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

III.A. Human Resources

III.A.1. The institution assures the integrity and quality of its programs and services by employing administrators, faculty and staff who are qualified by appropriate education, training, and experience to provide and support these programs and services. Criteria, qualifications, and procedures for selection of personnel are clearly and publicly stated and address the needs of the institution in serving its student population. Job descriptions are directly related to institutional mission and goals and accurately reflect position duties, responsibilities, and authority.

Evidence Of Meeting The Standard
To ensure the integrity and quality of its programs and services, the College employs administrators, faculty and staff who are qualified by appropriate education, training and experience in order to provide and support for these programs and services, wherein the criteria, qualifications and procedures for the selection of personnel are clearly and publicly stated and address the needs of the College in serving its student population, while the job descriptions are directly related to the College’s mission and goals and accurately reflect position duties, responsibilities and authority.

The qualification of College employees

Faculty, professional staff, and executive/managerial personnel are Board of Regents appointees subject to established classification and qualification rules. Support staff including clerical and grounds and maintenance staff are State of Hawai‘i civil service employees subject to civil
service classification and qualification rules. All employees except executive/managerial are subject to collective bargaining agreements.

To ensure that qualified applicants are hired for positions, the College follows well-defined and rigorous guidelines. For faculty, the UHCC system has set the minimum qualifications for faculty positions and implementation guidelines for the hiring process (link). Degrees or equivalencies that are required for the position establish that applicants have knowledge of their subject matter. For APT positions, the University of Hawai‘i Position Description Generator houses an APT Position Description Guide, Band Definitions, and Career Groups (link). For Civil Service positions, the State of Hawai‘i’s Department of Human Resources Development has posted criteria, qualifications, and procedures (link).

The College ensures that qualified personnel are hired through its multi-layered selection processes. The UH Community College Application for Faculty or Executive Positions (Form 27A) and the UH Employment Application Form for Administrative, Professional Technical Positions (Webpage to access Forms 64A and 64B) are used by applicants to identify their qualifications for a specific position. The responsible department follows specific guidelines to establish a screening committee in order to review the applicant’s qualifications. Questions for candidates are carefully crafted to ensure that the candidate’s experience and teaching approach or work ethic supports the needs of the program or service. Upon completion of the interview process, recommendations are made to administrators who are responsible for hiring the applicant.

- [https://laulima.hawaii.edu/x/2IV9wQ](https://laulima.hawaii.edu/x/2IV9wQ): Minimum Qualifications for Faculty Positions.
- [https://laulima.hawaii.edu/x/RuOY2I](https://laulima.hawaii.edu/x/RuOY2I): APT Position Description Generator
- Form 27A; UH Form 64A; UH Form 64B [https://www.pers.hawaii.edu/forms/Application/Form27a.pdf](https://www.pers.hawaii.edu/forms/Application/Form27a.pdf): Form 27A Application for Faculty or Executive Positions
- [https://laulima.hawaii.edu/x/MjcmhL](https://laulima.hawaii.edu/x/MjcmhL) WorkatUH Forms Web Page with links to 64A and 64B
- [http://www.pers.hawaii.edu/forms/Application/Form%2064A.pdf](http://www.pers.hawaii.edu/forms/Application/Form%2064A.pdf): APT application
- [http://www.pers.hawaii.edu/forms/Application/Form%2064B.pdf](http://www.pers.hawaii.edu/forms/Application/Form%2064B.pdf): APT application

*The criteria, qualifications and procedures for the selection of personnel are clearly and publicly stated and address the needs of the College in serving its student populations*
All open positions in the University of Hawai‘i System including the Community Colleges, are posted on the University of Hawai‘i’s employment site, Work at UH (link). Each position advertisement, through the list of duties and responsibilities, describes how the position addresses the needs of the College in serving its student populations. The position advertisement specifies the minimum and desirable qualifications for the position and provides directions as to how to apply for the position. UH System policies exist for the recruitment and selection of applicants to fill faculty, civil service and administrative, professional and technical (APT) positions to ensure that hiring procedures are consistently applied by all departments and units. At the campus level, policies and procedures as to the criteria, qualifications and procedures and are found on the Ohana intranet website under the header “Get Ready”. Information for Civil Service positions is found on the State of Hawai‘i Department of Human Resources Development (link).

- [intranet website](#): Intranet page to “Get Ready” area
- [http://dhrd.hawaii.gov/job-seekers/](http://dhrd.hawaii.gov/job-seekers/): Hawai‘i State Human Resources Development Department Job Opportunities

**Job descriptions are related to the College’s mission and goals and reflect duties, responsibilities and authority**

After a position is determined to be in alignment with the needs and priorities identified in the strategic plan goals and the needs of students, a job description is created to state the position’s duties, responsibilities and authority. Job descriptions are approved by the vice chancellors to ensure fit within the College’s mission, needs, priorities, and outcomes as stated in the strategic plan.

Distance education/continuing education expertise and experience are referenced within the position recruitment advertisement.

- [https://www.hawaii.edu/ohr/compensation-employee-relations/faculty/](https://www.hawaii.edu/ohr/compensation-employee-relations/faculty/): University of Hawai‘i Faculty Classification and Compensation Plan
Chapter 9 – Personnel, Classification Plans and Compensation Schedules

ANALYSIS AND EVALUATION

The College meets the standard.

The College employs administrators, faculty, and staff who are qualified by the education, training, and experience needed to provide and support the College’s programs and services. The criteria, qualifications, and procedures for the selection of personnel are clearly and publicly stated and address the needs of the College in serving its student population. Job descriptions are directly related to the College’s mission and goals and accurately reflect position duties, responsibilities and authority.

III.A.2. Faculty qualifications include knowledge of the subject matter and requisite skills for the service to be performed. Factors of qualification include appropriate degrees, professional experience, discipline expertise, level of assignment, teaching skills, scholarly activities, and potential to contribute to the mission of the institution. Faculty job descriptions include development and review of curriculum as well as assessment of learning. (ER 14)

EVIDENCE OF MEETING THE STANDARD

Faculty qualifications include subject matter knowledge and requisite skills for the services to be performed and are based on appropriate degrees, professional experience, discipline expertise, level of assignment, teaching skills, scholarly activities and potential to contribute to the College’s mission, while faculty job descriptions include development and review of curriculum as well as assessment of learning.

Faculty subject matter knowledge and requisite skills

Faculty classification including duties, academic qualifications, generic job descriptions, and criteria for tenure and promotion are established at the UHCC level for all faculty. Academic qualifications for lecturers (adjunct) are identical to those for regular faculty. Colleges use these system policies in hiring, retention, and promotion decisions.

The first page of the College’s New Hire Faculty Flow Chart illustrates how the Program
Administrator creates or redescribes a position. The Program Administrator, such as a Department Chair, will have authoritative knowledge of the requirements of the position. Approval for the position is assured after review at the Dean/Director and Chancellor levels.

As stated in III.A.1., when a faculty member is recruited he or she is required to meet the UHCC-specified Minimum Qualifications for Faculty Positions. These requirements include a Master’s degree in their discipline, number of years in related work experience and rating/licensure/certificate, if applicable. In addition, through the interview questions and related rubrics established by the screening committee, faculty applicants are asked to demonstrate a teaching scenario or describe strategies that illustrate effective teaching. (ER 14 Compliant)

In the guidelines for contract renewal, tenure and promotion, the faculty are required to report on how they “maintain currency and understanding in their fields, must continually search for the most effective means of teaching, and must contribute to the development of the curriculum and program improvement.”

In addition to the primary responsibilities, faculty members are expected to participate in other essential areas such as professional and self-development, service to the institution, service to their profession, which includes serving a State, national, or international organization, related to the faculty member’s professional status, and public service, which normally occurs outside of the College and are related to the faculty member’s professional status.

**Faculty job descriptions include development and review of curriculum as well as assessment of learning.**

Faculty position descriptions as established by the department help to define faculty expertise in their area of expertise and also includes such responsibilities as the development of new curriculum and revisions to existing curriculum in order to improve the assessment of student learning outcomes. All instructional faculty position descriptions include curriculum development and outcomes assessment (link, link). (ER 14 Compliant)

- [https://laulima.hawaii.edu/x/Allwm1](https://laulima.hawaii.edu/x/Allwm1): New Faculty Hire Flow Chart
- [https://laulima.hawaii.edu/x/2IV9wWQ](https://laulima.hawaii.edu/x/2IV9wWQ): Minimum Qualifications for Faculty Positions.
- [link](https://laulima.hawaii.edu/x/2IV9wWQ): BLT IT Instructor Job announcement
- [link](https://laulima.hawaii.edu/x/2IV9wWQ): MLT Instructor Job announcement

**ANALYSIS AND EVALUATION**

The College meets the standard.
The College ensures faculty have the requisite knowledge and skills for instruction. Qualifications include appropriate degrees, professional experience, discipline expertise, level of assignment, teaching skills, scholarly activities, and potential to contribute to the College’s mission. Faculty job descriptions include development and review of curriculum as well as assessment of learning.

III.A.3. Administrators and other employees responsible for educational programs and services possess qualifications necessary to perform duties required to sustain institutional effectiveness and academic quality.

Evidence of Meeting the Standard

The College’s administrators and other employees responsible for educational programs and services are qualified to perform the duties required to sustain the College’s effectiveness and academic quality.

Establishment of appropriate qualifications

Duties, academic qualifications, and job descriptions are established at the UH System level for all professional support personnel (APT) and executive/managerial employees. Colleges use these system policies in hiring, retention, and promotion decisions.

To ensure that well-qualified applicants are hired as college administrators, the College follows a well-defined and rigorous hiring process that evaluates the applicant’s qualifications based on the position description and interview questions and rubrics. The UH Community College Application for Faculty or Executive Positions (Form 27A) is used by applicants to identify their qualifications for a specific position. Subsequent to receiving a completed application from the KCC Human Resources Office, the College follows specific guidelines to establish a screening committee in order to verify that the applicant has the appropriate knowledge, expertise and experience relative to the position description, whereupon the screening committee will develop the interview questions and related rubrics based on the position description. In addition, to the review of applications and screening committee interview, finalists for administrator positions from deans to Vice Chancellors to Chancellors participate in open forums with the campus community. Feedback gathered from these forums are an integral part of the decision making process. A doctoral degree is preferred for the Chancellor and Vice Chancellor for Academic Affairs positions.

All administrative positions are approved by the Chancellor, UHCC Vice President and the Board
of Regents, further ensuring that the administrator has the qualifications to perform the duties required to sustain the College’s effectiveness and academic quality. Subsequent to being hired, executive personnel are subject to annual performance reviews as required by the University of Hawai‘i Board of Regent policy.

Faculty positions, a described in III.A., must be based on the UHCC System’s Minimum Qualifications for Faculty Positions (link).

- [https://laulima.hawaii.edu/x/2IV9wQ](https://laulima.hawaii.edu/x/2IV9wQ): Minimum Qualifications for Faculty Positions.
- [https://www.pers.hawaii.edu/forms/Application/Form27a.pdf](https://www.pers.hawaii.edu/forms/Application/Form27a.pdf): Form 27A Application for Faculty or Executive Positions

**ANALYSIS AND EVALUATION**

The College meets the standard.

The College employs administrators who possess the qualifications needed to perform the duties and required to sustain the College’s effectiveness and academic quality.

**III.A.4. Required degrees held by faculty, administrators and other employees are from institutions accredited by recognized U.S. accrediting agencies. Degrees from non-U.S. institutions are recognized only if equivalence has been established.**

**EVIDENCE OF MEETING THE STANDARD**

Faculty, administrators and other employees have degrees from institutions which are accredited by recognized U.S. accrediting agencies or from recognized non-U.S. institutions for which degree equivalence has been established.

*Degree qualifications*

All faculty, administrators and other employees must have the required degrees from institutions which are accredited by recognized U.S. accrediting agencies. In order to be hired by the College, Human Resources requires that transcripts have an official seal and are mailed directly from the degree-granting institution. To establish the equivalency of international degrees to degrees from accredited U.S. post-secondary institutions, the College requires
applicants to have foreign degrees evaluated by agencies such as National Association of Credential Evaluation Services (NACES) and/or International Education Resource Foundation (IERF).

- Form 27A; UH Form 64A; UH Form 64B
  [https://www.pers.hawaii.edu/forms/Application/Form27a.pdf](https://www.pers.hawaii.edu/forms/Application/Form27a.pdf): Form 27A Application for Faculty or Executive Positions
- [http://www.pers.hawaii.edu/forms/Application/Form%2064A.pdf](http://www.pers.hawaii.edu/forms/Application/Form%2064A.pdf): APT application
- [http://www.pers.hawaii.edu/forms/Application/Form%2064B.pdf](http://www.pers.hawaii.edu/forms/Application/Form%2064B.pdf): APT application

**ANALYSIS AND EVALUATION**

The College meets the standard.

The College has employed faculty, administrators and other employees with the required degrees from U.S. and non-U.S. institutions, following procedures to screen and select qualified faculty, administrators and staff with the appropriate credentials.

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**III.A.5. The institution assures the effectiveness of its human resources by evaluating all personnel systematically and at stated intervals. The institution establishes written criteria for evaluating all personnel, including performance of assigned duties and participation in institutional responsibilities and other activities appropriate to their expertise. Evaluation processes seek to assess effectiveness of personnel and encourage improvement. Actions taken following evaluations are formal, timely, and documented.**

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**EVIDENCE OF MEETING THE STANDARD**

The College ensures the effectiveness of its human resources by systematically evaluating all personnel at stated intervals and has established written criteria for evaluating all personnel which includes performance of assigned duties, participation in institutional responsibilities, and other activities appropriate to their expertise. The evaluation process assesses the effectiveness of personnel and encourages improvement with post-evaluation actions documented and implemented in a formal and timely manner.

Evaluation policies and processes are established by the UH System and/or UHCC system for each classification of employee – executive/managerial, faculty, lecturer (adjunct), APT
(professional staff), and civil service. The evaluation processes and frequency vary for each classification. Colleges comply with these policies in the evaluation of college employees.

The evaluation process assesses the effectiveness of personnel and encourages improvement with post-evaluation actions documented and implemented in a formal and timely manner.

Performance evaluation measures exist to assess the effectiveness of faculty and staff in performing their duties, wherein a specific performance appraisal is used for Administrative, Professional and Technical (APT) staff and civil service employees, while the contract renewal application as well as the tenure and promotion application process are used for faculty. Through the faculty contract renewal and/or tenure and promotion process, each faculty has an opportunity to review with his/her department administrator the course/instructor evaluation data (as provided by students) and peer evaluations, ultimately assessing the results that may suggest faculty participation in professional development activities in order to improve as well as affirm the faculty’s interest or involvement in teaching such classes in subsequent semesters. (A.5.Q5)

Administrators


Faculty


Lecturers (Adjunct)

The College meets the standard.

Based on the preliminary evidence gathered for Standard III.A.5, the College has observed the policies and procedures established by the UH System and/or UHCC System to systematically evaluate its personnel in order to assess the effectiveness of personnel and encourage improvement.

III.A.6. The evaluation of faculty, academic administrators, and other personnel directly responsible for student learning includes, as a component of that evaluation, consideration of how these employees use the results of the assessment of learning outcomes to improve teaching and learning.

EVIDENCE OF MEETING THE STANDARD

The College’s evaluation of faculty, academic administrators, and other personnel directly responsible for student learning include how these employees use learning outcomes assessment results to improve teaching and learning.

The College’s evaluation of faculty include how they are using learning outcomes assessment results to improve learning and teaching.

Community college faculty classification and duties and evaluation processes (contract renewal, tenure and promotion, and post-tenure evaluations) include the use of the results of learning outcomes as a duty and criteria for evaluation. Lecturers (adjunct) evaluation also includes these criteria.
The College’s evaluation of administrators and other personnel includes how they are using learning outcomes assessment results to improve learning and teaching

Board of Regent and UHCC policies also includes assessment of learning outcomes as a component of executive/managerial evaluation.

According to EP 9.203 and EP 9.212, executive/managerial personnel create a statement of professional and administrative objectives for the coming academic or fiscal year. The statement of professional and administrative objectives should include areas of improvement. Their objectives should relate to long-term strategic goals and objectives.

The UHCC Policy #9.202 ...“ensures that there is consistency within the Community Colleges ensuring that planning and evaluation objectives are key elements of the academic and administrative management, and the assessment process.” This policy’s purpose is to create a coordinated performance evaluation process that ensures the UH Board of Regents, Executive Policies, and Accrediting Commission for Community and Junior Colleges Accreditation Standards are met.

The evaluation process requires each executive/managerial appointee to provide a written report to their supervisor concerning accomplishments in relation to the mutually agreed upon
The process includes a discussion of the report and a subsequent self-assessment.

- [https://dspace.lib.hawaii.edu/bitstream/handle/10790/354/360form.pdf?sequence=1](https://dspace.lib.hawaii.edu/bitstream/handle/10790/354/360form.pdf?sequence=1) : 360 Form

**ANALYSIS AND EVALUATION**

The College meets the standard.

The College’s evaluation of faculty, academic administrators, and other personnel directly responsible for student learning include how these employees use learning outcomes assessment results to improve teaching and learning.

We have policies, formal evaluation processes and systems in place to meet the standard. We have an assessment system encouraging discussions about how to improve learning, changes in teaching methodologies, and plans for improvement.

**III.A.7. The institution maintains a sufficient number of qualified faculty, which includes full-time faculty and may include part-time and adjunct faculty, to assure the fulfillment of faculty responsibilities essential to the quality of educational programs and services to achieve institutional mission and purposes.**

**EVIDENCE OF MEETING THE STANDARD**

The College maintains a sufficient number of qualified full-time and part-time faculty and lecturers to ensure the fulfillment of faculty responsibilities essential to the quality of educational programs and services to achieve institutional mission and purposes.

**Sufficiency of full-time and part-time faculty and lecturers**

While no formal policy governs the ratio of full-time to part-time faculty and lecturers, the ratio is monitored by the UHCC system and the colleges to assure compliance with the standard.
The College shows there is adequate staffing in part because classes have never been canceled due to a lack of teachers. All our teachers, whether full-time or part-time, are qualified by the same standards. Staffing levels are gauged by information gathered from college reports such as the Annual Report of Program data and the Comprehensive Program Reviews. If programs are cautionary, extra staffing support becomes a priority. For example, the Hospitality and Tourism department lobbied for an additional faculty member due to ARPD results and program accreditation requirements. The College reallocated a position to the department. Another position was reallocated to the Paralegal Program for the same reasons.

There are external factors influencing decisions about having a sufficient number of qualified faculty, particularly for career and technical programs such as health and nursing. These programs require a specific faculty to student ratio in order to meet specialized external accreditation requirements. For example, the majority of the nursing courses require an 8 to 1 faculty-to-student ratio ensuring that student learning outcomes are met or exceeded. All of our accredited programs have had successful visits and have met the standards for sufficient staffing.

Beyond CTE programs, the College has offered all the classes in Arts & Sciences that the departments need to offer. Although there has been pressure for staffing on occasion, the College has delivered all curricula without fail.

Focusing on student success, there has been an ongoing effort to connect staffing decisions and changes to the student success pathway. Each academic year, the College allocates general funds to compensate faculty members who are released from their teaching responsibilities in order to support and lead college initiatives involving a range of programs and services to achieve its mission and purposes.

- December 28, 2015 Revised Vacancy Guidelines
- January 26, 2015 memo from Leon Richards regarding Vacancy Policy and Position Allocations
- College’s TE Report. (maybe not a good document)
- Need an example of faculty member with TE’s to support or lead a college initiative
- Current CPRs uploaded to OFIE site
- https://ohana.kapiolani.hawaii.edu/docs/contract-renewal-tenure-and-promotion/ : UH Community College Faculty Classification Plan outlines faculty responsibilities
- https://www.sis.hawaii.edu/uhdad/avail.classes?i=KAP : Current schedule of classes will
identify faculty responsible for teaching each course:

- [https://laulima.hawaii.edu/x/igRzJ3](https://laulima.hawaii.edu/x/igRzJ3): Tier Vacancy Listing

- Evidence Pending: HR will provide an updated table including number of employees by job classification (refer to KCC 2012 Report, page 247)

- Evidence Pending: HR will be updating faculty academic credentials and they will be included in KCC’s catalog.

- [https://laulima.hawaii.edu/x/PHA3TY](https://laulima.hawaii.edu/x/PHA3TY): January 3, 2017 Memo from Louise Pagotto—Response to Faculty Senate Distance Education Committee; Recommendation for the Interim Online Learning Coordinator

- [https://laulima.hawaii.edu/x/p9u12y](https://laulima.hawaii.edu/x/p9u12y): The DE plan is addressing the need to develop the qualifications and training for DE instruction and processes to initiate and review courses for DE delivery (DE plan, pg. 12-22)

- [http://www.hawaii.edu/budget/budgetdoc](http://www.hawaii.edu/budget/budgetdoc) | UH System Biennium Budget Proposal


**ANALYSIS AND EVALUATION**

The College meets the standard.

The College maintains a sufficient number of qualified full-time and part-time faculty and staff to ensure the fulfillment of faculty responsibilities essential to the quality of educational programs and services to achieve institutional mission and purposes.

We have systems in place to ensure staffing decisions are data driven.

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**III.A.8. An institution with part time and adjunct faculty has employment policies and practices which provide for their orientation, oversight, evaluation, and professional development. The institution provides opportunities for integration of part time and adjunct faculty into the life of the institution.**

**EVIDENCE OF MEETING THE STANDARD**

The College has employment policies and practices which provide for their orientation, oversight, evaluation, and professional development for part-time lecturers. The College
provides opportunities for the part-time lecturers so that they can integrate into the life of the institution.

**Employment policies and practices which provide for their orientation, oversight, evaluation, and professional development for part time and adjunct faculty**

Lecturers (adjunct) are members of the faculty collective bargaining unit and covered by the collective bargaining agreement. UHCC policies govern the step advancement and evaluation of lecturers (adjunct). The College is responsible for the orientation, oversight, evaluation, and professional development of lecturers. The department chairs, program and course coordinators provide orientation and oversight for lecturers. In addition, lecturers are invited to attend New Employee Orientation sessions offered at the beginning of each semester. The department chairs evaluate lecturers and provide professional development opportunities.

- Examples of New Employee Orientation program: [https://laulima.hawaii.edu/x/BILDJN](https://laulima.hawaii.edu/x/BILDJN)

**ANALYSIS AND EVALUATION**

The College meets the standard.

The College has employment policies and practices which provide for their orientation, oversight, evaluation, and professional development for part-time lecturers. The College provides opportunities for the part-time lecturers so that they can integrate into the life of the institution.

We have systems in place to meet the standard. Regarding evaluation: Department Chairs engage in lecturer teaching evaluations following UHCC policies. Department Chairs also have oversight for maintaining a system to store lecturer evaluations.

III.A.9. The institution has a sufficient number of staff with appropriate qualifications to support the effective educational, technological, physical, and administrative operations of the institution. (ER 8)
EVIDENCE OF MEETING THE STANDARD

The College has a sufficient number of staff with appropriate qualifications to support the effective educational, technological, physical, and administrative operations of the institution.

Staff with qualifications to support the effective educational, technological, physical, and administrative operations of the institution

UHCC positions are controlled through legislative appropriation. By policy, the UHCC system reallocates positions that have gone unfilled by colleges for more than two years. Colleges may also reallocate positions within their authorized number of position counts. While no formal staffing ratios are established, the staffing levels for various classifications are reviewed and compared across colleges. The College has limited numbers of Administrative, Professional, and Technical (APT) positions. Internal reallocations address emerging needs in some units. At times the College converts civil service to APT positions to address issues of sufficiency. The College sometimes uses temporary positions and casual hire positions to supplement as needed. (III.A.9.Q1)

- Evidence Pending: HR to update KCC’s organizational chart, including names of those in positions.
- [http://www.hawaii.edu/budget/oia/docs/16C-CCkapiolani.pdf](http://www.hawaii.edu/budget/oia/docs/16C-CCkapiolani.pdf)
- Most current org chart: [https://www.hawaii.edu/budget/oia/docs/17C-CCkapiolani.pdf](https://www.hawaii.edu/budget/oia/docs/17C-CCkapiolani.pdf)
- HR has the most current (previous three years) hiring documents for staff which include their job application.
- KCC catalog includes ongoing highest degree credential updates for all faculty and staff.

ANALYSIS AND EVALUATION

The College meets the standard.

The College has a sufficient number of staff with appropriate qualifications to support the effective educational, technological, physical, and administrative operations of the institution. We have a system in place. Clarification needed regarding which staff positions the standard is referring to and the level of detail required for those positions.
III.A.10. The institution maintains a sufficient number of administrators with appropriate preparation and expertise to provide continuity and effective administrative leadership and services that support the institution’s mission and purposes. (ER 8)

**EVIDENCE OF MEETING THE STANDARD**

The College maintains a sufficient number of administrators with appropriate preparation and expertise to provide continuity and effective administrative leadership and services that support the institution’s mission and purposes.

*Administrators with preparation and expertise to provide continuity and effective administrative leadership and services that support the institution’s mission and purposes*

UHCC positions are controlled through legislative appropriation. By policy, UHCC system reallocates positions that have gone unfilled by colleges. Colleges may also reallocate positions within their authorized number of position counts. While no formal administrative staffing ratios are established, the staffing levels for executive/managerial employees are reviewed and compared across the colleges. (ER 8 Compliant)

- **Evidence Pending**: HR to update KCC’s organizational chart, including names of those in positions
- [http://www.hawaii.edu/budget/oia/docs/16C-CCkapiolani.pdf](http://www.hawaii.edu/budget/oia/docs/16C-CCkapiolani.pdf)
- [https://www.hawaii.edu/budget/oia/docs/17C-CCkapiolani.pdf](https://www.hawaii.edu/budget/oia/docs/17C-CCkapiolani.pdf): Most current org chart:
- HR has the most current (previous three years) hiring documents for staff which include their job application.
- KCC catalog includes ongoing highest degree credential updates for all administrators.
- **Evidence**: The KCC Institutional Survey Results & Analysis – Closing the Loop Study December 12, 2016 (Question 23.8).

**ANALYSIS AND EVALUATION**

The College meets the standard.

The College maintains a sufficient number of administrators with appropriate preparation and expertise to provide continuity and effective administrative leadership and services that support the institution’s mission and purposes.
Standard III.A.11. The institution establishes, publishes, and adheres to written personnel policies and procedures that are available for information and review. Such policies and procedures are fair and equitably and consistently administered.

Evidence of Meeting the Standard

The institution has established, published, and adhered to written personnel policies and procedures that are available for information and review. Such policies and procedures are fair and equitably and consistently administered.

Establishes, publishes, and adheres to written personnel policies and procedures and are available for information and review

Personnel policies are established and published at multiple levels, including Board of Regents, UH Executive Policies, UHCC System policies, and college policies. Additionally, collective bargaining agreements govern personnel actions for the covered employees. Policies are periodically reviewed and updated.

The College has ensured that all personnel policies and procedures are available for review by having these policies available online. (Add link to policy page) These personnel policies and procedures covers all faculty, staff, and administrators of the College. (A.11.Q1)

- [https://ohana.kapiolani.hawaii.edu/policies/](https://ohana.kapiolani.hawaii.edu/policies/) Kapiʻolani Community College intranet Ohana website
- [http://www.hawaii.edu/policy/?action=viewChapter&policySection=ap&policyChapter=9&menuView=closed](http://www.hawaii.edu/policy/?action=viewChapter&policySection=ap&policyChapter=9&menuView=closed) Administrative Procedures Chapter 9 Personnel
- [https://www.hawaii.edu/policy/](https://www.hawaii.edu/policy/) UH Systemwide Policies and Procedures Information System (PPIS)
- [https://ohana.kapiolani.hawaii.edu/groups/human-resources/](https://ohana.kapiolani.hawaii.edu/groups/human-resources/) Kapiʻolani Community College HR

Policies and procedures are fair and equitably and consistently administered

To ensure that the established policies and procedures are equitably and consistently administered, personnel actions at the College are overseen and reviewed by HR. HR also trains
administrators, faculty and staff to perform personnel actions in compliance with established policies and procedures.

The College is guided by the personnel policies and procedures established by the University of Hawai‘i System, which are available at the BOR Administrative Procedures Information System webpage. The fair treatment of employees is safeguarded and ensured by specific procedures outlined in the collective bargaining agreements of the unions that represent the College’s employees: the University of Hawai‘i Professional Assembly (UHPA); the Hawai‘i Government Employees Association (HGEA), representing (1) administrative, professional and technical employees (APT) and (2) white-collar workers; and the United Public Workers (UPW), representing blue-collar workers. The following references refer to these areas. (A.11.Q.2)

- [https://ohana.kapiolani.hawaii.edu/groups/human-resources/](https://ohana.kapiolani.hawaii.edu/groups/human-resources/): Kapi‘olani Community College HR
- [https://ohana.kapiolani.hawaii.edu/docs/uploaded-documents/](https://ohana.kapiolani.hawaii.edu/docs/uploaded-documents/): Kapi‘olani Community College Documents
- [https://ohana.kapiolani.hawaii.edu/policies/](https://ohana.kapiolani.hawaii.edu/policies/): Kapi‘olani Community College intranet Ohana website
- [http://www.hawaii.edu/policy/?action=viewChapter&policySection=ap&policyChapter=9&menuView=closed](http://www.hawaii.edu/policy/?action=viewChapter&policySection=ap&policyChapter=9&menuView=closed): Administrative Procedures Chapter 9 Personnel
- [http://www.hawaii.edu/policy/?action=viewPolicyText&policySection=ap&policyTextName=policyNumber](http://www.hawaii.edu/policy/?action=viewPolicyText&policySection=ap&policyTextName=policyNumber): UH Systemwide Policies and Procedures Information Systems,
- [http://www.hawaii.edu/policy/?action=viewChapter&policySection=ep&policyChapter=9&menuView=closed](http://www.hawaii.edu/policy/?action=viewChapter&policySection=ep&policyChapter=9&menuView=closed): UH Systemwide Policies and Procedures
ANALYSIS AND EVALUATION

The College meets the standard.

The institution has established, published, and adhered to written personnel policies and procedures that are available for information and review. Such policies and procedures are fair and equitably and consistently administered.

Based on the preliminary evidence gathered for Standard III.A.11, the College meets the standard. Personnel policies are established and published at multiple levels, including Board of Regents, UH Executive Policies, UH Administrative Procedures, UHCC’s System Policies, and college polices. Additionally, collective bargaining agreements personnel actions for the employees and policies are periodically reviewed and updated.

III.A.12. Through its policies and practices, the institution creates and maintains appropriate programs, practices, and services that support its diverse personnel. The institution regularly assesses its record in employment equity and diversity consistent with its mission.

EVIDENCE OF MEETING STANDARD

The College has policies and practices in place that allow us to create and maintain programs that support our diverse personnel and regularly assess our processes so that our recruitments are equitable and ensure diversity consistent with our mission.

The College has policies and practices in place that allow us to create and maintain programs that support our diverse personnel.

Formal EEO/Affirmative Action analysis is conducted by the UHCC system office on a regular basis and is incorporated into the recruitment/hiring processes. Each UH Community College has an affirmative action program that complies with federal contractor requirements for data collection, workforce analysis, identification of problem areas, placement goals or benchmarks, outreach and recruitment, measuring affirmative action efforts, and taking remedial action when necessary.

As part of the affirmative action program, the OVPCC Director of Equal Employment Opportunity and Affirmative Action Director of EEO/AA develops on an annual basis affirmative action plans (AAP) for the seven UH Community Colleges for minorities and women in accordance with federal contractor requirements. In addition, the Director of EEO/AA develops
separately an affirmative action plans for protected veterans and individuals with disabilities (Part II) prepared in accordance with federal contractor requirements.

The Director of EEO/AA works closely with assigned EEO/AA Coordinators at each campus to monitor and oversee the employment practice, including recruiting and hiring decisions; ensure compliance with the laws and policies and with the AAP (review job announcements, review for underrepresentation; monitor recruitment; equitable treatment of applicants; diverse screening committees; briefing search committee members on recruiting practices including nondiscrimination, equal opportunity, implicit bias awareness, and accessible interviews; and receiving, investigating and resolving complaints.

At the campus level, the College implements the UH and UHCC System’s established policies and procedures regarding the professional ethics and fair treatment of its administrators, faculty, staff, and students. The College advocates for these policies and procedures through its professional development activities. Employees’ grievances are investigated and resolved in compliance with the procedures in the collective bargaining agreements.

An example of how the College creates and maintains appropriate programs, practices, and services that support its diverse personnel is through one of our AGOs. Kalāualani provides a formal, independent organization through which all native Hawaiian and native Hawaiian-serving employees of Kapi’olani Community College participate in the governance of the campus as it relates to Native Hawaiian programs, activities, initiatives and issues in alignment with the Pukoa Council, Native Hawaiian council for the University of Hawaiʻi System.


The purpose of A9.540 is to facilitate the recruitment and selection process and to ensure compliance with University hiring policies, affirmative action and equal employment opportunity guidelines, and the respective collective bargaining agreements.

(needs updates)

The College regularly assesses its record in employment equity and diversity consistent with its mission.

The College ensures regular assessments are made to its record in employment equity and diversity to maintain consistency with its mission. One of the ways to ensure that employment equity and diversity is met is by the system surveying applicant gender and ethnicity for federal EEO reports, tracking the screening process, and prompting hiring units to adhere to EEO guidelines. Data are reviewed to assess ethnic and gender distribution of positions at the College and to determine if there are any shortages. Future recruitment can then target underrepresented applicant groups. For a discussion of increases in diversity among the campus personnel UH System in 2005, provides data on ethnicity and gender for all of the positions at the College.

- Work at UH example of Anti-discrimination statement
- [http://www.hawaii.edu/offices/eeo/policies/?policy=antidisc](http://www.hawaii.edu/offices/eeo/policies/?policy=antidisc): UH EEO/AA
- [http://dspace.lib.hawaii.edu/bitstream/10790/249/1/a9540.pdf](http://dspace.lib.hawaii.edu/bitstream/10790/249/1/a9540.pdf): Recruitment, Selection, and Appointments, A 9.540 (seems to be still current)
- [http://dhrd.hawaii.gov/eeo/](http://dhrd.hawaii.gov/eeo/): DHRD EEO Website
ANALYSIS AND EVALUATION

The College meets the standard.

The policies and practices the College has created maintains appropriate programs, practices, and services that support it’s diverse personnel. The College regularly assesses its record in employment equity and diversity consistent with its mission.

Based on the preliminary evidence gathered for Standard III.A.12 the College meets the standard. A formal EEO/Affirmative action analysis is conducted by the UHCC systems office on a regular basis and is incorporated into the recruitment/hiring processes. The Campus has procedures and software that HR uses to track and analyze its employment equity record. It enables the Campus to provide considerations for screening communities.

III.A.13. The institution upholds a written code of professional ethics for all of its personnel, including consequences for violation.

EVIDENCE OF MEETING THE STANDARD

The institution has upheld a written code of professional ethics for all of its personnel, including consequences for violation.

The institution has upheld a written code of professional ethics for all of its personnel, including consequences for violation

Formal ethics policies and procedures are established by the UH System for various employee classifications. All employees are also subject to State of Hawai’i ethics rules and regulations. For example the Campus’ HR office schedules mandatory training to educate all personnel about ethics.

(Co-chair notes: need to check currency of the dspace linked documents below:)


- [https://www.hawaii.edu/policy/docs/temp/ap5.504.pdf](https://www.hawaii.edu/policy/docs/temp/ap5.504.pdf) : AP5.504 Procedures for Disclosing and Addressing Conflicts of Interest and Commitment

- [http://www.hawaii.edu/policy/?action=viewPolicy&policySection=ap&policyChapter=8&policyNumber=025](http://www.hawaii.edu/policy/?action=viewPolicy&policySection=ap&policyChapter=8&policyNumber=025) : AP8.025 Fiscal Responsibilities within the University


- [https://www.hawaii.edu/policy/?action=viewPolicy&policySection=rp&policyChapter=1&policyNumber=205](https://www.hawaii.edu/policy/?action=viewPolicy&policySection=rp&policyChapter=1&policyNumber=205) : BOR Policy on Non-discrimination and Affirmative Action 1.205


- [http://dspace.lib.hawaii.edu/bitstream/10790/262/1/chapter02.pdf](http://dspace.lib.hawaii.edu/bitstream/10790/262/1/chapter02.pdf) : Rights and Responsibilities of the University of Hawai‘i Community

- [http://www.hawaii.edu/policy/?action=viewPolicy&policySection=ep&policyChapter=1&policyNumber=203](http://www.hawaii.edu/policy/?action=viewPolicy&policySection=ep&policyChapter=1&policyNumber=203) : Policy on Consensual Relationships

- [https://www.hawaii.edu/policy/?action=viewPolicy&policySection=ep&policyChapter=9&policyNumber=210](https://www.hawaii.edu/policy/?action=viewPolicy&policySection=ep&policyChapter=9&policyNumber=210) : E9.210 Workplace non-violence

- [https://dspace.lib.hawaii.edu/bitstream/10790/265/1/e5214.pdf](https://dspace.lib.hawaii.edu/bitstream/10790/265/1/e5214.pdf) : E 5.214 Conflicts of Interest

- [http://www.hawaii.edu/offices/cc/docs/policies/UHCCP_5.211_Statement_on_Professional_Ethics.pdf](http://www.hawaii.edu/offices/cc/docs/policies/UHCCP_5.211_Statement_on_Professional_Ethics.pdf) : UHCC Policy UHCCP #5.211 Statement on Professional Ethics (Faculty)
**ANALYSIS AND EVALUATION**

The College meets the standard.

The institution has upheld a written code of professional ethics for all of its personnel, including consequences for violation.

Based on the preliminary evidence gathered for Standard III.A.13 the College meets the standard. Formal ethics policies and procedures are established by the UH System for various employee classifications. All employees are also subject to State of Hawai‘i ethics rules and regulations. The institution has established training for all faculty and staff regarding Title IX training and awareness. There are policies at the system and campus levels to address ethical and professional behavior such as the BOR Policy, RP 12.201, Ethical Standards of Conduct that address ethical standards of conduct in research and scholarly activities. These policies are available on the Campus’s intranet and the UH’s system HR website.

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**Standard III.A.14.** The institution plans for and provides all personnel with appropriate opportunities for continued professional development, consistent with the institutional mission and based on evolving pedagogy, technology, and learning needs. The institution systematically evaluates professional development programs and uses the results of these evaluations as the basis for improvement.

**EVIDENCE OF MEETING THE STANDARD**

The College plans for and provides all personnel with appropriate opportunities for continued professional development, consistent with the institutional mission and based on evolving pedagogy, technology, and learning needs. The institution systematically evaluates professional development programs and uses the results of these evaluations as the basis for improvement.

_The College plans for and provides all personnel with appropriate opportunities for continued professional development, consistent with the institutional mission and based on evolving pedagogy, technology, and learning needs_.

The UHCC System offers professional development opportunities in leadership. Programs include the Professional Administrative Summer Institute (PASI), the President’s Emerging Leaders Program (PELP), the Community College Leadership Champions (CCLC) and the Wo Learning Champions. Faculty and Staff are nominated from each College to participate...
in these opportunities and the opportunity is supported by the College.

At the College, faculty play a primary role in identifying and providing activities to address professional development needs. Faculty with proven teaching and learning knowledge and abilities and who recognize the value of sharing experiences with others work together to develop, promote, and conduct professional development activities, with or without funding from the College. With College funding, faculty designed a series of professional development experiences to meet the needs of faculty as they transition from new hires to seasoned members of the campus community.

- C4wards (Leigh Dooley)
- Kalāhū (Lisa Kanae)
- The return of half-year full-pay sabbaticals
- Assessment workshops (Tony Silva, Laure Burke, Susan J)
- Reid Sunahara had a program
- FELI (LaVaché); Title III Hawaiian language for faculty/staff
- Check with Teri Mitchell for CAAC prof dev
- TOPP (Teaching Online Prep Program) is a 6 week Laulima professional development course that is offered entirely online with supplemental face to face assistance. Faculty learn requirements and regulations, effective practices, organizing and planning, and explore new Laulima tools. The program is also designed to help instructors build 2 weeks worth of their online class and also receive a certificate of completion.

Support units at the College also provide professional development for faculty and staff. The Office for Institutional Effectiveness, for example, coordinated workshops on grant writing and management, and the writing of survey questions for the purpose of assessment. Auxiliary and Facilities Services schedules professional development opportunities for faculty and staff in such areas as hazardous materials handling and CPR. The College has a faculty development fund to provide up to $1000 per individual for professional development. The funds are awarded in a competitive application process.

In addition to the professional development opportunities provided on campus, the Interim Chancellor allocates a significant amount of funding to campus constituents to participate in professional development activities off campus and off island. (see II.A. for more details?)

- Allocation to the VCs and Deans for prof. dev. (link to memo)
- RTRF allocation of $106,000, open to all faculty, staff and administrators (link to memo and application form)
- Increased Staff Council budget from $3,000 to $10,000 per year for prof. dev. (Check with Alissa for prof. dev. activities)
- Student Congress use student fees for prof. dev. leadership training

- https://youtu.be/eeHko2IBTyO : TOPP & TOSP promo video:
The institution systematically evaluates professional development programs and uses the results of these evaluations as the basis for improvement

The College and the UH System assess professional development for the purpose of documenting the value to the participants and potential impact on their students; and where weaknesses in teaching and learning are identified, to make improvements. Through evaluations and surveys conducted by OFIE and CELTT, the College pursues a systematic assessment of these and other professional development opportunities through evaluations of demonstrated learning outcomes, and improvement of personnel activities. The College’s efforts in professional development to improve student success are tracked in student achievement data reported annually in ARPDs and Student Success Pathway plans. The performance measures tracked in the scorecard for the strategic plan and in institutional effectiveness measures provided a broad assessment of the College’s efforts to improve; professional development targeting increases in student success and learning that is supposed help the College improve in measures such as certificate and degree completion (strategic outcome A and B) and course success (Institutional Effectiveness Measure 1).

In regards to professional development programs that are relevant for DE/CE CELTT offers technology demonstrations, hands-on workshops, and presentations on the UH system LMS. CELTT offers the TOPP/TOSP program. Collaborations with other community colleges provide opportunities for faculty to attend professional development workshops on DE. UHCC System Policies, Faculty senate initiatives, CELTT survey and evaluations, and the Faculty Distance Education Committee ensure that professional development needs of it’s personnel are met.

As the College moves towards its goal to increase course offerings online, it has offered professional development opportunities for instructors teaching or planning to teach online. CELTT has as one of its primary functions to keep faculty and staff current in new technologies and offer workshops to train faculty and staff in the use of the new technological tools. TOPP/TOSP established in 2016 was designed to train faculty in establishing online courses using Laulima, a course management system introduced to the UH campuses in 2008. Since then CELTT has added professional development related to community building, student engagement, standards of conduct, universal design for instruction, new Laulima tools, new Web tools, and web page templates (Reference, Endnote 3A:82). (A.14.Q5, A.14.Q6)

- [http://www.hawaii.edu/policy/?action=viewPolicy&policySection=rp&policyChapter=5&policyNumber=210&menuView=closed](http://www.hawaii.edu/policy/?action=viewPolicy&policySection=rp&policyChapter=5&policyNumber=210&menuView=closed): L BOR Policies RP 5.210 “Distance Education and Off site Instruction”
- [http://www.hawaii.edu/dl/docs/CDC.pdf](http://www.hawaii.edu/dl/docs/CDC.pdf): CDC
- [http://www.hawaii.edu/dl/governance](http://www.hawaii.edu/dl/governance): Distance Learning Governance
The College meets the standard.

The College plans for and provides all personnel with appropriate opportunities for continued professional development, consistent with the institutional mission and based on evolving pedagogy, technology, and learning needs. The institution systematically evaluates professional development programs and uses the results of these evaluations as the basis for
Primary responsibility for professional development is with the College. UH System and UHCC also provide professional development opportunities for the personnel at all colleges.

Gaps within Standard III.A.14 that may need to be addressed involve the identification of resources and opportunities for professional development programs that the institution offers and/or support and identifying specific professional development needs of the Campus personnel.

**Standard III.A.15.** The institution makes provision for the security and confidentiality of personnel records. Each employee has access to his/her personnel records in accordance with law.

**EVIDENCE OF MEETING THE STANDARD**

The institution has made provisions for the security and confidentiality of personnel records. Each employee has access to his/her personnel records in accordance with law.

*The institution has made provisions for the security and confidentiality of personnel records. Each employee has access to his/her personnel records in accordance with law*

Records retention policies, including security and confidentiality, are established by the UH system in accordance with law and collective bargaining agreements. Colleges maintain records under their control in accordance with these policies.

Personnel records of employees are kept in a secure storage room with alarm and access codes. The confidentiality and management of the records are governed by three policies: (1) Fair Information Practice-Confidentiality of Personnel Records (2) Records Management Guidelines; and (3) Personnel Records-BOR Employees Union contracts require the confidentiality of personnel files. College personnel also have access to their records as required by law and stated in their collective bargaining agreements. An employee wanting to review his or her records makes an appointment during normal business hours with the HR office. The individual must present photo identification and review records in the HR office.

- [http://www.hawaii.edu/policy/?action=viewChapter&policySection=ap&policyChapter=9&menuView=closed](http://www.hawaii.edu/policy/?action=viewChapter&policySection=ap&policyChapter=9&menuView=closed) : A9.075, A9.080
The College meets the standard.

The institution has made provisions for the security and confidentiality of personnel records. Each employee has access to his/her personnel records in accordance with law.

Records retention policies, including security and confidentiality, are established by the UH system, in accord with law and collective bargaining agreements. Colleges maintain records under their control in accord with these policies.

There are established policies and procedures at the system and College levels but the information of where faculty and staff can get to their records is not readily available.
III.B.1. The institution assures safe and sufficient physical resources at all locations where it offers courses, programs, and learning support services. They are constructed and maintained to assure access, safety, security, and a healthful learning and working environment.

**EVIDENCE OF MEETING THE STANDARD**

The institution assures that all physical resources are constructed and maintained to provide an accessible, safe, secure, and healthy learning and working environment. This is accomplished by a shared facilities and planning responsibility with the University of Hawai‘i (UH) System, the University of Hawai‘i Community Colleges (UHCC) System and Kapi‘olani Community College.

- UH System manages major capital projects.
- UHCC System Office of Facilities and Environmental Health (FEH) manages large repair and maintenance, health and environmental safety repairs and provides training and oversight for compliance with Cleary Act and workplace violence reporting and training. Facilities manager of KCC serve as the campus liaison with FEH.
- UHCC System Office acquires and allocates Capital Improvements Program (CIP) funding for KCC construction projects.
- Kapi‘olani Community College manages small-scale repairs, regular maintenance of the buildings and the campus, and campus security and safety.
- Building occupants, janitorial/custodial/maintenance staff as well as security personnel monitors campus buildings and grounds.
- KCC participates in the annual renewal reinvestment model (FRRM) that documents the backlog and maintenance and estimating the annual funding required for on-going capital investment. The FRRM uses campus building information (e.g. building name, gross square feet, construction date) and life-cycle methodology based on building sub-system and campus infrastructure life-cycles and replacement costs to estimate deferred maintenance and future capital repair needs.
- Directors of the Academic programs are responsible for informing the College of the needs for equipment and other facilities to support and assure the integrity and quality of its programs and services. Equipment needs and facilities are based on the academic and accreditation standards for the discipline.
- The Campus response and Evacuation Plan (last updated in 2014) is consistent with the processes stated in the UH System Emergency Management Plan
- [http://www.hawaii.edu/offices/aa/IAFP_BOR_Approved_April17.pdf](http://www.hawaii.edu/offices/aa/IAFP_BOR_Approved_April17.pdf) : University of Hawai‘i System Integrated Academic and Facilities Plan for the University of Hawai‘i System, Apr. 20, 2017
- Responsibilities for Oversight & Management of Capital Improvement & Repair & Maintenance Projects: EP10.103
The College meets this standard.

The institution assures that all physical resources are constructed and maintained to provide an accessible, safe, secure, and healthy learning and working environment.

The UHCC System Office of Facilities and Environmental Health (FEH) manage all major facilities projects. FEH ensures that the College is compliant with all applicable State regulations. They oversee the development and coordination of repair and maintenance projects, capital improvement projects; works with contractors, various government inspectors to assure ADA compliance; and are in constant communication with DARGS/DOE and with city agencies. FEH also provides guidance in areas such as hazardous materials and waste management, asbestos and lead management, mold investigation and mitigation recommendation, laboratory safety, fire safety, and other various occupational health and safety issues. FEH also provide an Environmental Health and Safety Awareness Training program through various training courses.

Kapi’olani Community College participates in the annual review of infrastructure to estimate deferred maintenance and future capital repair needs.

Kapi’olani Community College manages small-scale repairs, regular maintenance of the buildings and the campus, and campus security and safety. Building occupants, janitorial/custodial/maintenance staff as well as security personnel monitors campus buildings and grounds. Faculty and staff report facilities issues through the “Work Request Order Form.”

At the Annual Review of Program Data (ARPD) and the three-year cycle Comprehensive
program Review (CPR), the departments regularly evaluate programs, projects and facilities to identify equipment needs and facilities of the program. The Allocation Request Form (ARF) is submitted to request funds to meet these needs.

Kapi‘olani Community College’s Disability Support Service Office (DSSO) ensures that all students have equal access to education. They provide academic adjustments to ensure non-discrimination of students with disabilities.

The institution assures that all physical resources are constructed and maintained to provide an accessible, safe, secure, and healthy learning and working environment.

III.B.2. The institution plans, acquires or builds, maintains, and upgrades or replaces its physical resources, including facilities, equipment, land, and other assets, in a manner that assures effective utilization and the continuing quality necessary to support its programs and services and achieve its mission.

Evidence of Meeting the Standard

The College effectively maintains, improves, and utilizes its facilities in order to support its programs, services, and mission. This is accomplished by coupling support and expertise from the UHCC System Office with derived campus needs and evaluation.

- The UHCC System supports all long-range building and land use planning for Community College campuses by acquiring and allocating Capital Improvements Program (CIP) funding and the implementation of construction projects on the campuses.
- The physical development of the College is guided by the Long Range Development Plan (LRDP), and prioritization is aligned with Tactical Plans that are evaluated and updated annually.
- The campus also formulates a prioritized list of Capital Renewal and Deferred Maintenance projects. This list is a part of an overall strategy to eliminate the backlog through Capital Renewal and Deferred Maintenance budgeting.
- Space utilization studies are conducted, faculty and student surveys are assessed, and Campus Deans meet regularly to address ongoing unit needs. (Ad Astra Study, 2015-2017)
- Campus buildings and grounds are monitored by building occupants, janitorial/custodial/maintenance staff, and security personnel. Small scale repairs and maintenance are undertaken by campus personnel and financial resources.
- External contracts are utilized for energy management, safety monitoring, equipment repair, advanced grounds care, and refuse pick up.
- UHCC CIP
  https://www.hawaii.edu/offices/bor/planning/materials/201611031230/Item_IV.A.1. a
The College meets the standard.

The College effectively maintains, improves, and utilizes its facilities in order to support its programs, services, and mission.

- Campus budget, long-range planning, development, and maintenance are controlled at the System level, with ongoing input provided by the College.
- Large projects, typically requiring professional design consultants, are managed by the UHCC System Office of Facilities and Environmental Health (FEH).
- The FEH, when appropriate, assigns its environmental safety specialist to investigate and recommend remediation of code and safety needs. The FEH informs the UHCC administration of the projects’ scope, cost estimate, and schedule.
- The needs and priorities of the campus are evaluated at all levels, and justified within the LRPD and Tactical and Strategic Plans.
- Three-year cycle Comprehensive Program Reviews are based on the Annual Report of Program Data.
- Select ongoing campus needs are addressed by outside contractors, and new initiatives incorporate external consultants in order to satisfy American Disabilities Act stipulations at the time of construction.
● Existing equipment life cycle is inventoried and managed within the Kuali database system.
● New equipment funds are present within the campus budget, and provide appropriate replacement of obsolete apparatus once future maintenance costs have been properly assessed.

III.B.3. To assure the feasibility and effectiveness of physical resources in supporting institutional programs and services, the institution plans and evaluates its facilities and equipment on a regular basis, taking utilization and other relevant data into account.

EVIDENCE OF MEETING THE STANDARD

The College assures effectiveness in supporting programs and services through regular planning and evaluation of physical resources.

It is the responsibility of the faculty and staff to evaluate and assess facilities, equipment and physical resource needs relative to the department or program in which they work under. In this way, the assessment of the feasibility and effectiveness of physical resources, facilities and equipment are monitored from the bottom up. KapCC uses a process called the Allocation Request of Funds (ARF) to request funds for equipment maintenance and replacement, facilities maintenance and renovations, supplies and materials, and even personnel hires. This process is initiated by faculty and staff and includes the items requested and their accompanying justification. ARFs from all faculty and staff in a department, unit or program are collected by the department chair, unit head or program coordinator who assesses requests by priority. Priority is always given first to issues involving the health and safety of our students, faculty and staff. Other requests are assessed based on program or course success. After the department chair organizes ARF priorities, the requests are sent to the Dean, Vice Chancellor’s, AGOs, and Chancellor for approval. Please see the flowchart for a complete picture of how ARFs are managed and allocated. The ARF permits a comprehensive needs assessment of the physical resources, facilities and equipment in each department, unit or program to be fairly reviewed by those in charge of allocating funds in a timely and organized manner once a year in time for the College’s budget allocation.

● What the process of deciding which improvements to make looks like? Who and how the decisions are made?
• HCC meeting notes:
  • Q1. repair maintenance system can speak to but as far as use (room scheduling, availability of facilities) system will look at the usage and add to LRPD recommendations about when and how to use facilities. There are mechanisms to track use of space. Metasys is a way to track lighting and A/C, etc. to estimate use. Energy management system.
  • Q2. We have a survey each Fall according to Joanne. From Brian: what drives decisions about repairs and maintenance is health and safety and deferred stuff after that in accordance with how best to allocate funds. LRDP addresses campus satisfaction at a higher level. Sometimes the effort to spend money to save money means sacrifices in the long run. Kokio is a money pit of repairs, as example.

Need to say something about LRPD

• [https://drive.google.com/open?id=0B5Spyhx7C_JyTWpTRUU1am1CNUk](https://drive.google.com/open?id=0B5Spyhx7C_JyTWpTRUU1am1CNUk) : ARF flow chart
• [https://drive.google.com/open?id=0B4cUWavjxnJTUEtMQjI2cFFzazA](https://drive.google.com/open?id=0B4cUWavjxnJTUEtMQjI2cFFzazA) : General Fund allocation for FY2017

**ANALYSIS AND EVALUATION**

The College meets the standard.

The College assures effectiveness in supporting programs and services through regular planning and evaluation of physical resources.

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**III.B.4. Long-range capital plans support institutional improvement goals and reflect projections of the total cost of ownership of new facilities and equipment.**

**EVIDENCE OF MEETING THE STANDARD**

The College’s stated capital improvement goals for its physical resources are supported by planned expenditures and those plans reflect the cost of acquiring new facilities and equipment.
**Capital improvement planning**

KCC’s capital improvement plans are guided by UH System capital improvement plans. KCC effectively involves the whole campus in the process of deciding on which improvement projects are funded and works within the guidelines of the UH System plans.


**Analysis and Evaluation**

The College meets the standard.

The College’s stated capital improvement goals for its physical resources are supported by planned expenditures and those plans reflect the cost of acquiring new facilities and equipment.

- The Office of the Vice President for Community Colleges (OVPCC) maintains a website that provides access to capital improvement program for all community colleges. The website explains that: “Capital Improvement Program (CIP) projects are funded through state issued general obligation or revenue bonds. CIP projects include construction of new buildings, major renovations of existing buildings, and major repair or maintenance projects.”
- In terms of providing evidence that long range capital projects are based on institutional planning, the OVPCC website states: “As with the UHCC operating budget, the CIP budget is based upon a 2-year, biennium budget cycle. Through an extensive and cooperative process, a biennial CIP budget request is prepared and submitted to the Legislature for consideration when it convenes in regular session in every odd-numbered year.”
III.C.1. Technology services, professional support, facilities, hardware, and software are appropriate and adequate to support the institution’s management and operational functions, academic programs, teaching and learning, and support services.

Evidence of Meeting the Standard

Kapi’olani Community College’s (KCC) Center for Excellence in Learning, Teaching, and Technology (CELT) ensures that the campus has sufficient technology services, support, facilities, hardware and software that support all functions of the College. Technology support is also shared with the University of Hawai’i system.

Identification and assessment of adequate technology services, professional support, facilities, hardware, and software

The College’s Center for Excellence in Learning, Teaching and Technology (CELT) is the lead entity on campus that plans for, develops and implements initiatives relating to technology service, support, facilities, hardware and software. In 2013, the College created a Technology Plan that focused on current and new initiatives necessary to meet the needs and demands of the campus. An updated technology plan is currently being drafted and will be vetted through the Chancellor’s Advisory Council (CAC).

- One of the main responsibilities of CELT, a division under the Vice Chancellor of Academic Affairs (organization chart, chart 3-A), is to plan, develop and deliver high quality media and computing resources and services student learning, administrative operations, faculty and staff development and delivery of instruction and services. The unit is lead by an appointed faculty member and includes information technology
specialists, a media specialist, a graphic designer, an electronic technician, faculty and several support positions. CELTT continually strives to make sure the campus is informed of best practices and provide the necessary support with the available resources. The division utilizes a CELTT Website housed on the campus domain to provide an overview of their service and access to information and resources needed by the constituents they serve.

- Department annual budgets are reviewed. Technology needs are extracted from individual department budgets, are compiled and given to CELTT. CELTT Coordinator receives budget from Vice Chancellor of Administrative Services. The CELTT Coordinator must prioritize needs.

- The Technology Plan was drafted in 2013 and updated June 2015. University of Hawai‘i Kapi‘olani Community College Technology Plan 2013-2017, Updated June 2015. The plan provided a specific path and priorities of the campus in 2015. Most action plans items were completed.

In addition, the campus follows specific University of Hawai‘i policies, State of Hawai‘i Revised Statutes and external regulations related to Information Security.

- The University of Hawai‘i Information Technology Service Policies and Compliance address the use and management of information technology resources, security and protections of sensitive information, institutional data governance, student conduct code, protection of educational rights and privacy of students, credit card program, electronic payments, records management, social security number protection, security breach of personal information, destruction of personal information records, the Health Insurance Portability and Accountability Act, Family Educational Rights and Privacy Act and other external regulations.

**Improvements of technology resources, services and support**

- The Chancellor’s Advisory Council (CAC) is currently in the process of reinstituting a Technology Workgroup made up of faculty and staff that will work with the CELTT Coordinator in updating the current Technology Plan. After a first draft of the updated Technology Plan is drafted, it will go back to the CAC for review, comments and suggestions. Once the second draft is done, it goes to the CAC for voting and finally to the Chancellor for approval.

- In 2016, the campus surveyed the faculty and staff to gather perceptions of various areas and efforts of the College including CELTT. TheClosing The Loop Survey 12.12.2016 items #30, #31 and #46 addressed equipment needs and access used to
promote student learning and success and respondents rating of CELTT functions. The majority of the responses were favorable when asked about the CELTT’s ability to sufficiently support technology-enhanced teaching and learning experience.

**ANALYSIS AND EVALUATION**

The College meets the standard.

Kapi’olani Community College’s (KCC) Center for Excellence in Learning, Teaching, and Technology (CELT) ensures that the campus has sufficient technology services, support, facilities, hardware and software that support all functions of the College.

Technology support is also shared with the University of Hawai‘i system. First, the College’s CELTT takes the lead on all technology related initiatives. Second, with the support of the CAC, CELTT’s technology plan prioritized the immediate needs of the College. Third, the College utilizes the University of Hawai‘i’s Information Technology Service Policies to ensure compliance with state and federal guidelines.

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**III.C.2. The institution continuously plans for, updates and replaces technology to ensure its technological infrastructure, quality and capacity are adequate to support its mission, operations, programs, and services.**

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**EVIDENCE OF MEETING THE STANDARD**

Kapi’olani Community College plans for, updates and replaced technology to maintain its infrastructure, quality and capacity.

*Continuous planning*

CELT has a clear definition for the technology within their scope, which includes equipment that plugs into a network and equipment that supports the entire campus. CELTT attends regular meetings with the UH system regarding security updates, policies and procedures and infrastructure planning. The UH System provides a foundation on the delivery of services and in some cases purchases certain products, where the College follows protocol to avoid reinventing the wheel and is at a cost saving.
The College’s Chancellor’s Advisory Council (CAC) charter includes technology responsibilities that address the review of information technology capacities and identifying future IT needs. In addition, the CAC must ensure that the College’s technology plans align with the University of Hawai’i’s Community College (UHCC) and University of Hawai’i system directions.

- Under the advisement of the CAC and as a result of the last accreditation cycle, the CELTT Coordinator assembled the CAC Technology Workgroup to vet and develop the latest Technology Plan. The current plan is scheduled to sunset in 2017 and a new plan is currently being developed. Will the new plan address replacement and/or upgrade of not just hardware, but also, software, WiFi and other access points? What are the specifics initiatives in the new plan?

- The CAC Technology Workgroup also addressed the concerns brought up in the last accreditation cycle. Technology Workgroup Meeting Minutes May 2014 and Technology Workgroup Meeting Minutes November 2015

Identification and assessment of updating and replacing technology.
Technology is a costly investment that requires continuous updates and upgrades. However, the University of Hawai’i System allocates approximately $250,000 annually to each campus. Also, as a result of the last accreditation cycle, the College purchased KACE, a Dell IT inventory management system, which services as a centralized inventory system.

- The KACE system allows CELTT to inventory all computers and will track the inventory, identifying replacement points in the future. Once purchased and received, CELTT “bags and tags” inventory by logging into the system, installing necessary software, barcodes the equipment and deploys to the department or location. In addition, KACE allows CELTT to produce an accurate and comprehensive budget and needs assessment.

- KACE has been operational since 2015 and some older inventory still needs to inventoried. However, all new equipment is properly inventoried.

- Currently, there is a technology procurement form available for departments to submit requests for technology purchases.

Analysis and Evaluation

The College meets the standard.

The College plans for, updates and replaces technology to ensure its technological infrastructure, quality and capacity are adequate to support its mission, operations, programs, and services.
Firstly, the College has a dedicated division (CELTT) that updates and replaces most technology and is mainly responsible for the technological infrastructure. Secondly, under the advisement of the CAC Technology Workgroup, CELTT is currently drafting an updated Technology Plan to address infrastructure needs/replacements and hardware and software needs. Thirdly, in response to the last accreditation cycle, the College purchased a comprehensive inventory system (KACE) that tracks inventory and replacement points and can assist the Campus in budgeting needs and assessment once all inventory has been inputted in the system.

III.C.3. The institution assures that technology resources at all locations where it offers courses, programs, and services are implemented and maintained to assure reliable access, safety, and security.

EVIDENCE OF MEETING THE STANDARD

CELTT maintains and implements technology resources at locations that offers courses (including Distance Education courses), program and service assuring reliable access, safety and security.

Identification and assessment of technology support
Kapi'olani Community College’s Center for Excellence in Learning, Teaching, and Technology (CELTT) has mechanism in place that allows faculty and staff to request technological support at ohana.kapiolani.hawaii.edu/departments/celtt/. As campus culture shifts to expand from the “brick and mortar” infrastructure to more e-commerce and online learning, CELTT has positioned themselves to provide support that aligned to address these changes.

- The 2013-2017 Technology Plan was created and followed, providing a concrete action plan to support and maintain a campus-wide infrastructure and network security, which included the inventory, purchase and upgrade of computers, projectors, screens, speakers, software licenses, wireless access points, bandwidth, network closets, network photocopiers, two-way radios, cellular service with voice and data coverage, analog lines, distance learning technologies, current and future renovation projects and other areas. Although the Technology Plan provides a current state of the College’s technology infrastructure, it doesn’t address budget, program reviews, and projections.

- CELTT also has a communication protocol that updates either through e-mail announcements supplemented by a centrally located Customer Care Center for faculty and staff to see in-person technological support.
Improvement of programs and services
The CELTT team has designed a failure-tolerant disaster recovery and reliability infrastructure of multiple hard drives, which follows the IT standards of practice. If one hard drive should fail in a flood, surge, fire, etc., the backup drives will function in its place. Servers and hard drives are placed strategically that greatly minimizes the threat risks.

The CELTT team has extensive knowledge on UH privacy and security policies - [http://www.hawaii.edu/infosec/policies.html](http://www.hawaii.edu/infosec/policies.html) as well as extensive knowledge on Federal and State privacy and security policies.

Analysis and Evaluation
The College meets the standard.

CELT maintains and implements technology resources at locations that offers courses (including Distance Education courses), program and service assuring reliable access, safety and security.

First, a Technology plan was created to provide a campus action plan addressing infrastructure, network security/ Secondly, the team in CELTT has a failure-tolerant disaster recovery and reliability infrastructure.

III.C.4. The institution provides appropriate instruction and support for faculty, staff, students, and administrators, in the effective use of technology and technology systems related to its programs, services, and institutional operations.

Evidence of Meeting the Standard
Kapiʻolani Community College’s Center for Excellence in Learning, Teaching, and Technology (CELT) provides a range of instructional programming and support as it relates to technology to faculty, staff and administrators. In addition, through library services, students have opportunities to attend workshops related to the use of relevant software and programs.
Identification and assessment of instruction and support for faculty, staff and administrators.
CELTT provides a number of professional development opportunities where their instructional designers and other faculty/staff members offer workshops on specific topics related to faculty, staff and administrator job functions.

- CELTT continues to offer and evaluate various training workshops for faculty and staff including those on Laulima (our current course learning management system), Google applications, course design, screencasting, Open-Ended Resources (OER) and other relevant topics. Workshops are also evaluated for their effectiveness.
- In summer 2016, CELTT launched the Teaching Online Prep Program (TOPP), which is a 6-week online program for instructors who will be teaching online for the first time, or are looking for ways to improve current practices. The Teaching Online Self-Paced Program was launched in Fall 2016. This program enables faculty to complete the program at their own pace and not necessarily within a 6-week timeframe. Evaluations and reflections of the summer 2016 program was summarized by the instructional designer in CELTT.
- In Fall 2016, a Distance Education Faculty Survey was distributed to faculty who are currently teaching online. Some of the questions allowed CELTT and the campus to assess the resources used, the comfort level, and the training needs of online instructors. While the questions and results were mostly geared specifically towards distance education, the comments about digital resources are applicable and important.
- A CELTT instructional designer created a blog [https://teachkapiolani.blogspot.com](https://teachkapiolani.blogspot.com) that includes updates and information useful for faculty and their improving their teaching practices.

CELTT responds very quickly to a range of individual requests from faculty, staff and administrators. These requests include, but are not limited to help with Laulima (the University of Hawai‘i learning management system), recording meetings or class sessions, computer viruses, hardware/software not working properly, screencasting, website assistance, uploading documents, Microsoft Office help and much more.

- CELTT’s Resolve site is accessible for faculty, staff and administrators to request any service assistance for equipment, telephone, and/or network problems and instructional support for distance learning, multimedia and Laulima.
The unit maintains a support log, which includes a ticket number, nature of the request, which department was requesting the help, affiliation of the requestor, and other information used for tracking.

In addition, CELTT and the Distance Education Faculty Senate Committee has a synergistic relationship that places faculty needs as a priority.

- The Distance Education Faculty Senate Committee continues to address and discuss various topics important to faculty that includes the campus learning management system, learning software, current CELTT resources, open educational resources, foundational practices for instructors and recommendations to the Interim Chancellor (DE Minutes and DE Action Requests).

Identification and assessment of instruction and support for students

Students attend a host of workshops at the library that can assist in navigating through the technology needed for school.

- Currently, the library’s Secrets of Success (SOS) program offers workshops in how to survive an online course, Laulima use, Google applications, Microsoft Word basics, Microsoft PowerPoint basics, and Microsoft Excel basics. The faculty who organizes the SOS program works closely with presenters (all who volunteer their time) and other on-campus partners to offer relevant workshops.
- Marketing the library’s SOS Workshops are through pamphlets made available to students and all faculty and the website. In addition, SOS workshops are announced in our College’s Daily Updates (email bulletin). Instructors continue to promote the SOS workshops in conjunction with their courses and in some cases, offer extra credit for students to attend.

Analysis and Evaluation

The College meets the standard.

Kapiʻolani Community College’s Center for Excellence in Learning, Teaching, and Technology (CELT) provides a range of instructional programming and support as it relates to technology to faculty, staff and administrators.

In addition, through library services, students have opportunities to attend workshops related to the use of relevant software and programs. First, CELTT provides various professional development and training workshops on various technology tools. Second, CELTT responds to
the needs of individual faculty, staff and administration members with the use of their Resolve system. Third, the FS DE committee looks to CELTT for expertise as it may relate to proposals by the committee. Lastly, Lama Library currently offers programs each semester where students can come to learn about UH-specific tools and general computer basics.

III.C.5. The institution has policies and procedures that guide the appropriate use of technology in the teaching and learning processes.

**EVIDENCE OF MEETING THE STANDARD**

The College adopts the information systems policies and procedures set forth by the University of Hawai‘i system to inform the appropriate use of technology in the teaching and learning processes.

**Identification of policies and procedures that guide the appropriate use of technology**

The University of Hawai‘i System has Board of Regent approved policies that establish University-wide policies and accepted practices for the use and management of all information technology resources.

- Policy [Executive Policy 2.210](#) outlines the context, responsible use, confidentiality and security of electronic information, ownership and security of electronic information, privacy of student information, commitment to access and special responsibilities of system and network administrators.
- Individual Executive Policies address various operations, policies and procedures for all University of Hawai‘i campuses and Kapi‘olani Community College complies with the policies procedures and recommendations:
  - [System and Campus Wide Electronic Channels for Communicating with Students](#)
  - [Security and Protection of Sensitive Information](#)
  - [Institutional Data Governance](#)
  - [Institutional Records Management and Electronic Approvals/Signatures](#)
  - [University Distance Learning Plans, Policies and Procedures](#)
  - [Information Security Specific Policies and Compliance](#)
  - [UH ITS Computer Support Policy](#)
  - [UH ITS Supported Software](#)
  - [UH ITS Browser Recommendations for ITS-Supported Web Applications](#)
  - [General UH ITS Support Links](#)
In addition, a Faculty Senate committee on Distance Education can submit action requests to Faculty Senate if a new policy or procedure would like to be proposed and implemented.

- The request for a DE Coordinator, resulting in a DE Plan
- Faculty Senate endorsement of DE Plan
- Recent activities of DE Committee

**ANALYSIS AND EVALUATION**

The College meets the standard.

The College adopts the information systems policies and procedures set forth by the University of Hawai‘i System to inform the appropriate use of technology in the teaching and learning processes. Firstly, the University of Hawai‘i System has Board of Regent approved policies that establish University-wide policies and accepted practices for the use and management of all information technology resources. Secondly, a Faculty Senate committee on Distance Education can submit action requests to Faculty Senate if a new policy or procedure would like to be proposed and implemented.

**STANDARD III.D. Financial Resources**

**III.D.1. Financial resources are sufficient to support and sustain student learning programs and services and improve institutional effectiveness. The distribution of resources supports the development, maintenance, allocation and reallocation, and enhancement of programs and services. The institution plans and manages its financial affairs with integrity and in a manner that ensures financial stability. (ER 18)**

**EVIDENCE OF MEETING THE STANDARD**

Financial resources are sufficient, effectively distributed, and managed with integrity to support, sustain, and enhance programs, services, and institutional effectiveness in a manner that ensures financial stability.

Kapi‘olani Community College is committed to supporting and sustaining student learning programs and services and improving institutional effectiveness. Sufficient revenue streams are maintained to cover base (or current service) operations as well as to support initiatives that innovate and enhance programs and services. Institutional priorities are identified through goals and objectives established during the strategic planning process and funding sources are provided to help realize some of these priorities. The College works in concert with the University of Hawai‘i Community Colleges (UHCC) system office to ensure that the budget process at both the system and campus levels are managed with integrity and that financial
stability is maintained.

The approved Board of Regents operating budget for FY 2017 has a projected (insert campus data) in unrestricted revenue to fund an unrestricted expenditure budget of (insert campus data). Expenditures exceed revenues by (insert campus data), to cover planned one-time expenses. The one-time expenses were programmed in the previous fiscal year and carryover balances were earmarked for these requirements and subsequently carried forward into FY 2017. Reserve requirements exceed both minimum 5% and targeted 10% thresholds. (Budget FY 17)

**The College has sufficient revenues to support educational improvement and innovation**

*General Funds and Tuition and Fees Special Funds*

Kapi'olani Community College, and the UHCC system as a whole, rely on State appropriated revenues (General Funds) to subsidize a significant portion of its operations in order to keep post-secondary education within reach of target populations. Each year, the UHCC campus Chancellors and the Vice President for Community Colleges work together to determine General Fund allocations to the individual colleges, with the aim of maintaining established levels of current service funding. Current Service funding equals the prior year General Fund appropriation, plus any previously agreed-upon collective bargaining augmentations, minus based budget reductions, plus funds for new initiatives (program change requests). General Fund base budget reductions are normally driven by downturns in the State economy; however, it should be noted that there have been no significant budget reductions since FY 2011.

In 1995, the Legislature authorized the establishment of the Tuition and Fees Special Fund (TFSF) and permitted the University to retain and expend revenues earned from tuition in order to “maintain and improve the University’s programs and operations” (Act 161, SLH 1995). Prior to this action, tuition revenues were retained by the State and the University received General Fund appropriations for all of its general operating expenses. This change afforded the Community Colleges the means to implement planned tuition increases designed to sufficiently cover base operations as well as fund initiatives supporting educational improvement and innovation. It should also be noted that in spite of consecutive tuition increases over the past twelve years, the Community Colleges remain affordable. According to the 2016 College Affordability Diagnosis by the University of Pennsylvania Graduate School of Education, the UHCC campuses were identified as the most affordable two-year public higher education institutions in the nation (Affordability study).

The General Funds received by the College combined with tuition and fees revenues (Tuition and Fees Special Fund) generated from credit instruction comprise the general operating fund or “unrestricted operating budget” of the campuses. Over the past 5 years, the College has
maintained a healthy TFSF balance (attach FP for 2012 to 2017).

The funding of the general operating budget through a combination of General Funds and TFSF has a significant stabilizing effect on campus operations. General Fund allocations remain relatively stable even when enrollments contract, mitigating the impact of the loss of TFSF revenue. Conversely when enrollments grow, the College generates additional revenue to meet increased costs. As mentioned previously, reductions to the General Fund base itself usually coincide with downturns in the State economy; however, these periods are often associated with increases in enrollment as students leave the workforce to further their education (attach KapCC tables of historical GF allocations plus TFSF revenue).

Other Special and Revolving Funds

Other special and revolving funds also finance certain aspects of campus operations; however, unlike General Funds and TFSF that support general operations, these funding sources are used to support specific program activities. The program activities include non-credit instruction, summer session instruction, conferences, and student activities. The individual funds are established by statute and operate on a self-sustaining basis. In addition to covering direct costs, programs are required to generate an administrative cost fee to cover their equitable share of general campus operating expenses.

Extramural Funds

Extramural funds are project-based funds from federal, state, and private sources, which relate to research and training grants or contracts. These funds are obtained through competitive grants or contracts and are focused on specific improvements or on services provided to the contracting agency. All extramural funds are administered through the University Office of Research Services (attach KapCC extramural E&E tables).

Reserves

The UHCC System requires that each campus maintain adequate financial resources to ensure financial stability (UHCCP 8.201). The College maintains sufficient cash reserves to address emergencies (___% reserve as of XX/XX/XXXX) and other operating contingencies such as temporary downturns in enrollment or significant one-time investment opportunities that support educational improvement and innovation (10% targeted reserves) (attach KCC reserve levels).

Capital Improvements Program (CIP) Funds

The UHCC system supports all campuses by securing and allocating Capital Improvements Program (CIP) funding. The primary revenue source for University CIP projects comes from State-issued general obligation bonds, where debt service payments to retire the bonds are
funded by the State. Individual campuses are not obligated to pay for these long-term obligations.

Funding for Capital Renewal and Deferred Maintenance (CRDM) and Minor CIP are provided as State-funded lump sum appropriations, which means that the Community Colleges can determine the specific projects that are funded through the lump sum appropriations. The UHCC system conducts an annual CRDM and Minor CIP budget meeting to allocate the lump sum appropriations. Each campus formulates prioritized lists of CRDM and Minor CIP projects for consideration. Projects are prioritized at the UHCC system level by weighing the relative importance of each project against the needs of the seven UHCC campuses. This process ensures that the highest CRDM and Minor CIP needs are met by allowing the funds to flow to the most critical projects in the UHCC system [attach KapCC historical CRDM and Minor CIP allocations]. (ER 18 Compliant)

The institution’s finances are managed with integrity in a manner that ensures financial stability.

Board of Regents Oversight

The framework of financial planning begins with a comprehensive operating financial plan submitted to the Board of Regents (BOR) for its approval prior to the start of each fiscal year. The plan provides the BOR with oversight to ensure that the University is managing its resources in a fiscally responsible manner.

The plan includes all appropriated funds including the general operating budget and other special and revolving funds. The primary underlying assumption of the approved plan is that projected expenditures do not exceed projected revenue, except for planned one-time expenditures. These budgets are broken down on a quarterly basis and variances exceeding established thresholds at the Community College System level must be explained to the BOR at the close of each quarter (BOR Budget FY17). (ER 18 Compliant)

Budget Adjustments

All general operating and other special and revolving fund budgets are entered into the Kuali financial management system at the individual account level and by major category of expenditure (regular payroll, lecturer payroll, casual hire payroll, student help payroll, other current expenses and equipment). These budgets are monitored via monthly budget-to-actual reports that are posted to the UHCC Budget website [attach list of available budget to actual reports].
General operating budgets (GF+TFSF) are monitored and adjusted throughout the year as needed. For other special and revolving funds, financial plans are monitored to track revenue and expenditure projections (attach 37-47 reports). Best practices regarding cash management are followed to ensure that cash flow requirements, long-term obligations, and other unanticipated costs can be covered as they arise.

**The institution’s resource allocation process provides a means for setting priorities for funding institutional improvements.**

Kapi‘olani CC is one of seven community colleges in the UHCC system. Accordingly, the College is part of two resource allocation processes – the UHCC system and its own.

At the system level, allocations are provided for priority initiatives to allow all seven campuses the means to implement institutional improvements that support strategically important initiatives. The Hawai‘i Graduation Initiative (HGI) is an example of a high-priority initiative. The HGI aims to increase the number of educated citizens within the state. HGI’s strategies reflect the UHCC System’s commitment to support increased student participation and completion, particularly for students from underserved populations and regions, and to expand workforce development opportunities across the State.

**UHCC System Performance Funds**

Performance-based funding has been identified as a solution aimed at generating greater institutional productivity, accountability and educational attainment. Through funding incentives, performance-based funding is designed to encourage efficient resource allocation, greater awareness and attention to strategic priorities and a results-oriented campus culture. The Community Colleges currently earmark approximately $6.5 million of its base budget for this purpose. Starting in FY 2016, the University of Hawai‘i system began providing performance funding allocations that contributed an additional $2.0 million. Combined, performance funding represents over 4% of the total general operating budget (attach KapCC historical performance funding allocations).

Performance funding allocations support the HGI by linking funding to the successful attainment of goals that promote the initiative. Performance measures related to increasing student participation and completion, particularly for students from underserved populations and regions, and expanding workforce development opportunities, are intimately tied to HGI’s strategies.

**UHCC Innovation Funds and other Strategic Initiatives**

Innovation and strategic initiative funding allocations are used to address critical needs identified through the strategic planning process and support the goals of the HGI. Some of the initiatives include subsidizing the cost of new classes associated with enrollment growth, reforming developmental education, improving retention and persistence through guided pathway and early intervention systems, expanding financial aid support, supporting Native
Hawaiian achievement, and replacing again equipment.

At the campus level, the College ensures that the entire campus has the opportunity to participate in the budget deliberation process. The campus-based resource allocation process uses [KOP 1.111](https://laulima.hawaii.edu/x/FZMO0k) as its framework, and welcomes participation from throughout the campus through the College’s authorized governance organizations. The entire process is based on campus priorities as laid out in its Strategic Plan and as reflected at the program or unit level through annual program reports, such as the Annual Report of Program Data ([ARPD, attach sample ARPD here](https://laulima.hawaii.edu/x/)) or Student Success Plans ([SSP, attach sample SSP here](https://laulima.hawaii.edu/x/)).

The attached [flowchart](https://laulima.hawaii.edu/x/) reflects the campus’ allocation request process. It is an integrated planning process and is based upon transparency, communicativeness, and inclusivity. The process also places the responsibility for prioritizing requests on the Authorized Governance Organizations (AGO’s).

*(Co-chair’s note: This is the link to the UHCC system’s presentation by Lance Yamamoto on Standard III.D. See UHCC System’s Resource Matrix for Standard III.): ([https://laulima.hawaii.edu/x/](https://laulima.hawaii.edu/x/)). This may apply throughout III.D.)*

**ANALYSIS AND EVALUATION**

The College meets the standard.

Financial resources are sufficient, effectively distributed, and managed with integrity to support, sustain, and enhance programs, services, and institutional effectiveness in a manner that ensures financial stability.

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III.D.2. The institution’s mission and goals are the foundation for financial planning, and financial planning is integrated with and supports all institutional planning. The institution has policies and procedures to ensure sound financial practices and financial stability. Appropriate financial information is disseminated throughout the institution in a timely manner.

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**EVIDENCE OF MEETING THE STANDARD**

The College’s mission and strategic goals are the foundation for all financial planning, which supports institutional planning, and are guided by policies and procedures that ensure sound financial practices and financial stability. Appropriate financial information is disseminated throughout the College in a timely manner.
Mission and strategic goals are the foundation for all financial planning
System level financial and institutional planning

The financial planning processes rely on UH System, UHCC System and campus plans for content. The UH and UHCC strategic plans set the overall direction and performance benchmarks, and college strategic plans set local goals and local budget plans to achieve these goals. Institutional standards for achievement and the methods of assessing these standards are set by UHCC policy (UHCCP # 4.203 Institution-Set Standards). Campus plans operationalize the methods to meet these standards.

The timing of the financial planning process at the college level is tied to the State budget and UH budget processes. The University of Hawai‘i System President prepares a budget, which includes all elements of the university for submission to the BOR. Upon approval by the BOR, the University’s budget is submitted to the Governor for review and incorporation into the executive budget request. The executive budget request for the State is then submitted to the Legislature in December for consideration in the regular session of the Legislature in January. Appropriations by the Legislature are usually passed in May and transmitted to the Governor for approval. Upon approval by the Governor in June, allocation notices are transmitted to the University, including any restrictions imposed on Legislative appropriations. The President determines distributions of general funds including a UHCC level distribution. The Vice President for Community Colleges and the Community College Chancellors determine the general fund allocations to the individual Community College campuses, normally maintaining established levels of current service funding.

The Board of Regents and other institutional leadership receive information about fiscal planning that demonstrates its link to institutional planning

Budget and financial reviews are conducted by the University of Hawai‘i Board of Regents. Board Policy 8.204 (attach Board Policy 8.204) sets the University’s fiscal management, budget process, legislative budget proposal, and preparation processes. Leading practices encourage boards to establish policies and practices to ensure that institutional priorities and budget expenditures are aligned and that resources are strategically invested in the university’s mission, vision, and plans.

At the system level, strategic planning drives the development of a Budget Policy Paper that is issued by the University President during the biennium budget cycle (attach Budget Policy Paper). The Budget Policy Paper emphasizes proposals that can be framed to support the major strategic directions of the University of Hawai‘i. Strategic planning and budget development are closely linked processes as budget priorities are based on the achievement and advancement of strategic planning goals.

The Strategic Planning Council (SPC) is the primary body for assuring UHCC participation in the
strategic planning process (attach UHCCP 4.101). The council consists of the seven chancellors, seven faculty senate chairs, seven student government leaders from each of the campuses and vice president and associate vice presidents for the community colleges. The SPC evaluates and finalizes outcomes and performance measures and meets twice a year in full session to review progress made toward the goals and to make adjustments as needed over the planning period (attach SPC agenda/minutes?). The SPC uses the outcomes of the strategic planning process to set goals and priorities that are reflected in program planning, budget planning and resource allocation decisions. The SPC also makes recommendations on the allocations and broad purposes of the innovation funds (described in earlier sections).

Strategic goals drive budget priorities in an effort to achieve the outcomes directed by the UH Board of Regents (BOR).

Annual Review

The Board approves an annual operating budget for all campuses, the UH System and the Board of Regents’ office (attach Campus Budget submitted to the Board including system prepared overview). The operating budget accounts for all sources of funds, as well as all major categories of expenditures. Additionally, the Board approves an annual capital improvements program budget for the University. The capital improvement budget accounts for all major projects that will be in the planning, design or construction stages. The operating and capital improvement budgets are transmitted to the Board for review and subsequent approval following each legislative session and incorporates the most recent legislative appropriations and actions.

Quarterly Reviews

The University of Hawai‘i System Administration provides quarterly financial reports to the Board of Regents that reflects budget-to-actual performance, along with explanations for significant deviations from the approved budget. The financial reports provide initial balances, revenues, expenditures, and updates to projected year-end balances based on activity in the previous quarter. The report also includes explanations of significant trends or events and Board-established reserve targets with actual reserves for the quarterly period.

College level financial and institutional planning

The College mission is reviewed as part of the strategic planning process. The University of Hawai‘i (UH) has identified guiding principles in establishing formal Strategic Directions for 2015-2021. The UH Strategic Directions, approved by the BOR in January 2015, provides the framework, objectives, and priority targets for the College in formulating its own strategic plan. The campus strategic plan is in alignment with the UHCC strategic plan, which is also in alignment with the UH Strategic Directions (attach Strategic Directions 2015-2021).

The College’s strategic plan serves as the focal point of and provides the direction for the campus based budget development process. KOP 1.111 or
https://laulima.hawaii.edu/x/FZMO0k provides guidance in the budget process, specifically through the Prioritization and Allocation Integration with Resources (PAIR) process.

The College’s mission and goals are integral to the financial planning carried out by the UH system. The UHCC system considers the individual college mission in planning and allocation. The allocation methodology includes outcomes funding based on common goals, but with specific targets established for each college.

For the College, the UH System establishes a foundational budget based on State allocation and consistent with campus needs. The overall health and productivity of programs within the College are assessed using Annual Reports of Program Data (ARPDs), which then help guide the campus Strategic Plan. More broadly, the College also formulates a Long Range Development Plan that addresses future needs for the campus and its students. All Program Reports, as well as the Strategic and Long Range Plans, are vetted by campus leadership and supporting committees on an ongoing basis. In addition, an established UHCC Performance Funding Model supplements campus resources if certain criteria are achieved.

- Base budget (link needed)
- http://ofie.kapiolani.hawaii.edu/program-review/ : ARPD

Ongoing financial support from the campus is also provided to departments and programs based upon justified needs and alignment with their goals, as well as goals outlined in the Student Success Plan. This integration of planning and budgeting is illustrated by the campus Allocation Request Form (ARF) used in the process that determines priorities and validates correlation with campus goals. Submitted ARFs are reviewed by the four authorized government organizations on campus.

- https://ohana.kapiolani.hawaii.edu/docs/allocation-request-form/ : ARF
Policies and procedures ensure sound financial practices and financial stability.

Financial sustainability and integrity are upheld through the maintenance of adequate reserves, in compliance with the standards of the Accrediting Commission for Community and Junior Colleges (ACCJC). In addition, UHCCP 8.2011 requires that sufficient reserve targets be met and maintained (attach UHCCP 8.201).

The cash reserve is defined as unrestricted funds set aside to ensure the long-term financial stability of UHCC programs by providing resources to address emergency situations, unanticipated shortfalls in revenue, increases in expenditures and other one-time funding opportunities that help campuses meet goals for continuous improvement.

Cash Reserves are made up of a Minimum Reserve (5% of prior year expenditures) and a Target Reserve (5%-10% of prior year expenditures):

Dissemination of financial information

- Quarterly reports to units and departments through the Administrative Staff
- CAC Budget Workgroup meeting minutes
- CAC meeting minutes
- In October, the Chancellor provides all constituents with a snapshot of how our budget is allocated.
  - Chancellor budget allocation memo
  - Budget allocation excel document

Analysis and Evaluation

The College meets the standard. The College’s mission and strategic goals are the foundation for all financial planning, which supports institutional planning, and the financial planning is guided by policies and procedures that ensure sound financial practices and financial stability. Appropriate financial information is disseminated throughout the College in a timely manner.

III.D.3. The institution clearly defines and follows its guidelines and processes for financial planning and budget development, with all constituencies having appropriate opportunities to participate in the development of institutional plans and budgets.
EVIDENCE OF MEETING THE STANDARD

The College clearly defines and follows guidelines and processes for financial planning and budget development, which include opportunities for all its constituencies to participate in planning and budgeting.

The College’s policies and procedures

- KOP 1.111. Kapi’olani CC Operational Policy or https://laulima.hawaii.edu/x/FZMO0k
- KOP 1.112

The participatory processes for financial planning and budget development

Each year starting in the summer for the upcoming fiscal year (FY) and continuing through the FY to ensure that expenditures are met, individual units and departments work with administration and Authorized Governance Organizations (AGOs) to allocate the budget received from the system. Allocations are based on program/unit/department alignment with the strategic plan and student success pathway as related through Annual Reports of Program Data (ARPDs) and Comprehensive Program Reviews (CPRs). Departments also refer to their five-year budget plans during the allocation process. Finally, the submission of allocation request forms (ARFs) is a bottom-up process to ensure that more immediate expenditures are procured in a timely and fairly vetted manner. ARFs may be submitted by any constituent on campus. All ARFs must also be tied to the strategic plan and student success pathway for consideration. Multiple meetings and town halls are conducted to ensure participation by all constituents throughout the budgeting process.

- The UHCC budget report communicates the General Funds (GF) and the Tuition and Fees & Special Funds (TFSF) allocated to the College for the fiscal year. This report provides the College with the information it needs to realistically project its expenditures for the current fiscal year.
  - Budget Allocation Spreadsheet for FY2017. FY17 Budget Allocation Report

- In the summer, the Vice Chancellor for Administrative Services schedules a meeting with all department/unit heads to begin to put together their budget requests.
  - Email of meeting
  - Sample budget request form

- In September, the program administrators meet with the various departments to discuss their budget
  - Budget meeting memo
  - Budget request and 5-year plan meeting schedule
In October, the Chancellor provides all constituents with a snapshot of how the College’s budget is allocated.

- Chancellor budget allocation memo
- Budget allocation excel document

Allocation Request Forms (ARFs) are submitted by each department in March prior to the fiscal year in which they will be implemented. The ARFs go through many nodes of vetting and approval to ensure all submissions are treated fairly, and town hall meetings are scheduled to allow all requesters time to talk with constituents about their requests. The allocations determined in the final approval of ARFs are included in the FY budget.

- Vetting and approval flow chart of ARFs
- Timeline of ARFs
- Town Hall meetings
- ARF form

**ANALYSIS AND EVALUATION**

The College meets the standard.

The College clearly defines and follows guidelines and processes for financial planning and budget development, which include opportunities for all its constituencies to participate in planning and budgeting.

- The College has a budget process in place that involves all constituents in the process at different times.
- The College notifies constituents of the progress of the budget allocation process
- The College allows for budget requests to be made from the bottom up to ensure all constituents have equal access to allocation funds

**III.D.4. Institutional planning reflects a realistic assessment of financial resource availability, development of financial resources, partnerships, and expenditure requirements.**

**EVIDENCE OF MEETING THE STANDARD**

The College’s planning is based on realistic projections of the availability of financial resources, the formation of potential partnerships, and expenditures.
**Projections of the availability of financial resources, the formation of potential partnerships, and expenditures.**

The College plans its allocation of funds based on the UH System’s report allocating funds to the community colleges for the fiscal year. This report is generally received in early September of each fiscal year and the Business Office, together with the Chancellor and Vice Chancellor for Administrative Services, generates a budget and memoranda informing each academic unit of its budget for the year.

- The UHCC budget report communicates the General Funds (GF) and the Tuition and Fees & Special Funds (TFSF) allocated to the College for the fiscal year. This report provides the College with the information it needs to realistically project its expenditures for the current fiscal year.
  - **Budget Allocation Spreadsheet for FY2017.** [FY17 Budget Allocation Report](#)

- The Chancellor’s Memorandum provides a timely communication of the College’s budget allocation based on the UHCC budget report. The Chancellor’s memo clearly states what the allocation of funds will be for expenditures (e.g. lecturer expenses, salaries, etc.), and reference in the memo to departmental worksheets provides each department with its specific budget allocation. This information allows departments to match and/or adjust their projected expenditures to the actual funds allocated for the fiscal year.
  - **Chancellor Memorandum on GF & SF Allocations for FY2017.** [Chancellor Budget Memo 10/24/16](#)
  - **KCC 4th Qtr Financial Reserves Report.**
  - **KCC 1st Qtr Budget Allocation**

- The Budget Process Flowchart demonstrates the College’s process for assessing each department’s request for fiscal year funding in anticipation of the UHCC office’s budget allocation report. The flowchart illustrates the process by which each academic unit can lobby for its own budgetary wants and needs so that its request and its justification can be reviewed by unit heads, the Faculty Senate, and the Vice Chancellors before going to the Chancellor for a final decision.
  - **AY17 Budget Process Flowchart.** [Budget Process Flowchart](#)

- One of the systemwide institutional planning initiatives focuses on the implementation of the Student Success Pathway (SSP). Timely communication of funding from the University of Hawai‘i Community College (UHCC) office to the Vice Chancellor of Academic Affairs (VCAA) communicated a funding update that supported the College’s plan to move forward with adopting the campus-wide application of the SSP.
  - **Communication of Additional Funding for Student Success Council.** [July 2016 Funding Update for FY17](#)
ANALYSIS AND EVALUATION

The College meets the standard.

The College’s planning is based on realistic projections of the availability of financial resources, the formation of potential partnerships, and expenditures.

The College continuously improves and maintains its physical resources within the constraints of its budget. The College plans its improvement and maintenance projects based on reporting from the Chancellor, the Vice Chancellor for Administrative Services and its Budget Office.

III.D.5. To assure the financial integrity of the institution and responsible use of its financial resources, the internal control structure has appropriate control mechanisms and widely disseminates dependable and timely information for sound financial decision making. The institution regularly evaluates its financial management practices and uses the results to improve internal control systems.

EVIDENCE OF MEETING THE STANDARD

The College ensures financial integrity through appropriately structured control processes, widely disseminates dependable and timely information for sound financial decision making, and systematically evaluates its practices for improvement.

Financial integrity through appropriately structured control mechanisms

Every year, the UH system has an external audit for process feedback and enhancement of the financial system. The College has regular internal and external audits approved by the Board of Regents. In addition, the UH system Financial Management Office (FMO) and UH System websites post both CFS & A-133 Financial Compliance Audits for viewing.

- Consolidated Financial Statements (CFS) & A-133 UH are posted on the FMO & UH System websites
  - UH Financial Reports on FMO Website: http://www.fmo.hawaii.edu/fin_reports.html
  - UH Financial Reports on UH System Website: https://www.hawaii.edu/offices/budget-finance/
- External audits are regularly approved by the BOR (System)
  - BOR minutes <evidence needed>
  - External Audits – no material findings (System) <evidence needed>
- UH internal audits are regularly approved by the BOR (System)
  - BOR minutes <evidence needed>
- UH Internal Audits – recent internal audits (Campus) <evidence needed>
- Corrective Action Plan for UH internal audits (p. 41-48) <evidence needed>
- Consolidated Financial Statements (System) <evidence needed>
- A-133 Audits (System)
- Campus service-level reviews of business services and operations (Campus)
- Campus evaluation (performance goals, enrollment, ARPD’s, internal measures, etc. – Campus)
- UHCC financial planning (historic eval. of expenditures, enrollment, tuition projections, salary adjustments, etc.- System)

Information is widely disseminated and the College systematically evaluates its practices for improvement

Dissemination

- Consolidated Financial Statements (CFS) & A-133 UH are posted on the FMO & UH System websites
  - UH Financial Reports on FMO Website: http://www.fmo.hawaii.edu/fin_reports.html
  - UH Financial Reports on UH System Website: https://www.hawaii.edu/offices/budget-finance/
- A-133 Audits (System)

Evaluation

ANALYSIS AND EVALUATION

The College meets the standard.

The College ensures financial integrity through appropriately structured control processes, widely disseminates dependable and timely information for sound financial decision making, and systematically evaluates its practices for improvement.

- Every year, the UH system has an external audit for process feedback and enhancement of financial system. KCC has regular internal and external audits approved by the Board of Regents. In addition, the UH system Financial Management Office (FMO) and UH System websites post both CFS & A-133 Financial Compliance Audits for viewing.
Kapi‘olani Community College ensures financial integrity through structured control processes, including widely disseminated information and systematic evaluation for improvement.

III.D.6. Financial documents, including the budget, have a high degree of credibility and accuracy, and reflect appropriate allocation and use of financial resources to support student learning programs and services.

EVIDENCE OF MEETING THE STANDARD

College financial documents have a high degree of credibility and accuracy and illustrate the appropriate allocation of budgetary resources to support student learning programs and services.

All budget and expenditure information is derived from the University’s enterprise financial system, which is fully audited each year. As documented in Standard III.D.2, the expenditures are aligned with the campus mission and goals for student learning.

- UH Audits
  https://www.hawaii.edu/offices/budget-finance/

In addition to the comprehensive UH system audit, other aspects of the College’s financial portfolio are reviewed. For example, the UHCC Department of Budget, Planning and Finance conducts internal audits; the Office of Research Services reviews and reports on extramural funds; the UH Foundation manages its funding streams, and the Financial Aid Office within the campus Kekaulike Information and Service Center is also externally audited annually.

- UHCC Department of Budget, Planning and Finance audits
  http://www.manoa.hawaii.edu/ovcafo/newbudget/
- Office of Research Services reports
  http://www.ors.hawaii.edu/index.php/bor-reports
- UH Foundation audits
  http://www.uhfoundation.org/resources/reports
- Kekaulike Information and Service Center reports
  (need link here)

All of the listed audits and reports are reviewed at various levels that include the campus, system, and the Board of Regents. These records are publicly available and relevant facets of
them are also reviewed at the campus Faculty Senate Budget Subcommittee.

**ANALYSIS AND EVALUATION**
The College meets the standard.

College financial documents have a high degree of credibility and accuracy and illustrate the appropriate allocation of budgetary resources to support student learning programs and services.

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**III.D.7. Institutional responses to external audit findings are comprehensive, timely, and communicated appropriately.**

**EVIDENCE OF MEETING THE STANDARD**
The UHCC system responds to external audits in a comprehensive and timely manner and communicates these findings appropriately.

- The system has one comprehensive fiscal audit; individual campuses do not have individual fiscal audits. This audit is conducted annually by an external auditing firm. The results are shared via the website below. Those in need of responding to the audit results are consulted and given time to respond.

- The system has an Office of Internal Audit whose responsibility is to:
  - Assist the Board of Regents and University Management in fulfilling their oversight, management, and operating responsibilities.
  - Provide independent, objective assurance, and consulting services designed to add value and improve the University’s operations.
  - Serve as a liaison between University Management and external auditors.  

- The Board of Regents has a Committee on Independent Audit, whose responsibility is to assist the Board in compliance, review and recommendations of the audit.
  - [https://www.hawaii.edu/offices/bor/audit/](https://www.hawaii.edu/offices/bor/audit/)
UH Whistle Blower Hotline was launched in June 2016 to safely report fraud, waste, abuse, or other conduct one may believe is in violation of the University’s policies or other laws, rules, or regulations.


**Budget/fiscal conditions/financial planning**

Financial or internal reports provide budgets, historical or current year revenues, expenditures, transfers, legislative or executive restrictions, enrollment trends, carryforward cash balances, reserve balances, and cash projections to College staff at various levels. Information is communicated via written memorandum, reports, or meetings at the beginning of the year during the development of the budget, and periodically during the year to monitor financial status, to assess the need for budget adjustments due to changes to initial plans, unanticipated savings, or new requirements and to revise projections if necessary.

**Audit results**

The UHCC System undergoes a yearly financial audit. Financial audit findings are discussed with affected units to ensure units have an understanding of the reason for the finding and the regulations or other requirements upon which the finding is based. Findings are also communicated to campus administrative staff and campus or system support units if they are affected or may be involved with corrective action.

Corrective action plans in response to audit exceptions or deficiencies in an auditor’s management letter are implemented when identified during the audit or after completion of the audit. Corrective action plans identify the program, individuals responsible for implementing corrective action, actions taken to correct the audit finding or deficiency if applicable, actions taken to prevent reoccurrence if applicable, and the date corrective actions were taken.

For the annual financial audits, corrective actions are confirmed by the auditor in the subsequent annual audit (A-133 Prior Audit Findings section) or management letter.

With regard to management audits, the University of Hawai‘i, including the UHCC System, shares one Internal Audit office. There is no campus based Internal Auditor. The UH Internal Auditor operates independently of any campus and reports directly to the Board of Regents. Over the past several years, the College has undergone routine internal audits. As findings and recommendations were given by the Internal Auditor, the College planned and implemented solutions. Corrective actions are confirmed by review of operations or follow-up audit by auditors if any.
Affected units and administrative or support unit staff discuss and develop corrective action plans which may include recording of transactions to correct errors, changes to existing procedures or development of new procedures, staffing changes, training, implementation of new systems, e.g. Destiny (software for non-credit registration), to improve compliance with regulations, increase or enhance financial or programmatic data available for monitoring and decision making, or improve internal control.

ANALYSIS AND EVALUATION

The College meets the Standard

The College responds to external audits in a comprehensive and timely manner and communicates these findings to appropriately.

- The system has a yearly external audit
- The College does not have a campus specific auditor
- There is a whistleblower hotline for any persons affiliated with the UH system to report fraudulent activity.

III.D.8. The institution’s financial and internal control systems are evaluated and assessed for validity and effectiveness, and the results of this assessment are used for improvement.

EVIDENCE OF MEETING THE STANDARD

The University of Hawai’i system evaluates the validity and effectiveness of its financial control systems and uses the results to make improvements.

Evaluation of financial control systems

The University of Hawai’i has a process in place to evaluate and assess its financial and internal control systems.

- University of Hawai’i External Audit Report [A133]

Consolidated financial statements are prepared annually in accordance with generally accepted accounting principles. The audit addresses all UH funds, including all special funds.

Hawai’i Revised Statutes §23-12 requires the State of Hawai’i’s Office of the Auditor to conduct a review of University of Hawai’i special, revolving, and trust funds and accounts once every five
Extramural funds are audited annually as part of the consolidated financial statement audit and compliance audit. Extramural funding agencies may perform program or financial audits of grants or contracts at any time during or after the funding period for any reason, including normal programmatic or financial monitoring or in the event of suspected fraud or criminal activity.

UH internal audits are conducted to ensure the quality and integrity of the University’s compliance with legal, regulatory and policy requirements, financial reporting and financial statements and internal controls. Internal audits are not conducted on a regular cycle.

The annual consolidated financial statements are prepared in accordance with accounting principles generally accepted in the United States of America, including the design, implementation and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors express an opinion on the consolidated financial statements based on their audit. Their audit is performed in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States. The standards require that the audit be performed to obtain reasonable assurance about whether the consolidated financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors’ judgment, including the assessment of the risks of material misstatement of the consolidated financial statements, whether due to fraud or error. In making those risk assessments, the auditors consider internal control relevant to the entity’s preparation and fair presentation of the consolidated financial statements in order to design audit procedures that are appropriate in the circumstances. The audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the consolidated financial statements.

The independent auditors report for the 2016 consolidated financial statements contains an unqualified opinion, meaning the auditors have no reservations concerning the financial statements. It states: “In our opinion, the consolidated financial statements referred to above present fairly, in all material respects, the financial position of the University of Hawai‘i, as of June 30, 2016 and 2015, and the changes in financial position and cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.”
In addition to the audit of the financial statements, the university is required to have a financial and compliance audit since it expends $750,000 or more in federal awards during the fiscal year.

The audit provides a report on internal control over financial reporting and compliance with provisions of laws, regulations, contracts, and award agreements, noncompliance with which could have a material effect on the financial statements. This report describes the scope of testing of internal control and compliance and the results of the tests, and, where applicable, it refers to a separate schedule of findings and questioned costs.

For 2016, with respect to internal control over financial reporting, the auditor reported that he “did not identify any deficiencies in internal control that [he] consider[s] to be material weaknesses.” The auditor reported that he “also noted certain other matters that [he] will report to the Board of Regents and management of the University in [his] Internal Control and Business Issues Report.”

For 2016, with respect to compliance with provisions of laws, regulations, contracts, and award agreements, the auditor reported that “[t]he results of [his] tests and the report of other auditors disclosed no instances of noncompliance or other matters that are required to be reported under Government Auditing Standards.”

The audit also provides a report on compliance for each major program and a report on internal control over compliance. This report describes the scope of testing of internal control over compliance and includes an opinion or disclaimer of opinion as to whether the auditee complied with Federal statutes, regulations, and the terms and conditions of Federal awards, which could have a direct and material effect on each major program and refer to a separate schedule of findings and questioned costs if applicable.

For 2016, with respect to compliance for each major program, the auditor stated, “In [his] opinion, the University complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2016.”

For 2016, with respect to internal control over compliance, the auditor stated, “[he] did not identify any deficiencies in internal control over compliance that [he] consider[s] to be material weaknesses. However, [he] identified certain deficiencies in internal control over compliance, as described in the accompanying schedule of findings and questioned costs as Finding Nos. 2016-001 through 2016-003 and 2016-005 that [he] consider[s] to be significant deficiencies.”

Three of the findings pertain to the community colleges, none of which includes Kapi‘olani Community College.

The audit also provides an opinion (or disclaimer of opinion) as to whether the financial statements are presented fairly in all material respects in accordance with generally accepted accounting principles and an opinion (or disclaimer of opinion) as to whether the schedule of
expenditures of Federal awards is fairly stated in all material respects in relation to the financial statements as a whole.

For 2016, the auditor reported that in his opinion, “the schedule of expenditures of federal awards, as prepared on the cash basis of accounting, is fairly stated in all material respects in relation to the basic financial statements as a whole.”

For the status of audit findings from prior years, the auditor reported that 6 were resolved and 1 for the University of Hawaiʻi at West Oʻahu remained unresolved.

Internal control systems are considered when developing procedures, for staffing assignments (separation of duties), and when implementing improvements to the financial system or sub systems (e.g. software programs such as Banner, Destiny).

Internal control systems may also be reviewed in response to any deficiencies identified by the management letter from the annual financial audit. Reviews are conducted by central offices (GALC, FMO, etc.) or departments with the assistance of central offices and corrective action implemented by the affected central office or department.

UH Internal Auditor performs audits of selected programs (e.g. petty cash, culinary program) and may identify internal control deficiencies.

The University may hire an external audit firm to conduct an audit of a specific department or program and may identify internal control deficiencies.

The legislative auditor may conduct an audit of a specific department, program, or fund and may identify internal control deficiencies.

Corrective action plans in response to audit exceptions or deficiencies in an auditor’s management letter are implemented when identified during the audit or after completion of the audit. Corrective action plans identify the program, individuals responsible for implementing corrective action, actions taken to correct the audit finding or deficiency if applicable, actions taken to prevent reoccurrence if applicable, and the date corrective actions were taken.

For the annual financial audits, corrective actions are confirmed by the auditor in the subsequent annual audit (A-133 Prior Audit Findings section) or management letter.

For audits by UH Internal Auditor or other external auditors, corrective actions may be confirmed by review of operations or follow-up audit by auditors if any.
ANALYSIS AND EVALUATION

The College meets the standard.

The University of Hawai‘i system evaluates the validity and effectiveness of its financial control systems and uses the results to make improvements.

III.D.9. The institution has sufficient cash flow and reserves to maintain stability, support strategies for appropriate risk management, and, when necessary, implement contingency plans to meet financial emergencies and unforeseen occurrences.

EVIDENCE OF MEETING THE STANDARD

The College has sufficient cash flow and reserves to maintain stability, conduct risk management, and implement contingency plans.

The UHCC system maintains sufficient reserves to maintain financial stability. All UHCC campuses meet both 5% minimum and 10% targeted reserve requirements (see III.D.1 – Q7).

Approximately one-quarter of General Funds are provided by the State prior to the beginning of the fiscal year and the remaining full year allocation is provided prior to the end of the first quarter. Tuition is collected prior to the beginning of Fall and Spring terms and is expended over the course of each term. Tuition revenue projections are adjusted according to actual enrollment and budgets are adjusted accordingly. Self-sustaining, non-state funds maintain sufficient balances to accommodate working capital needs. Careful monitoring of revenues, expenditures and cash are conducted to prevent cash-flow problems.

Campus reserves are XX% of the prior year expenditures [insert KapCC’s reserve % as of].

ANALYSIS AND EVALUATION

The College meets the standard.

The College has sufficient cash flow and reserves to maintain stability, conduct risk management, and implement contingency plans.
III.D.10. The institution practices effective oversight of finance, including management of financial aid, grants, externally funded programs, contractual relationships, auxiliary organizations or foundations, and institutional investments and assets.

**Evidence of Meeting the Standard**

The College effectively and responsibly manages its financial resources, including financial aid, grants, externally funded programs, contractual relationships, auxiliary organizations or foundations, and institutional investments and assets.

**Processes to assess the use of financial resources: Policies and procedures are in place to ensure responsible financial oversight**

- UH System Office of Research Services (ORS) applies for and accepts extramural awards on behalf of the UH. ORS develops infrastructure, policies and procedures to ensure that the university is in compliance with federal, state, and sponsor requirements.
- Research Corporation of the University of Hawai‘i (RCUH) provides administrative support services to extramural contracts and grants.
- UH Foundation manages endowment funds such as scholarships, gifts, corporate and foundation relations donations
- UH System Financial Management Office oversees the overall financial activities to facilitate accurate financial reporting
- Board of Regents Policies and the Administrative Procedures are in place to ensure responsible fiscal management. Revisions and updates are disseminated by UH Systemwide Policies and Procedures Information System (PPIS).
- Office of Internal Audit reports directly to the Board of Regents to provide independent, assurance and consulting services

**Compliance with Federal Title IV regulations and requirements**

- Board of Regents Policies and the Administrative Procedures are in place to ensure compliance with Federal Title IV regulations. Revisions and updates are disseminated by UH Systemwide Policies and Procedures Information System (PPIS).
- Operational and financial annual audit (A-133) is conducted by contracted, independent accounting company, Accuity LLP.
- **Annual KapCC Financial Aid Office Report (?)**

**Assessment of the use of financial resources**

- Department/Unit chairs submit annual budget request and budget projection for the next five years.
- Budget request is discussed with Unit administrator, Budget Officer and VCAS
The College runs quarterly financial reports and are submitted to department chairs and unit administrators for analysis.

**Use of evaluation as basis for improvement**

- Meeting of department/unit chairs with unit administrator to discuss financial budget report – evaluation is used to improve and produce a department/unit budget request that is relevant and reflects program needs
- Budget request and the ARF process based on the Student Success Plan
- Annual report and external evaluator’s reports on extramural funds (grants) assess success of grant implementation – assessment is used to increase grant funding capacity
- [https://www.rcuh.com/](https://www.rcuh.com/) RCUH
- [https://www.uhfoundation.org/](https://www.uhfoundation.org/) University of Hawai‘i Foundation
- [https://www.hawaii.edu/policy/](https://www.hawaii.edu/policy/) UH Systemwide Policies and Procedures information System (PPIS)
- **AP 8.025 : Fiscal Responsibilities within the University**
- **UH PPIS - AP 8.770** UH policy on Federal financial aid credit balance refunds
- [http://www.fmo.hawaii.edu/fin_reports.html](http://www.fmo.hawaii.edu/fin_reports.html) Annual A-133 audit reports
- Email regarding procedures for annual budget request (?)
- ARF process

**Analysis and Evaluation**

The College meets the standard.

The College effectively and responsibly manages its financial resources, including financial aid, grants, externally funded programs, contractual relationships, auxiliary organizations or foundations, and institutional investments and assets.

The College’s effective and responsible financial oversight is a shared responsibility of the University of Hawai‘i (UH) System and Kapi‘olani Community College and is implemented through UH Board of Regents policies and procedures and supported by UH system agencies (Office of Research Services, the Research Corporation of the University of Hawai‘i, Financial Management Office, and the UH Foundation ). The Office of Internal Audit, which reports directly to the Board of Regents, provides independent, assurance and consulting services.

An annual operational and financial audit (A-133) of the consolidated financial statements of the University is conducted by a contracted, independent accounting company, Accuity LLP.

At the College, department chairs and unit heads submit an annual budget request and a 5-year projection, which is discussed with the Unit Administrator, the Vice-Chancellor of
Administrative Affairs, and the Budget Officer. A quarterly financial report is run and shared with the department chairs and unit heads for analysis. The analysis and evaluation of the financial reports are used to improve and produce a department/unit budget request that is relevant and reflects program needs. The budget request and the ARF are now aligned to the Student Success Plan.

Annual reports and external evaluator’s reports on extramural funds (grants) are used to assess and evaluate the success of the grant implementation process to achieve grant goals. Assessment is used to increase the College’s grant funding capacity.

III.D.11. The level of financial resources provides a reasonable expectation of both short-term and long-term financial solvency. When making short-range financial plans, the institution considers its long-range financial priorities to assure financial stability. The institution clearly identifies, plans, and allocates resources for payment of liabilities and future obligations.

EVIDENCE OF MEETING THE STANDARD

The level of financial resources provides a reasonable expectation of both short-term and long-term solvency and planning; management of resources supports financial stability and identifies, plans, and allocates resources for liabilities and future obligations.

Short-term and long-term financial planning considers the long-range obligations held by the Community College System, including Kapiʻolani CC. Long-term debt in the form of debt service on revenue bonds to finance new construction and facility improvements is considered in both short-term and long term financial planning.

The Community Colleges do not issue debt for Other Post-Employment Benefits (OPEB) (funded by the State), insurance costs (operating budget item) or repairs and maintenance projects (funded by the State). The items currently financed with long-term debt (listed in III.D.14) are limited to projects that directly create revenue streams that offset debt service costs.

Long-term obligations are considered by the community colleges when developing annual campus financial plans. These non-discretionary obligations are considered before programming budgets for discretionary items and are reflected as line items in campus financial plans.

- CIP revenue (or obligation?) bond


ANALYSIS AND EVALUATION

The College meets the standard.
The level of financial resources provides a reasonable expectation of both short-term and long-term solvency and planning; management of resources supports financial stability and identifies, plans, and allocates resources for liabilities and future obligations.

**III.D.12.** The institution plans for and allocates appropriate resources for the payment of liabilities and future obligations, including Other Post-Employment Benefits (OPEB) compensated absences, and other employee related obligations. The actuarial plan to determine Other Post-Employment Benefits (OPEB) is current and prepared as required by appropriate accounting standards.

**EVIDENCE OF MEETING THE STANDARD**

The College is properly contributing and meeting its annual OPEB obligation.

The employer’s share of OPEB obligations for general funded positions is centrally paid for by the State general fund for all State agencies. As such, employer OPEB obligations for general funded positions are not part of the University of Hawai‘i operating budget.

The University is, however, obligated to cover the OPB requirements for the relatively small number of non-general-funded positions employed by the University. The University’s contributions are calculated as part of the State’s total contribution requirements and are reimbursed to the State’s General Fund as part of the fringe benefit rate on the University employees’ actual salaries. The University’s annual OPEB cost for non-general funded employees is calculated based on the annual required contribution of the employer ARC, an amount actuarially determined in accordance with the parameters of GASB Statement No. 45. The ARC represents a level of funding that, if paid on an ongoing basis, is projected to cover normal cost each year and to amortize any unfunded actuarial liabilities over a period not to exceed 30 years. The employers’ OPEB obligations for non-general funded positions are fully recognized and accounted for in UHCC non-general fund financial plans.

Employees within the UH System are employees of the State of Hawai‘i. Unfunded liabilities of the Employees’ Retirement System (ERS) are constantly evaluated and modified by the Board of Trustees and reported to the State legislature and constituents. As of 2016, the actuarial valuation assumptions indicate that the ERS rate of return is better than that of national peer groups, and funding is beyond the fifty percent mark.


ANALYSIS AND EVALUATION

The College meets the standard.

The College is properly contributing and meeting its annual OPEB obligation.

III.D.13. On an annual basis, the institution assesses and allocates resources for the repayment of any locally incurred debt instruments that can affect the financial condition of the institution.

EVIDENCE OF MEETING THE STANDARD

The College annually assesses and allocates resources for the repayment of debt without loss to current fiscal obligations.

- What percentage of the budget is used to repay this debt? I think 2.7% BKF
- Does the locally incurred debt repayment schedule have an adverse impact on meeting all current fiscal obligations? There is no adverse impact. BKF

Evidence needed?

ANALYSIS AND EVALUATION

The College meets the standard.

The College annually assesses and allocates resources for the repayment of debt without loss to current fiscal obligations.

III.D.14. All financial resources, including short- and long-term debt instruments (such as bonds and Certificates of Participation), auxiliary activities, fund-raising efforts, and grants, are used with integrity in a manner consistent with the intended purpose of the funding source.

EVIDENCE OF MEETING THE STANDARD

The College’s financial resources are used with integrity and are consistent with the intended purpose of the funding sources.

From UHCC System’s Resource Matrix for Standard III.: https://laulima.hawaii.edu/x/ZuOgae
I. Debt repayments & financial planning (System)
2. Management of extramural, foundation, auxiliary enterprise reports (System/Campus)

**ANALYSIS AND EVALUATION**

The College meets the standard.

The College’s use of its financial resources is in integrity and is consistent with the intended purpose of the funding sources.

**Evidence Needed (Questions from Guide)**

- Is there an annual assessment of debt repayment obligations, and are resources allocated in a manner that ensures stable finances?
  - Does KCC have any debt repayment obligations?
- Can use a grant report (e.g. Title III) as evidence that KCC uses its financial resources in line with the granting institution’s intended purpose and that the grant is managed with integrity.

**III.D.15. The institution monitors and manages student loan default rates, revenue streams, and assets to ensure compliance with federal requirements, including Title IV of the Higher Education Act, and comes into compliance when the federal government identifies deficiencies.**

**EVIDENCE OF MEETING THE STANDARD**

The institution monitors and manages student loan default rates, revenue streams, and assets to ensure compliance with federal requirements, including Title IV of the Higher Education Act, and comes into compliance when the federal government identifies deficiencies.

- Need 3-year default rates, is the default rate within federal guidelines? Does the institution have a plan to reduce the default rate if it exceeds federal guidelines? Consult Jennifer Bradley (KISC/KCC) (FISAP)
- A-133 Audit (System) for student loan default rates, revenues, and related matters monitored and assessed to ensure compliance with Federal Regulations.

**ANALYSIS AND EVALUATION**

The College meets the Standard.
The institution monitors and manages student loan default rates, revenue streams, and assets to ensure compliance with federal requirements, including Title IV of the Higher Education Act, and comes into compliance when the federal government identifies deficiencies.

**III.D.16. Contractual agreements with external entities are consistent with the mission and system-wide goals of the institution, governed by institutional policies, and contain appropriate provisions to maintain the integrity of the institution and the quality of its program, services, and operation.**

**Evidence of Meeting the Standard**

All contracts are consistent with the College’s Mission and Goals, governed by institutional system-wide policies, and contract provisions maintain the integrity of programs, services, and operations. This is accomplished by policies and procedures set by the University of Hawai‘i (UH) System and Kapi‘olani Community College.

All contractual agreements are reviewed by the Vice Chancellor for Administrative Services to ensure they are compliant with UH and campus policies and support the College’s mission. Contractual agreements are governed by institutional policies.

- UH Office of Procurement and Real Property Management is responsible for the systemwide administration of policies and procedures for the acquisition of goods, services, and construction and the processing of transactions involving real property.
- UH Administrative Procedures Chapter 8 Business and Finance

Contractual agreements with the College are consistent with the College’s mission and goals. Contract provisions maintain the integrity of programs, services, and operation.

- The budget request submitted by the department/unit chairs and the ARF requests align with the College’s Student Success Plan, which in turn aligns with the Strategic Plan, which aligns with the College’s mission.
- The KCC Vice-Chancellor for Administrative Services (VCAS) reviews all contractual agreements with the College and ensures that all contract are consistent with the mission on the College and all contract provisions maintain the integrity of programs, services, and operations

- [https://www.hawaii.edu/oprpm/](https://www.hawaii.edu/oprpm/)
- Contracting for Services Administrative Procedure (AP) 8.225
- Professional Services Procurement AP 8.245
**Analysis and Evaluation**

The College meets the standard.

All contracts are consistent with the College’s Mission and Goals, governed by institutional policies, and contract provisions maintain the integrity of programs, services, and operations. This is accomplished by policies and procedures set by the University of Hawai‘i (UH) System and Kapi‘olani Community College.

The VCAS reviews and approves all contracts to ensure their alignment with the College Mission and that all contract provisions maintain the integrity of programs, services, and operation.

UH Administrative policies and procedures are in place. The UH Office of Procurement and Real Property Management administers these administrative policies and procedure.