



# **Institutional Excellence Guide**

**An Organizational Guide to  
Participatory Governance, Planning, Assessment, and Budgeting**

***“Students First”***

October 2013

Northern Marianas College  
P. O. Box 501250  
Saipan, MP 96950  
Tel. (670) 234-5498

[www.nmcnet.edu](http://www.nmcnet.edu)

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# NMC Mission, Vision, and Strategic Goals

## Mission

Northern Marianas College, through its commitment to student learning, provides high quality, affordable and accessible educational programs and services for the individual and people of the Commonwealth.

Adopted September 26, 2013

## Vision

Northern Marianas College will serve as the engine to drive the economic growth and the social and cultural vitality of the Commonwealth.

Adopted September 26, 2013

## PROA Strategic Goals

### PROA-Strategic Plan 2008-2014

Northern Marianas College extended for fiscal year 2014 the goals and objectives of the 2008-2012 PROA-Strategic Plan. These are:

- Goal One.** **P**romote student learning and success.
- Goal Two.** **R**espond to the professional development, continuing education, and personal enrichment needs of the Commonwealth.
- Goal Three.** **O**ptimize financial and human resources.
- Goal Four.** **A**ccelerate the upgrade of physical and technology infrastructure.

Note: PROA-SP 2015-2020 is in progress and will be going to the Board of Regents for review and approval on Fall 2013.

### FY 2014 Operational Plan End Goals and Priorities

Northern Marianas College's fiscal year 2014 Operational Plan End Goals and Priorities are:

1. Student Success
2. Resource Optimization
3. Information Technology
4. Continuous Quality Improvement
5. CNMI Workforce Needs

## Message from the President

October 14, 2013

Dear NMC Employee,

I am pleased to present you with the newly revised and adopted Institutional Excellence (IE) Guide! First, let me thank the Task Force for taking the time, on behalf of all of us, for reviewing the prior Guide and providing suggestions as to how it could be improved and implemented.

Very importantly, this Guide will serve as a living tool that will continue to change and reflect revisions and improvements to our governance structure. This is extremely important as the College continues to shift from a system of shared governance to one of participatory governance. Any time changes are made to this document, the College community will be notified. Therefore, the IE Guide will always remain up-to-date as a symbol of continuous institutional improvement and communication of NMC's governance process and structure. As the Task Force is now dissolved, I am charging the College Council to take on this additional responsibility for reviewing and making recommendations on institutional governance.

The purpose of the Institutional Excellence Guide is to provide clarity to the participatory governance structure that involves all internal constituents—faculty, staff, administrators, and students. Further, this Guide outlines the processes the College has instituted for planning and assessment.

NMC Board Policy 1020, adopted in August 2013 states “The Northern Marianas College Board of Regents recognizes the importance of participatory governance and acknowledges the following:

The faculty shall be represented by the Faculty Assembly and the Faculty Senate, the staff shall be represented by the Staff Assembly and Staff Senate, and the students shall be represented by the Associated Students of Northern Marianas College and its officers. All procedures relating to the Faculty Assembly and Faculty Senate, the Staff Assembly and Staff Senate, and the Associated Students of Northern Marianas College and its officers shall be included in the constitutions, membership, and structure of these representative bodies.

The President shall develop procedures that specify the general governance role of the administrators, the faculty, the staff, and the students of the College, in terms of policy formation, decision-making and planning, and problem identification, analysis, and resolution.

Thus, the Board has clearly defined how important it is for internal stakeholders to participate in the governance of this great college. And, in the process of doing so, governance roles are now designed to facilitate recommendations and

ultimately decisions that support student learning programs and services and improve institutional effectiveness, while acknowledging the designated responsibilities of the governing board and the president. Additionally, as NMC must be able to compete in the global economy, it is important that this be done in an environment that encourages participation in the governance process. Colleges planning to compete effectively must be able to do so within an environment of cooperation that allows participation in the decision-making process.

In conclusion, I encourage all of you to participate and lend your expertise in the governance process by serving on a College committee, workgroup, or council.

I look forward to your involvement and your recommendations!

Sincerely,

Sharon Y. Hart, Ph.D.  
President

## **Executive Summary**

The Northern Marianas College *Institutional Excellence Guide* is meant to reflect the collective contributions of the students, faculty and staff in defining the College's organizational participatory governance structure and planning, assessment, and budgeting processes. The guide shows the structure and manner in which individuals may bring forward ideas and work together on issues that affect the academic and student support goals of NMC.

The *Institutional Excellence Guide* was reviewed and adopted by the President with input from College Council. The Guide is inclusive of input from the ASNMC, Faculty and Staff Senates, BAFC, and the Management Team. Further, as part of the College's commitment to continuous improvement, this guide in addition to the Planning Handbook, Budget Process Manual, and SLOCIP, shall be reviewed on an annual basis. Any recommendations for improvement shall go through the participatory governance process and forwarded to the President for final review.

The College affirms that the President is the decision-making authority and that the College Council is the recognized organization for participatory governance that allows for participation in review and recommendations of College policies and procedures with representation from ASNMC, Faculty and Staff Senates and the Management Team.

Further, the planning, assessment, and budgeting processes described in this guide are believed to be institutionally appropriate and shall serve as the standard operating procedure for the College.

The participatory governance structure in addition to the planning, assessment and budgeting processes as stipulated herein shall guide developments to the PROA-SP Strategic Goals and Priority Initiative, corresponding Operational Plans, curricular changes, and in the allocation of human, physical, technology, and financial resources of the College. More so, the IE Guide has been developed to ensure that decision making is evidence-based, inclusive and widely communicated towards the continuous improvement of student learning, teaching, and institutional effectiveness.

This *Institutional Excellence Guide* marks the first update of the College's organizational guide to participatory governance, planning, assessment and budgeting since 2008. It is important to note that the *Institutional Excellence Guide* is a living document and will be updated periodically to reflect changes in governance make-up, policies, and/or procedures. Any recommendations for improvement and changes shall go through the respective participatory governance process for input.

# Organizational Chart

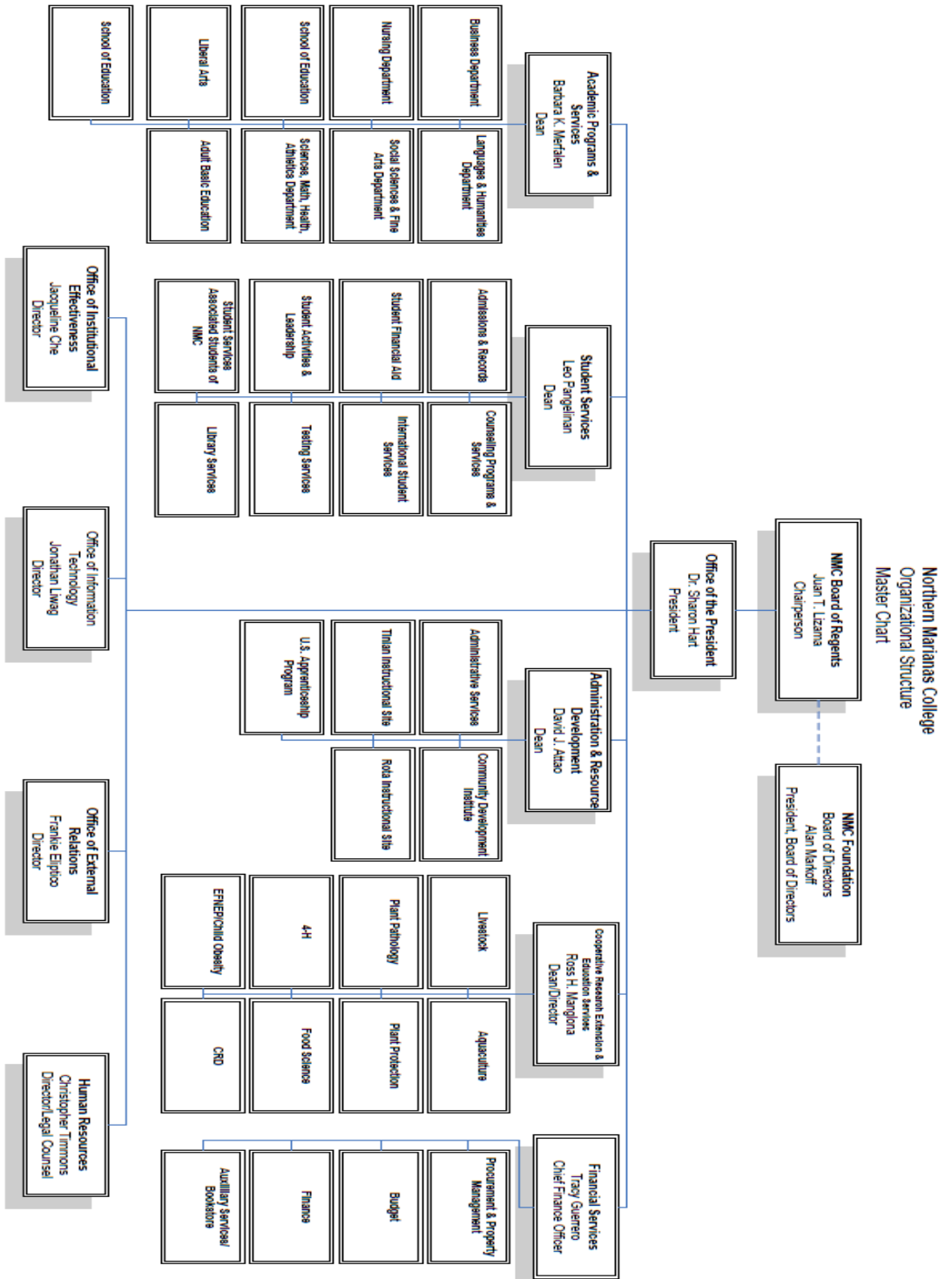


Figure 1

## Participatory Governance

Governance at Northern Marianas College starts at the top of the organization. Through the Board of Regents Policy 1020, Northern Marianas College is in the process of shifting its institutional governance practices from shared governance to participatory governance. This participatory approach marks a major shift away from the previous shared governance model and focuses on two key areas: accountability and constituency input.

The Northern Marianas College Board of Regents recognizes the importance of participatory governance and acknowledges the following:

The faculty shall be represented by the Faculty Assembly and the Faculty Senate, the staff shall be represented by the Staff Assembly and Staff Senate, and the students shall be represented by the Associated Students of Northern Marianas College and its officers. All procedures relating to the Faculty Assembly and Faculty Senate, the Staff Assembly and Staff Senate, and the Associated Students of Northern Marianas College and its officers shall be included in the constitutions, membership, and structure of these representative bodies.

The President shall develop procedures that specify the general governance role of the administrators, the faculty, the staff, and the students of the College, in terms of policy formation, decision-making and planning, and problem identification, analysis, and resolution.

[Source: Northern Marianas College Board of Regents Policy 1020, "Institutional Governance."]

Participatory governance at Northern Marianas College is achieved in the spirit of cooperation, collaboration, and collegiality. The collegial model proposes a community of stakeholders that makes recommendations in the decision making processes involving all constituencies affected by the decisions. It promotes the mission and vision of the College and ensures their achievement through policies and procedures, via a structure of governance councils, committees, senates, and constituency groups. Through effective processes of planning, implementation, evaluation, the College is committed to student learning and success, continuous improvement and institutional excellence.

### **I. Definitions:**

- Participating effectively in the College governance is...<sup>1</sup>
  - Shared involvement in the decision-making process;
  - It does not imply total agreement;
  - The same level of involvement by all is not required; and
  - Final decisions rest with the Board of Regents or designee, the President.

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<sup>1</sup> Participatory Governance, ASCCC/CCLC, Simpson, Clark, Walton, Lieu, Woodruff, Lay, Viar, 2006



- Participatory governance is the act of collegial decision-making.
- Collegial decision-making is the process of consulting with and enabling various constituencies within the College Community to be informed and to provide input that affect decisions made at the Northern Marianas College.
- The role in participatory governance is not to look out for the “best” interest of a constituency group, but of the institution and its mission.

## **II. Clarifications:**

- Participatory governance does not take away the authority from those vested with decision-making responsibility.
- Participatory governance is a process in which decision makers, whether with primary or delegated authority, are committed to involving affected constituencies in decisions as much as possible.
- Participatory governance is a method of organized and collegial interaction in which individuals have an opportunity to participate in thoughtful deliberation and decision-making. Individuals may participate by voicing opinions, voting, making recommendations, investigating, writing reports, evaluating leaders, serving as consultants, leading or attending forums, serving on governance councils, committees, senates, and constituency groups. All constituents are encouraged to provide input on issues that affect them.
- Governance councils, committees, senates, and constituency groups are the primary vehicles in which the opinions of individuals travel to formulate decisions for the whole group. These groups are empowered by participatory governance to make formal recommendations on issues presented to them.

## **Guiding Principles of Participatory Governance**

- All governance bodies, committees, and campus constituencies recognize that Northern Marianas College, through its commitment to student learning, provides high quality, affordable and accessible education programs and services for the individual and people of the Commonwealth.
- College-wide focus on a team approach to planning and problem-solving.
- College-wide understanding of participatory governance is to be achieved through on-going education and the implementation of participatory governance policy.
- The most effective means of developing policies and procedures is to provide opportunity for involvement by the constituent groups affected by the implementation of these policies and procedures.
- The President will solicit and consider input from the College Community and represented constituencies such as, but not limited to, College Council, Academic

Council, Planning, Program Review and Outcomes Assessment Committee (PROAC) and Budget and Finance Committee (BAFC) before decisions that have a direct impact on academic policy, academic curriculum, academic procedure, budget requests and resource allocations, strategic educational master plan, and capital projects are made.

- Governance council and committee members and constituency representatives are responsible for keeping their respective groups informed of the proceedings and recommendations of governance groups. This does not mean that committee/council members or constituency representatives must take each and every issue to their constituents for input and comment. Members may exercise “representative voting,” and shall at times place the best interests of the institution first and foremost over that of their individual constituency group or their personal interest.
- Governance council and committee members and constituency representatives may continue to represent their constituency groups even during semester breaks. ASNMC, Faculty and Staff Senates shall ensure that representatives appointed to governance bodies are willing and able to participate in committee and council work even during such breaks, when not otherwise required to be present on campus.
- The recommendations from major governance bodies such as, but not limited to, College Council, Academic Council, Planning, Program Review and Outcomes Assessment Committee (PROAC) and Budget and Finance Committee (BAFC) should be considered heavily in all decisions.

All constituents are encouraged to provide input on issues that are important to them in their areas of responsibility or on matters that will directly impact them.

Administrators shall demonstrate a willingness to incorporate students, faculty, and staff input into decision-making especially on those matters relating to academic and student services policies and procedures, financial, and budgetary matters.

The President, administration, campus constituency leaders and representatives shall uphold this participatory governance model at all times.

## **Description and Roles of Decision-Making Bodies**

The following entities are decision-making bodies of the College.

### **Board of Regents**

The Board of Regents is the governing board of the Northern Marianas College. It derives its powers from and exists under the Constitution and laws of the Commonwealth of the Northern Mariana Islands. The Board has the power and responsibility to discharge any duty imposed by law upon it or upon the College, and may execute any powers delegated by law to it or to the College. The Board shall concern itself with broad questions of policy, rather than with administrative details. The application of policies is an administrative task to be performed and executed by the President.

The Board of Regents is made up of seven members, appointed by the CNMI Governor with the advice and consent of the CNMI Senate. Members represent the interest of the general public within the Commonwealth on matters and policies concerning post-secondary education. Collectively, the members of the Board serve as a unit to set goals and general direction of the College, and to approve institutional policies that assist the institution in achieving its mandated mission.

### **President**

The President is the chief executive officer of the Northern Marianas College and in this capacity is charged with full administrative authority and responsibility for the College. The Board of Regents judiciously recognizes and supports the President as the major line of communication between the Board and the internal and external College Community. In this capacity as the Board's Liaison, the President informs the Board of such communications, and is guided by the policies, general directions, and financial guidelines established by the Board.

The President's fundamental responsibility is to develop and maintain an institution that fulfills the mission and achieves the goals of the Northern Marianas College in accordance with the Mission Statement. At the President's discretion, the President may choose to delegate specific responsibilities to the Management Team or individual Deans, and those who report directly to the President for limited duration and purposes. Descriptions of these entities follow:

#### **Management Team**

Management Team consists of Deans and the Directors who report directly to the President (Direct Reports), the Associated Students of the Northern Marianas College President, and the Faculty and Staff Senate Presidents. The role of Management Team (MT) is to address and coordinate issues involving college governance, student learning and success, fiscal strategies and related matters, hiring of personnel, community relations, public information and information systems, policy and procedures, and strategic planning. The team's recommendations may be placed on the agenda of other committees, or they may be forwarded directly to the President for action. At times, the President may task MT to convene a task force for a specific purpose, such as Strategic Planning Task Force (SPTF).

### **Deans and President's Direct Reports**

For the purpose of clarification, "Direct Reports" include all Deans and Directors who report directly to the President.

The College carries out its administrative and procedural functions delegated by the President to and through the President's Direct Reports. Each respective Direct Report is responsible and accountable for specific units, divisions, departments, and programs throughout the College including the personnel and standard operating procedures necessary for such to function. These individuals and their respective teams also serve as stewards of the Board of Regents policies that affect their respective areas, and are instrumental in providing necessary recommendations on such policies to the President and to the BOR.

### **Internal Governance Structure**

Board Policy 1020 "Institutional Governance" sets the framework for the governance of the College. Pursuant to that policy, authority over institutional governance is delegated to the President who shall develop procedures that specify the general governance role of the administration, the faculty, the staff, and the students of the College. This guide reflects the President's directive as to the various constituencies who participate in governance.

## **Description and Roles of Participatory Governance Bodies**

### **Participatory Governance Bodies**

Participatory Governance Bodies at Northern Marianas College are recognized as governance councils, committees, or constituency groups that have the final recommending authority to the President or the President's administrative designee.

Participatory governance ensures that individuals have an opportunity to participate in decision making by voicing opinions, providing input and recommendations, serving as consultants, and serving on governance councils, committees, senates, and constituency groups. All governance bodies are encouraged to provide input on issues that are important to them. The following list the various governance bodies and groups at the College.

These bodies are further classified into major participatory governance bodies and minor participatory governance bodies. Major participatory governance bodies are involved in ultimate recommendation to the President or decision-making entity. A minor participatory governance body provides recommendations to a major participatory governance body or a Director responsible for overseeing the function.

## **Governance Groups**

### **College Council**

The College Council is a major governance body and is the recognized participatory governance body for the College that serves as an advisory and recommendation group to

the President for matters pertaining to the development of college operational policies, rules, procedures, institutional governance, and other important issues affecting the operations of the College. The College Council's membership is representative of all constituencies of the College. College Council is established by the authority of the President and in keeping with Board Policy 1020 "Institutional Governance" shall:

- Ensure that the different constituencies of the College Community are given an opportunity to give input into the development of revised and/or new policies for review and action by the Board.
- Ensure that different constituencies of the College Community are given an opportunity to give input to the development of administrative rules and procedures for the President's action.

The College Council is the recognized participatory governance body for the College and serves as a forum body for receiving and sharing information from and among the constituencies and the President.

The College Council may also review matters within its purview brought to its agenda by the President or any other recognized constituency groups. In addition, the College Council at times may convene a task force for a specific purpose, such as the Governance Review Task Force (GRTF).

### **Academic Council**

The Academic Council is a major governance body which recommends to the Dean of Academic Programs and Services on all matters related to instructional programs and academic regulations. It reviews and offers recommendations on the quality of and continued need for various instructional programs and, as appropriate, offers advice on the deletion of academic programs. It facilitates assessment of student learning outcomes at the course level, and works closely with PROAC on all assessment and program review activities.

## **Committees**

### **Planning, Program Review and Outcomes Assessment Committee (PROAC)**

PROAC is a major governance body and is an integral advisory body with respect to NMC's ongoing efforts to improve the quality of instruction and support services through a systematic process of planning and assessment. The committee is tasked with building and sustaining a campus-wide culture of evidence and shall concern itself with matters relative to accreditation, assessment and with monitoring the fidelity of initiatives and other actions being implemented as recommended through program review, other means of assessment, and as provided in NMC's strategic plan or other plans generated by the College. Articles and bylaws establish membership and responsibilities of the organization. PROAC makes recommendations to the Director of Institutional Effectiveness.

### **Budget and Finance Committee (BAFC)**

The Budget and Finance Committee is a major governance body and is responsible for providing recommendations to the Chief Financial Officer on all operational financial

matters. It is charged with aligning institutional priorities with the allocation of resources, reviewing and adjusting the budget in accordance with present circumstances and future projections, and for producing reports. The Budget and Finance Committee makes recommendations to the Chief Financial Officer. A Vice Chair is elected amongst the membership. The committee ensures that appropriate members of the College Community participate in the development of annual operational budgets, annual strategic plans, new programs and services, and major facilities planning prior to adoption by college officials.

### **Registration Committee**

The Registration Committee is a minor governance body that serves to continually improve and enhance the registration process at the College, inform the public about registration periods at the College, and improve the registration process for greater efficiency and effectiveness. This committee provides its recommendations to the Director of the Office of Admissions and Records.

### **Technology in Education Committee**

The Technology in Education Committee is a minor governance body which plans and promotes the use of technology in support of the educational mission of the College. Committee members comprise a cross-section of the campus community. This committee also serves as an advisory committee for the College's technology grant projects and provides its recommendations to the Director of Information Technology.

### **Academic Advising Committee**

The Academic Advising Committee is a minor governance body which serves as collective forum for the review of Northern Marianas College academic advisement program to meet the needs of students and the generation of new ideas. The committee serves to build a partnership between faculty and the administrative offices as it relates to advising. The committee monitors and examines advising at the College and provides recommendations for changes and improvements to the Director of Counseling.

## **Constituency Groups**

Constituency groups act on behalf of their respective faculty, staff, or student constituency in its relation with the College.

### **Associated Students of Northern Marianas College (ASNMC)**

The Associated Students of the Northern Marianas College is a major governance body which serves as the representative body of all students enrolled at the College. The ASNMC acts on behalf of and serves as a forum of the student assembly, and is directly involved in participatory governance and participatory decision-making through a voting membership on the College Council, Management Team, Planning, Program Review and Outcomes Assessment Committee (PROAC), Budget and Finance Committee (BAFC), Governance Review Task Force (GRTF), and Strategic Planning Task Force (SPTF).

### **Faculty Senate**

The Faculty Senate is a major governance body and the official representative body and legislative body of the Faculty Assembly of NMC. The Faculty Senate acts on behalf of

the faculty, and it is accountable to the Faculty Assembly for its actions. The Faculty Senate performs the following functions in the governance process of NMC: (1) initiates, develops, and reviews policies on academic and administrative matters of NMC; (2) provides advisory comment on proposed Board of Regents policies on academic and administrative matters prior to their adoption by the Board of Regents; (3) participates in maintaining the integrity of the academic processes of NMC.

[Source: Constitution of the Faculty Assembly of Northern Marianas College, Article II—Purpose]

In participating in the governance process of NMC, Faculty Senate has voting representation on the College Council and the Management Team. This Senate provides recommendations to the President.

### **Staff Senate**

The Staff Senate is a major governance body which serves as the official representative body of the Staff Assembly. The Staff Senate acts on the Assembly's behalf in its relations with the College, and is accountable to the Assembly for its actions. The Senate provides an open forum for the concerns brought to it by the Assembly. The Senate also directly participates in the governance of the College by assisting in determining the need for, initiating and developing, and reviewing policies on administrative matters affecting the welfare of the College.

The Senate also participates in maintaining the integrity of academic processes of the College. Policies concerning matters considered by the Board of Regents are reviewed by the Senate for advisory comment prior to their adoption.

The Board of Regents, ASNMC, Faculty Senate, Staff Senate, President and members of the administration collectively acknowledge and uphold the importance of assessment for accountability and continuous improvement in the delivery of education and educational support services for our students.

In participating in the governance process of NMC, Staff Senate has voting representation on the College Council and the Management Team. The Senate provides recommendations to the President.

### **Participatory Decision-Making**

NMC recognizes the respective leadership organizations that serve to advance institutional priorities that focus upon the improvement of teaching and learning and are representative of the various constituencies of the College that include the Associated Students of the Northern Marianas College, Faculty Senate, and Staff Senate.

The President encourages the continued leadership and contributions of all major decision-making bodies of the College and all constituencies in a participatory decision-making structure. College Council is recognized by each of the constituencies as being NMC's recognized participatory governance structure that serves as an advisory and recommending body to the President on issues related to the ongoing operations of the College. College Council serves as the forum for review and information sharing of

College policies and procedures affecting the College. PROAC (planning and assessment) and the Budget and Finance Committee (resource allocation) are major governance bodies whose membership are made up of students, faculty, and staff. The relationship between College Council, PROAC, the Budget and Finance Committee, Faculty and Staff Senates, and the Management Team is represented in Figure 2 below.

### NMC Participatory Decision-Making Model

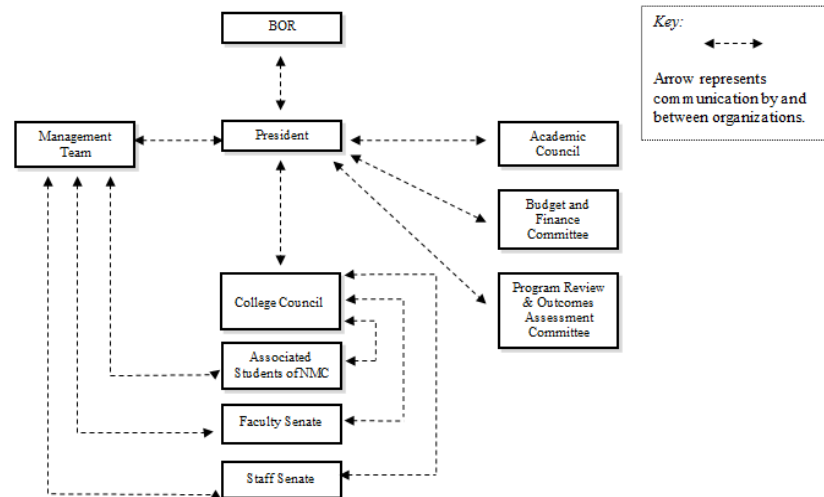


Figure 2

College Council, PROAC, Budget and Finance Committee, and Management Team agenda and actions are widely communicated and subject to review. All proceedings are open to internal and external stakeholders. This is done to facilitate open, inclusive, and well-informed decision-making at all levels in order to improve student learning and services, and institutional effectiveness.

The President has the authority to create standing committees, various working groups, advisory councils, ad-hoc committees, etc. for the purposes of empowering students, faculty, and staff to exercise effective leadership and innovation in the improvement of the College. The creation of these groups ensures that information is channeled through a hierarchical structure while preserving the opportunity to contribute to the decision-making process at various levels as it flows to the higher governing bodies. A list of governance councils, committees, senates, and constituency groups is attached.

## Guidelines for Participation in the Governance Process<sup>2</sup>

### Committed, Purposeful Membership

In order for the participatory process to work, all of the steps in the process must be clear, and the roles and responsibilities of individuals who are members of governance bodies must be completely understood. To ensure success, the following are necessary:

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<sup>2</sup> Partially adapted from Barstowe Community College District, Participatory Governance Handbook, 2006



## **Committed Team Members**

Everyone assigned to committees within the process will understand the dynamics of working as a team and acknowledge the following principles:

- *Come prepared to present and participate;*
- *Listen to the contributions and reactions of fellow committee members;*
- *Refrain from interrupting;*
- *Be polite and respectful, assuming best intentions;*
- *Create a culture free of intimidation during open discussion;*
- *Value and respect alternative view points;*
- *Be collaborative;*
- *Treat each member fairly by being on time and respecting their time;*
- *Commit to achieving the committee's purposes;*
- *Keep actions purposeful;*
- *Make sure the recorder expresses the intent of the committee members;*
- *Take responsibility for changing one's own non-constructive habits or negative attitudes;*
- *Present positions as clearly as possible and avoid blindly arguing for individual ideas;*
- *Avoid changing one's mind just to agree and avoid conflict. Support only ideas one can live with;*
- *Acknowledge and accept differences of opinion that improve committee chances of reaching the best solution;*
- *Look for the next most acceptable alternative that all team members can live with when the team reaches a stalemate;*
- *Value the unity of the committee; and*
- *Share meeting records and information with your constituency group(s).*

## **Access to Meetings**

Schedules of meetings will be made available to participants. Meetings should be set on regular schedules. There should be no surprise meetings.

Committee meetings are open to all members of the College Community. Meetings should be at a set time (if at all possible). Recurring meetings have established and widely-communicated schedules such as College Hour (e.g. every other Wednesday at 12 p.m.) so as to support coordination of committee scheduling across campus. Meeting times should be set by the governance bodies themselves and not an outside entity.

Faculty and Staff who serve on any governance bodies are expected to demonstrate positive attendance, when possible. Additional duties in committee settings fall within the provisions of existing contract language.

## **Operations**

Governance bodies will establish a structure and processes that are clearly understood by all its members.

- *Constituent leaders should appoint individuals to membership with the expectation that they will work to successfully meet the charge(s) of their governance body.*
- *Each governance council, committee, senate, and constituency group should set its meeting schedule in advance.*
- *When appropriate, governance councils, and committees should have co-chairs. These co-chairs will have the responsibility for determining agendas, procedures, meetings times (if not designated previously), as well as presiding at meetings.*
- *Each governance council, committee, senate, and constituency group will establish a set procedure for voting, discussion and consensus to determine recommendations.*
- *Matters decided by governance councils, committees, senates, and constituency groups will be acted upon irrespective of absent members, so regular attendance is of great importance. In the event that a member is unable to attend a meeting, a delegated proxy is appointed by the absent member.*
- *Any individual or group should be allowed to submit ideas and agenda items to committee chair(s) for consideration.*
- *Appointments to governance councils, committees, senates, and constituency groups will be reviewed annually.*

## **Dissemination of Information**

The work of governance councils, committees, senates, and constituency groups is important and will be shared.

- *Every governance body will designate a recorder for the purpose of providing a record of the meeting.*
- *The recorder of every governance body will distribute copies of notes to the Office of the President and members of the governance body and shall post the meeting records. Copies of notes shall also be distributed, as appropriate, to the Faculty Senate President, Staff Senate President, ASNMC President, Chairs of governance councils and other committees, and members of Management Team. Each governance body will keep their constituencies informed by providing feedback.*
- *Recommendations that are rejected, overturned, or modified by the President (or designee) shall be reported back to the governance body and appropriate representative organizations as necessary.*

## **Institutional Planning, Assessment, and Budgeting**

NMC has three (3) major planning activities: planning, assessment, and budgeting/resource allocation. A Planning Handbook, Student Learning Outcomes Comprehensive Implementation Program (SLOCIP) and budget processes documents

specify in great detail the timeframes, responsible parties, resources needed, deliverables, and the management as well as the participatory governance committees involved in each step of the planning, assessment and budgeting processes, respectively. The SLOCIP has been bridged to include the Academic Council approved staggered course assessment which has been in existence since the Fall 2010 semester.

The College also annually assesses the planning activities and the institution’s official reference documents as part of its commitment to continuous improvement. This evaluation component is also specified in the referenced documents above.

For the purposes of this guide, each of the activities’ policies, procedures and timeframes are referred to as a *cycle* and, as such, are linked in a sequential process that is recurring. The planning, assessment, and budgeting/resource allocation cycles occur at different times throughout the year. See *Table 1* below.

### **Planning, Assessment, and Budgeting Timeframes**

<b>Cycle</b>	<b>Begins</b>		<b>Ends</b>
<b>Planning Review</b>	October 1	September 30	
Operational Plan (Ops Plan)			Updated Quarterly
Strategic Plan (Strategic Plan)			Reviewed Annually
<b>Assessment and Program Review</b>	October 1	September 30	
Reporting / Evaluation			Updated quarterly beginning December
<b>Budgeting</b>	October 1	September 30	

*Table 1*

The College has identified and implemented a Master Calendar that depicts each of the different processes over an academic year. This is to provide all constituencies with a visual of each cycle’s timeline and submission of major deliverables in relation to the Fall and Spring semesters. By doing so, students, faculty, and staff may plan when they may choose to participate in one or all of the processes.

The Master Calendar (*See Page 26, Figure 6*) provides sequential detail to explain how the results of program review and assessment in addition to operations and fiscal affairs tie into the overall strategic direction of the College.

At various stages of each of the respective processes, major decisions and findings are communicated through the participatory governance process.

By incorporating the participatory governance structure into the planning, assessment, and budgeting processes, the College is facilitating an inclusive and well-informed

dialogue centered around the continuous improvement of student learning, teaching, and institutional effectiveness.

## **Process, Structure, and Timeline**

### Planning (Strategic and Operational) Reporting and Periodic Review

Northern Marianas College's mission is central to its strategic planning, budgeting and resource allocation process.

## **Operational Plan, Goals and Priorities 2014**

Northern Marianas College's fiscal year 2014 Operational Plan, Goals and Priorities are:

1. Student Success
2. Resource Optimization
3. Information Technology
4. Continuous Quality Improvement
5. CNMI Workforce Needs

The Operational Plan (Ops Plan) supplements the PROA-SP (as described more fully below). It organizes actionable items in support of the Priority Initiatives in addition to identifying responsible parties, establishing implementation timelines, and specifying resources needed for each of those actions.

Both the PROA-SP and the Ops Plan are currently being reviewed in order to confirm progress as planned or to report variances. The Ops Plan is monitored and reported on a quarterly basis of the academic year. The PROA-SP is reviewed and reported on annually consistent with the academic calendar. See *Figure 3* (page 21).

The College is required to report the progress of both the Ops Plan and PROA-SP to the campus community through a process that leads to the identification and prioritization of CNMI and NMC issues. It is the responsibility of Management Team to monitor and implement both plans. The Office of Institutional Effectiveness shall track such progress and publish the results in accordance with each plan's reporting cycle. Management Team has a responsibility to ensure that appropriate members of the College Community participate in the development of the annual strategic plans.

It shall be the responsibility of the Management Team to convene an annual planning summit. The summit shall serve as a forum for reporting the progress made on the institution's strategic plan, communicating changes made to the operational plan, and for soliciting input from the community.

Changes to either the PROA-SP or Ops Plan shall represent the collective wisdom of the community in a collaborative effort to improve the institution; such changes shall be evidence-based. In all cases, such actions shall ultimately contribute to the progress of the students of the college and advancement of the Commonwealth.

## Annual Strategic and Operations Planning Calendar

Aug.	Sep.	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	Jun.	Jul.	
		Q1 Ops Plan Update			Q2 Ops Plan Update			Q3 Ops Plan Update			Q4 Ops Plan Update & Annual Planning Summit	

*Figure 3*

The PROA-SP is a strategic plan that will be revisited in a collaborative process in order that all stakeholders may reflect on the accomplishments of the College. Additionally, changing internal and external circumstances will be factored so that the College may make appropriate adjustments to reflect the current needs and priorities in order to fulfill the mandates of law, its mission, or policy. This strategic plan will be revisited annually.

### Monitoring College Effectiveness

The Board of Regents shall monitor College effectiveness in meeting Board policies. Monitoring will be done in a way to permit the Board to focus on planning the future direction of the college, its campuses, and its programs. The Board will be provided with annual reports on each of the identified data sources that will be benchmarked against regional and national data, as well as against data from comparable and peer institutions. The Board will periodically conduct an inspection of documents, activities, or circumstances which will allow for a test of policy compliance outside of the annual reporting schedule.

Data for assessing college effectiveness may include the following areas:

### Student, Student Achievement, and Student Learning Data

- Student Goal Attainment
- Diversity Scorecard
- Course Completion
- Retention Rates (Term-to-Term)
- Progression to Next Course/Level
- Program Completion (for developmental programs)
- Degrees/Certificates Awarded and Completion Rates
- Transfer Rates to Four-Year Institutions
- Scores on Licensure Exams and Certification Exams
- Job Placement Rates
- Assessment Methods for Direct Evidence of Student Learning
- Indirect Evidence of Student Learning Narrative
- Students preparedness for college
- Disaggregated demographics (age, race/ethnicity, gender, etc.)

## **Data on Partnerships and Collaborations**

- K-12 Partnerships
- Local
- Regional
- National
- International
- Articulation Agreements with other institutions

## **Workforce Development Data**

- Percent of Market Share Produced
- Other data sources to be defined

## **Quality Effectiveness Data**

- Percent of Commonwealth served
- Headcount
- Student Satisfaction: Support Services and Instruction
- Public Perception
- Non-Instructional Staff FTE Ratio to Faculty FTE
- Program Mix and Vitality
- Employer Satisfaction: Graduates and Contract Training

## **Data on Human Resources**

- Growth in Capabilities
- Educational Progress
- Employee Climate Survey
- Diversity Scorecard

## **Financial Data**

- Credit Rating
- Audit Findings and Questioned Costs
- Cost Per FTE Ranking/Comparison
- Aidable FTE
- Grants and Contributions as Percent of Total Revenues

[Excerpt from Source: Northern Marianas College Board of Regents Policy 2002, “NMC Strategic Plan and Objectives.”]

## Assessment and Program Review

Program review is a college-wide activity that presents findings and recommendations unique to each program with the clear intent of facilitating both *improvement* and *accountability* as they relate to program effectiveness. The direct result of the institutional program review process is to meaningfully inform the College's decision-making, planning, and budgeting processes, particularly with regard to making improvements at the course, program, and institutional levels. It is a coordinated systematic process for evaluating program effectiveness as outlined in the Student Learning Outcomes Comprehensive Implementation Program (SLOCIP), adopted in Fall 2007.

The Planning, Program Review and Outcomes Assessment Committee (PROAC) is charged with oversight of the program review process. It receives assessment and program review reports from every academic, student services and administrative programs, and provides constructive feedback to programs to improve the quality of the reports.

The objectives of the process are made clear to all programs and include identification of strengths and weaknesses of the program; analysis of current human, physical, technology and financial resources; analysis of potential areas of needed change or improvement based on data collected around outcomes for the program; and discussion of needed additional resources to either meet the stated outcomes or for improvement to the program in other areas. Program review is designed to guide the improvement of the College's overall planning and resource allocation.

Each academic, student services, and administrative program uses the Five-Column Model (Form 1) to identify program level student learning outcomes (SLOs) and/or administrative unit outcomes (AUOs). Programs develop specific measures and criteria for determining success for each outcome. Data is gathered and analyzed to determine if the outcomes are being met or if curricular/administrative processes need change. A program's Form 1 is incorporated into its program review report (Form 2), which provides a comprehensive analysis of the program's effectiveness and presents recommendations for the program and the institution based on a thorough analysis of data.

### General process

The process of program review involves several steps. Early in the Fall semester, PROAC sends out a Program Review and Assessment Call to the College. By the end of the Fall semester, every program submits to PROAC the first three columns (Memo 1) of the Five-Column Model. After feedback from PROAC, every program completes and submits the Form 1 (Five-Column Model) to PROAC at the conclusion of Spring Semester. A finalized Form 1 is incorporated into the Form 2. The Form 2 is completed and submitted by either academic or non-academic programs to PROAC on alternating years. In addition, a quarterly Record of Dialogue is submitted to PROAC to document the ongoing dialogue within the program related to program review and assessment.

After careful evaluation of all program review reports, PROAC’s decisions on program recommendations are compiled in the annual report titled as *The Program Review 201\_*: *A Composite Report of [Academic / Non-Academic] Programs*. The *Composite Report* is submitted to the Budget and Finance Committee, College Council, Management Team and the President to inform the decision making process with the ultimate goal of improving student learning at the College.

### Annual Assessment and Program Review Calendar

Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	Jun.	Jul.	Aug.	Sept.	Oct.	
Composite Report Due Memo 1 Due								Form 1 due	Form 2 due		Assessment and Program Review Call	

*Figure 4*

#### Budget Development

The NMC budget process is designed to provide an open, inclusive, and objective process by which to allocate Northern Marianas College resources. NMC budget and procedures are based on Public Law 3-68, as amended, “The Planning and Budget Act of 1983” and the College’s Operations Budget and Financial Plan.

The allocation of resources involves linking, prioritizing, and funding program review results, planning, and fiscal year priorities. The PROA-SP and Ops Plan serve as foundational documents that guide resource allocations for the College. Each year, the Budget and Finance Committee shall develop a list of Institutional Priorities to further guide the allocation of resources. The budget plan is also in compliance with WASC expectations of how a college campus creates its annual budget. It is also designed to distribute resources to programs and departments based on institutional priorities, goals, and objectives.

#### General process

The planning process for allocation of financial resources typically begins with an Annual Budget Call for individual offices and departments to prepare their respective budgets in accordance with guidelines and criterion as specified in the budget call memo, budget manual, or both.

The Annual Budget shall be a consolidation of the Legislative Appropriation Budget and the Operations Budget, to include federally funded programs. All programs shall participate in the Budget Call.

The respective deans and directors are responsible for developing program budgets. The Budget and Finance Committee is tasked with providing oversight to the budget preparation process by holding open hearings for each submission. Budget justifications are expected to be consistent with program review results, Institutional Priorities, and the Ops Plan the NMC’s strategic plan, PROA-SP.

The Annual Budget shall go through the Budget and Finance Committee composed of representative members of the College. Recommendations by BAFC shall be forwarded



to the President for review and/or approval before submission to the Board of Regents for final action.

### Annual Budget and Finance Planning Calendar

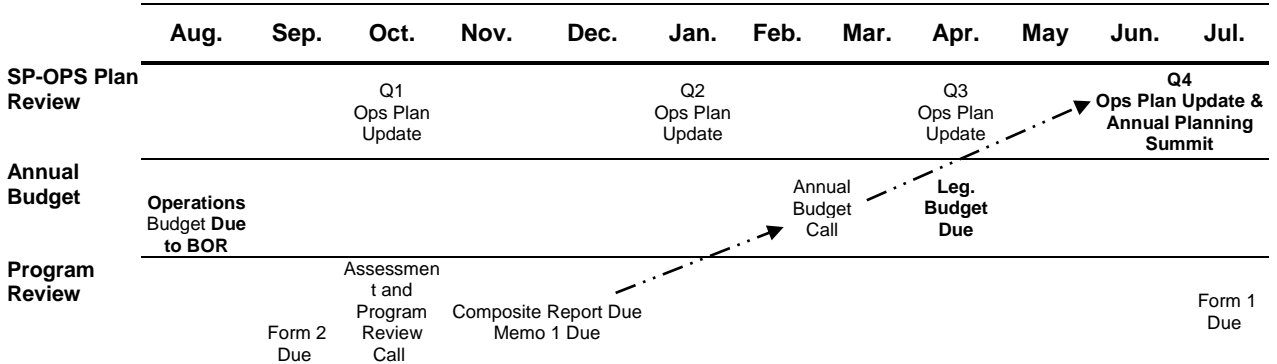
Feb.	Mar.	Apr.	May	Jun.	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.	Jan.
Annual Budget Call		Leg. Budget Due		Draft Operations Budget Due to BAFC		Operations Budget Due to BOR					

*Figure 5*

## Linkages and Master Calendar

NMC’s planning, assessment, and budgeting cycle is guided by a Master Calendar based on the academic year. See *Figure 6*, below. The calendar provides for greater opportunity for students, faculty, and staff to identify when they may choose to participate in each of the processes either at the beginning or anytime through the end of the traditional academic year, typically May and August, respectively.

### Master Calendar: Combined Planning, Assessment, and Budgeting Cycles



*Figure 6*

## Combined Planning, Assessment, and Budgeting Cycles

### Linking Program Review and the Annual Budget

The assessment and program review process is designed to evaluate program effectiveness. The Annual Program Preview and Assessment Cycle commences in October and ends in September.

The published results, known as the Composite Report, are meant to inform the College’s decision-making, planning, and budgeting processes using data and evidence. The results also serve as a foundational piece to the subsequent Annual Budget Cycle and Annual Planning Summit.

### Linking the Annual Budget to the Strategic and Operations Plan

The Annual Budget is made up of the legislative appropriations (due to the Legislature in March/April); tuition, fees, and other revenues; as well as federally funded programs and services. The annual budget cycle commences with an Annual Budget Call that is issued at the end of February or early March and ends with the approval of a Comprehensive Budget by the Board of Regents on or near the end of September.

The formulation of the Annual Budget is done with serious consideration given to program review results and continued fiscal year spending priorities as indicated in the strategic or operational plans of the College.

### **Linking the Planning to Program Review and the Annual Budget**

An Annual Planning Summit shall be held at the end of the academic year, preferably at the end of summer. The summit is meant to serve as a forum wherein the results of program review and the previous year's fiscal spending priorities are discussed within the context of the College's overall strategic direction, mission and vision. The summit shall also serve as a forum where changes to the Annual Budget, PROA Strategic Plan, Ops Plan, and Mission or Vision of the College may be recommended by internal or external stakeholders. The goal is to emerge from the Annual Planning Summit with a clear understanding on the fiscal and operational priorities of the College for the subsequent year. The results of any proposed changes shall be widely communicated and acted upon using the participatory governance structure and processes as provided for in this guide.

NMC's articulation of institutional planning, assessment, and budgeting processes and use of results clearly demonstrates how the strategic direction, operational activities, and fiscal priorities of academic, student, and administrative services are linked.

Ultimately, all decisions are made for the improvement of courses, programs, and overall institutional effectiveness.

# Appendices

**Appendix A: Governance Councils, Committees, Senates, and Constituency Groups**

**Appendix B: NMC-BOR Policies**

**Appendix C: “Different Jobs, Different Tasks: Board and CEO Roles and Responsibilities”**

*Community College League of California (2000)*

**Appendix A: Governance Councils, Committees, Senates, and Constituency Groups**

## COLLEGE COUNCIL

<b>Charge/Mission</b>	<p>The College Council is the recognized participatory governance body for the College that serves as an advisory and recommendation group to the President for matters pertaining to the development of college operational policies, rules, procedures, institutional governance and other important issues affecting the College. The College Council's member is representative of all constituents of the College.</p> <p>College Council is established by the authority of the President and in keeping with Board Policy 1020 Institutional Governance shall:</p> <ul style="list-style-type: none"> <li>• ensure that the different constituencies of the College Community are given an opportunity to give input into the development of revised and/or new policies for review and action by the Board.</li> <li>• ensure that different constituencies of the College Community are given an opportunity to give input into the development of administrative rules and procedures for the President's action.</li> </ul> <p>The College Council is the recognized participatory governance body for the College and serves as a forum body for receiving and sharing information from and among the constituencies and the President.</p> <p>The College Council may also review matters within its purview brought to the agenda by the President or any other recognized constituency groups. In addition, the College Council at times may convene a task force for a specific purpose, such as the Governance Review Task Force (GRTF).</p>
<b>Authority</b>	Authority is derived from Northern Marianas College Board Operations Policy No. 1020, "Institutional Governance."
<b>Chairperson</b>	College Council Chair and Vice-Chair
<b>Composition</b>	2 Students (ASNMC President and 1 student appointed by ASNMC) 3 Faculty (Faculty Senate President and 2 faculty members appointed by Faculty Senate) 3 Staff (Staff Senate President and 2 staff members appointed by Staff Senate) 3 Administrators appointed by the President:
<b>Ex-Officio Member(s)</b>	None
<b>Meeting Schedule</b>	Monthly or as needed
<b>Adopted</b>	
<b>Revised</b>	August 2012
<b>Notes</b>	

<b>ACADEMIC COUNCIL</b>	
<b>Charge/Mission</b>	The Academic Council recommends to the Dean of Academic Programs and Services on all matters related to instructional programs and academic regulations. It reviews and offers recommendations on the quality of and continued need for various instructional programs and, as appropriate, offers advice on the deletion of academic programs. It facilitates assessment of Student Learning Outcomes at the course level, and works closely with PROAC on all assessment and program review activities.
<b>Authority</b>	Dean of Academic Programs and Services Academic Procedure 3008
<b>Chairperson</b>	Dean of Academic Programs and Services
<b>Composition</b>	Department Chair, Sciences, Mathematics, Health & Athletics Department Chair, Business Department Chair, Social Sciences and Fine Arts Department Chair, Languages and Humanities Department Chair, Nursing Director of School of Education Director of Counseling Programs and Services
<b>Ex-Officio Member(s)</b>	ASNMC President Director of Office of Institutional Effectiveness Director of Office of Admissions and Records Director of Information Technology Staff Representative, Tinian Instructional Site Staff Representative, Rota Instructional Site
<b>Meeting Schedule</b>	Bi-weekly or as needed per semester
<b>Adopted</b>	Academic Council Bylaws Adopted Spring 2007
<b>Revised</b>	
<b>Notes</b>	

**PLANNING, PROGRAM REVIEW AND OUTCOMES  
ASSESSMENT COMMITTEE (PROAC)**

<b>Charge/Mission</b>	<p>PROAC is an important part of NMC's ongoing efforts to improve the quality of instruction and support services through a systematic process of planning and assessment. This Committee is tasked with building and sustaining a campus-wide culture of evidence and shall concern itself with matters relative to accreditation and assessment and with monitoring the fidelity of initiatives and other actions being implemented as recommended through program review, other means of assessment, and as provided in NMC's strategic plan or other plans generated by the College. PROAC makes recommendations to the Director of Institutional Effectiveness.</p> <p>Articles and bylaws establish membership and responsibilities of the organization.</p>
<b>Authority</b>	Student Learning Outcomes Comprehensive Implementation Program (SLOCIP)
<b>Chairperson</b>	Director, Office of Institutional Effectiveness
<b>Composition</b>	<p>Student (Appointed by ASNMC)          Dean of Academic Programs and Services          Dean of Student Services          Dean of Administration and Resource Development          Chief Financial Officer          Staff Representative, Rota Instructional Site          Staff Representative, Tinian Instructional Site          Faculty Representative, School of Education          Vice President of the Faculty Senate and 3 Faculty (Appointed by the Faculty Senate)          Faculty Representative, Academic Council          Vice President of the Staff Senate</p>
<b>Ex-Officio Member(s)</b>	None
<b>Meeting Schedule</b>	Weekly or as needed
<b>Adopted</b>	
<b>Revised</b>	
<b>Notes</b>	



## BUDGET AND FINANCE COMMITTEE

<b>Charge/Mission</b>	The Budget and Finance Committee is responsible for providing recommendations to the Chief Financial Officer on all operational financial matters. It is charged with aligning institutional priorities with the allocation of resources; reviewing and adjusting the budget in accordance with present circumstances and future projections; and for producing reports. The Budget and Finance Committee makes recommendations to the Chief Financial Officer. A Vice Chair is elected amongst the membership. The committee ensures that appropriate members of the College Community participate in the development of annual operational budgets, annual strategic plans, new programs and services, and major facilities planning prior to adoption by college officials.
<b>Authority</b>	Authority is derived from Northern Marianas College Board of Regents Operations Policy 1020, "Institutional Governance."
<b>Chairperson</b>	Chief Financial Officer
<b>Composition</b>	Chief Financial Officer Budget Officer Staff Representative, Tinian Instructional Site Staff Representative, Rota Instructional Site 2 Faculty (Appointed by Faculty Senate) 2 Staff Senate Representatives (Appointed by Staff Senate) Director of External Relations Office Director of Institutional Effectiveness Director of Information Technology Director of School of Education 1 Representative, Student Services (Appointed by the Dean of Student Services) ASNMC Representative 1 Representative, Academic Programs and Services (Appointed by the Dean of Academic Programs and Services) 1 Representative, Administrative Services (Appointed by the Dean of Administration and Resource Development) 1 Representative, Disability Support Services
<b>Ex-Officio Member(s)</b>	Dean of Academic Programs and Services Dean/Director of CREES Dean of Student Services HRO Representative Dean of Administration and Resource Development
<b>Meeting Schedule</b>	Monthly or as needed
<b>Adopted</b>	
<b>Revised</b>	
<b>Notes</b>	

<b>REGISTRATION COMMITTEE</b>	
<b>Charge/Mission</b>	<p>The Registration Committee serves to continually improve and enhance the registration process at the College, inform the public about registration periods at the College, and improve the registration process for greater efficiency and effectiveness.</p> <p>This committee provides its recommendations to the Director of Admissions/Registrar.</p>
<b>Authority</b>	Dean of Student Services
<b>Chairperson</b>	Director of Admissions/Registrar
<b>Composition</b>	Student Representative (Appointed by ASNMC) Dean of Student Services Dean of Academic Programs and Services Director of Counseling Programs and Services Financial Aid Officer Registrar Marketing Manager Chief Accountant Chairs of the Academic Departments Director, School of Education Systems Administrator (IS) Institutional Researcher, Office of Institutional Effectiveness Administrative Managers
<b>Ex-Officio Member(s)</b>	
<b>Meeting Schedule</b>	Monthly or as needed
<b>Adopted</b>	
<b>Revised</b>	
<b>Notes</b>	

<b>ACADEMIC ADVISING COMMITTEE</b>	
<b>Charge/Mission</b>	The Committee on Academic Advising serves as collective forum for the review of the Northern Marianas College academic advisement program to meet the needs of students and the generation of new ideas. The committee serves to build a partnership between faculty and the administrative offices as it relates to advising. The committee monitors and examines advising at the college and provides recommendations for changes and improvements to the Dean of Student Services.
<b>Authority</b>	Authority is derived from Northern Marianas College Student Development: Academic Advisement Policy No:8003.3
<b>Chairperson</b>	Director of Counseling Programs and Services
<b>Composition</b>	Representative from: Science, Mathematics , Health & Athletics Language and Humanities Social Science and Fine Arts Counseling Programs and Services Nursing Department School of Education Department Business Department Natural Resource Management ASNMC Liberal Arts Coordinator Admission/ Retention Counselor Financial Aid Office CACG Outreach Counselors
<b>Ex-Officio Member(s)</b>	None
<b>Meeting Schedule</b>	Monthly or as needed
<b>Adopted</b>	
<b>Revised</b>	
<b>Notes</b>	

<b>TECHNOLOGY IN EDUCATION COMMITTEE</b>	
<b>Charge/Mission</b>	The Technology in Education Committee plans and promotes the use of technology in support of the educational mission of the College. Committee members comprise a cross-section of the campus community. This Committee also serves as an advisory committee for NMC's technology grant projects and provides its recommendations to the Director of Information Technology.
<b>Authority</b>	President
<b>Chairpersons</b>	Director of Information Technology (IT)
<b>Composition</b>	<p>Student Representative (Appointed by ASNMC)</p> <p>System Administrator, IT</p> <p>Network Specialist, IT</p> <p>Program Coordinator – Media Services, IT</p> <p>Director of Distance Learning Education</p> <p>Instructional Designer, IT</p> <p>Director of Library Services</p> <p>Staff Representative, Rota Instructional Site</p> <p>Staff Representative, Tinian Instructional Site</p> <p>Manager, Human Resources</p> <p>Director, Office of Institutional Effectiveness</p> <p>Faculty/Staff Representatives from:</p> <ul style="list-style-type: none"> <li>• Sciences, Mathematics, Health &amp; Athletics</li> <li>• Business Department</li> <li>• Social Sciences and Fine Arts</li> <li>• Languages and Humanities</li> <li>• Nursing Department</li> <li>• School of Education</li> <li>• Counseling Programs and Services</li> <li>• Student Services</li> <li>• Disability Services Coordinator</li> </ul>
<b>Ex-Officio Member(s)</b>	
<b>Meeting Schedule</b>	Monthly or as needed
<b>Adopted</b>	
<b>Revised</b>	
<b>Notes</b>	

## ASSOCIATED STUDENTS OF THE NORTHERN MARIANAS COLLEGE (ASNMC)

<b>Charge/Mission</b>	The Associated Students of the Northern Marianas College serves as the representative body of all students enrolled at the College. The ASNMC acts on behalf of and serves as a forum for all students, and is directly involved in participatory governance and participatory decision-making through a voting membership on the College Council, Budget and Finance Committee, Program Review and Outcomes Assessment Committee, Strategic Planning Task Force, and Management Team.
<b>Authority</b>	NMC Board of Regents Policy No. 8004.1
<b>Chairperson</b>	ASNMC President
<b>Composition</b>	ASNMC President ASNMC Vice President ASNMC Secretary ASNMC Treasurer ASNMC Senators (3)
<b>Ex-Officio Member(s)</b>	None
<b>Meeting Schedule</b>	Bi-Weekly or as needed
<b>Adopted</b>	
<b>Revised</b>	September 12, 2012
<b>Notes</b>	By Governance Review Task Force

<b>FACULTY SENATE</b>	
<b>Charge/Mission</b>	<p>The Faculty Senate is the official representative body and legislative body of the Faculty Assembly of NMC. The Faculty Senate acts on behalf of the faculty, and it is accountable to the Faculty Assembly for its actions. The Faculty Senate performs the following functions in the governance process of NMC: (1) initiates, develops, and reviews policies on academic and administrative matters of NMC; (2) provides advisory comment on proposed Board of Regents policies on academic and administrative matters prior to their adoption by the Board of Regents; (3) participates in maintaining the integrity of the academic processes of NMC. <i>(from the Constitution of the Faculty Assembly of Northern Marianas College, Article II—Purpose)</i></p> <p>In participating in the governance process of NMC, the Faculty Senate has voting representation on the College Council and Management Team,</p>
<b>Authority</b>	Dean of Academic Programs and Services Academic Procedure 3008
<b>Chairperson</b>	Faculty Senate President
<b>Composition</b>	<p>Nine members. Six members are elected at-large by the faculty, and the faculty of each of the following divisions of NMC elect one member to represent that division:</p> <ul style="list-style-type: none"> <li>▪ Academic Programs and Services</li> <li>▪ School of Education</li> <li>▪ Student Services</li> <li>▪ Community Programs and Services.</li> </ul>
<b>Ex-Officio Member(s)</b>	None
<b>Meeting Schedule</b>	Every Friday during the Fall and Spring Semesters. Meetings are held as needed during other times.
<b>Adopted</b>	
<b>Revised</b>	March 9, 2012
<b>Notes</b>	

## STAFF SENATE

<b>Charge/Mission</b>	<p>The Staff Senate serves as the official representative body of the Staff Assembly. The Staff Senate acts on the Assembly's behalf in its relations with the college, and is accountable to the Assembly for its actions. The Senate provides an open forum for the concerns brought to it by the Assembly. The Senate also directly participates in the governance of the college by assisting in determining the need for, initiating and developing, and reviewing policies on administrative matters affecting the welfare of the College.</p> <p>The Senate also participates in maintaining the integrity of academic processes of the College. Policies concerning matters considered by the Board of Regents are reviewed by the Senate for advisory comment prior to their adoption.</p>
<b>Authority</b>	
<b>Chairperson</b>	Staff Senate President
<b>Composition</b>	Nine members. Four members are elected at-large by the staff assembly, and the staff of each of the following divisions of NMC elects one member to represent that division: Academic Programs and Services, Student Services, and Community Programs and Services, Department of Finance and Administrative Services, and President's Division.
<b>Ex-Officio Member(s)</b>	None
<b>Meeting Schedule</b>	The Senate meets monthly, and as otherwise needed.
<b>Adopted</b>	September 16, 2004
<b>Revised</b>	November 10, 2008
<b>Notes</b>	SA Constitution amended on January 12, 2007

<b>MANAGEMENT TEAM</b>	
<b>Charge/Mission</b>	Management Team consists of the President's direct reports, the Associated Students of the Northern Marianas College President, the Faculty and Staff Senate Presidents. The role of Management Team (MT) is to address and coordinate issues involving college governance, student learning and success, fiscal strategies and related matters, hiring of personnel, community relations, public information and information systems, policy and procedures, and strategic planning. The team's recommendations may be placed on the agenda of other committees, or they may be forwarded directly to the President for action. At times, the President may task MT to convene a task force for a specific purpose, such as Strategic Planning Task Force (SPTF).
<b>Authority</b>	NMC President
<b>Chairperson</b>	NMC President
<b>Composition</b>	NMC President Director of Human Resource / Legal Counsel Chief Financial Officer Dean of Student Services Dean of Academic Programs and Services Dean of Administration and Resource Development Director of External Relations Director of Institutional Effectiveness Faculty Senate President Staff Senate President ASNMC President Dean/Director of CREES
<b>Ex-Officio Member(s)</b>	
<b>Meeting Schedule</b>	Weekly
<b>Adopted</b>	
<b>Revised</b>	
<b>Notes</b>	



**Appendix B: NMC-BOR Policies**

## Board of Regents Policy

<b>SUBJECT:</b>	<b>Board Operations</b>	<b>EFFECTIVE:</b>	<b>August 8, 2013</b>
<b>SECTION:</b>	<b>1020</b>	<b>POLICY NAME:</b>	<b>Institutional Governance</b>
<b>ACCJC Standard/Policy:</b>	<b>Standard IV.A.3</b>		
<p>The Northern Marianas College Board of Regents recognizes the importance of participatory governance and acknowledges the following:</p> <p>The faculty shall be represented by the Faculty Assembly and the Faculty Senate, the staff shall be represented by the Staff Assembly and Staff Senate, and the students shall be represented by the Associated Students of Northern Marianas College and its officers. All procedures relating to the Faculty Assembly and Faculty Senate, the Staff Assembly and Staff Senate, and the Associated Students of Northern Marianas College and its officers shall be included in the constitutions, membership, and structure of these representative bodies.</p> <p>The President shall develop procedures that specify the general governance role of the administrators, the faculty, the staff, and the students of the College, in terms of policy formulation, decision-making and planning, and problem identification, analysis, and resolution</p>			
<b>HISTORY:</b>	<b>Replaces Board Policy No. 1026</b>		

Northern Marianas College  
Board of Regents Policy

<b>SUBJECT:</b>	<b>College Operations (Organization)</b>	<b>EFFECTIVE:</b>	<b>August 8, 2013</b>
<b>SECTION:</b>	<b>2002</b>	<b>POLICY NAME:</b>	<b>NMC Strategic Plans and Objectives</b>
<b>ACCJC Standard/Policy:</b>	<b>Standard I.A.4.a, B.1-7</b>		

The College's mission is central to institutional planning and decision making.

1. The Board will charge the president with the preparation of the strategic plan and shall adopt a strategic plan which shall include a vision, strategic goals and objectives to be achieved, or for which substantial progress may be made, over a period of years. Objectives shall be specific, measurable, and actionable with assigned responsibility and time frames. The College's strategic planning process shall include:
  - a. Input from a broad range of internal and external stakeholders;
  - b. Approval of a vision for the College;
  - c. Approval of strategic goals to achieve the vision for the College;
  - d. Approval of specific, measurable objectives related to each goal and linked to accountability measures as appropriate that are to be achieved over a period of four to six years; and
  - e. Periodic review and consideration of a revised or updated plan
  - f. An integrated planning and resource allocation process.
  
2. The Board shall periodically review and assess performance in attaining and the obtainment of its objectives and update or revise the objectives as deemed necessary.
  
3. The Board of Regents shall monitor College effectiveness in meeting Board policies. Monitoring will be done in a way to permit the Board to focus on planning the future direction of the college, its campuses, and its programs. The Board will be provided with annual reports on each of the identified data sources that will be benchmarked against regional and national data, as well as against data from comparable and peer institutions. The Board will periodically conduct an inspection of documents, activities, or circumstances which will allow for a test of policy compliance outside of the annual reporting schedule.

Continuation →

Northern Marianas College  
**Board of Regents Policy**

Data for assessing college effectiveness may include the following areas:

**Student, Student Achievement, and Student Learning Data**

- Student Goal Attainment
- Diversity Scorecard
- Course Completion
- Retention Rates (Term-to-Term)
- Progression to Next Course/Level
- Program Completion (for developmental programs)
- Degrees/Certificates Awarded and Completion Rates
- Transfer Rates to Four-Year Institutions
- Scores on Licensure Exams and Certification Exams
- Job Placement Rates
- Assessment Methods for Direct Evidence of Student Learning
- Indirect Evidence of Student Learning Narrative
- Students preparedness for college
- Disaggregated demographics (age, race/ethnicity, gender, etc.)

**Data on Partnerships and Collaborations**

- K-12 Partnerships
- Local
- Regional
- National
- International
- Articulation Agreements with other institutions

**Workforce Development Data**

- Percent of Market Share Produced
- Other data sources to be defined

**Quality Effectiveness Data**

- Percent of Commonwealth served
- Headcount
- Student Satisfaction: Support Services and Instruction
- Public Perception
- Non-Instructional Staff FTE Ratio to Faculty FTE
- Program Mix and Vitality
- Employer Satisfaction: Graduates and Contract Training

Continuation →

Northern Marianas College  
**Board of Regents Policy**

**Data on Human Resources**

- Growth in Capabilities
- Educational Progress
- Employee Climate Survey
- Diversity Scorecard

**Financial Data**

- Credit Rating
- Audit Findings and Questioned Costs
- Cost Per FTE Ranking/Comparison
- Aidable FTE
- Grants and Contributions as Percent of Total Revenues

**HISTORY:**

Replaces Board Policy No. 202.3 (August 17, 2012)

**Appendix C: “Different Jobs, Different Tasks: Board and CEO Roles and Responsibilities”**  
*Community College League of California (2000)*

# BOARD AND CEO ROLES

## DIFFERENT JOBS

## DIFFERENT TASKS

### **Introduction**

Local boards of trustees and chief executive officers play different roles and have different responsibilities in leading their districts. Boards of trustees exert leadership through governing the college on behalf of the community. Chief executives lead by administering and managing the institution in accordance with board governing policies.

This publication identifies many of the different, yet complementary, roles and tasks of district CEOs and boards. It is designed to help boards and district CEOs define their own roles and expectations of each other and clarify what each contributes to their institutions. The areas addressed include:

- x Board and CEO
- x Relationship
- x Leading the Organization
- x Educational Program
- x Fiscal Affairs
- x Human Resources
- x Community Relations
- x Legislative Relations
- Legal Affairs

The board of trustees and the CEO are both responsible for building and maintaining a strong board/CEO partnership. Respect, communication, and honoring the different responsibilities are the basis for the trust that is essential to be an effective governing/leadership team.

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### **Advisory Committee on Education Services**

1998-1999 Chairs: Ann Foxworthy, Superintendent/President, Allan Hancock CCD;  
Jerry Patterson, Trustee, Coast CCD

1999-2000 Chairs: Floyd Hogue, Superintendent/President, Fremont-Newark CCD;  
Nancy Palmer, Trustee, Sierra Joint CCD

Staff to Committee: Cindra Smith, Director of Education Services

## AUTHORITY IN LAW

Education Code Section 70902 authorizes local boards of trustees for the community colleges and defines their powers.

E. C. 70902 authorizes board responsibilities in the following areas:

- college plans
- program approval
- academic standards and graduation requirements
- personnel and employment practices
- budgets
- tax and bond elections
- district property
- local decision-making process
- student conduct
- fees
- grants, gifts, and scholarships
- auxiliary services
- academic calendar
- Board of Governors' consultation

Chief executives gain their authority from boards. E.C. 70902 and 72400 state that boards may delegate authority for the above to the chief executive officer and other college staff and committees. Other sections of the Education Code identify more specific board responsibilities.

Title V of the Administrative Code also defines tasks for the board, CEO and others. The Chancellor's office is responsible for monitoring whether colleges fulfill these conditions.

The Community College League of California's Policy and Procedure Service identifies mandated board policies and administrative procedures (available by subscription in summer, 2000). Please contact the League for more information.

## POLICY

Most of the board tasks listed in this document refer to the board's policy role. "Policy" defines the general goals and acceptable practices for an institution. The board is responsible to discuss the general values and priorities that should be reflected in policy. The CEO and staff usually draft policy statements that incorporate these values and present them to the board for discussion and approval. The CEO also alerts the board about external factors that many require policy changes.



## STRENGTHENING THE BOARD AND CEO RELATIONSHIP

Governing boards and CEOs are partners in leading the institution. As partners, they have the following tasks:

- x goal setting and evaluation
- x communication
- x board operations

BOARD SUPPORT FOR CEO	CEO SUPPORT FOR BOARD
<b>Goal Setting and Evaluation</b>	
<ul style="list-style-type: none"> <li>x Establish goals and expectations in consultation with the CEO</li> <li>x Periodically evaluate the CEO</li> <li>x Engage in periodic board self-evaluation</li> </ul>	<ul style="list-style-type: none"> <li>x Establish goals and expectations in consultation with the board; regularly report progress</li> <li>x Ensure that there are CEO and board self-evaluation processes</li> </ul>
<b>Communication</b>	
<ul style="list-style-type: none"> <li>x Maintain open communication</li> <li>x Direct the CEO only as a board, not as individual trustees</li> <li>x Keep the CEO informed of major issues and questions; follow the “no surprises” rule</li> <li>x Establish and follow processes for board and staff communication that honor the CEO’s leadership role; do not direct staff</li> <li>x Call the CEO before board meetings if there are questions about agenda items</li> <li>x Refer complaints and comments to CEO; listen impartially</li> <li>x Always publicly support the CEO and college staff</li> <li>x In multi-campus districts, notify the chancellor before approaching college presidents</li> </ul>	<ul style="list-style-type: none"> <li>x Maintain ongoing communication via e-mail, written, or phone updates</li> <li>x Keep all board members informed of issues and major events; follow the “no surprises” rule</li> <li>x Accommodate different communication styles as feasible</li> <li>x Treat all board members equally and respectfully</li> <li>x Provide the same information to all board members</li> <li>x Contact all board members before each board meeting to address any questions</li> <li>x Follow up when the board refers comments or problems</li> <li>x Always publicly support the board</li> <li>x In multi campus districts, keep college presidents informed of board issues and concerns</li> </ul>
<b>Board Operations</b>	
<ul style="list-style-type: none"> <li>x Adopt and follow policies that:                             <ul style="list-style-type: none"> <li>x Define structure and role of the board and its officers</li> <li>x Establish standards for trustee and board behavior</li> <li>x Define meetings and meeting practices</li> </ul> </li> <li>x Define the level of information and support desired from the CEO; study and discuss the information provided</li> <li>x Attend conferences and other events to maintain own knowledge and skills</li> </ul>	<ul style="list-style-type: none"> <li>x Provide adequate support for the board to follow its governing policies</li> <li>x Work with the chair to uphold the standards of practice</li> <li>x Work with the board chair to develop meeting agendas</li> <li>x Prepare meeting agenda items that engage trustees in broad policy-level discussions</li> <li>x Provide sufficient information to empower boards to make wise policy decisions</li> <li>x Support and manage trustee and board development</li> <li>x Invite and accompany trustees to conferences and events</li> </ul>

## ORGANIZATIONAL LEADERSHIP

Governing boards and CEOs play important and complementary roles in leading the organization.

Task areas in organizational leadership include:

- x general oversight
- x policy making
- x planning
- x external leadership roles
- x organizational structure
- x decision making

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
<b>General Oversight</b>	
<ul style="list-style-type: none"> <li>x Lead the institution through effective governing policies</li> <li>x Work in partnership with the CEO</li> <li>x Support the CEO as the institution's leader</li> <li>x Create a positive climate for effective leadership through supporting institutional leaders and modeling integrity, vision, and ethical behavior</li> </ul>	<ul style="list-style-type: none"> <li>x Lead and administer the institution</li> <li>x Implement and comply with board policy</li> <li>x Work in partnership with the board; support the governing role of the board</li> <li>x Ensure that board policies are up to date and followed</li> <li>x Create a positive climate and provide effective leadership by modeling integrity, vision, and ethical behavior</li> </ul>
<b>Policy Making</b>	
<ul style="list-style-type: none"> <li>x Identify and discuss broad policy-level values inherent in issues before the board</li> <li>x Reference and use current policy when making decisions</li> <li>x Provide thoughtful input early in the policy drafting process</li> <li>x Periodically review policies to ensure they are up-to-date</li> </ul>	<ul style="list-style-type: none"> <li>x Identify broad policy implications inherent in issues and agenda items presented for board discussion</li> <li>x Reference current policy when presenting items for board action</li> <li>x Seek general input from the board prior to drafting policy</li> <li>x Establish and manage a system for periodic review of broad policy</li> </ul>
<b>Planning</b>	
<ul style="list-style-type: none"> <li>x Adopt policies that require and set parameters for effective planning</li> <li>x Be knowledgeable about future community needs and interests</li> <li>x Contribute to the development of the policy direction (mission, vision, and goals)</li> <li>x Ensure that public and community interests are represented in the mission, vision and policy goals</li> <li>x Ensure that the policy direction meets current and future community needs</li> </ul>	<ul style="list-style-type: none"> <li>x Anticipate and articulate future trends and needs</li> <li>x Lead and manage a visionary and comprehensive planning processes</li> <li>x Articulate the mission, vision, and goals; work in partnership with the board</li> <li>x Ensure that planning responds to current and future community needs</li> <li>x Ensure that all district plans are linked</li> <li>x Ensure that college operations and budgets are aligned with plans</li> <li>x Keep the board informed on progress toward accomplishing plans and goals</li> </ul>

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
<b>External Leadership Roles</b>	
<ul style="list-style-type: none"> <li>x Be active in the community</li> <li>x Actively support the college(s) in the community</li> <li>x Participate in state conferences and, as time permits, in state and national community college associations</li> </ul>	<ul style="list-style-type: none"> <li>x Be an active community leader</li> <li>x Participate in state and/or national associations and conferences</li> <li>x As time permits, become involved in state and/or national leadership positions</li> </ul>
<b>Organizational Structure</b>	
<ul style="list-style-type: none"> <li>x Establish policies that:               <ul style="list-style-type: none"> <li>x Define criteria for the organizational structure</li> <li>x Delegate authority to CEO to determine the organizational structure</li> </ul> </li> <li>x Periodically review organization structure to ensure it meets board criteria</li> </ul>	<ul style="list-style-type: none"> <li>x Determine, in consultation with key college personnel, an organizational structure that:               <ul style="list-style-type: none"> <li>x Is designed to achieve institutional goals</li> <li>x Meets board standards for effective organization</li> </ul> </li> <li>x Report to the board on the effectiveness of the organizational structure in meeting board goals and standards</li> </ul>
<b>Decision Making</b>	
<ul style="list-style-type: none"> <li>x Establish and follow policies that define administrative, faculty, student, and classified staff roles in policy development and decision making</li> <li>x Establish and maintain formal processes for open communication with academic senate, classified staff and student leaders</li> </ul>	<ul style="list-style-type: none"> <li>x Develop and administer clear processes for administration, faculty, classified staff and student participation in policy development and decision making</li> <li>x Ensure that information and training is provided to facilitate effective participation by college constituencies in decision-making processes</li> </ul>

## EDUCATIONAL PROGRAMS AND SERVICES

This area includes teaching and learning and the instructional and student services programs of the district. Academic Senates play a major role in these areas through their responsibility for the “academic and professional matters” specified in Title 5.

Task areas in educational programs and services include:

- x general oversight
- x treatment of students
- x academic programs and services
- x institutional effectiveness

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
<b>General Oversight</b>	
<ul style="list-style-type: none"> <li>x Adopt policies that define and delegate clear and appropriate authority and responsibility for educational programs and services to CEO, as well as the Academic Senate</li> <li>x Review and approve significant changes to programs as required by state law and board policy</li> </ul>	<ul style="list-style-type: none"> <li>x Lead and administer the delivery of high quality educational programs and services, including planning, development, program review, and staffing</li> <li>x Inform the board about the major programs and services of the college</li> <li>x Seek approval from the board as required</li> </ul>
<b>Treatment of Students</b>	
<ul style="list-style-type: none"> <li>x Adopt policies that define clear criteria for student status and progress</li> <li>x Adopt policies that ensure fair and equitable treatment of students</li> <li>x Determine whether or not the board wishes to be a court of appeal for student grievances</li> </ul>	<ul style="list-style-type: none"> <li>x Ensure that student progress and goal achievement are appropriately recorded and recognized</li> <li>x Ensure that procedures exist and are followed for fair and equitable treatment of students, including discipline, due process, and grievances</li> </ul>
<b>Academic Programs and Student Services</b>	
<ul style="list-style-type: none"> <li>x Monitor that programs are aligned with policy direction and plans</li> <li>x Require program review or other processes that address ongoing evaluation and improvement of programs</li> <li>x Be aware of the scope of offerings of the district</li> </ul>	<ul style="list-style-type: none"> <li>x Ensure that the delivery of educational programs, curriculum, and student services are in accordance with district plans</li> <li>x Establish and maintain processes that foster quality, effectiveness, relevancy, and efficiency</li> </ul>
<b>Institutional Effectiveness</b>	
<ul style="list-style-type: none"> <li>x Define “student success”</li> <li>x Require the CEO to develop accountability and evaluation programs and processes</li> <li>x Monitor how effective the institution is in achieving its goals and student success</li> </ul>	<ul style="list-style-type: none"> <li>x Ensure a comprehensive program to monitor institutional effectiveness</li> <li>x Keep the board informed on progress toward accomplishing plans and goals</li> <li>x Provide reports to the board that enable it to be accountable to the local community and state and federal agencies</li> </ul>

## FISCAL AFFAIRS

Boards of trustees and chief executive officers share the responsibility to ensure that the district enjoys fiscal health and stability. Fiscal affairs include:

- x budgeting
- x financial activity
- x asset protection and management
- x fundraising and grants
- x monitoring fiscal health

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
<b>General</b>	
<ul style="list-style-type: none"> <li>x Establish policies that set standards for fiscal affairs</li> <li>x Approve budgets and expenditures as required by laws and board policy</li> <li>x Monitor the fiscal health of the institution by establishing a monitoring schedule and studying reports</li> <li>x Require long-range projections of the fiscal status</li> </ul>	<ul style="list-style-type: none"> <li>x Establish and enforce administrative procedures that implement board policy and ensure the legal, ethical, and prudent management of college resources</li> <li>x Present clear and informative budgets and reports to the board</li> <li>x Keep the board informed about the financial status of the district</li> </ul>
<b>Budgeting</b>	
<ul style="list-style-type: none"> <li>x Adopt policies that require and define standards in the areas of:                             <ul style="list-style-type: none"> <li>x Budget assumptions</li> <li>x Balanced budgets</li> <li>x Adequate reserve</li> <li>x Long-range revenue projections</li> <li>x Long-range projections for expenditure commitments (e.g. personnel, salaries and benefits, equipment, contracts)</li> <li>x Facility needs and maintenance</li> </ul> </li> <li>x Approve the budget using board policy standards as criteria</li> <li>x Require short and long-term fiscal impact information on relevant agenda items such as equipment purchases, loans, and investments</li> </ul>	<ul style="list-style-type: none"> <li>x Develop and use a set of assumptions in budget planning</li> <li>x Develop and implement an inclusive budget planning process</li> <li>x Present and interpret a budget to the board using policy criteria and assumptions</li> <li>x Analyze current financial position and present to the board long-range financial needs and proposals</li> <li>x Alert the board about significant changes in the budget; submit for approval as required by policy</li> <li>x Ensure that budget planning is linked to college and program plans</li> </ul>
<b>Financial Activity</b>	
<ul style="list-style-type: none"> <li>x Adopt policies that contain standards for:                             <ul style="list-style-type: none"> <li>x Fund transfers</li> <li>x Purchase of equipment</li> <li>x Hiring and changes in status of personnel</li> <li>x Contracts</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>x Develop procedures that ensure that expenditures and accounting processes are prudent, efficient, and adhere to law, board policy and auditing principles</li> <li>x Monitor income, expenditures, and cash flow</li> <li>x Monitor adherence to procedures for expending and accounting for funds</li> </ul>

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
<ul style="list-style-type: none"> <li>x Bid proposals and contracts</li> <li>x Paying obligations</li> <li>x Filing financial reports</li> <li>x Adopt policies that define when board approval is required for fiscal actions</li> <li>x Approve contracts and expenditures as required by law and board policy, including real property transactions</li> <li>x Approve TRANS and other major cash management strategies</li> </ul>	<ul style="list-style-type: none"> <li>x Present contracts, expenditures, and other fiscal items to the board for approval as required</li> <li>x Review the need for and propose TRANS and other cash management programs in a timely manner</li> </ul>
<b>Asset Protection and Management</b>	
<ul style="list-style-type: none"> <li>x Adopt policies that define and require: <ul style="list-style-type: none"> <li>x Sound investment practices</li> <li>x Sound cash flow management</li> <li>x Adequate protection and security</li> <li>x Adequate liability and insurance coverage</li> <li>x Risk management programs</li> </ul> </li> <li>x Monitor that policies are being followed</li> </ul>	<ul style="list-style-type: none"> <li>x Ensure that investment and cash flow management practices meet board criteria</li> <li>x Ensure that college assets and personnel are adequately protected and secured</li> <li>x Ensure that liability and insurance coverage meets board policy standards</li> <li>x Establish an adequate risk management program</li> </ul>
<b>Fundraising and Grants</b>	
<ul style="list-style-type: none"> <li>x Determine the need for, approve, and actively support bond elections</li> <li>x Provide leadership to create a foundation and establish links between the district and foundation boards</li> <li>x Support the foundation and fundraising efforts</li> <li>x Adopt policies that set criteria and priorities for grants</li> <li>x Accept or approve grants as required by law</li> <li>x Understand the short and long-range implications of grants</li> </ul>	<ul style="list-style-type: none"> <li>x Prepare information that helps the board determine the need for and approve bond elections</li> <li>x Lead and administer various fundraising efforts, including the foundation and asset management activities</li> <li>x Keep the board informed about grants sought and awarded, including their implications for the college</li> <li>x Present grants for board approval as required;</li> </ul>

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
<b>Monitoring Fiscal Health</b>	
<ul style="list-style-type: none"> <li>x Require periodic reports to monitor fiscal control policies and accounting processes</li> <li>x Require regular reports on the fiscal status of the institution</li> <li>x Become educated about financial statements and their implications</li> <li>x Define broad expectations for the independent audit of the district accounts and business procedures</li> <li>x Set criteria for an auditing firm to conduct the annual audit</li> <li>x Review the audit report</li> <li>x Discuss deviations (if any) and give appropriate direction to CEO</li> </ul>	<ul style="list-style-type: none"> <li>x Periodically, report to the board compliance with fiscal control policies</li> <li>x Periodically report the fiscal condition of the institution; provide a summary that clearly shows the relationship of expenditures to budget</li> <li>x Educate the board on how to read financial statements</li> <li>x Assist the board with the selection of an auditing firm</li> <li>x Cooperate with and auditor so the audit is thorough</li> <li>x Assist the board in reviewing the audit report</li> <li>x Correct deviations (if any) found as a result of the audit</li> </ul>

## HUMAN RESOURCES

The area of human resources includes all personnel and employment issues, and is subject to numerous state and federal laws and regulations. The board and CEO work together to address:

- x hiring and other personnel practices
- x treatment of personnel
- x professional development
- x salaries, benefits, and collective bargaining

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
<b>Personnel Hiring</b>	
<ul style="list-style-type: none"> <li>x Establish policies that require:                             <ul style="list-style-type: none"> <li>x Selection of the best qualified personnel</li> <li>x Administrative, faculty, and staff diversity</li> <li>x Competitive salaries and working conditions, within budget constraints</li> </ul> </li> <li>x Set policy regarding which positions require board approval</li> <li>x Compliance with equal employment and affirmative action laws</li> <li>x Ratify hires as required by law (based on compliance with policy)</li> </ul>	<ul style="list-style-type: none"> <li>x Ensure that personnel recruitment and hiring processes are:                             <ul style="list-style-type: none"> <li>x Fair, legal, comply with laws</li> <li>x Result in good applicant pools</li> <li>x Reflect well on the institution</li> </ul> </li> <li>x Seek to achieve that staff diversity reflects college and community populations</li> <li>x Forward personnel actions to the board as required; inform the board about other key personnel changes</li> </ul>
<b>Treatment of Personnel</b>	
<ul style="list-style-type: none"> <li>x Establish policies that require:                             <ul style="list-style-type: none"> <li>x Fair and effective evaluation and supervision processes</li> <li>x Safe and pleasant working environment</li> <li>x Clear grievance procedures</li> <li>x Due process in employee discipline and termination</li> <li>x Academic freedom</li> <li>x Protection of privacy</li> </ul> </li> <li>x Adopt policies that guide implementation of ADA and harassment laws</li> <li>x Adopt policies that ensure appropriate consultation with and delegation of authority to employee groups</li> <li>x Establish clear processes for board/staff communication that do not abrogate the board/CEO relationship</li> <li>x Support CEO recommendations on disciplinary action or terminations when cause is demonstrated and procedures have been followed</li> </ul>	<ul style="list-style-type: none"> <li>x Ensure that:                             <ul style="list-style-type: none"> <li>x Personnel regulations and procedures are fair, legal, and equitable and meet board policy criteria</li> <li>x Personnel manuals and handbooks are current and public</li> <li>x Personnel procedures are implemented and followed</li> <li>x Grievance procedures are clear, equitable, and followed</li> <li>x Discipline and termination are for demonstrable cause and follow procedures</li> </ul> </li> <li>x Seek legal counsel when needed; share information with the board</li> <li>x Alert the board early to personnel problems that may become public or reach the board level</li> <li>x Provide adequate information to the board about personnel problems and recommendations</li> </ul>



BOARD ROLE AND TASKS	CEO ROLE AND TASKS
<b>Professional Development</b>	
<ul style="list-style-type: none"> <li>x Establish policy expectations for staff orientation and ongoing professional development</li> <li>x Publicly recognize staff achievements</li> <li>x Engage in trustee and board development</li> </ul>	<ul style="list-style-type: none"> <li>x Ensure that resources are allocated for professional and staff development</li> <li>x Encourage professional development and staff recognition programs</li> <li>x Engage in ongoing learning</li> <li>x Support trustee education and development</li> </ul>
<b>Salaries, Benefits, and Collective Bargaining</b>	
<ul style="list-style-type: none"> <li>x Delegate clear authority to the CEO or other agent to engage in collective bargaining on behalf of the board</li> <li>x Set criteria for salaries and benefits that establish competitive, fair wages and that protect current and future district resources</li> <li>x Ask the CEO to provide options and analyses on negotiating positions and their implications</li> <li>x Participate in training on positive bargaining practices</li> <li>x Provide clear direction to the CEO, including parameters for negotiations</li> <li>x Set and adhere to positive bargaining practices; stay on the “high road”</li> <li>x Maintain the confidentiality of bargaining positions</li> </ul>	<ul style="list-style-type: none"> <li>x Engage in positive bargaining practices; follow board standards and criteria</li> <li>x Provide the board with an analysis of the implications of various options in the bargaining process</li> <li>x Provide training in collective bargaining approaches for all those involved in the process, as well as the board</li> <li>x Inform the board of union proposals</li> <li>x Maintain good communication with the board regarding the status of the negotiations</li> <li>x Delegate clear authority to the negotiating agents and ensure that they understand board parameters and budget constraints</li> </ul>

## COMMUNITY RELATIONS

Governing and leading community-based institutions requires boards and CEOs to be active participants in their communities and ensure strong college-community connections. Community relations roles and tasks are in the areas of:

- x community involvement
- x marketing and media relations
- x foundation support

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
<b>General</b>	
<ul style="list-style-type: none"> <li>x Ensure that general interests of the external communities are represented in board decisions</li> <li>x Advocate for and support the colleges in the community</li> <li>x Maintain links with business, government and community leaders</li> <li>x Adopt policies that govern:                             <ul style="list-style-type: none"> <li>x community relations</li> <li>x marketing and public relations</li> <li>x foundations and fundraising</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>x Ensure that district programs respond to community needs</li> <li>x Advocate for and support the colleges in the community</li> <li>x Maintain links with business, government and community leaders</li> <li>x Lead and administer programs that                             <ul style="list-style-type: none"> <li>x Reflect a positive image for the college</li> <li>x Engender community support for the college</li> <li>x Ensure strong college and community connections</li> </ul> </li> </ul>
<b>Community Involvement</b>	
<ul style="list-style-type: none"> <li>x Seek out various community perspectives</li> <li>x Establish and engage in systematic methods to link with community representatives and policy-makers including:                             <ul style="list-style-type: none"> <li>x K-12 boards</li> <li>x local governments</li> <li>x community and business policy boards</li> <li>x higher education policy and advisory boards</li> </ul> </li> <li>x Adopt policies that:                             <ul style="list-style-type: none"> <li>x Ensure community input into strategic planning and institutional evaluation</li> <li>x Encourage partnerships and relationships with community organizations</li> <li>x Define community use of college facilities</li> </ul> </li> <li>x Set the policy direction for community service</li> </ul>	<ul style="list-style-type: none"> <li>x Establish a culture that fosters responsiveness to community needs and positive relations with the public and community groups.</li> <li>x Actively seek and foster professional relationships with education, government, business, and other community leaders</li> <li>x Participate in community events and service organizations</li> <li>x Encourage partnership programs with K-12 and higher education institutions</li> <li>x Ensure that planning processes assess and respond to community needs</li> <li>x Ensure a comprehensive program of community services and events</li> <li>x Establish and monitor procedures for public use of and participation in college facilities, programs, services, and events</li> </ul>

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
<b>Marketing and Media Relations</b>	
<ul style="list-style-type: none"> <li>x Adopt policies that:               <ul style="list-style-type: none"> <li>x Set parameters for marketing and public relations programs</li> <li>x Establish standards of good practice (ethics) for trustee relations with the public and media</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>x Establish and administer comprehensive public relations operations; ensure the accuracy and quality of communication to public</li> <li>x Keep board informed about               <ul style="list-style-type: none"> <li>x Issues that may result in media contacts</li> <li>x Public relations and marketing efforts</li> </ul> </li> </ul>
<b>Foundation Support</b>	
<ul style="list-style-type: none"> <li>x Adopt policies that establish the direction and parameters for a foundation</li> <li>x Support and monitor the foundation</li> <li>x Establish links with the foundation board of directors</li> </ul>	<ul style="list-style-type: none"> <li>x Establish a foundation and ensure that it is effective</li> <li>x Actively support foundation activities through personal involvement</li> </ul>

## LEGISLATIVE RELATIONS

Legislative support is important for institutional success. The board and CEO play key roles in working with legislators and garnering support. The area of legislative relations includes:

- x understanding policy trends and issues
- x establishing and communicating priorities and needs
- x advocating on behalf of the institution

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
<b>Policy Trends and Issues</b>	
<ul style="list-style-type: none"> <li>x Engage in ongoing study of policy issues and trends through reading and conference attendance</li> <li>x Allocate time at board meetings and hold study sessions to discuss policy issues, trends, and system priorities</li> <li>x Understand the impact of state and national policy on local mission and goals</li> </ul>	<ul style="list-style-type: none"> <li>x Establish processes to stay up-to-date on policy issues and trends</li> <li>x Monitor and gather relevant information</li> <li>x Ensure the board is aware of policy issues and trends:                             <ul style="list-style-type: none"> <li>x Provide summaries of key points</li> <li>x Forward legislative alerts and other relevant information to the board</li> </ul> </li> <li>x Design board agendas to allow time to discuss issues</li> <li>x Provide background and analysis of key initiatives to enable the board to take a position</li> </ul>
<b>Local Priorities</b>	
<ul style="list-style-type: none"> <li>x Allocate time to study and understand local community needs and priorities</li> <li>x Adopt positions that further the ability of the district to achieve its goals</li> <li>x Discuss local priorities and issues with the CCCT board of directors and the Community College League staff</li> </ul>	<ul style="list-style-type: none"> <li>x Provide information and analysis to the board of local trends and issues that may require legislative response</li> <li>x Inform the board of the impact of state and national legislative initiatives on local priorities</li> <li>x Forward positions to state associations and the Chancellor's Office</li> </ul>
<b>Legislative Advocacy</b>	
<ul style="list-style-type: none"> <li>x Identify and make key contacts with legislators</li> <li>x Ensure that the CEO and all board members are introduced to key contacts</li> <li>x Study issues to ensure effective communication with legislators</li> <li>x Maintain ongoing and appropriate communication with legislators</li> <li>x Advocate on behalf of the college and its contributions to the community</li> <li>x Support board positions, as well as state system and association positions where not in conflict</li> </ul>	<ul style="list-style-type: none"> <li>x Manage the board's legislative advocacy activities</li> <li>x Identify and make key contacts with legislators; ensure board members are introduced to key contacts</li> <li>x Identify a legislative liaison on the staff</li> <li>x Arrange for legislators to visit the district; include board members in these visits</li> <li>x Provide information to the board for advocacy purposes</li> <li>x Inform the board of Chancellor's Office, state and national association positions</li> </ul>

## LEGAL AFFAIRS

Governing boards and CEOs share the responsibility to ensure that the district:

- x abides by local, state, and federal laws and legal intent
- x uses legal counsel prudently

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
<b>Laws and Regulations</b>	
<ul style="list-style-type: none"> <li>x Adopt policies specifically required by law and regulation</li> <li>x Delegate authority to the CEO and require that procedures exist that comply with local, state and national laws and regulations</li> <li>x Monitor compliance</li> <li>x Follow laws related to board practices, including conflicts of interest, open and public meetings, confidentiality of closed sessions, and political practices</li> </ul>	<ul style="list-style-type: none"> <li>x Be aware of laws and regulations that affect the institution</li> <li>x Inform the board and new trustees about major laws and regulations</li> <li>x Ensure that administrative procedures exist and are followed to comply with law and regulation</li> <li>x Monitor compliance and report to the board</li> <li>x Advise the board about laws and regulations that affect the board</li> </ul>
<b>Legal Actions and Counsel</b>	
<ul style="list-style-type: none"> <li>x Request legal counsel only as a board; work through the CEO</li> <li>x Request legal advice well in advance of potential problems                             <ul style="list-style-type: none"> <li>x Accept and expect realistic assessments of the board's legal position</li> </ul> </li> <li>x Establish policies that guide the CEO's response to lawsuits and threats of legal action</li> <li>x Adopt policies that insure and protect the assets and personnel of the district, as well as the board</li> </ul>	<ul style="list-style-type: none"> <li>x Recommend appropriate legal counsel to advise the board</li> <li>x Inform the board of legal counsel used to advise the college</li> <li>x Inform the board of threats of legal action and lawsuits</li> <li>x Keep the board informed of progress on and outcomes of legal matters</li> <li>x Prepare summaries and analyses that review all options for the board when board action is required on legal issues</li> <li>x Ensure that the district has adequate liability protection</li> </ul>

