

## **Recommendation 4:**

**“In order to meet the Standards, the District should clearly identify the structures, roles and responsibilities, and document the processes used to integrate human, facilities, technology, planning and fiscal planning in support of student learning and achievement and regularly evaluate the process in order to fairly allocate resources to support the planning priorities (Standard III.A.6, III.B.2, III.C.2, III.D.4, IV.B.3.g).”**

### **I. Introduction**

Recommendation 4 addresses the need for the District to: 1.) Identify the structures, roles and responsibilities used to integrate human, facilities, technology, planning and fiscal planning in support of student learning and achievement, 2.) document the processes used to integrate human, facilities, technology, planning and fiscal planning in support of student learning and achievement, and, 3.) regularly evaluate the process in order to fairly allocate resources to support the planning priorities.

### **II. Peralta’s Planning and Budgeting Integration Model (PBIM)**

Peralta’s Planning and Budgeting Integration Model (PBIM) includes two major components to support integrated planning and resource allocation: (1) the District Strategic Plan and, (2.) Program Review which is conducted every three years, with an Annual Program Update (APU). The original PBIM Model was created in 2009 and continues to function as the central mechanism in providing the shared governance structure for oversight of the PCCD Strategic Plan. The purpose of the PBIM is to provide a clear process for planning and budgeting decision-making throughout the District. The specific functions of the PBIM are to: (1) Integrate planning and budgeting across the four Colleges and the District Service Centers; (2) Bring the expertise of the four Colleges together to focus on trends, best practices, and student learning and success; (3) Support a culture of collaboration; (4) Streamline decision making among the Colleges and District Service Centers by providing a transparent process of collaboration and making recommendations leading to decisions; (5) Provide a mechanism for

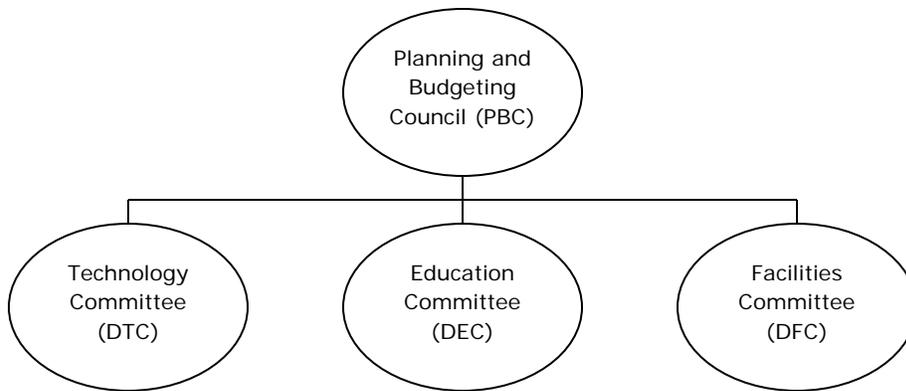
implementing the District's Mission, Strategic Goals, and Institutional Objectives, and (6) Guides the PBIM membership in recommending shared governance decisions to the Chancellor [DR4.1].

In looking at the overarching purpose of the PBIM, the following considerations are key:

1. Educational planning is the foundation of all District decision-making
2. A structured participatory governance process must be transparent and coherent
3. The PBIM is the official guide for all decision-making recommendations
4. Integrated planning, budgeting, and resource allocation has multiple cycles:
  - a. Strategic Planning (6 years)
  - b. Program Review (3 years)
  - c. Annual Program Updates (in non-Program Review years)
5. All planning is integrated with the District's Strategic Goals and Institutional Objectives.

### **III. District wide Advisory Committees**

Integral to the PBIM is a District wide planning and budget advisory system consisting of three broad subject-matter Committees that review and recommend decisions that build on District Service Center Functions, College Program Reviews, and annual Institutional plans, goals, and objectives. These Committees are the District Technology Committee (DTC), the District Facilities Committee (DFC), and the District Education Committee (DEC). Each District Committee reports to the Planning and Budget Council (PBC).



Specifically, the DTC, DEC, and DFC are charged to:

1. Stress the use of Program Reviews and Annual Program Updates (APU) in making decisions.
2. Seek collaborative solutions that utilize resources on a District wide basis.
3. Assist in developing District wide strategies that are acceptable to all Colleges.
4. Provide feedback to the Colleges on decision making.
5. Provide technical reviews of College priorities.
6. Ensure consistency between College requests and existing approved projects and identify opportunities for College-to-College collaboration where resource sharing could be useful and economical.
7. Make recommendations based on long-term Strategic Goals, annual Institutional Objectives, and Program Reviews (and Annual Program Updates).
8. Forward recommendations to the Planning and Budgeting Council (PBC).

[\[DR4.2\]](#)

#### **IV. Planning and Budgeting Council (PBC)**

The Planning and Budgeting Council (PBC) receives and reviews recommendations from the three District subject matter Committees (DTC, DEC, and DFC described above) and makes final recommendations to the Chancellor regarding educational and resource priorities, Board Policies and Administrative Procedures, and new initiatives. In some cases, the PBC recommends resolutions where there is not agreement regarding issues between the Colleges and District Service Centers or among the Colleges.

The PBC performs the following specific functions:

1. Affirms consistency in Strategic and educational plans
2. Recommends a coordinated, District wide planning approach
3. Recommends a prioritization of plans across subject areas and Colleges
4. Identifies funding approaches to support priorities.
5. Focuses on educational and resources priorities, Board policies and administrative procedures, and integrated planning and budgeting.
6. Critically reviews recommendations from the subject area Committees.
7. Makes final recommendations to the Chancellor.

The PBC is also responsible for oversight of the District's and Colleges' Strategic Plans. Oversight includes tracking various recommendations and determining whether the recommendations are implemented. If particular recommendations are not implemented, the PBC documents a rationale for its decisions. Finally, the PBC ensures accountability in planning deliberations by determining whether agreed upon steps in the PBIM process are followed.

## **V. PBIM Annual August Summit**

Each year the District holds its annual PBIM Summit (often referred to as the August Summit) as the “kick-off” event for initiating dialog that will inform the PCCD goals and objectives for the new academic year. In attendance are Senior staff, participatory governance Committees, and other College and District leaders. The PBIM Summit exists to inform annual work plans, to provide accountability, and to help the leadership to identify where improvements need to be made. This event serves as a valuable planning tradition for the District. The August Summit is generally held offsite and PBIM members are expected to attend and participate. The Chancellor provides a brief overview of the State of the Peralta Community College District. The 2015 August Summit included 10 presentations that were intended to reveal a broad understanding of the PBIM to the new Chancellor [DR4.3]. In November 2015, a PBIM Workshop training was held for all Committee members, the goal being to provide more in-depth

training for those who serve on the PBIM Committees, especially for those new Committee members [DR4.4].

## **VI. Implementation of the Strategic Plan Under PBIM**

The PCCD Strategic Plan—prepared every 6 years-- is implemented to ensure the participatory process of the institution and the autonomy of the four Colleges [DR4.5]. The PCCD Plan is aligned with the 2013 California Community Colleges System Strategic Plan [DR4.6].

The PCCD Plan provides the broad direction from which the Colleges can develop their own strategic and operational plans in responding to the populations they serve. The Strategic Plan has sections that include:

Section I, Introduction: provides an overview, articulates the purpose of the Plan and describes the process used in creating the Strategic Plan.

Section II, Guiding Framework: presents the mission, principles, and values that serve as the foundation for the Plan.

Section III, Strategic Planning Context: summarizes major issues and trends affecting District wide planning beginning with mega trends that are expected to have the greatest impact on the District, and also provides data on demographic changes, student success measures, and job projections in Alameda County.

Section IV, Goals and Institutional Objectives: presents the overarching Strategic Goals of the Peralta Community College District and the Institutional Objectives which are the framework for achieving and assessing student success.

Section V, Implementing the Strategic Plan: describes planning cycles and the approach for ensuring that the Plan will serve as the driver for institutional planning, budgeting, and resource allocation.

Section VI, Appendix: contains sources utilized in completion of the Plan.

The 2015 Strategic Plan set forth the following 2015-2016 Strategic Goals: (A.) Advance Student Access, Equity, and Success; (B.) Engage and Leverage Partners; (C.) Build Programs of Distinction; and, ( D.) Strengthen Accountability, Innovation and Collaboration, and states specific Institutional Objectives to align with each Goal. The Strategic Plan serves as a foundation reference document for all PCCD Planning and is approved by the Governing Board.

In September of each academic year, the PCCD Governing Board also approves the budget that is used in conjunction with the Strategic Goals and Institutional Objectives. In 2015-2016, the budget was approved at the September 8, 2015 Governing Board meeting [\[DR4.7\]](#).

## **VII. PBIM Annual Calendar for Planning, Program Review, and Annual Program Updates**

PCCD provides a yearly Planning and Program Review calendar, developed by the Vice Chancellor for Finance and Administration and PBC co-chair and used by the PBC. This calendar includes a timeline to develop research, District and College-wide planning, and budget development for use in the evaluation of Strategic Goals and Institutional Objectives. The PCCD Planning and Program Review calendar is a useful reference document for integrated planning for the District [\[DR4.8\]](#).

## **VIII. PBIM Resource Allocation Processes**

There are four Resource Allocation processes which affect the Colleges that are formed at the District level through the PBIM structure. These processes pertain to the distribution of:

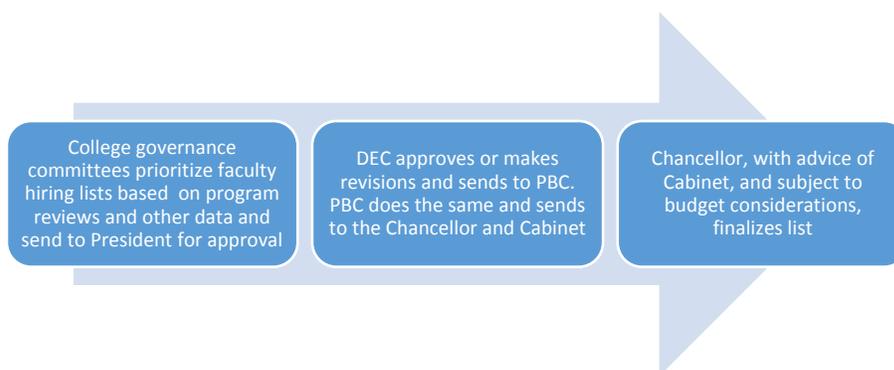
- Faculty Resources
- Staff Resources
- Technology Resources
- Facilities Resources

The Resource Allocation processes originate at the Colleges and at the District Service Centers, where each College, through its respective Governance Committee, and each District Service Center, prioritizes its resource needs as part of its Program Reviews. The prioritized resource requests are then moved forward to the appropriate District PBIM Committee, PBC, and eventually, to the Chancellor.

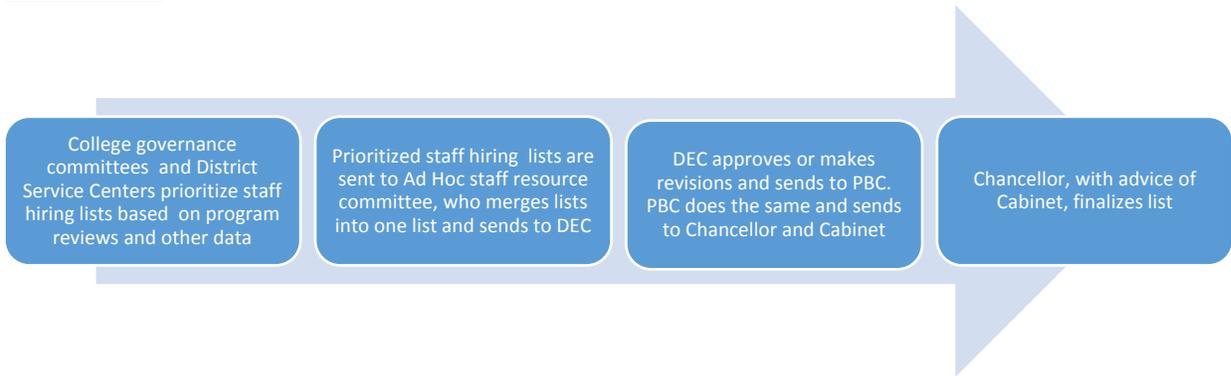
In March 2016, the PBC approved a mechanism for the appointment of Ad Hoc Committees. The first Ad Hoc Resource Allocation Task Force to be appointed was the Resource Allocation Taskforce for Classified Staff (RATF-CS), a task force formed to provide more equitable distribution of resources and to strengthen Human Resource Planning by providing a structure for requesting classified staffing not under the purview of DTC, DEC, or DFC [\[DR4.9\]](#).

The following diagrams illustrate the PCCD PBIM resource allocation processes:

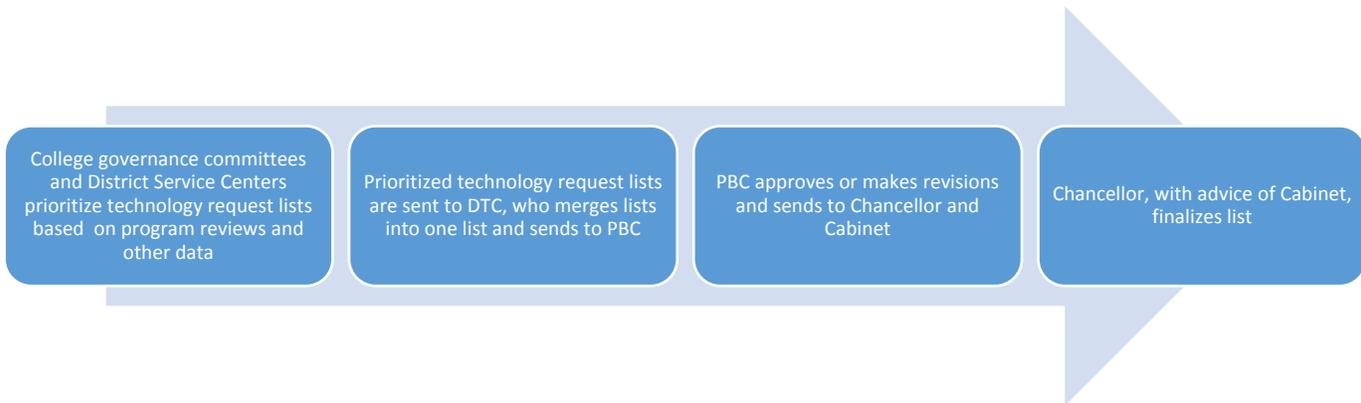
**A. Faculty Resource Allocation Process**



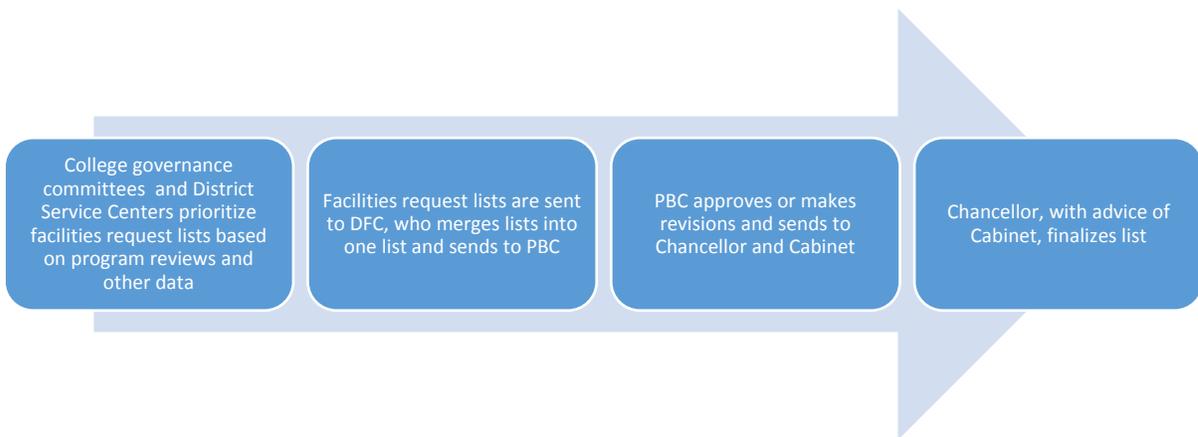
**B. Staff Resource Allocation Process (includes addition of Ad Hoc Staff Resource Committee)**



**C. Technology Resource Allocation Process**



**D. Facilities Resource Allocation Process**



**IX. Planning and Budget Collaboration in Shared Governance**

Regular and ongoing budget updates are provided to the Planning and Budgeting Council and it is the expectation that information from the three subordinate Committees will be taken back to the Colleges by Committee members. Information is widely shared at College planning committees as well as posted on the District website. Historically, the Vice Chancellor for Finance and Administration and a faculty member have served as co-chairs. In 2015-2016, the Vice Chancellor for Finance and Administration and the District Academic Senate President served as co-chairs of PBC assuring that reports regarding institutional planning and budget were regularly addressed and/or referred for additional research and discussion. The latter two will co-chair PBC again in 2016-2017 providing planning and budget continuity and leadership from the previous academic year.

The PBC forwards recommendations regarding resource allocation and funding to the Chancellor by April 30 of each year. The Chancellor and Chancellor's Cabinet then review PBC recommendations and reconciles them against May Revise budget information. The Chancellor's Cabinet advises the Chancellor who determines the final resource allocations for the upcoming Tentative Budget. The Vice Chancellor for Finance and Administration then conducts College budget forums on State budget, as needed, and addresses questions pertaining to the PCCD budget development process.

#### **X. 2015-2016 Revisions to Refine PBIM Resource Allocation Structures**

As discussed in Recommendation 8, an ongoing revision of the District's BAM promises to improve the equitable distribution of resources in overall PCCD budget planning, as will the proposed IT Tactical Plan seek to refine and better integrate the role of technology in District wide planning at PCCD. Finally, the Human Resources Staffing Plan which was introduced to PBC in May 2016 [DR4.10] and presented as a "Q and A" Session at the District August 2016 Flex Day, should frame the much needed structure for providing the data to ensure sufficient staffing [DR4.11].

## **XI. District Program Review**

In addition to the District Strategic Plan, the second component of PBIM is Program Review. Every three years, Comprehensive Program Reviews are conducted (and Annual Program Updates in the off years). The Program Review provides a structure and process for resource allocation based on data. Throughout these planning cycles and activities (yearly, every three years, and every six years), the collective results aim to achieve the strategic goals of the Peralta Community College District.

In the 2015-2016 academic year, the District conducted a Program Review of each of its Service Areas and a web site was created. On this web site, the following documents can be found:

- 2015 Planning and Program Review Calendar
- PCCD Calendar for Planning and Program Review
- 2105 CTE Program Review Handbook
- 2015 Instructional Program Review Handbook
- 2015 Library Services Program Review Handbook
- 2015 Counseling Program Review Handbook
- 2015 Non-Instructional Program Review Handbook
- 2015 District Service Center Program Review Handbook
- Annual Program Update Template (May 2016)
- 2014-2016 Program Review Task Force Summary Report
- Validation of the District Service Center's Program Review Reports

The Peralta Community College District Program Review provides Program and/or Department accountability by collecting, analyzing, and disseminating information that will inform integrated planning, resource allocation, and decision-making processes.

The primary goals for Program Review aim to:

1. Provide a mechanism for demonstrating continuous quality improvement, producing a foundation for action.
2. Strengthen planning and decision-making based upon current data.
3. Identify resource needs.
4. Develop recommendations and strategies concerning future directions and provide evidence to support plans for the future, within the department, at the College, and at the District level.
5. Inform integrated planning at all levels within the College and the District.
6. Ensure that educational programs reflect student needs, encourage student success, and improve teaching and learning, which includes the assessment of student learning outcomes (SLOs).

The District Program Review process of 2015-2016 began with a Program Review Task Force that met frequently beginning in Fall 2014, with the ongoing purpose of updating all Program Review Handbooks [DR4.12]. The Colleges and District Service Centers completed their Program Reviews at the end of January 2016. In February 2016, the Task Force validated all Program Reviews and created a matrix of all results using the validation rubric that is listed in the appendix to the District Service Center Program Review Handbook [DR4.13]. All Program Reviews have sections for Human Resource needs, Equipment and Technology needs, Facility needs, Professional and Organizational Development needs, as well as sections to include “other” needs. Each of these areas require the linking of requests to an Administrative Unit Outcome and a Program Improvement Objective, and the provision of a specific reason and/or evidence of the need.

In May 2016, 13 recommendations developed by the Program Review Task Force were distributed to the District Academic Senate (DAS) and the District Education Committee (DEC). Specific recommendations included the creation of a permanent District wide Program Review Committee, the revision of the College Program Review Handbooks, the recommendation to conduct more training opportunities for researchers on data collection, the recommendation to provide specific training for faculty and staff, and a recommendation to require each College to provide annual summaries and lists that

address all components of Program Review and Annual Program Unit (APU) documents [\[DR4.14\]](#).

## **XII. PBIM Annual Assessment**

At the end of each academic year, a PBIM assessment is conducted. The goal is to assess what worked well and what could be improved. The results are reviewed by the PBIM Committees at the next academic year's August Summit and during the first PBC meeting of the academic year. Setting annual objectives and reporting progress in attaining those objectives are critical tools for effectively managing the District and the Colleges.

The 2014-2015 goals assessment suggested the need for making some revisions to the overall PBIM process [\[DR4.15\]](#). The primary areas of improvement were:

1. The revision of the composition of all Committees
2. The sharpening of existing definitions and overall processes
3. The addition of planning related actions that ensure accountability (e.g., annual committee goal setting and annual assessment of those goals).
4. The alignment with PCCD Strategic Goals and Institutional Objectives

The PBIM 2015-2016 assessment revealed that there are areas where PBC is well received. For example, survey comments included: "good engaged participation," "having a forum for people across the District to get informed," "The PBIM process is good for promoting communication across the District...," "meeting regularly," etc. Other comments indicated dissatisfaction, e.g., "not clearly defining task...," "downsize the group...too many people," "Too many agenda items," "too often the District perspective is lost and College-level discussions take over meetings...," etc. [\[DR4.16\]](#).

At the May 2016 meeting of PBC, the Chancellor addressed the PBC and distributed a draft plan that envisions a restructure of PBC for the membership to consider in the 2016-2017 academic year, his reasoning being that restructuring could improve PCCD's overall existing planning and budget decision making process based upon the current PBIM and the District reorganization [DR4.17]. The Chancellor emphasized the need to respond to PBC recommendations and resolutions and asked that either the Chancellor or the Chief of Staff be regularly scheduled on the PBC agenda to be provided an opportunity to engage in discussion and to present reports. His suggestion was a direct response to discussions in PBC in Spring 2016 that revealed what is missing in the charge of the PBC is a more collaborative consultation with the Chancellor. In order to ensure that the Chancellor can formally address PBC recommendations, a PBC form was created to document recommendations forwarded to the Chancellor, thus reducing the potential for miscommunication. The 2015-2016 Strategic Goals and Objectives will be assessed and results discussed at the first PBC meeting in September.

### **XIII. PBIM Summit: August 2016**

The 2016 PBIM August Summit was held on August 26, 2016. The agenda reflected suggestions from the PBIM May 2016 Assessment such as “create protocols for all communication streams,” “communication should be task oriented,” “provide budget, planning, and/or policy info at the first meeting of the year...” [DR4.18]. The principle focus of this year's PBIM was to strengthen the shared governance process by including more specific training for the PBC members, e.g., familiarizing participants with the Brown Act and Robert's Rules of Order, and addressing the need to create more uniform Agenda and Minute taking protocols.

Additionally, Summit activities were designed so that all PBIM members understood their roles and that there would be opportunities to progress in meeting 2015-2016 goals and objectives, to encourage collaboration in creating more uniform systems to enhance communication between the District and Colleges, and to effect brainstorming innovative

ways in which all District and College constituents could assist in expanding student success. The District PBIM Committees convened to initiate dialogue in the developing of Goals and Objectives for the academic year. These suggestions will be brought forward to PBC where 2016-2017 goals will be determined. As PBC has now created a mechanism to develop Ad Hoc Committees, the PBIM Committees should be able to accomplish more in between the monthly PBC meetings so as to streamline PBC agendas and to be more productive and efficient.

#### **XIV. Conclusion**

The PCCD's Planning and Budgeting Integration Model's strategic goals and objectives identifies and provides structure to: (1.) the overall District Strategic Plan, and (2.) the Program Review of human resources, facilities, technology, and fiscal planning. The PBIM continues to be assessed and refined to improve institutional effectiveness.

The PBIM links program review, planning, and the equitable distribution of resources with the goal of reordered planning priorities to support student learning and achievement.

The recent recommendation that the District should create a standing District wide Program Review Committee, revise College Program Review Handbooks, conduct more training opportunities for researchers, faculty, and staff, as well as to require each College to provide annual summaries for Program Review, will set the conditions for better utilization of Human Resources, Facilities, Technology, and Fiscal Planning strategies by the District and the Colleges.

The District will continue to be engaged in the ongoing assessment of PBIM, and as changes are being discussed and implemented, plans to further refine the PBIM structure and to consider more innovations applicable to improving shared governance planning

and budgeting in 2016-2017 will be reviewed. The District has met Standards III.A.6, III.B.2, III.C.2, III.D.4, IV.B.3.g, and will continue its work to improve, identify, document, and assess the structures that lead to the improvement of student success.

<b>RECOMMENDATION 4: DISTRICT RESPONSES</b>	
<b>Evidence</b>	<b>Title of Evidence Document</b>
DR4.1	PBIM Overview Aug. 14, 2014
DR4.2	PBIM Overview Aug. 14, 2014 Roles and Responsibilities
DR4.3	PBIM Summit Agenda Aug. 28, 2015
DR4.4	PBIM Workshop Nov. 19, 2015
DR4.5	2015 Strategic Plan Apr. 29, 2015
DR4.6	CCCCO System Strategic Plan June 20 2013 Excerpt
DR4.7	PCCD Board Agenda Sept. 8 2015 Budget Approval
DR4.8	PCCD Planning and Program Review Calendar
DR4.9	RATF-CS May 27, 2016 Minutes
DR4.10	PBC Meeting Minutes May 27, 2016
DR4.11	District Flex Agenda, Aug. 17, 2016
DR4.12	PR Task Force May 10, 2016 Meeting Minutes
DR4.13	Program Review Handbook
DR4.14	Spring 2016 Program Review Task Force
DR4.15	PCCD Planning & Budgeting Council 2014-2015 Assessment of Goals
DR4.16	PBIM Assessment Survey, May 2016
DR4.17	Chancellor's Proposed PBIM Restructure
DR4.18	PBIM Summit Agenda Aug. 26, 2016