

- ◆ What technology training does the institution provide to students and personnel? How does the institution ensure that the training and technical support it provides for faculty and staff are appropriate and effective? How effective is the training provided?
- c. The institution systematically plans, acquires, maintains, and upgrades or replaces technology infrastructure and equipment to meet institutional needs.
- ◆ How has the institution provided for the management, maintenance, and operation of its technological infrastructure and equipment?
 - ◆ Does the college provide appropriate system reliability and emergency backup?
- d. The distribution and utilization of technology resources support the development, maintenance, and enhancement of its programs and services.
- ◆ How does the institution make decisions about use and distribution of its technology resources?
 - ◆ What provisions has the institution made to assure a robust and secure technical infrastructure, providing maximum reliability for students and faculty?
 - ◆ What policies or procedures does the institution have in place to keep the infrastructure reasonably up-to-date?
 - ◆ Does the institution give sufficient consideration to equipment selected for distance programs? How effectively is technology distributed and used?
2. Technology planning is integrated with institutional planning. The institution systematically assesses the effective use of technology resources and uses the results of evaluation as the basis for improvement.
- ◆ How does the institution ensure that facilities decisions emanate from institutional needs and plans for improvement?

- ◆ What evidence is there that the institution bases its technology decisions on the results of evaluation of program and service needs?
- ◆ How does the institution determine that technology needs in program and service areas are met effectively?
- ◆ How does the institution prioritize needs when making decisions about technology purchases? How effectively are those needs met?

D. Financial Resources

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

- ◆ What is the institution's overall budget?
 - ◆ Does it have sufficient revenues to support educational improvements?
 - ◆ Does the resource allocation process provide a means for setting priorities for funding institutional improvements?
1. The institution relies upon its mission and goals as the foundation for financial planning.
 - a. Financial planning is integrated with and supports all institutional planning.
 - ◆ Does the institution review its mission and goals as part of the annual fiscal planning process?
 - ◆ Does the institution identify goals for achievement in any given budget cycle?

- ◆ Does the institution establish priorities among competing needs so that it can predict future funding? Do institutional plans exist, and are they linked clearly to financial plans, both short term and long range?
 - ◆ Does the financial planning process rely primarily on institutional plans for content and timelines?
 - ◆ Can the institution provide evidence that past fiscal expenditures have supported achievement of institutional plans?
 - ◆ Does the Board and other institutional leadership receive information about fiscal planning that demonstrates its links to institutional planning?
- b. Institutional planning reflects realistic assessment of financial resource availability, development of financial resources, partnerships, and expenditure requirements.
- ◆ Do individuals involved in institutional planning receive accurate information about available funds, including the annual budget showing ongoing and anticipated fiscal commitments?
 - ◆ Does the institution establish funding priorities in some fashion that helps the institution achieve its goals in reasonable fashion? Are items focused on student learning given appropriate priority? What other documents describing funding priorities are used by institutional planners?
- c. When making short-range financial plans, the institution considers its long-range financial priorities to assure financial stability. The institution clearly identifies and plans for payment of liabilities and future obligations.
- ◆ What evidence of long term fiscal planning and priorities exists?
 - ◆ Does the institution have plans for payments of long term liabilities and obligations, including debt, health benefits, insurance costs, building maintenance costs, etc? Is this information used in short term or annual budget and other fiscal planning?

- d. The institution clearly defines and follows its guidelines and processes for financial planning and budget development with all constituencies having appropriate opportunities to participate in the development of institutional plans and budgets.
 - ◆ Where or how are the processes for financial planning and budget recorded and made known to college constituents?
2. To assure the financial integrity of the institution and responsible use of financial resources, the financial management system has appropriate control mechanisms and widely disseminates dependable and timely information for sound financial decision making.
 - a. Financial documents, including the budget and independent audit, reflect appropriate allocation and use of financial resources to support student learning programs and services. Institutional responses to external audit findings are comprehensive, timely, and communicated appropriately.
 - ◆ Are funds allocated, as shown in the budget, in a manner that will realistically achieve the institution's stated goals for student learning?
 - ◆ What do the audit statements say about financial management?
 - ◆ Does the institution provide timely corrections to audit exceptions and management advice?
 - b. Appropriate financial information is provided throughout the institution.
 - ◆ What information about budget, about fiscal conditions, about financial planning and about audit results is provided through out the college? Is this information sufficient in content and timing to support institutional and financial planning and financial management?
 - c. The institution has sufficient cash flow and reserves to maintain stability, strategies for appropriate risk management, and realistic plans to meet financial emergencies and unforeseen occurrences.

- ◆ What is the ending balance of unrestricted funds for the institution's immediate past three years. Is this amount sufficient to maintain a reserve needed for emergencies?
 - ◆ Does the institution have any other access to cash should the need arise?
 - ◆ How does the institution receive its revenues? Does this receipt pose cash flow difficulties for the college? If so, how does the college address cash flow difficulties? (e.g., COPS, loans)?
 - ◆ Has the institution sufficient insurance to cover its needs? Is the institution self-funded in any insurance categories? If so, does it have sufficient reserves to handle financial emergencies?
- d. The institution practices effective oversight of finances, including management of financial aid, grants, externally funded programs, contractual relationships, auxiliary organizations or foundations, and institutional investments and assets.
- ◆ What are the institution's procedures for reviewing fiscal management? Are those regularly implemented?
 - ◆ What evidence about fiscal management is provided by external audits and financial program reviews?
 - ◆ Has the institution received any audit findings or negative reviews during the last six years?
- e. All financial resources, including those from auxiliary activities, fund-raising efforts, and grants are used with integrity in a manner consistent with the mission and goals of the institution.
- ◆ Are the institution's special funds audited or reviewed by funding agencies regularly?
 - ◆ Do the audits demonstrate the integrity of financial management practices?

- f. Contractual agreements with external entities are consistent with the mission and goals of the institution, governed by institutional policies, and contain appropriate provisions to maintain the integrity of the institution.⁵
 - ◆ What contractual agreements exist, and are they consistent with institutional mission and goals?
 - ◆ Does the institution have appropriate control over these contracts? Can it change or terminate contracts that don't meet its required standards of quality?
- g. The institution regularly evaluates its financial management processes, and the results of the evaluation are used to improve financial management systems.
 - ◆ Does the institution have an annual external audit to provide feedback on its processes?
 - ◆ Does the institution review the effectiveness of its past fiscal planning as part of planning for current and future fiscal needs?
- 3. The institution systematically assesses the effective use of financial resources and uses the results of the evaluation as the basis for improvement.
 - ◆ What processes does the institution use to assess its use of financial resources?
 - ◆ How does the institution ensure that it assesses its use of financial resources systematically and effectively?
 - ◆ How does the institution use results of the evaluation as the basis for improvement?

Sources of Evidence: Examples for Standard III

Listed below are examples of potential sources of evidence for Standard III. There may be many other sources which institutions should provide and teams should ask for.

Standard III Resources

A. Human Resources

- Evidence about how the institution determines human resource needs of programs and services.
- Evidence that the institution uses analyses in determining hiring priorities.
- Evidence, such as planning meeting minutes, that the institution systematically considers and relies on needs of programs and services in determining hiring priorities.
- Evidence that the institution has a reasonable means for deciding what employee qualifications are needed for each position.
- Evidence that the institution uses a clear and reasonable process for determining personnel selection criteria.
- Evidence that hiring procedures are written and consistently applied.
- Evidence that the institution verifies employee degrees, experience, and references of newly hired personnel.
- Evidence of a systematic process for determining personnel evaluation criteria.
- Evidence that evaluation criteria are based on job responsibilities.
- Evidence that evaluation processes are written and followed.
- Evidence that evaluations are conducted regularly.
- Evidence that the institution uses the results of personnel evaluations for improvement.

- ❑ Evidence that the institution evaluates the effectiveness in producing student learning outcomes of teachers, tutors, and others involved in the teaching-learning process.
- ❑ Evidence that the institution applies an ethics document or documents for all personnel.
- ❑ Evidence that the institution employs a core of full-time faculty.
- ❑ Evidence that the institution employs qualified administrators and support staff in sufficient numbers.
- ❑ Evidence that the institution administers its personnel policies consistently and fairly.
- ❑ Evidence that the institution maintains personnel records safely.
- ❑ Evidence about how the institution provides employees access to their records.
- ❑ Evidence that the institution has written policies on equity and diversity.
- ❑ Evidence that the institution is sensitive to issues of equity and diversity.
- ❑ Evidence that programs and services are designed to provide for the range of personnel needs at the institution.
- ❑ Evidence about how the institution tracks, analyzes, and uses its employment equity record.
- ❑ Evidence about how the institution treats its personnel and students.
- ❑ Evidence about how the institution uses identified teaching and learning needs to determine professional development opportunities.
- ❑ Evidence that the institution evaluates professional development needs of its personnel.
- ❑ Evidence that the institution bases its programs on identified needs.

- Evidence about how participants are involved in the programs' evaluation.
- Evidence that the institution assesses the use of its human resources.
- Evidence that institutional plans determine human resource allocation priorities.
- Evidence that human resource decisions are based on the results of evaluation of program and service needs.

B. Physical Resources

- Evidence about how the institution evaluates the safety and sufficiency of its facilities.
- Evidence that the institution provides adequate facilities for its programs and services.
- Evidence that off-campus sites are adequate to support programs conducted at those sites.
- Evidence that equipment supports the needs of its programs and services.
- Evidence that equipment supports the needs of the distance modes of delivery the college offers.
- Evidence about how the institution plans and maintains its facilities.
- Evidence that the institution has considered the total cost of ownership when making decisions about facilities and equipment.
- Evidence that the institution's bases its building plans on the needs of programs and services.
- Evidence that the institution has replacement and maintenance plans for equipment.
- Evidence that the institution uses its facilities and equipment effectively.

- Evidence about how the institution constructs and maintains its facilities at all locations.
- Evidence about how the institution evaluates its facilities.
- Evidence about how the institution evaluates the physical resources needs of its programs and services.
- Evidence about how the institution plans its facilities.
- Evidence about how the institution makes decisions about equipment purchases.
- Evidence that long-range capital projects are based on institutional planning.
- Evidence that the institution assesses the use of its physical resources.
- Evidence that institutional plans determine physical resource priorities.
- Evidence that physical resource decisions are based on the results of evaluation of program and service needs.

C. Technology Resources

- Evidence about how the institution evaluates how well its technology meets the needs of its programs and services.
- Evidence about how the institution evaluates how well its technology meets the need for college-wide communications, research, and operational systems.
- Evidence about how the institution makes decisions about technology services, facilities, hardware, and software.
- Evidence about how the institution evaluates the effectiveness of its technology.
- Evidence that the institution assesses the need for information technology training for students and personnel.

- ❑ Evidence that training is designed to meet the needs of students and personnel.
- ❑ Evidence about how the institution plans and maintains its technology, infrastructure and equipment.
- ❑ Evidence that the institution bases its technology plans on the needs of programs and services.
- ❑ Evidence that the institution has replacement and maintenance plans for its technology.
- ❑ Evidence about how the institution uses and distributes its technology resources.
- ❑ Evidence about how the institution assesses the technology needs of its programs and services.
- ❑ Evidence that the institution assesses the use of its technology resources.
- ❑ Evidence that institutional plans determine technology resource priorities.
- ❑ Evidence that technology resource decisions are based on the results of evaluation of program and service needs.

D. Financial Resources

- ❑ Evidence that includes copies of annual budget, audits for past three years, financial plans associated with institutional plans, budget documents prepared to grant and other external funding, data showing financial planning is regularly evaluated and the results of that evaluation, documents showing institutional fiscal commitments for foreseeable future, including contracts for services, employee agreements, loans and other debt.
- ❑ Evidence that the mission and goals are used in short and long range financial planning, such as a list of financial goals, a grid showing financial contributions to meeting goals, or an introductory text to fiscal documents such as annual budgets, long range capital plans, long range financial plans, etc., that show relationship to educational goals as identified through institutional assessment and planning.

- ❑ Evidence showing the fiscal planning follows institutional planning in time sequence, and that funds are used to achieve institutional plans.
- ❑ Evidence that fiscal planning is evaluated on the basis of its contribution to achievement of institutional goals, not solely on the basis of accounting principles of good practice. Evidence that the financial plans, including annual budget, capital plans, long term fiscal plans undergo periodic review and evaluation.
- ❑ Evidence of a fiscal planning process and documents describing the financial planning and budgeting processes and minutes or other records showing the institution has followed those processes.
- ❑ Evidence that there is an annual independent audit report and audited financial statements.
- ❑ Evidence of actuarial studies, bargaining agreements, and other obligations that reflect long-term liabilities and plans to meet these fiscal liabilities.

Standard IV: Leadership and Governance

The institution recognizes and utilizes the contributions of leadership throughout the organization for continuous improvement of the institution. Governance roles are designed to facilitate decisions that support student learning programs and services and improve institutional effectiveness, while acknowledging the designated responsibilities of the governing board and the chief administrator.

A. Decision-Making Roles and Processes

The institution recognizes that ethical and effective leadership throughout the organization enables the institution to identify institutional values, set and achieve goals, learn, and improve.

1. Institutional leaders create an environment for empowerment, innovation, and institutional excellence. They encourage staff, faculty, administrators, and students, no matter what their official titles, to take initiative in improving the practices, programs, and services in which they are involved. When ideas for improvement have policy or significant institution-wide implications, systematic participative processes are used to assure effective discussion, planning, and implementation.

- ◆ What do the statements about institutional goals tell you about the institution's commitment to excellence?
 - ◆ Are the institution's goals and values clearly articulated and understood by all? Can college staff tell you what those goals and values are?
 - ◆ Can staff describe their own roles in helping the institution achieve its goals?
 - ◆ What information about institutional performance is circulating and available to staff and students? Is the information kept current? Is it easily accessed, is it understandable? Is it regularly used in institutional discussions and decision-making sessions?
 - ◆ Do the institution's processes for institutional evaluation and review, and planning for improvements, provide venues where the evaluations of the institution's performance are made available to all staff?
 - ◆ Do institutional planning efforts provide opportunity for appropriate staff participation?
 - ◆ How do individuals bring forward ideas for institutional improvement?
 - ◆ How does the institution articulate the responsibilities of individuals to develop ideas for improvements in their areas of responsibility?
 - ◆ How do individuals and groups at the institution use the governance process to enhance student learning?
2. The institution establishes and implements a written policy providing for faculty, staff, administrator, and student participation in decision-making processes. The policy specifies the manner in which individuals bring forward ideas from their constituencies and work together on appropriate policy, planning, and special-purpose bodies.

- a. Faculty and administrators have a substantive and clearly defined role in institutional governance and exercise a substantial voice in institutional policies, planning, and budget that relate to their areas of responsibility and expertise. Students and staff also have established mechanisms or organizations for providing input into institutional decisions.
 - ◆ What do institutional policies and procedures describe as the roles for each group in governance, including planning and budget development?
- b. The institution relies on faculty, its academic senate or other appropriate faculty structures, the curriculum committee, and academic administrators for recommendations about student learning programs and services.
 - ◆ What documents describe the official responsibilities and authority of the faculty and of academic administrators in curricular and other educational matters?
3. Through established governance structures, processes, and practices, the governing board, administrators, faculty, staff, and students work together for the good of the institution. These processes facilitate discussion of ideas and effective communication among the institution's constituencies.
 - ◆ Do the written policies on governance procedures specify appropriate roles for all staff and students? Do these policies specify the academic roles of faculty in areas of student educational programs and services planning?
 - ◆ Are staff and students well informed of their respective roles. Do staff participate as encouraged by these policies? Do the various groups work in collaborative effort on behalf of institutional improvements? Is the result of this effort actual institutional improvement?
 - ◆ Is there effective communication at the college – clear, understood, widely available, current communication?
 - ◆ Do staff at the college know essential information about institutional efforts to achieve goals and improve learning?

4. The institution advocates and demonstrates honesty and integrity in its relationships with external agencies. It agrees to comply with Accrediting Commission standards, policies, and guidelines, and Commission requirements for public disclosure, self-study, and other reports, team visits, and prior approval of substantive changes. The institution moves expeditiously to respond to recommendations made by the Commission.
 - ◆ What does documentation of the institution’s past accreditation history show about integrity in its relationship with the commission – has it responded expeditiously and honestly to recommendations, are there citations indicating difficulty, etc.?
 - ◆ Are the institution’s communications of institutional qualities or effectiveness to the public accurate?
 - ◆ What is the institution’s track record in its relationship with the U.S. Department of Education?
5. The role of leadership and the institution’s governance and decision-making structures and processes are regularly evaluated to assure their integrity and effectiveness. The institution widely communicates the results of these evaluations and uses them as the basis for improvement.
 - ◆ What process does the institution use to evaluate its governance and decision-making structures? Are the results communicated within the campus community?
 - ◆ How does the institution use identified weaknesses to make needed improvements?

B. Board and Administrative Organization

In addition to the leadership of individuals and constituencies, institutions recognize the designated responsibilities of the governing board for setting policies and of the chief administrator for the effective operation of the institution. Multi-college districts/systems clearly define the organizational roles of the district/system and the colleges.⁶

1. The institution has a governing board that is responsible for establishing policies to assure the quality, integrity, and effectiveness of the student learning programs and services and the financial stability of the institution. The governing board adheres to a clearly defined policy for selecting and evaluating the chief administrator for the college or the district/system.
 - ◆ Does the institution have a Policy Manual or other compilation of policy documents that show the board's role in establishing said policy and reviewing it on a regular basis?
 - ◆ What statements about quality of program, integrity of institutional actions, and about effectiveness of student learning programs and services are to be found in the institution's board-established policies, mission statement, vision or philosophy statement, planning documents, or other statements of direction?
 - ◆ What is the written policy describing selection of the chief administrator? Has the board followed it or another process?
- a. The governing board is an independent policy-making body that reflects the public interest in board activities and decisions. Once the board reaches a decision, it acts as a whole. It advocates for and defends the institution and protects it from undue influence or pressure.
 - ◆ Is the governing board appropriately representative of the public interest and lacking conflict of interest? Does the composition of the governing board reflect public interest in the institution?
 - ◆ Are less than half of the board members owners of the institution? Are a majority of governing board members non-owners of the institution?
- b. The governing board establishes policies consistent with the mission statement to ensure the quality, integrity, and improvement of student learning programs and services and the resources necessary to support them.
 - ◆ What policies, institutional goals or other formal statements exist that describe board expectations for quality, integrity and improvement of student learning programs and services?

- c. The governing board has ultimate responsibility for educational quality, legal matters, and financial integrity.
 - ◆ Is the governing board independent – are its actions final, not subject to the actions of any other entity?

- d. The institution or the governing board publishes the board bylaws and policies specifying the board’s size, duties, responsibilities, structure, and operating procedures.

- e. The governing board acts in a manner consistent with its policies and bylaws. The board regularly evaluates its policies and practices and revises them as necessary.
 - ◆ Do the records of board actions (minutes, resolutions) indicate that it acts consistent with its policies and bylaws?
 - ◆ Does the board have a system for evaluating and revising its policies on a regular basis? Is this system implemented?

- f. The governing board has a program for board development and new member orientation. It has a mechanism for providing for continuity of board membership and staggered terms of office.
 - ◆ What is the board’s program for development and orientation?
 - ◆ Does the board development program address the board’s need to learn about accreditation standards and expectations?
 - ◆ Does the board have a formal, written method of providing for continuing membership and staggered terms of office?

- g. The governing board’s self-evaluation processes for assessing board performance are clearly defined, implemented, and published in its policies or bylaws.
 - ◆ What is the board self-evaluation process as defined in its policies? Does that process as described likely to be an effective review?

- ◆ Does the policy call for regular self-evaluation? Does the institution's board regularly evaluate its own performance?
- h. The governing board has a code of ethics that includes a clearly defined policy for dealing with behavior that violates its code.
- ◆ What is the board's stated process for dealing with board behavior that is unethical? Is there any track record of the board implementing this process? What was the result?
- i. The governing board is informed about and involved in the accreditation process.
- ◆ What kinds of training are provided to the board about the accreditation process, and Commission standards?
 - ◆ How does the board participate appropriately in institutional self-study and planning efforts?
 - ◆ How do board actions, including planning and resource allocation, indicate a commitment to improvements planned as part of institutional self-evaluation and accreditation processes?
 - ◆ How do board actions reflect the commitment to supporting and improving student learning outcomes as reflected in the accreditation standards and expectations for institutional improvement?
 - ◆ Is the board informed of institutional reports due to the Commission, and of Commission recommendations to the institution?
 - ◆ Is the board knowledgeable about accreditation standards, including those that apply to the board?
 - ◆ Does the board assess its own performance using accreditation standards?

- j. The governing board has the responsibility for selecting and evaluating the district/system chief administrator (most often known as the chancellor) in a multi-college district/system or the college chief administrator (most often known as the president) in the case of a single college. The governing board delegates full responsibility and authority to him/her to implement and administer board policies without board interference and holds him/her accountable for the operation of the district/system or college, respectively. In multi-college districts/systems, the governing board establishes a clearly defined policy for selecting and evaluating the presidents of the colleges.
- ◆ What is the established board process for conducting search and selection processes for the chief administrator? Are those processes written?
 - ◆ Has the board used these processes in its most recent searches?
 - ◆ How is the board delegation of administrative authority to the chief administrator defined? In policy documents? In a contract with the chief administrator?
 - ◆ Is this delegation clear to all parties?
 - ◆ How effective is the board in remaining focused at the policy level?
 - ◆ What mechanisms does the board use in its evaluation of the chief administrator's performance on implementation of board policies and achievement of institutional goals?
 - ◆ How does the board set clear expectations for regular reports from the chief administrator on institutional performance?
 - ◆ How does the board set expectations for sufficient information on institutional performance to insure that it can fulfill its responsibility for educational quality, legal matters, and financial integrity?

2. The president has primary responsibility for the quality of the institution he/she leads. He/she provides effective leadership in planning, organizing, budgeting, selecting and developing personnel, and assessing institutional effectiveness.
 - a. The president plans, oversees, and evaluates an administrative structure organized and staffed to reflect the institution's purposes, size, and complexity. He/she delegates authority to administrators and others consistent with their responsibilities, as appropriate.
 - b. The president guides institutional improvement of the teaching and learning environment by the following:
 - 1) establishing a collegial process that sets values, goals, and priorities;
 - 2) ensuring that evaluation and planning rely on high quality research and analysis on external and internal conditions;
 - 3) ensuring that educational planning is integrated with resource planning and distribution to achieve student learning outcomes; and
 - 4) establishing procedures to evaluate overall institutional planning and implementation efforts.
- ◆ What does the president do to communicate institutional values, goals and direction?
- ◆ How familiar is the president with data and analyses of institutional performance?
- ◆ How does the president communicate the importance of a culture of evidence and a focus on student learning?
- ◆ Where does the research office report in the institution – does it have easy access to the president's office?
- ◆ What mechanisms has the president put in place to link institutional research, particularly research on student learning, institutional planning processes, resource allocation processes?
- ◆ How does the district chief executive officer follow the component parts of this standard in the role of providing effective district leadership?

- c. The president assures the implementation of statutes, regulations, and governing board policies and assures that institutional practices are consistent with institutional mission and policies.
 - d. The president effectively controls budget and expenditures.
 - e. The president works and communicates effectively with the communities served by the institution.
3. In multi-college districts or systems, the district/system provides primary leadership in setting and communicating expectations of educational excellence and integrity throughout the district/system and assures support for the effective operation of the colleges. It establishes clearly defined roles of authority and responsibility between the colleges and the district/system and acts as the liaison between the colleges and the governing board.⁶
- a. The district/system clearly delineates and communicates the operational responsibilities and functions of the district/system from those of the colleges and consistently adheres to this delineation in practice.
 - ◆ Does the system have a written delineation of responsibilities? Are institutional and system staff knowledgeable of this delineation?
 - ◆ Is the delineation of responsibilities evaluated for effectiveness?
 - b. The district/system provides effective services that support the colleges in their missions and functions.
 - ◆ What feedback mechanisms does the system have in place to allow assessment of the effectiveness of system services?
 - ◆ Is the assessment of system services data driven? Does it reflect the needs and priorities of the institutions?
 - ◆ Are system services regularly evaluated with regard to their support for institutional missions and functions?
 - c. The district/system provides fair distribution of resources that are adequate to support the effective operations of the colleges.

- ◆ What is the system's method of distributing resources to its institutions? Is the system based in a realistic assessment of needs of each institution? Is it even-handed?
 - ◆ Is the system's resource distribution method data driven? Does it reflect the needs and priorities of the institutions?
- d. The district/system effectively controls its expenditures.
- ◆ What are the institution's financial control mechanisms? Does the institution follow standard good practice in fiscal management?
 - ◆ Does the institution consistently end the fiscal year with an positive ending balance?
 - ◆ What do the institution's most recent annual independent audit reports and audited financial statements reveal about control of expenditures?
- e. The chancellor gives full responsibility and authority to the presidents of the colleges to implement and administer delegated district/system policies without his/her interference and holds them accountable for the operation of the colleges.
- f. The district/system acts as the liaison between the colleges and the governing board. The district/system and the colleges use effective methods of communication, and they exchange information in a timely manner.
- ◆ What are the methods of working jointly that the system and the institutions use?
 - ◆ Do these methods result in clear and timely communications in all directions?
 - ◆ Are the institutions well-informed about system issues, Board actions and interests that have an impact on their operations, educational quality, stability or ability to provide high quality education?
- g. The district/system regularly evaluates district/system role delineation and governance and decision-making structures and processes to assure their integrity and effectiveness in assisting

the colleges in meeting educational goals. The district/system widely communicates the results of these evaluations and uses them as the basis for improvement.

- ◆ What are the system's methods for evaluating its effectiveness?
- ◆ Does it conduct regular assessments? How does it communicate the results?

Sources of Evidence: Examples for Standard IV

Listed below are examples of potential sources of evidence for Standard IV. There may be many other sources which institutions should provide and teams should ask for.

A. Decision-Making Roles and Processes

- Evidence that shows board and other governance policies and descriptions of the participation of constituencies in decision-making bodies.
- Evidence that includes documents showing the transmission of recommendations from faculty and academic administrators to decision-making bodies, and descriptions of the institution's information and decision-making process.
- Evidence that includes copies of governance policies and procedures, the composition of governance bodies, minutes of meetings, and documents showing the roles academic staff plan in reviewing and planning student learning programs and services.
- Evidence that includes evaluations and analyses the institution conducts of its governing and decision-making processes, and the form of communication of same to the community.
- Evidence that includes the Policy Manual, institutional statement of mission, vision or philosophy, and institutional planning documents.

B. Board and Administrative Organization

- Evidence that includes published statements of institutional goals that reference the board's expectations for student learning and quality of education.
- Evidence that includes documents describing the authority of the board; the absence of any external, higher authority than the board; descriptions of the board appointment and replacement process.
- Evidence that includes the published bylaws.
- Evidence that includes board minutes or a schedule showing board evaluation of policies.
- Evidence that includes the materials from board training workshops.
- Evidence that includes the policy on board membership, appointment and replacement.
- Evidence that includes the board's policy and instruments used for self evaluation, analyses and reports on the last few self-evaluations completed.
- Evidence that includes the board policy statement of ethics.
- Evidence that includes board minutes, statements to college constituents on this delegation of authority, the board policy manual, any contracts with administrators that specify delegation of authority, board agreements with faculty bodies regarding delegation of authority.
- Evidence that includes budget documents and independent audit reports and audited financial statements showing ending year balances, audit exceptions (if any).
- Evidence that includes the results of surveys, other evaluations of the president's activities directed toward the communities served by the institutions.
- Evidence that includes surveys and other evaluative instruments, and the results of evaluation. Evidence that includes descriptions of funding rules or formulas, committee minutes or other documents showing the system has assessed the needs of each institution.

- ❑ Evidence that includes financial policies and manuals, the content of internal audits and reviews, annual independent external audits, fiscal program reviews conducted by other agencies, and the annual budget documents.
- ❑ Evidence that includes any formal delineation of responsibilities that might be found in district/college documents, including descriptions of job duties, descriptions contained in employment contracts, and the district mapping provided to the institutions and the Commission.
- ❑ Evidence: examples of written or other recorded communications.
- ❑ Evidence that would include institutional analyses of performance, including fact books, reports, web page data portfolios, and publications that describe research on institutional performance.
- ❑ Evidence that includes written information about institutional planning processes, minutes of meetings, records of participation in institutional evaluation and planning sessions.
- ❑ Evidence that includes the system's evaluation instruments, the results of the evaluation, and plans for improvement increasing.
- ❑ Evidence that multi-college systems develop a "map" or description of district and college functions that delineates and distinguishes them clearly.

List of Policies Referenced in the Standards

- ¹ Policy on Distance Learning, Including Electronically-Mediated Learning
- ² Principles of Good Practice in Overseas International Education Programs for Non-U.S. Nationals
- ³ Policy on Closing and Institution
- ⁴ Policy on Transfer of Credit;
Policy on Award of Credit
- ⁵ Contractual Relationships with Non-Regionally Accredited Organizations
- ⁶ Policy and Procedures for the Evaluation of Institutions in Multi-College/Multi-Unit Districts or Systems
- ⁷ Policy on Institutional Advertising, Student Recruitment, and Representation of Accredited Status