

Southwestern College's Action Plan Progress
Based on Internal Analysis of Focused Special Review
Updated October 24, 2012

Southwestern College has significantly addressed the recommendations and the process of strengthening its fiduciary oversight and ensuring the transparency of all college business practices and procedures. This Progress Report is provided in response to action plan outlined in the Proposition R: Focused Special Review dated March 14, 2012. In particular, this workshop is in direct response to Action Item #20: *A Status Workshop on progress made on the action plan will be presented to the Governing Board in Fall 2012.*

Southwestern College has taken the following actions – These enumerated actions directly relate to the actions that were either in progress or pending implementation.

Action Items 1 to 5 (Completed by March 14, 2012):

1. The Governing Board in July 2011 revised and adopted a procedure for Code of Ethics.
2. The Governing Board in August 2011 passed a resolution that authorized the Southwestern College's staff to award public works bids subject to Governing Board ratification.
3. The Governing Board in October 2011 adopted a resolution approving Bidder Pre-Qualification Procedures Documents as they pertain to Proposition R Projects.
4. Southwestern College began ethics training for the college management team in January 2012.
5. A Governing Board workshop on procurement and contracting was held February 21, 2012.

Action Items – 6 to 9 (In Progress on March 14, 2012)

6. A new Southwestern College Foundation Code of Ethics and Conflict of Interest Policy is being reviewed by the Foundation Board Executive Committee and will be presented to the full Foundation Board at its March meeting.

Status: Action Item is Resolved. A Code of Ethics and Conflict of Interest Policy was adopted by the Foundation Board on April 24, 2012.

7. The Southwestern College Foundation's Investment Policy is being reviewed to update its criteria, content and processes.

Status: Action Item is Resolved. The Investment Policy was revised and adopted on May 22, 2012.

8. Effective immediately, all appropriate documentation must be included as enclosures on the public agenda for the award of any contract or procurement matter.

Status: Action Item is Resolved. All appropriate documentation is included as prescribed in action item.

9. Documentation for contract award consideration will include, but not be limited to, the RFP or RFQ announcement, all firms that responded, the selection committee members, and the rationale for the firm being recommended.

Status: Action Item is Resolved. All appropriate documentation is included as prescribed in action item.

Action Item – 6 to 20 (Pending Implementation on March 14, 2012)

10. Services of the California Community College League will be retained to help develop and update Southwestern College policies, including those concerning procurement and contracting matters during 2012-13 fiscal year.

Status: Action Item is Resolved. The services of the California Community College League were retained to help develop college policies. Policy 6330: Purchasing and Contracts has been developed and was reviewed by the Shared Consultation Council on October 17, 2012 for first reading. This policy will return to SCC for a second reading on November 21, 2012.

11. All new procurement and contracting policies developed will require Governing Board approval during the 2012-13 fiscal year.

Status: Action Item is Partially Resolved. It is anticipated that Policy 6330: Purchasing and Contracts will be submitted to the Governing Board for first reading at its December meeting.

12. College staff will develop procedures to implement the policies by Fall 2012.

Status: Action Item is Partially Resolved. Administrative procedures for Policy 6330 are currently being drafted with templates from the Community College League of California.

13. The college will hire a highly qualified, experienced Vice President for Business and Financial Affairs, who will be tasked with proposing procedures to implement the concept of “construction as owner” and assign staff appropriately.

Status: Action Item is Resolved. The Vice President for Business and Financial Affairs was hired in June 2012 and has been tasked with proposing procedures to implement the concept of “construction as owner” and assigning staff appropriately.

14. When resources allow, Southwestern College should prioritize hiring an internal auditor.

Status: Action item is still pending. Resources are not available at this time; however the need to provide Program Controls and tracking of budgets for Prop R has been addressed through temporary consulting. A complete team for Phase II Prop R projects will include personnel to work with our Facilities, Purchasing and Finance departments.

15. Southwestern College’s Superintendent/President will review, and if necessary, modify the college’s Conflict of Interest Policy. Conflict of Interest Training for the Governing Board and Southwestern College staff will be scheduled.

Status: Action Item is Resolved. The Superintendent/President, in collaboration with the Vice Presidents, reviews college policies and procedures on a regular cycle. This review includes the college’s Conflict of Interest Policy. The College Management Team has received training by the Vice President for Human Resources on this policy and procedure and the Governing Board has been provided with training on this policy and procedure on September 26, 2012. Additionally, the Conflict of Interest Code is reviewed on an ongoing basis with regard to those employees who are designated to fill out Form 700.

16. A Governing Board workshop will be scheduled on Fair Political Practice Commission guidelines.

Status: Action Item is Resolved

17. The Business and Financial Affairs staff will evaluate and make recommendations to the Superintendent/President by July 1 on a system needed to adequately maintain essential procurement and contracting records.

Status: Action Item is Partially Resolved. Additional licenses and hardware upgrades have been made to support Prolog Converge a software package to support current and ongoing project management for Prop R projects. The Business and Financial Affairs Staff has evaluated and has made recommendations for a system needed to adequately maintain essential procurement and contracting records. The Purchasing and Contracting office has invested in Perceptive Software solutions and has procured 2 seat licenses that fully integrate with Datatel to establish a Document Management system for Bids, RFP/Q's and Contracts. This system will eventually enable users District wide to track and view Contracts, Bids and RFP's as electronic documents online, ensuring better control, protection and management of documents that are currently managed manually as paper. This project is scheduled for implementation after additional funding for the project is identified. The cost of implementation is estimated to be around \$35,000 and the cost of converting the legacy paper documents to electronic format is estimated at \$25,000. Final implementation is on hold pending funding of this project.

18. The college will continue to maintain Foundation staff to run Foundation activities.

Status: Action Item is Resolved. The college has maintained Foundation staff to run Foundation activities. Currently, The Executive Director position is staffed at 20% of one FTE and the Compliance Coordinator is staffed at 20% of 1 FTE.

19. Ongoing training of Foundation directors and staff will take place at the time of orientation of new members and at the annual Foundation retreat.

Status: Action Item is Resolved. Ongoing training of Foundation directors and staff now takes place at the time of orientation of new members and at the annual Foundation retreat.

20. A status workshop on progress made on the action plan will be presented to the Governing Board in the fall of 2012.

Status: Action Item is Resolved. Governing Board Progress Report provided on October 24, 2012.