exhibit 12) Current legal matters are also included in Legal Visit memoranda for each College President. (Exhibit 7)

        (b)   Client Satisfaction

The Client Satisfaction Survey indicated that more than 86% of respondents agreed or strongly agreed that the OGC provided timely and appropriate reports regarding current lawsuits. (Exhibit 1)

        6)   <u>Conclusion</u>:

        (a) Client Reporting

The OGC engages in prompt reporting of litigation matters to the Board of Trustees and administration, but could also make minor improvements in its internal recordkeeping of the dates of reports.

        (b) Client Satisfaction

The OGC was successful with client satisfaction amongst respondents.

        7)   <u>Changes to Be Implemented</u>:
- The OGC will improve the data kept in its log of service of process, by noting the date on which copies of a summons and complaint were provided to the Board of Trustees and college administration.
- The OGC will evaluate whether its new law practice management software can support streamlined data regarding client reporting.

C. Service Area Outcome #3: <u>Risk Management.</u> Clients will be prepared to make better risk assessments and decisions as a result of OGC services, including education, outreach on new trends and coordination of cases and issues.

1)   Relation to higher-level mission, goals or outcomes: Educational outreach assists faculty and staff to be aware of potential legal pitfalls and problems so that they can obtain timely assistance from subject matter experts at the Educational Services Center, and contributes to the professional development of employees (Vision 2017, Goal 3, Objective 3). Leadership in managing overlapping and related cases supports the protection of the public trust.

2)   Evidence: The evidence of performance in risk management is from educational session handouts; evaluations of educational sessions; memos provided to clients on legal developments; and regular meetings to discuss overlapping claims and to develop policies.

3)   Assessment Method: The assessment method was based on (a) the Client Satisfaction Survey; (b) education through group educational session materials and orientations for new executives; and (c) Risk Management meetings and the review of waivers.

4)   Criteria: The criteria applied were (a) 75% of those responding to client satisfaction surveys would report that the OGC provides useful information; (b) group educational sessions would be rated as "useful" to "highly useful" by 90% of those responding, and orientations regarding legal issues should be provided to all new Cabinet-level executives; and (c) Risk Management meetings should convene at least 20 times per year with participation by all applicable departments at least 75% of the time, and waivers will be reviewed for enforceability and legal permissibility.

5)   Analysis:

(a)   Client Satisfaction Survey
The Client Satisfaction Survey indicated that more than 84% of respondents agreed or strongly agreed that the OGC appropriately monitors new cases and legislation, and provides educational programs. (Exhibit 1)

(b) Education
During the period from April 2013 through October 2014, the OGC provided educational sessions on twelve different topics in twenty-two separate sessions. (Exhibit 2) For several sessions, all attendees rated the sessions as "useful" or "highly useful," and in one session, about 81% rated at that level. (Exhibit 3) However, the OGC did not systematically collect evaluations for the rest of the group sessions. The OGC provided individual orientations to five new executives. (Exhibit 8) The Legal

Crash Course was designed for new administrators, but it is offered for both new and existing administrators. (Exhibit 2, subsections 9 and 12)

(c) Risk Management meetings and waivers
The Risk Management meetings were convened at least 20 times in the last year, but documentation was not made regarding each department's participation. Although each department has its own system of case lists, previous efforts to create a combined list were unsuccessful due to issues of access and combining databases. In the last two years, the OGC initiated and maintained a shared grid of discussed claims and historical developments. In July 2014, the group adjusted its meeting format to improve workload management. (Exhibit 13)

Also to assist with the management of risks, the OGC provided review of nine waiver forms in the past year. (Exhibit 4)

6) <u>Conclusion</u>:

(a) Client Satisfaction
The OGC provides useful information on new cases and legislation.

(b) Educational Sessions
The OGC engages in a robust level of risk management activities, but there is room for improvement in its distribution of educational materials and assessment of those items.

(c) *Risk management coordination*
The OGC regularly convenes the Risk Management meetings and the group has made process improvements, but there needs to be more specific documentation of departments' participation. The OGC regularly provides support for risk transfer.

7) <u>Changes to Be Implemented</u>:
- The OGC is procuring new software for its office management, and the procurement specifications will include a preference for software that will allow for access by other units on a limited basis. Specifications have been prepared, and the procurement is targeted for submission for Board approval in the first six months of 2015. Implementation is targeted for summer 2015, and the OGC will assess its effectiveness by fall 2015.
- The OGC will systematically upload its non-privileged presentation materials to the District's Intranet, and include

a digital evaluation as part of its debrief of each presentation.

- The OGC will examine a means of providing legal updates to share "lessons learned" with managers, without compromising rights of privacy or issues of privilege.
- The OGC will add a non-privileged record for the Risk Management meetings that includes department representation, and continuously monitor to ensure that the meeting schedule is consistent with participants' needs.

D. Performance Objective #1: Public Records Act Request Responses. The OGC will ensure timely response to Public Records Act requests, timely referral to other units where appropriate, and timely review and production of records.

　　　1)　　Relation to higher-level mission, goals or outcomes: Responding to public records requests enables the public to provide meaningful comment to the District's decision makers. Compiling public records also enhances the District's institutional memory.

　　　2)　　Evidence: The evidence is the date of the receipt of the request compared to referral, response, and production dates.

　　　3)　　Assessment Method: The assessment method was based on the OGC's log of requests made pursuant to the California Public Records Act ("CPRA").

　　　4)　　Criteria: The criteria applied were as follows: Upon receiving a records request, if referral to another unit is appropriate, the OGC will do so within one business day, 90% of the time. Where the OGC is the lead responder, it will provide the initial response letter within the statutory timeframe 100% of the time, request documents from the probable source within five business days 90% of the time, and produce documents in batches on at least a triweekly basis 90% of the time.

　　　5)　　Analysis: The OGC received 59 public records requests during Fiscal Year 2013-14; 13 requests were referred to another unit. At least eight of these referred requests, or over 61%, were referred within one business day of receipt. (Exhibit 17) With respect to the remaining 46 Public Records requests, where the OGC was the lead responder and where a date of the initial response letter was noted, the OGC provided the initial response letter within the statutory timeframe 100% of the time. (Exhibit 17)   The dates when documents from probable sources are requested, or the dates of the actual production of records, were not

systematically recorded in the log, so a file-by-file review would be required. However, the OGC established production due dates in the log, regularly scheduled fourteen days apart, as a prompt for follow-up.

      6)   <u>Conclusion</u>: The OGC has an adequate mechanism to ensure that it responds to public records requests in a timely fashion, though it can improve the timeliness of production.

      7)   <u>Changes to Be Implemented</u>:
- The OGC has already modified its log to include the specific date when an initial response letter is sent.
- The OGC will augment its log to include the dates when it requests documents from the probable source, and when it actually produces responsive records to the requester.
- The OGC should pursue replacement of the vacant paralegal position in order to improve timeliness of record production.

E.   Performance Objective #2: <u>District Operations</u>. The OGC will contribute to the overall administrative effectiveness of the District by providing support for regulatory activities, following up on compliance with conflict of interest and Form 700 requirements, preparing Board meeting materials, and acting as the agent for service of process for subpoenas of records.

      1)   <u>Relation to higher-level mission, goals or outcomes</u>: The OGC's contributions to District operations enable District administrators, faculty, and staff to focus on student success. By managing the District's Form 700s (Statement of Economic Interest), the OGC assists in minimizing conflicts of interest in the District's contracting.

      2)   <u>Evidence</u>: The evidence of contributions in overall administrative effectiveness is from reminders to business units regarding rule review; publication of revised rules and regulations; reminders for Form 700 filings; posted Closed Session agendas; Board Letters (privileged); closed session materials (privileged or otherwise confidential); and the log of subpoenas for records received.

      3)   <u>Assessment Method</u>: The assessment method was based on (a) rule review reminder messages and the log of published rules and regulations; (b) Conflict of Interest efforts, including Form 700 notices and reports; (c) delivery of Board agendas and letters; and (d) timely processing of subpoenas.

      4)   <u>Criteria</u>:   The criteria applied were that (a) rule review follow-ups are sent monthly, and new and updated rules and regulations

are published within two weeks of final approval, 90% of the time; (b) Form 700 notices are sent at least thirty days in advance of annual filing, and Taking and Leaving Office notices are sent within a week of receiving notice from the applicable business unit; (c) agendas and letters are delivered or a delayed status has been communicated by the published deadline 90% of the time; and (d) subpoenas for records are referred to the applicable business unit, within two (2) business days, 90% of the time.

5) <u>Analysis</u>:

(a) Rule Review and Publication
In 2007, the District adopted Administrative Regulation C-12, which required units to engage in a triennial review of rules and regulations under their respective jurisdictions. However, there was no built-in mechanism to track compliance. To remedy this, Administrative Regulation C-12 was revised in 2012, and units now submit periodic review reports. (Exhibit 19) Rule review report reminders are sent periodically by the OGC. (Exhibit 20)
When publishing new or updated rules and regulations, the OGC sends, via e-mail, a notice of publication once the District's website has been updated to reflect any change(s) to the Board Rule or Administrative Regulation. (Exhibit 23) During Fiscal Year 2012-2013, the OGC published 18 new Board Rules, and there is documentation to support publication for about half within two weeks of receiving a certification. The OGC improved its process in 2013-2014 to better capture certifications. The OGC received certifications of 13 Board Rule changes, and published those changes within two (2) weeks more than ninety percent (90%) of the time. (Exhibit 15) For the Administrative Regulations, the OGC published 29 revisions, with 89% verifiable as within the desired timeframe. In 2013-2014, the OGC published 18 revisions, all timely. (Exhibit 16) Although the OGC maintains a log, the OGC should strengthen its maintenance of this evidence.

(b) Conflict of Interest Processes
In 2012, the District digitized its Form 700 process, with the implementation of the *EDisclosure* online portal, through a partnership among the Information Technology unit, the Inspector General and the OGC. The District's known designated filers are now inputted and updated in the system. (Exhibit 25) An annual filing notice is sent to all identified designated filers via e-mail in early March, approximately one month before the filing deadline of April 1st. (Exhibit 18) The OGC also runs reports in *EDisclosure* to determine which filers have not filed (Exhibit 26), and generates escalation messages accordingly. (Exhibit 21) Furthermore, the Information Technology unit recently developed a link

with the District's payroll system to automate notifications when filers assume or leave office.

To improve overall conflict of interest and Form 700 processes, the OGC has been meeting with other District administrators ("Form 700 Group") on a regular basis since 2012 and on a biweekly basis for the past year. (Exhibit 24) Through those meetings, new processes have been established by the Contracts Unit for conflict-of-interest checking, and the Information Technology unit provided the applicable staff with training on how to use the Form 700 system to check for financial conflicts. The Form 700 Group has worked to ensure the District's various consultants receive Form 700 filing notices, and to ensure that the District established a new mechanism to comply with public access requirements under the Government Code.[8] In collaboration with the Form 700 Group, the OGC drafted Administrative Regulation C-13, which sets forth a multi-layered procedure to review potential conflicts of interest before District contracts are awarded.

(c) Board Agendas and Other Communications

The OGC transmits agendas and Board letters via e-mail. (Exhibit 22) However, there is insufficient documentation to determine whether a delayed status was communicated by the published deadline, since records of the communications where the OGC indicates a delayed status are not systematically maintained.

(d) Acceptance of Subpoenas for Records

The OGC also acts as the designated place of acceptance of service of process of subpoenas for records. The OGC notes in its subpoena log, each subpoena that is served on the District. (Exhibit 5) Once served, subpoenas are then referred by the OGC to the appropriate division for handling. The OGC began tracking the dates of referrals in June 2014. Approximately 100 subpoenas were served from June 2014 through October 2014, and at least 93 were referred within two business days, although nearly all of those were referred the same day.

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[8] Government Code Section 81008 provides, in relevant part: "*Every report and statement filed pursuant to this title is a public record open for public inspection and reproduction during regular business hours, commencing as soon as practicable, but in any event not later than the second business day following the day on which it was received. No conditions whatsoever shall be imposed upon persons desiring to inspect or reproduce reports and statements filed under this title, nor shall any information or identification be required from these persons...*"

6) <u>Conclusion</u>:

(a) Rule Review and Publication
The OGC should increase the regularity of its rule review report reminders. With respect to the publication of rules and regulations, the OGC met its desired publication timeframe for Board Rules, and exceeded its desired publication timeframe for Administrative Regulations.

(b) Conflict of Interest Processes
The OGC provides ongoing support to the District's Form 700 Group. However, the OGC has room to improve the form collection process.

(c) Board Agendas and Other Communications
Although it regularly transmits agendas and Board letters, the OGC should enhance its recordkeeping of status updates relative to published deadlines.

(d) Acceptance of Subpoenas for Records
The OGC exceeded its goal regarding the timeliness of referrals of subpoenas for records.

7) <u>Changes to Be Implemented</u>:
- The OGC will improve its rule review process, by providing periodic review reports as fillable form PDFs unique to each unit, and an internally distributed matrix of rules to be reviewed by each unit.
- The OGC will improve the data kept in its log of published rules and regulations.
- The OGC will continue to refine its Form 700 collection processes.
- At the suggestion of one of the staff members from another unit, the OGC will explore the possibility of placing a modified version of its subpoena log on the District's intranet site, to assist other divisions with tracking.
- By January 2015, the OGC will confirm the delayed status of Board materials by email, and maintain a record of those emails.

III. Other activities of the Office of General Counsel
A. Committees and counseling in groups
  1) The OGC attorneys participate as counsel to the following committees on a standing basis: Human Resources Council; Risk Management, Risk Management for Contracts; Sheriff's Taskforce;

Chancellor's Cabinet; ESC Senior Staff; ESC Executive Staff; Form 700/Conflict of Interest project; District Technology Committee; and Student Insurance. In addition, the OGC provides an attorney as counselor for Board meetings and Board standing committee meetings, as well as Board ad hoc committees when needed.

2) One or more of the OGC attorneys is present regularly at the following meetings: District Administrative Council; Chief Student Services Officers; Athletic Trainers; ASO Advisors; Asset Management; and the Financial Aid Fraud Subcommittee.

B. Education and Professional Development

1) The OGC attorneys participate regularly in the National Association of College and University Attorneys and in an informal collaborative of in-house California community college attorneys. They also obtain a minimum of 25 hours of certified Continuing Legal Education per attorney, every three years, which includes four hours of ethics and an hour on the elimination of bias in the profession. One attorney completed the ten-session supervision course offered by Human Resources.

2) Other OGC staff members attend educational sessions related to their respective roles, such as preparing ADA-compliant documents and ethics for paralegals. The OGC provides externship opportunities for law students with an interest in representing educational institutions and/or public agencies.

C. Facilities and Technology

1) The OGC has undertaken projects to improve its internal operations regarding file management and law practice management software.

2) The OGC has established an attorney-on-call mechanism to ensure timely client access outside of business hours.

IV. Conclusion

The Office of General Counsel has a considerable range of responsibilities and activities. This report does not attempt to quantify the moment-by-moment emergencies and urgencies that arise nearly every day. However, the entire staff shares a commitment to timeliness and prevention.