**Standard III: RESOURCES**

The institution effectively uses its human, physical, technology, and financial resources to achieve its mission and to improve academic quality and institutional effectiveness. Accredited colleges in multi-college systems may be organized so that responsibility for resources, allocation of resources, and planning rests with the district/system. In such cases, the district/system is responsible for meeting the Standards, and an evaluation of its performance is reflected in the accredited status of the institution(s).

| **Query #** | **Sub-queries** | **Notes for Report** | | | **Evidence** | |
| --- | --- | --- | --- | --- | --- | --- |
| **III.A - HUMAN RESOURCES -** The institution assures the integrity and quality of its programs and services by employing administrators, faculty and staff who are qualified by appropriate education, training, and experience to provide and support these programs and services. Criteria, qualifications, and procedures for selection of personnel are clearly and publicly stated and address the needs of the institution in serving its student population. Job descriptions are directly related to institutional mission and goals and accurately reflect position duties, responsibilities, and authority. | | | | | |
| **III.A.1 -** The institution assures the integrity and quality of its programs and services by employing administrators, faculty and staff who are qualified by appropriate education, training, and experience to provide and support these programs and services. Criteria, qualifications, and procedures for selection of personnel are clearly and publicly stated and address the needs of the institution in serving its student population. Job descriptions are directly related to institutional mission and goals and accurately reflect position duties, responsibilities, and authority. | | | | | |
| III.A.1 Q1 | How does the institution develop hiring criteria? | The institution develops hiring criteria using AP 4130 District Hiring Procedures | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2> | |
| III.A.1 Q2 | How are faculty involved in the selection of new faculty? | Faculty involved in the selection of new faculty through a collaborative search committee process in accordance with AP 4130 District Hiring Procedures. Search Committees will normally include a majority of Foothill‑De Anza tenured faculty who are experts in the discipline or a related discipline. | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2> | |
| III.A.1 Q3 | How are positions advertised? | Positions advertised in accordance with AP 4130 District Hiring Procedures - Recruitment and Advertising Faculty positions are advertised for a minimum of eight weeks.  In unusual or extenuating circumstances, the time frame may be reduced to not less than six weeks with the approval of the President and the Vice Chancellor of Human Resources and Equal Opportunity.    Position announcements are mailed to colleges, universities and organizations committed to providing equal employment opportunities to a wide range of applicants.  In addition positions are advertised locally and in professional journals and related publications, in *The Chronicle of Higher Education* and on the Internet as recommended by the Search Committee, department faculty and the College President.    Department/program faculty and administrators are expected to contact appropriate organizations to assist in identifying qualified candidates and to disseminate information regarding the position. | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2> | |
| III.A.1 Q4 | By what means does the institution verify the qualifications of applicants and newly hired personnel? | The institution verify the qualifications of applicants and newly hired personnel in accordance with AP 4130 District Hiring Procedures:  Minimum Qualifications:  a.     a. A statement in accordance with Education Code Section 87360 that requires that all applicants be sensitive to, understanding of and have respect for the diverse academic, socioeconomic, religious, cultural, disability, sexual orientation and ethnic backgrounds of community college students.  Departments/programs are encouraged to require applicants to explain or submit written materials that provide evidence of such understanding and commitment to diversity;    b.    Educational requirements as determined by the department/program in accordance with Education Code Section 87356.  Additional desirable qualifications that are job related and support the responsibilities of the position may be included.  Such qualifications will be monitored by the Vice Chancellor of Human Resources and Equal Opportunity for adverse impact;    c.     Provision for presentation of qualifications that are equivalent to the minimum qualifications;    d.    Legal qualifiers, established by Human Resources to comply with federal, state, and District regulations. | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2> | |
| III.A.1 Q5 | How does the college check the equivalency of degrees from non-U.S. institutions? | The district Human Resources department checks the equivalency of degrees from non-U.S. institutions in accordance with AP 4130 District Hiring Procedures and BP 4140 Equivalency: Educational requirements as determined by the department/program in accordance with Education Code Section 87356.  Additional desirable qualifications that are job related and support the responsibilities of the position may be included.  Such qualifications will be monitored by the Vice Chancellor of Human Resources and Equal Opportunity for adverse impact | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2>  <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9TUSRE70C4FB> | |
| III.A.1 Q6 | What methods does the institution use to assure that qualifications for each position are closely matched to specific programmatic needs? What analyses and discussions have led the institution to agree on those needs? | The College uses methods in accordance with AP 4130 District Hiring Procedures to assure that qualifications for each position are closely matched to specific programmatic needs:  Minimum qualifications or the equivalent as established by the Statewide Academic Senate and adopted by the Board of Governors of the California Community Colleges which are used by department/program faculty to establish the minimum qualifications for each faculty position.  The position announcement may also include preferred qualifications that reflect education, experience, and expertise that would enhance an applicant’s ability to meet the unique requirements and responsibilities of the position and the needs of a diverse student population. | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2> | |
| III.A.1 Q7 | What safeguards are in place to assure that hiring procedures are consistently applied? | The colleges adheres to AP 4130 District Hiring Procedures to assure that safeguards are in place to assure that hiring procedures are consistently applied | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2> | |
| III.A.1 Q8 | Does the institution advertise specifically for personnel with expertise and experience in DE/CE? | Yes, the college does advertise specifically for personnel with expertise and experience in DE/CE in accordance with AP 4130 District Hiring Procedures:  Educational requirements as determined by the department/program in accordance with Education Code Section 87356.  Additional desirable qualifications that are job related and support the responsibilities of the position may be included.  Such qualifications will be monitored by the Vice Chancellor of Human Resources and Equal Opportunity for adverse impact | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2> | |
| III.A.1 Q9 | How does the college decide whether an applicant is well qualified in the field of DE/CE? Has the institution formulated specific selection criteria? | The college decides whether an applicant is well qualified in the field of DE/CE by following the AP 4130 District Hiring Procedures (Position Announcement). The college has formulated specific selection criteria as per AP 4130 District Hiring Procedures: The position announcement may also include preferred qualifications that reflect education, experience, and expertise that would enhance an applicant’s ability to meet the unique requirements and responsibilities of the position and the needs of a diverse student population. | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2> | |
| III.A.1 Q10 | To what extent does the institution involve personnel with experience in DE/CE in the recruitment of new personnel? | DE/CE personnel are involved in the selection of new personnel through a collaborative search committee process in accordance with AP 4130 District Hiring Procedures: Search Committees will normally include a majority of Foothill‑De Anza tenured faculty who are experts in the discipline or a related discipline. | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2> | |
| **III.A.2 -** Faculty qualifications include knowledge of the subject matter and requisite skills for the service to be performed. Factors of qualification include appropriate degrees, professional experience, discipline expertise, level of assignment, teaching skills, scholarly activities, and potential to contribute to the mission of the institution. Faculty job descriptions include development and review of curriculum as well as assessment of learning. (ER 14) | | | | | |
| III.A.2 Q1 | How does the college know that the faculty selected for hire have adequate and appropriate knowledge of their subject matter? | The college knows that the faculty selected for hire have adequate and appropriate knowledge of their subject matter by following the District Hiring Procedures in AP 4130 - The position announcement may also include preferred qualifications that reflect education, experience, and expertise that would enhance an applicant’s ability to meet the unique requirements and responsibilities of the position and the needs of a diverse student population | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2> | |
| III.A.2 Q2 | By what methods does the college define and evaluate effective teaching in its hiring processes? How is that effectiveness judged? | As per AP 4130 District Hiring Procedures, the college uses demonstrations, interview questions, tests and checks references to determine a candidate’s effectiveness. The candidate is evaluated on the subject matter, demonstration of teaching, counseling, or librarianship skills. Demonstrations should reflect the candidate’s ability to meet the needs of the position. The search committee evaluates the effectiveness of each candidate | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2> | |
| III.A.2 Q3 | How does the college identify faculty expertise in DE/CE instruction? | The college identifies faculty expertise in DE/CE instruction in accordance with AP 4130 District Hiring Procedures – The position announcement is developed through a collaborative process involving the department/program faculty. Develop job related interview questions designed to distinguish candidates who will best meet the needs of the department. Determine the subject matter and format (DE/CE) of the demonstration of teaching. | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2> | |
| III.A.2 Q4 | What analyses and discussions have led the institution to determine the qualifications of faculty and staff involved in offering DE/CE? | The college uses a collaborative search committee process to analyze, discuss and determine the qualifications of faculty and staff involved in offering DE/CE. The position announcement is developed through a collaborative process involving the department/program faculty. Develop job related interview questions designed to distinguish candidates who will best meet the needs of the department. Determine the subject matter and format (DE/CE) of the demonstration of teaching. | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2> | |
| III.A.2 Q5 | By what methods does the college define and evaluate “effective teaching” in its hiring processes for faculty to be involved in DE/CE? How is that effectiveness judged? | As per AP 4130 District Hiring Procedures, the college uses demonstrations, interview questions, tests and checks references to determine a candidate’s effectiveness. The candidate is evaluated on the subject matter, demonstration of teaching skills, and experience. Teaching demonstrations should reflect the candidate’s ability to meet the needs of the DE/CE position. The search committee evaluates the effectiveness of each candidate based on the DE/CE job description and the candidate’s ability to meet the needs of the DE/CE department | | <http://www.boarddocs.com/ca/fhda/Board.nsf/goto?open&id=9U32MM02DED2> | |
| **III.A.3** - Administrators and other employees responsible for educational programs and services possess qualifications necessary to perform duties required to sustain institutional effectiveness and academic quality. | | | | | |
| **III.A.4** - Required degrees held by faculty, administrators and other employees are from institutions accredited by recognized U.S. accrediting agencies. Degrees from non U.S. institutions are recognized only if equivalence has been established. | | | | | |
| III.A.4 Q1 | By what means does the institution verify the qualifications of applicants and newly hired personnel? |  | |  | |
| III.A.4 Q2 | How does the college check the equivalency of degrees from non-U.S. institutions? |  | |  | |
| III.A.4 Q3 | What evidence is there that hiring processes yield highly qualified employees? |  | |  | |
| III.A.4 Q4 | What analyses and discussions have led the institution to determine the qualifications of faculty and staff involved in offering DE/CE? |  | |  | |
| **II.A.5** - The institution assures the effectiveness of its human resources by evaluating all personnel systematically and at stated intervals. The institution establishes written criteria for evaluating all personnel, including performance of assigned duties and participation in institutional responsibilities and other activities appropriate to their expertise. Evaluation processes seek to assess effectiveness of personnel and encourage improvement. Actions taken following evaluations are formal, timely, and documented. | | | | | |
| III.A.5 Q1 | What process is in place to assure that evaluations lead to improvement of job performance? |  | |  | |
| III.A.5 Q2 | What is the connection between personnel evaluations and institutional effectiveness and improvement? |  | |  | |
| III.A.5 Q3 | Do evaluation criteria measure the effectiveness of personnel in performing their duties? |  | |  | |
| III.A.5 Q4 | Do evaluation criteria specifically measure the effectiveness of personnel in performing their duties related to DE/CE activities? |  | |  | |
| III.A.5 Q5 | To what extent do the evaluation processes identify areas for improvement of duties related to DE/CE activities, including faculty’s interest in future involvement in this field or need for development? |  | |  | |
| **III.A.6 -** The evaluation of faculty, academic administrators, and other personnel directly responsible for student learning includes, as a component of that evaluation, consideration of how these employees use the results of the assessment of learning outcomes to improve teaching and learning. | | | | | |
| III.A.6 Q1 | What in-depth thinking have faculty, as individuals and collectively, engaged in about how well students are learning in their courses and programs? What measures have they, as individuals and collectively, created or selected to measure that learning? Are these measures different for DE/CE students? |  | |  | |
| III.A.6 Q2 | What discussions have faculty had about how to improve learning? What plans have been made? |  | |  | |
| III.A.6 Q3 | What changes have faculty made in teaching methodologies to improve learning? |  | |  | |
| III.A.6 Q4 | After analyzing appropriate data, what discussions have faculty had about the need to, and how to improve learning outcomes in DE/CE? What plans have been made? |  | |  | |
| III.A.6 Q5 | What changes have faculty made in teaching methodologies to improve learning in DE/CE mode after evaluation and analysis of evidence of effectiveness? |  | |  | |
| **III.A.7 -** The institution maintains a sufficient number of qualified faculty, which includes full-time faculty and may include part-time and adjunct faculty, to assure the fulfillment of faculty responsibilities essential to the quality of educational programs and services to achieve institutional mission and purposes. | | | | | |
| III.A.7 Q1 | By what means does the institution determine appropriate staffing levels for each program and service? |  | |  | |
| III.A.7 Q2 | By what means does the institution determine appropriate staffing levels for each program and service involved in the offering of programs and courses in DE/CE mode? |  | |  | |
| III.A.7 Q3 | How does the institution decide on the organization of administrative and support staffing for DE/CE mode? |  | |  | |
| III.A.7 Q4 | How effectively does the number and organization of the institution’s personnel work to support its DE/CE programs and services? How does the institution evaluate this effectiveness? |  | |  | |
| **III.Q.8** - An institution with part time and adjunct faculty has employment policies and practices which provide for their orientation, oversight, evaluation, and professional development. The institution provides opportunities for integration of part time and adjunct faculty into the life of the institution. | | | | | |
| III.A.8 Q1 | What policies and practices demonstrate that part-time and adjunct faculty meet the criteria of this Standard? |  | |  | |
| **III.A.9** - The institution has a sufficient number of staff with appropriate qualifications to support the effective educational, technological, physical, and administrative operations of the institution. (ER 8) | | | | | |
| III.A.9 Q1 | How does the institution determine the appropriate number and qualifications for support personnel? |  | |  | |
| **II.A.10** - The institution maintains a sufficient number of administrators with appropriate preparation and expertise to provide continuity and effective administrative leadership and services that support the institution’s mission and purposes. (ER 8) | | | | | |
| III.A.10 Q1 | How does the institution determine the appropriate number, qualifications, and organization of administrators? |  | |  | |
| **III.A.11 -** The institution establishes, publishes, and adheres to written personnel policies and procedures that are available for information and review. Such policies and procedures are fair and equitably and consistently administered. | | | | | |
| III.A.11 Q1 | What processes does the institution use to develop and publicize its personnel policies? |  |  | | |
| III.A.11 Q2 | How does the institution ensure that it administers its personnel policies and procedures consistently and equitably? Do these policies and processes result in fair treatment of personnel? |  |  | | |
| III.A.11 Q3 | What processes does the institution use to develop and publicize its personnel policies? |  |  | | |
| III.A.11 Q4 | How does the institution ensure that it administers its personnel policies and procedures consistently and equitably? Do these policies and processes result in fair treatment of personnel? |  |  | | |
| **III.A.12** - Through its policies and practices, the institution creates and maintains appropriate programs, practices, and services that support its diverse personnel. The institution regularly assesses its record in employment equity and diversity consistent with its mission. | | | | | |
| III.A.12 Q1 | How effective are the institution's policies and practices in promoting understanding of equity and diversity issues? How does the institution know these policies and practices are effective? |  | | |  |
| III.A.12 Q2 | How does the institution determine what kinds of support its personnel need? |  | | |  |
| III.A.12 Q3 | What programs and services does the institution have to support its personnel? How effective are these programs? |  | | |  |
| III.A.12 Q4 | Are the programs, practices, and services evaluated on a regular basis? |  | | |  |
| III.A.12 Q5 | How does the institution track and analyze its employment equity record? How does it use this information? |  | | |  |
| III.A.12 Q6 | How does the institution ensure that its personnel and students are treated fairly? |  | | |  |
| **III.A.13** - The institution upholds a written code of professional ethics for all of its personnel, including consequences for violation. | | | | | |
| III.A.13 Q1 | How does the institution foster ethical behavior in its employees? |  | | |  |
| III.A.13 Q2 | Does the institution have a written code of professional ethics for all its personnel? |  | | |  |
| **III.A.14** - The institution plans for and provides all personnel with appropriate opportunities for continued professional development, consistent with the institutional mission and based on evolving pedagogy, technology, and learning needs. The institution systematically evaluates professional development programs and uses the results of these evaluations as the basis for improvement. | | | | | |
| III.A.14 Q1 | What professional development programs does the institution offer and/or support? |  | | |  |
| III.A.14 Q2 | How does the institution identify professional development needs of its faculty and other personnel? |  | | |  |
| III.A.14 Q3 | What processes ensure that professional development opportunities address those needs? |  | | |  |
| III.A.14 Q4 | How does the college ensure meaningful evaluation of professional development activities? |  | | |  |
| III.A.14 Q5 | What impact do professional development activities have on the improvement of teaching and learning? How does the institution evaluate that improvement? |  | | |  |
| III.A.14 Q6 | What professional development programs relevant for DE/CE personnel does the institution support and/or provide? |  | | |  |
| III.A.14 Q7 | How does the institution determine the professional development needs of its personnel involved in DE/CE? |  | | |  |
| **III.A.15** - The institution makes provision for the security and confidentiality of personnel records. Each employee has access to his/her personnel records in accordance with law. | | | | | |
| III.A.15 Q1 | What are the institution’s provisions for keeping personnel records secure and confidential? |  | | |  |
| III.A.15 Q2 | How does the institution provide employees access to their records? |  | | |  |
| **III.B.1 – Physical Resources** - The institution assures safe and sufficient physical resources at all locations where it offers courses, programs, and learning support services. They are constructed and maintained to assure access, safety, security, and a healthful learning and working environment. | | | | | |
| III.B.1 Q1 | How does the institution ensure it maintains sufficient control over off-site facilities to ensure their quality? |  | | |  |
| III.B.1 Q2 | How does the institution ensure it maintains sufficient control over off-site facilities to ensure their quality? |  | | |  |
| III.B.1 Q3 | What research and analysis process does the institution use to identify the need for equipment and other facilities to support and assure the integrity and quality of its programs and services provided in DE/CE mode? |  | | |  |
| III.B.1 Q4 | What mechanisms does the college employ to evaluate how effectively equipment and facilities meet the needs of programs and services in DE/CE mode? |  | | |  |
| **III.B.2 -** The institution plans, acquires or builds, maintains, and upgrades or replaces its physical resources, including facilities, equipment, land, and other assets, in a manner that assures effective utilization and th``e continuing quality necessary to support its programs and services and achieve its mission. | | | | | |
| III.B.2 Q1 | How does the institution consider the needs of programs and services when planning its buildings? |  | | |  |
| III.B.2 Q2 | What processes ensure that program and service needs determine equipment replacement and maintenance? |  | | |  |
| III.B.2 Q3 | How does the institution evaluate effectiveness of facilities and equipment in meeting the needs of programs and services? |  | | |  |
| III.B.2 Q4 | What processes are used to ensure that program and service needs determine equipment replacement and maintenance for DE/CE? |  | | |  |
| III.B.2 Q5 | How well does the institution meet its equipment needs for distance education? Are the equipment needs included in the facilities evaluations that the institution conducts? |  | | |  |
| **III.B.3 -** To assure the feasibility and effectiveness of physical resources in supporting institutional programs and services, the institution plans and evaluates its facilities and equipment on a regular basis, taking utilization and other relevant data into account. | | | | | |
| III.B.3 Q1 | What process does the institution use to assess the use of its facilities? How often does the evaluation occur? |  | | |  |
| III.B.3 Q2 | How does the college use the results of the evaluation to improve facilities or equipment? |  | | |  |
| III.B.3 Q3 | What evaluation process does the institution use to assess the use of its facilities? Does the process also include the needs for equipment used for course offerings in DE mode? How often does the evaluation occur? |  | | |  |
| **III.B.4** - Long-range capital plans support institutional improvement goals and reflect projections of the total cost of ownership of new facilities and equipment. | | | | | |
| III.B.4 Q1 | What process does the institution follow to develop capital plans? How are long-range capital projects linked to institutional planning? |  | | |  |
| III.B.4 Q2 | What elements comprise the definition of "total cost of ownership" that the institution uses when making decisions about facilities and equipment? |  | | |  |
| III.B.4 Q3 | How do planning processes ensure that capital projects support college goals? How effective is long-range capital planning in advancing the college improvement goals? |  | | |  |
| III.B.4 Q4 | How do long range capital plans support improvement goals and reflect projections related to equipment needed for DE/CE? |  | | |  |
| **III.D.1 – Financial Resources** | | | | | |
| **III.D.1 – Planning -** Financial resources are sufficient to support and sustain student learning programs and services and improve institutional effectiveness. The distribution of resources supports the development, maintenance, allocation and reallocation, and enhancement of programs and services. The institution plans and manages its financial affairs with integrity and in a manner that ensures financial stability. (ER 18) | | | | | |
| III.D.1 Q1 | Does it have sufficient revenues to support educational improvement and innovation? |  | | |  |
| III.D.1 Q2 | Are the institution’s finances managed with integrity in a manner that ensures financial stability? |  | | |  |
| III.D.1 Q3 | Does the resource allocation process provide a means for setting priorities for funding institutional improvements? |  | | |  |
| III.D.1 Q4 | Are institutional resources sufficient to ensure financial solvency? |  | | |  |
| III.D.1 Q5 | Does the institution’s budget provide sufficient resources for the effective planning, maintenance, implementation and enhancement of DE courses, programs and services as well as personnel development? |  | | |  |
| **III.D.2** - The institution’s mission and goals are the foundation for financial planning, and financial planning is integrated with and supports all institutional planning. The institution has policies and procedures to ensure sound financial practices and financial stability. Appropriate financial information is disseminated throughout the institution in a timely manner. | | | | | |
| III.D.2 Q1 | Does the institution review its mission and goals as part of the annual fiscal planning process? |  | | |  |
| III.D.2 Q2 | Does the institution identify goals for achievement in any given budget cycle? |  | | |  |
| III.D.2 Q3 | 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? |  | | |  |
| III.D.2 Q4 | Does the financial planning process rely primarily on institutional plans for content and timelines? |  | | |  |
| III.D.2 Q5 | Can the institution provide evidence that past fiscal expenditures have supported achievement of institutional plans? |  | | |  |
| III.D.2 Q6 | Does the governing board and other institutional leadership receive information about fiscal planning that demonstrates its links to institutional planning? |  | | |  |
| III.D.2 Q7 | 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? |  | | |  |
| III.D.2 Q8 | 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., Certificates of Participation (COPS), loans)? |  | | |  |
| III.D.2 Q9 | 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? |  | | |  |
| **II.D.3** - The institution clearly defines and follows its guidelines and processes for financial planning and budget development, with all constituencies having appropriate opportunities to participate in the development of institutional plans and budgets. | | | | | |
| III.D.3 Q1 | Where or how are the processes for financial planning and budget recorded and made known to college constituents? |  | | |  |
| III.D.3 Q1 | What mechanisms or processes are used to ensure constituent participation in financial planning and budget development? |  | | |  |
| **III.B.4** – **Fiscal Responsibility and Stability** - Institutional planning reflects a realistic assessment of financial resource availability, development of financial resources, partnerships, and expenditure requirements. | | | | | |
| III.D.4 Q1 | Do individuals involved in institutional planning receive accurate information about available funds, including the annual budget showing ongoing and anticipated fiscal commitments? |  | | |  |
| III.D.4 Q2 | Does the institution establish funding priorities in a manner that helps the institution achieve its mission and goals? Are items focused on student learning given appropriate priority? What other documents are used in institutional planning? |  | | |  |
| **III.D.5** - To assure the financial integrity of the institution and responsible use of its financial resources, the internal control structure has appropriate control mechanisms and widely disseminates dependable and timely information for sound financial decision making. The institution regularly evaluates its financial management practices and uses the results to improve internal control systems. | | | | | |
| III.D.5 Q1 | Are funds allocated, as shown in the budget, in a manner that will realistically achieve the institution's stated goals for student learning? |  | | |  |
| III.D.5 Q2 | What do the audit statements say about financial management? |  | | |  |
| III.D.5 Q3 | Is the institutional budget an accurate reflection of institutional spending and does it have credibility with constituents? |  | | |  |
| III.D.5 Q4 | Are audit findings communicated to appropriate institutional leadership and constituents? |  | | |  |
| III.D.5 Q5 | Does the institution have an annual external audit to provide feedback on its processes? |  | | |  |
| III.D.5 Q6 | Does the institution review the effectiveness of its past fiscal planning as part of planning for current and future fiscal needs? |  | | |  |
| **III.D.6** - Financial documents, including the budget, have a high degree of credibility and accuracy, and reflect appropriate allocation and use of financial resources to support student learning programs and services. | | | | | |
| III.D.6 Q1 | Are funds allocated, as shown in the budget, in a manner that will realistically achieve the institution's stated goals for student learning? |  | | |  |
| III.D.6 Q2 | What do the audit statements say about financial management? |  | | |  |
| III.D.6 Q3 | Does the institution provide timely corrections to audit exceptions and management advice? |  | | |  |
| III.D.6 Q4 | Is the institutional budget an accurate reflection of institutional spending and does it have credibility with constituents? |  | | |  |
| III.D.6 Q5 | Are audit findings communicated to appropriate institutional leadership and constituents? |  | | |  |
| **III.D.7** - Institutional responses to external audit findings are comprehensive, timely, and communicated appropriately. | | | | | |
| III.D.7 Q1 | What information about budget, fiscal conditions, financial planning, and audit results is provided throughout the college? Is this information sufficient in content and timing to support institutional and financial planning and financial management? |  | | |  |
| III.D.7 Q2 | Does the institution provide timely corrections to audit exceptions and management advice? |  | | |  |
| III.D.7 Q3 | Has the institution received any audit findings or negative reviews during the last six years? Have these been addressed in a timely manner? |  | | |  |
| **III.D.8** - The institution’s financial and internal control systems are evaluated and assessed for validity and effectiveness, and the results of this assessment are used for improvement. | | | | | |
| III.D.8 Q1 | Are the institution's special funds audited or reviewed by funding agencies regularly? |  | | |  |
| III.D.8 Q2 | Do the audits demonstrate the integrity of financial management practices? |  | | |  |
| III.D.8 Q3 | Are expenditures from special funds made in a manner consistent with the intent and requirements of the funding source? Are bond expenditures consistent with regulatory and legal restrictions? |  | | |  |
| III.D.8 Q4 | Does the institution review its internal control systems on a regular basis? Does the institution respond to internal control deficiencies identified in the annual audit in a timely manner? |  | | |  |
| **III.D.9** - The institution has sufficient cash flow and reserves to maintain stability, support strategies for appropriate risk management, and, when necessary, implement contingency plans to meet financial emergencies and unforeseen occurrences. | | | | | |
| III.D.9 Q1 | What is the level of the institution’s unrestricted fiscal reserve? |  | | |  |
| **III.D.10** - The institution practices effective oversight of finances, including management of financial aid, grants, externally funded programs, contractual relationships, auxiliary organizations or foundations, and institutional investments and assets. | | | | | |
| III.D.10 Q1 | What processes does the institution use to assess its use of financial resources? |  | | |  |
| III.D.10 Q2 | How does the institution demonstrate compliance with Federal Title IV regulations and requirements? (Federal Regulation) |  | | |  |
| III.D.10 Q3 | How does the institution ensure that it assesses its use of financial resources systematically and effectively? |  | | |  |
| III.D.10 Q14 | How does the institution use results of the evaluation as the basis for improvement? |  | | |  |
| **III.D.11 - Liabilities** - The level of financial resources provides a reasonable expectation of both short-term and long-term financial solvency. When making short-range financial plans, the institution considers its long-range financial priorities to assure financial stability. The institution clearly identifies, plans, and allocates resources for payment of liabilities and future obligations. | | | | | |
| III.D.11 Q1 | What evidence of long-term fiscal planning and priorities exits? |  | | |  |
| III.D.11 Q2 | 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? |  | | |  |
| III.D.11 Q3 | Does the Institution allocate resources to the payment of its liabilities and funds/reserves to address long-term obligations? Are resources directed to actuarially developed plans for Other Post-Employment Benefit (OPEB) obligations? |  | | |  |
| **III.D.12 -** The institution plans for and allocates appropriate resources for the payment of liabilities and future obligations, including Other Post-Employment Benefits (OPEB), compensated absences, and other employee related obligations. The actuarial plan to determine Other Post-Employment Benefits (OPEB) is current and prepared as required by appropriate accounting standards. | | | | | |
| III.D.12 Q1 | Is the institution fully funding its annual OPEB obligation (Annual required contribution [ARC])? At what level is the contribution being funded? |  | | |  |
| **III.D.13** - On an annual basis, the institution assesses and allocates resources for the repayment of any locally incurred debt instruments that can affect the financial condition of the institution. | | | | | |
| III.D.13 Q1 | What is the level of locally incurred debt? |  | | |  |
| III.D.13 Q2 | What percentage of the budget is used to repay this debt? |  | | |  |
| III.D.13 Q3 | Does the locally incurred debt repayment schedule have an adverse impact on meeting all current fiscal obligations? |  | | |  |
| **III.D.14 -** All financial resources, including short- and long-term debt instruments (such as bonds and Certificates of Participation), auxiliary activities, fund-raising efforts, and grants, are used with integrity in a manner consistent with the intended purpose of the funding source. | | | | | |
| III.D.14 Q1 | Is there an annual assessment of debt repayment obligations, and are resources allocated in a manner that ensures stable finances? |  | | |  |
| **III.D.15** - The institution monitors and manages student loan default rates, revenue streams, and assets to ensure compliance with federal requirements, including Title IV of the Higher Education Act, and comes into compliance when the federal government identifies deficiencies. | | | | | |
| III.D.15 Q1 | What is the default rate for the past three years? |  | | |  |
| III.D.15 Q2 | Is the default rate within federal guidelines? |  | | |  |
| III.D.15 Q3 | Does the institution have a plan to reduce the default rate if it exceeds federal guidelines? |  | | |  |
| III.D.15 Q4 | Are student loan default rates, revenues, and related matters monitored and assessed to ensure compliance with Federal Regulation? |  | | |  |
| **III.D. 16 - Contractual Agreements** - Contractual agreements with external entities are consistent with the mission and goals of the institution, governed by institutional policies, and contain appropriate provisions to maintain the integrity of the institution and the quality of its programs, services, and operations. | | | | | |
| III.D.16 Q1 | What contractual agreements exist, and are they consistent with institutional mission and goals? |  | | |  |
| III.D.16 Q2 | Does the institution have appropriate control over these contracts? Can it change or terminate contracts that don't meet its required standards of quality? |  | | |  |
| III.D.16 Q3 | Are funds allocated, as shown in the budget, in a manner that will realistically achieve the institution’s stated goals for student learning? |  | | |  |